

ISO 9001:2000 PROTOCOL METHOD "POSITIVE CAPABILITY"



IN THIS ISSUE

The focus of this QRC Newsletter is how to prepare for Certification or Conformance to ISO 9001:2000 Standards and gain an immediate return on the investment. In the last four Newsletters we reviewed the reluctance of companies to transition to the new Standard.

With just more than a year to go before all ISO 9000:1994 companies are required to transition to ISO 9001:2000, or lose their certification, it seems time to discuss the best way to get the job done.

The method described in this Newsletter (the Protocol Method) is already successful in helping organizations of various profiles achieve certification in a timely and economic manner.

Equally important, the synergistic combination of the Protocol Method and ISO 9001:2000 brings unambiguous value, regardless of whether an organization is transitioning, certifying for the first time, or simply conforming to the ISO 9001:2000 Standard.

☺ For organizations addressing ISO 9000 requirements for the first time, the Protocol/ISO combination enhances the expected effectiveness of their ISO 9001:2000 systems.

☺ For organizations with effective ISO 9000:1994 systems, the Protocol/ISO combination takes what is good and makes it better.

☺ For organizations with less than exemplary ISO 9000:1994 systems, the Protocol/ISO combination changes the ISO 9000 Standard from a "burden" to a tool for competitiveness and savings.

The synergistic relationship between ISO 9001:2000 and the Protocol Method works this way:

- ☑ ISO 9001:2000 identifies the key processes of an organization and their interactions.
- ✓ The Protocol Method deals with Process Inputs, Outputs Goals (IOGs) and the activities followed to achieve these goals.

☑ ISO 9001:2000 requires a Quality Manual for the organization

✓ The Protocol Method creates a Protocol Manual for each key function.

☑ The Quality Manual describes management's overall goals for the organization.

✓ The Protocol Manuals describe these goals as they affect each Department.

☑ The Quality Manual establishes the organization's policies.

✓ The Protocol Manuals describe how these policies are translated into action.

☑ The Quality Manual removes uncertainties regarding the organization

✓ The Protocol Manuals remove uncertainties regarding the goals, activities and performances of each Department
Contemplating the chronic uncertainties in organizations, humorist Doug Gamble once said:

"In any business, there is always one person who knows what is going on. This person must be fired"

The information cascade of the Protocol/ISO combination condemns Mr. Gamble's business model to a thing of the past

NEGATIVE CAPABILITY



In the 19th century John Keats created the phrase "Negative Capability". He described it as when ***"a man is capable of being in uncertainties, mysteries and doubts, without any irritable reaching after fact and reason"***

Organizations in a state of "Negative Capability" too often mistakenly make plans, assign resources and set goals when they are short on facts and long on uncertainties. Some of the "negative capabilities" we run into too frequently are.

Top Management:

"We know our customers are impressed by our organization because we have hardly any complaints"

Fact: Customers give up complaining after a while, because they do not get a satisfactory response.

They are also liable to give up being customers.

Line Management

“Of course our people are following the documented processes”

Fact: People have been steadily altering what they do to make their work more effective and to respond to changing demands.

Often the only thing that hasn’t changed is the documented process.

Employees

“With my experience I don’t need all this documentation”

Fact: High level of rejects, lots of scrap and dissatisfied customers whose documented requirements were ignored.

The Protocol/ISO combination provides the tools not only to certify but also to banish Negative Capability from the organization.

POSITIVE CAPABILITY



Keats is not recorded as describing Positive Capability, so let’s do it for him.

“People are capable of overcoming uncertainties, mysteries and doubts, with the application of reason to facts ”

If we revisit the earlier examples of Negative Capability, with the Protocol/ISO rule of Positive Capability, the new results could be:

Top Management:

“We know our customers are impressed by our organization because we have hardly any complaints”

Fact: “We have Protocols that require us to regularly communicate with customers. Our goal is to discover customers’ perceptions of our products and services”.

Line Management

“Of course our people are following the documented processes”

Fact: “The documented processes are user friendly. They are regularly evaluated for effectiveness according to the goals in our Protocols.

Our people have ownership of their Protocols and are the first to identify process problems that prevent them meeting their goals”.

Employees

“With my experience I don’t need all this documentation”

Fact: “I brought transferable skills into this organization. I was trained in the company’s

Protocols and am regularly evaluated to insure that I have the necessary competence to accomplish the work I am given”.

THE PROTOCOL/ISO COMBINATION PROGRAM



“I keep six honest serving men

(They taught me all I knew)

Their names are What and Why and When

And How and Where and Who”

Rudyard Kipling: (1865 – 1936)

Kipling was obviously not an ISO 9000 Auditor. However, his “serving men” are the concerns of both an ISO 9001:2000 Certification audit, and the Protocol Self-Evaluation program.

Removing any uncertainties regarding the answers to these questions is a key contribution of the Protocol/ISO combination.

THE QUALITY MANUAL



The Quality Manual (ISO 9001: 4.2.2) is the start of the Protocol/ISO combination program.

📖 To prepare this document, first ascertain the key functions of the operation and their interaction (a process map).

📖 Identify any additional requirements made by the Standard (e.g. monitoring and measuring customer satisfaction)

📖 Find out Departmental responsibilities for each key function.

📖 The Quality Manual can now be written.

Transition Companies: Most ISO 9000:1994 Quality Manuals will have to be re-written.

All the Elements of ISO 9000:1994 exist in the new Standard. They are now, however, embedded in a process-based system, and are not the sole components of an Element based system.

There are changes in responsibilities from ISO 9000:1994 (e.g. Management representative: ISO 5.5.2).

There are new requirements (e.g. Continual improvement: ISO 8.5.1).

These differences are addressed in the Quality Manual.

REMAINING DOCUMENTS



The amount of documentation required by ISO is now dependent on the needs of the organization (ISO 4.2.1: Note 2).

There is an interesting deviation from the all too frequent accusations that ISO 9000:1994 created a bureaucracy.

The new ISO goal is that "Generation of documentation should *not* be an end in itself, but should be a value-adding activity" (ISO 9000: 2.7.1)

Preparing value-adding documents on a Department basis (Protocol Manuals)

- In each Department identify the need for "How to" documents.
- Trace existing "How to" documents.
- Standardize the format of these documents. When you find them they can be a formal Procedure, or scribbling on the back of a note pad.
- Assemble the formatted documents in a Department Protocol Manual
- Add any process descriptions required by the ISO 9001:2000 Standard
- Determine the input and output requirements for internal and external suppliers and customers.
- Establish input and output goals for the key processes in the Department
- Document this information in IOGs (Input, Output and Goals Protocols)
- Add a *Summary of Services* description of the Department

When this is completed, each Department will have a Protocol Manual that answers the questions of Kipling's "honest serving men" (that is, it is auditable, and it is being used), The Protocol Manuals also meet the "Value of documentation" requirements of ISO 9000: item 2.7.1.

Most important, however, is that each Department now has clearly defined Protocols and goals. This combines an opportunity for Positive Capability, with meeting the requirements of ISO 9001:2000.

Transition Companies: The documented procedures of ISO 9000:1994 companies should be readily available. So should the Departments' responsibilities for implementing these procedures. The tasks of a transition company are therefore:

- Evaluate existing procedures to determine if they are effective. Implement any necessary Corrective Actions.
- Identify additional procedures required by ISO 9001:2000 and write them.

Note: ISO 9001:2000 *requires* only six procedures. This is an opportunity to obsolete unnecessary procedures

- Prepare Protocol Manuals using the existing and newly developed documentation (Procedures, Work Instructions and Protocols).
- Develop IOGs for each Department and include in the Protocol Manuals
- Prepare a *Summary of Services* for each Department and include it in the Protocol Manuals.

INSTALL



Each Department receives its own Protocol Manual that it is required to follow. The major concern of the installation process is insuring a buy-in to the goals segment of the IOGs. However, without that buy-in, the corporate goals are at risk.

As Protocols describe what the Department is currently doing, and are not externally introduced Elements, people tend to adopt them quickly and manage them effectively.

AUDIT AND CORRECT

Internal Audits and Corrective Actions are required components of the ISO 9001:2000 system, as they were with ISO 9000:1994, and are critical to Certification.

Transition Companies should be aware that the audits are now of processes and not Elements, and may wish to retrain their auditors

CERTIFICATION AUDIT

Certification Audits of combined Protocol/ISO systems tend to be different. The main reason is the sense of ownership that people have shown in their Protocol Manuals. They are no longer being measured against "alien" Elements. They are explaining what they do, and showing the results.

QUESTIONS

If you have any questions regarding this method of Certifying or Conforming to ISO 9001:2000 Standards, let us know. We will be happy to answer them.