No. 3-4/2011-Policy-1
Government of India
Ministry of Communications and IT
Department of Telecommunications
(Policy-1)
****

New Delhi dated 12 March, 2012.

OFFICE MEMORANDUM

Subject: -Action relating to Mandatory Indicators included in the RFD 2011-12--Finalization of an action plan to implement ISO 9001 certification.

In continuation of O.M. of even number dated 16th February, 2012 on the subject mentioned above, the undersigned is directed to enclose herewith a copy of **"Guidelines For Preparing an Action Plan For Obtaining ISO:9001 Certification"** received from the Performance Management Division, Cabinet Secretariat for further necessary action.

Enclosure: As above.

(Anand Agrawal)
Deputy Secretary (Policy)
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DDG(C&A)

GUIDELINES FOR
PREPARING AN ACTION PLAN FOR
OBTAINING ISO:9001 CERTIFICATION

(February 29, 2012)

Performance Management Division
CABINET SECRETARIAT
Government of India

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PART A

INTRODUCTION

1. Background

The Prime Minister approved the outline of a "Performance Monitoring and Evaluation System (PMES) for Government Departments" vide PMO I.D. No. 1331721/PMO/2009-Pol dated 11.9.2009. Under PMES, each department is required to prepare a Results-Framework Document (RFD).

An RFD provides a summary of the most important results that a department / ministry expects to achieve during the financial year. This document has two main purposes: (a) move the focus of the department from process-orientation to results-orientation, and (b) provide an objective and fair basis to evaluate department's overall performance at the end of the year.

In addition to success indicators proposed by the department, there is a set of mandatory indicators proposed by the Government that are common to all departments preparing RFDs.

The High Power Committee (HPC) on Government Performance in its meeting of March 11, 2011, decided to include the following mandatory success indicator relating to implementation of ISO:9001 in the Results-framework Document (RFD) of government departments for the year 2011-2012.

Mandatory	Unit	Weight	Target / Criteria Value				
			Excellent	Very Good	Good	Fair	Poor
Success Indicator			100%	90%	80%	70%	60%
Finalize an action plan to implement ISO 9001 certification	Date	2%	Mar 26 2012	Mar 27 2012	Mar 28 2012	Mar 29 2012	Mar 30 2012

2. Purpose of these Guidelines

These guidelines are intended to provide guidance to departments / ministries for preparing the required Action Plan for implementing ISO 9001 in their respective ministries / departments by March 26, 2012. These Guidelines represent the minimum requirements and ministries / departments are free to add additional material that may be relevant to their particular context.

The next step would be to hire consultants to actually help departments obtain ISO 9001 certification. Experience suggests that organizations that prepare themselves before hiring consultants save both time and money. That then is the main purpose of these guidelines.

3. Intended Users

All ministries / departments and Responsibility Centers (RCs) under them may use these guidelines to develop an Action Plan for implementing ISO:9001 in their organizations.

4. What is ISO?

ISO (International Organization for Standardization) is the world's largest developer and publisher of International Standards.

ISO is a network of the national standards institutes of 161 countries, one member per country, with a Central Secretariat in Geneva, Switzerland, that coordinates the system.

ISO is a non-governmental organization that forms a bridge between the public and private sectors. On the one hand, many of its member institutes are part of the governmental structure of their countries, or are mandated by their government. On the other hand, other members have their roots uniquely in the private sector, having been set up by national partnerships of industry associations.

Therefore, ISO enables a consensus to be reached on solutions that meet both the requirements of business and the broader needs of society.

Because "International Organization for Standardization" would have different acronyms in different languages ("IOS" in English, "OIN" in French for Organisation internationale de normalisation), its founders decided to give it also a short, all-purpose name. They chose "ISO", derived from the Greek isos, meaning "equal". Whatever the country, whatever the language, the short form of the organization's name is always ISO.

5. Why Standards matter?

Standards make an enormous and positive contribution to most aspects of our lives.

Standards ensure desirable characteristics of products and services such as quality, environmental friendliness, safety, reliability, efficiency and interchangeability - and at an economical cost.

When products and services meet our expectations, we tend to take this for granted and be unaware of the role of standards. However, when standards are absent, we soon notice. We soon care when products turn out to be of poor quality, do not fit, are incompatible with equipment that we already have, are unreliable or dangerous.

When products, systems, machinery and devices work well and safely, it is often because they meet standards. And the organization responsible for many thousands of the standards which benefit the world is ISO.

6. What are the ISO 9000 standards?

ISO has developed over 19 000 International Standards on a variety of subjects and more than 1000 new ISO standards are published every year. The full range of technical fields can be seen from the listing of International Standards at http://www.iso.org/iso/iso_catalogue

Users can browse that listing to find bibliographic information on each standard and, in many cases, a brief abstract. The online ISO Standards listing integrates both the ISO Catalogue of published standards and the ISO Technical programme of standards under development.

7. Who is responsible for developing the ISO 9000 standards?

ISO standards are developed by technical committees comprising experts from the industrial, technical and business sectors which have asked for the standards, and which subsequently put them to use. These experts may be joined by representatives of government agencies, testing laboratories, consumer associations, non-governmental organizations and academic circles.

The experts participate as national delegations, chosen by the ISO national member institute for the country concerned. These delegations are required to represent not just the views of the organizations in which their participating experts work, but of other stakeholders too.

According to ISO rules, the member institute is expected to take account of the views of the range of parties interested in the standard under development. This enables them to present a consolidated, national consensus position to the technical committee.

8. What are the main benefits to be derived from implementing ISO 9001?

Implementation of ISO 9001 in a Government department or ministry will have the following benefits:

a. Enable the department to develop standard operating procedures (SOPs) for its functions and activities. These SOPs are codified in a Quality Manual and procedures..

b. Compare and benchmark these standard operating procedures with other similar organizations in Government of India, states, private sector or international organizations.

c. Identify areas for improving functioning of the department.

d. Codify institutional and personal memories and experiences for future generations. Hence, when a person leaves, he or she will be able to leave behind SOPs for others to follow and improve.

e. Bring in transparency and accountability in the operations of government machinery.

f. Allow the department to audit itself against the ISO 9001 standards.

g. Allows the Secretary of the Department to focus on strategic issues

h. The annual third party audit keeps the department on its toes.

i. The potential for losing the ISO 9001 certification during the audit every third year allows the system to sustain itself over time.

9. Is ISO 9001 suitable for Government Departments?

Of course, it is. ISO 9001 is a generic quality management system. It codifies quality standards in every area of organization's functioning.

In fact, many governments around the World have made ISO 9001 a mandatory requirement. In India too, many Government organizations have successfully obtained ISO 9001 certification. Besides the trend in developed countries, Malaysia and Kenya have also made it a mandatory requirement in their government organizations. Prominent examples in the Indian Government context include, National Authority for Chemical Weapons Convention (NACWC) in the Cabinet Secretariat and many offices of Central Board of Customs and Excise. A copy of the actual certificate awarded to NACWC is included on page 9.

Internationally prominent examples includeISO 9001 implementation in 1997 in the US Government's General Services Administration's Office of Property Management—with a $1.5 billion budget at the time—claimed to be the first US federal agency to become ISO 9000-certified. Both NASA and the Department of Defense of USA have cited ISO certification as an important means of improving quality and reducing the federal burden in quality system oversight.

In October 2006, the Federal Aviation Administration claimed bragging rights as the largest federal organization to achieve ISO 9001 certification (with national and international sites comprising nearly 6,500 employees). The Small Business Administration Web site includes a link for ISO 9001 resources. They are of relevance and use for others as well.

Today, informed citizens expect quality operations and hence governments are proactively becoming quality conscious.

10. What is the relationship between RFD and ISO 9001?

ISO 9001 is not a substitute for "results" rather it is a complement. ISO 9001 guarantees that the internal "processes" will be of a certain quality. It does not guarantee that either the process will indeed be followed or that results will be assured. For that assurance, we need to have RFD. Hence, both are required to get a truly performing quality organization.

11. What is the relationship between ISO 9001 and Sevottam?

Sevottam means Uttam Seva (Good Service) in Hindi. Government realized the importance of this aspect of Government performance long time back and several Government decisions at the highest levels have reiterated the resolve to is decision. To operationalize this Government policy, DARPG created a module of following three initiatives that are together referred to as Sevottam:

a. Citizens' / Clients' Charter

b. Grievance Redress Mechanism

c. Service Delivery Capability

They are all covered by IS 15700:2005

12. What is the difference between ISO 9001:2008 and IS 15700:2005?

Both are quality standards but they differ in following respects:

i. ISO 9001 is an internationally recognized and well understood standard. It is the most widely adopted Quality Management System. Whereas, IS 15700 has been developed by Bureau of Indian Standards (BIS) and is not known outside India. Even in India, it has not yet been adopted by a significant number of organizations.

ii. ISO 9001 can be certified by a large number of highly reputable Indian and foreign certification bodies. Whereas, IS 15700 can be certified by only BIS. The competition among certifying bodies keeps them on their toes. In general competition is always better than monopoly.

iii. ISO 9001 covers all aspects of a management system—management processes, core processes and support processes. That is, it covers all aspects of departmental mandate and functioning. IS 15700 covers mostly service delivery aspects of the department.

iv. ISO 9001 is periodically updated based on lessons learnt worldwide. In a globalized world India needs to be at par with the best. There is technical committee working continuously in order to collect updates worldwide.

v. There is an internationally approved standard (ISO 17021:2011) for ensuring the quality and competence of certifying bodies across the world. BIS is not required to adopt such a standard.

Certification

Awarded to

NATIONAL AUTHORITY
CHEMICAL WEAPONS CONVENTION (NACWC)
CABINET SECRETARIAT

CHANAKYA BHAVAN, CHANAKYAPURI, NEW DELHI - 110 021 INDIA

Bureau Veritas Certification certifies that the Management System of the above organization has been audited and found in accordance with the requirements of the standard detailed below

STANDARD

ISO 9001:2008

SCOPE

To Implement the Chemical Weapons Convention (CWC) on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and Matters Connected therewith or Incidental thereto and to act as the National Focal Point for the Organization for the Prohibition of Chemical Weapons (OPCW) and Other States Parties.

Permitted Exclusions:
7.3 - Design and development.
7.5.2 - Validation of processes for production and service provision

Original Approval Date: 25 November 2010
Next Recertification Due Before: 24 October 2013

Subject to the continued satisfactory operation of the organization's Management System,
this certificate expires on: 25 November 2013

Certificate Number: IND10.7655

R. K. SHARMA
Director

NABCB
QM 003

PART B

STRUCTURE OF ACTION PLAN

The required Action Plan for implementing ISO 9001 in a department is basically expected to contain details of eight actions required to get ready for ISO 9001 certification. Experience suggests that forethought and preparations are the best way to proceed with the implementation of ISO 9001 in an organization. That is the rationale for requiring all departments to first prepare an Action Plan and then begin actual process of implementation.

The required Action Plan should have following eight sections:

Action 1: Constitute Management Committee

Action 2: Define scope

Action 3: Depict organizational structure.

Action 4: Review and finalize Vision and Mission

Action 5: Identify processes, along with designations

Action 6: Define sequence and interaction of processes

Action 7: Describe duties of each designation

Action 8: Prepare list of documents

Details for preparing these eight sections of the required Action Plan are listed below:

Action 1: Constitute the Management Committee

a. What is Management Committee?

To ensure implementation of ISO 9001:2008 it must be driven and monitored by a well defined Management Committee. It is the Management Committee that gives direction and momentum to the implementation of ISO 9001:2008. This committee must be formed in a manner wherein all sections of the department are involved and the leadership is to be entrusted to the Top most authority. The Management Committee should have a balanced constitution of policy makers and the implementers.

One Committee member is designated as the Management Representative (MR), who shall be the focal point for the coordination for the implementation. The Management Representative for the implementation of ISO 9001:2008 shall be responsible to ensure that the action plan/ strategy developed by the Management Committee (MC) is enacted and is progressing as planned.

It is suggested that the Management Representative, who shall be the key person for the implementation and sustenance is at least of a Joint Secretary level so that the ISO 9001 implementation gets the management attention it deserves.

The Management Representative shall have following main responsibilities:

i. ensuring that processes needed for ISO 9001 are established, implemented and maintained,

ii. reporting to top management on the performance of ISO 9001 and any need for improvement, and

iii. ensuring the promotion of awareness of citizen / client requirements related to ISO 9001 throughout the organization

The other members of the Management Committee will be responsible for developing and implementing the Action Plan for getting ISO 9001 certification in the ministry/ department.

b. Why is it required?

A Management Committee needs to be formed to ensure that the implementation of the ISO 9001:2008 is carried out and sustained. The Management Committee shall be responsible for developing the strategy for the implementation of ISO 9001:2008 in the department.

c. How to constitute a Management Committee?

The Top management should be a part of the committee and along with them representatives from the entire spectrum of functions and divisions in the Ministry/Department must be included in it. Ministry/ Department must constitute a Management Committee to spearhead the implementation process in the department as per format given below:

Management Committee for Implementation of ISO 9001:2008			
Ministry/ Department:			
S. No	Name	Designation	Committee Status
1			Chairman
2			Secretary
3			Management Representative
4			Member
5			Member
6			Member

d. Where can I get further information?

Action 2: Define Scope

a. What is Scope?

The scope of ISO 9001 standard establishes the coverage of the standard in the department. It can be applied to the full department or it can be applied in phases. For example, in the case of National Authority for Chemical Weapons Convention (NACWC) it was applied to the entire organization in one go. Larger departments may want to apply it in phases. The required action plan will have to make the coverage and phasing of ISO 9001 certification explicit.

b. Why is Scope required?

Definition of Scope for ISO 9001 enables Citizens/Clients to understand the boundaries for the applicability of ISO 9001 on the services offered by the ministry/ department.

It helps in the identification of the activities which need to be covered under the implementation.

It also ascertains that none of the major services/ activities gets left out while the ISO 9001 framework is developed.

c. An Example of Scope:

NACWC

> To implement the Chemical Weapons Convention (CWC) on the prohibition of the development, production, stockpiling and use of chemical weapons and matters connected therewith or incidental thereto and to act as the national focal point for the Organization for the Prohibition of Chemical Weapons (OPCW) and other states parties.

d. How to develop a Scope?

Decide what all functions/services of the Ministry/Department shall be brought under the purview of ISO 9001 immediately. It is possible that owing to the size and complexity or vast number of services a few of the services may be excluded for the time being. In such a case, please develop a timeline to cover all such services/ functions.

There are exclusions that are permissible for the implementation of ISO and they shall be evaluated at subsequent steps. Format for listing the scope is given below:

Name of the Department/ Ministry	
Scope for ISO 9001	
List Sections/ Divisions/functions to be covered	

e. Where can I get further information on Scope for ISO 9001?

http://www.iso.org/iso/iso_9000_essentials

Action 3: Depict Organizational Structure

a. What is an Organizational Structure?

Organizational structure is the formal decision-making framework by which job tasks are divided, grouped, and coordinated in the department/ministry.

An organization chart displays the organizational structure and shows job titles, lines of authority, and relationships within sections in the department/ ministry.

The formal organization can be seen and represented in chart form and it establishes the hierarchy within the organization.

b. Why is Organizational Structure required for ISO?

Organizational structure helps in establishing the flow giving direction to the execution and related information. It helps in the identification of the Process owners, Responsibility and Authority centers regarding each type of processes. It helps in the best utilization of the organization's resources to achieve organizational goals.

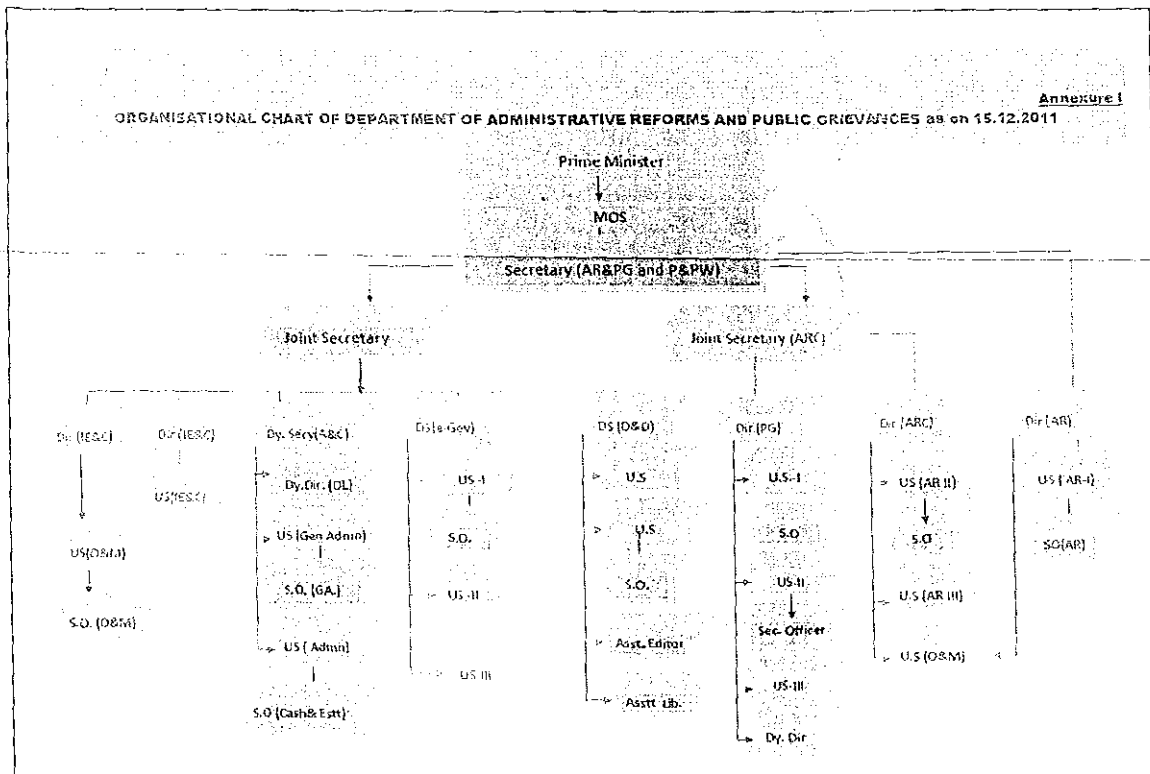c. How to develop an Organizational Structure?

Depict the organizational structure in a pictorial format as per example given on the next page.

d. Where can I get further information on Organizational Structure?

http://www.iso.org/iso/iso_catalogue/management_and_leadership_standards/quality_manag
ement/iso_9001_2008.htm

c. Examples of Organizational Structures

DARPG

ORGANISATIONAL CHART OF DEPARTMENT OF ADMINISTRATIVE REFORMS AND PUBLIC GRIEVANCES as on 15.12.2011

Action 4: Review and finalize Vision and Mission Statements

a. What is the Vision and Mission of Ministry/Department

This section should match the Vision and Mission in RFD for the department. As you would recall this section provides the context and the background for the Results-Framework Document (RFD). Creating a Vision and Mission for a department is a significant enterprise. Ideally, Vision and Mission should be a byproduct of a strategic planning exercise undertaken by the department. Both concepts are interrelated and much has been written about them in management literature.

A Vision is an idealized state for the department. It is the big picture of what the leadership wants the department to look like in the future.

The department's Mission is the nuts and bolts of the vision. Mission is the who, what and why of the department's existence.

Vision is a symbol, and a cause to which we want to bond the stakeholders, (mostly employees and sometime other stake-holders). As they say, the people work best, when they are working for a cause, than for a goal. Vision provides them that cause.

Vision is a long-term statement and typically generic and grand. Therefore a vision statement does not change from year to year unless the department is dramatically restructured and is expected to undertake very different tasks in the future.

Vision should never carry the 'how' part of vision. For example ' To be the most admired brand in Aviation Industry' is a fine vision statement, which can be spoiled by extending it to' To be the most admired brand in the Aviation Industry by providing world-class in-flight services'. The reason for not including 'how' is that the 'how' part of the vision may keep on changing with time.

Writing up a Vision statement is not difficult. The problem is to make employees engaged with it. Many a time, terms like vision, mission and strategy become more a subject of scorn than being looked up-to. This is primarily because leaders may not be able to make a connection between the vision/mission and people's every day work. Too often, employees see a gap between the vision, mission and their goals and priorities. Even if there is a valid/tactical reason for this mismatch, it is not explained. The leadership of the ministry (Minister and the Secretary) should therefore consult a wide cross section and come up with a Vision that can be owned by the employees of the ministry/department.

Vision should have a time horizon of 5-10 years. If it is less than that, it becomes tactical. If it has a horizon of 20+ years (say), it becomes difficult for the strategy to relate to the vision.

Features of a good vision statement:
- Easy to read and understand
- Compact and crisp to leave something to people's imagination
- Gives the destination and not the road-map
- Is meaningful and not too open ended and far-fetched
- Excites people and makes them feel energized
- Provides a motivating force, even in hard times
- Is perceived as achievable and at the same time is challenging and compelling, stretching us beyond what is comfortable.

The entire process starting from the Vision down to the objectives is highly iterative. The question is from where we should start? We strongly recommend that vision and mission statement should be made first without being colored by constraints, capabilities and environment. It is akin to the vision of several armed forces: 'Keeping the country Safe and Secure from external threats'. This vision is non-negotiable and it drives the organization to find ways and means to achieve their vision, by overcoming constraints on capabilities and resources. Vision should be a stake in the ground, a position, a dream, which should be prudent, but should be non-negotiable barring few rare circumstances.

Mission follows the Vision:

We strongly recommend that mission should follow the vision. This is because the purpose of the organization could change to achieve their vision. Ministry / Department's mission is the nuts and bolts of the vision. Mission is the who, what and why of your department's existence. The vision represents the big picture and the mission represents the necessary work.

b. Examples of Vision and Mission statements

MINISTRY OF PANCHAYATI RAJ

Vision

To attain the Gram Swaraj dream of 'Mahatma Gandhi' through 'Power to the People'.

Mission

To enable Panchayats to function as institutions of Self Government

DEPARTMENT OF SCHOOL EDUCATION & LITERACY

Vision

To ensure education of equitable quality for all to fully harness the nation's human Potential

Mission

i.   Reinforce the national and integrative character of education in partnership with States/UTs
ii.   Improve quality and standards of school education and literacy towards building a society committed to Constitutional values.
iii. Provide free and compulsory quality education to all children at elementary level as envisaged under the RTE Act, 2009.
iv.   Universalise opportunities for quality secondary education.
v.   Establish a fully literate society.

c. How to develop a Vision and Mission statement for your Ministry/ Department?

Unless there is a good reason, utilize the vision and mission of the Department/ Ministry as given in Section 1 of the RFD). It may be reviewed and updated, in case it is required by the Ministry/ Department while implementing ISO 9001. Each division can also think of its own vision / mission, though it should be consistent with the departmental Vision and Mission.

d. Where can I get further information

http://www.extension.iastate.edu/valueaddedag/info/Visionandmissionstatement.htm

Action 5:   Identify Processes

a. What is a process?

A "process" may be explained as a set of interacting or interrelated activities, which are employed to add value by transforming inputs to outputs.

Any activity or operation, which receives inputs and converts them to outputs, can be considered as a process. Almost all activities and operations involved in generating a results or providing a service are processes.

For ministries/ departments to function, they have to define and manage numerous inter-linked processes.
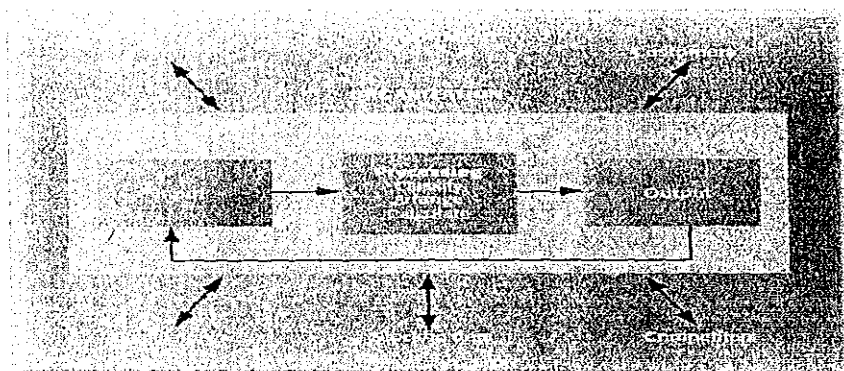
b. Why is the identification of processes and designations required?

ISO 9001 employs the 'Process Approach' and 'Systems approach to Management' as guiding principles.

A desired result is achieved more efficiently when activities and related resources are managed as a process and the roles and responsibilities are defined and followed.

c. Examples of list of processes

- Technical Inspections
- Enforcement activities
- Co-ordination with different agencies involved
- Training in the field of chemical weapons

d. How to create a list of processes?

It is suggested that department should identify intended outputs, and the processes needed for achieving them. This list of processes will include processes for all aspects of management and performance. For depicting these processes departments may use techniques like flow chart or block diagrams. Identify all process inputs and outputs, along with the suppliers and clients (internal and external). Also, departments need to identify the sequence and interactions of the processes.

Once the entire exercise of identification of processes is complete, then it is important to identify the responsibility (ownership) of the identified processes. A sample format is suggested below:

Sl.	Name of process / procedures	Process owner

An Example of Technical Inspection Process at NACWC

Ministry/ Department: NACWC			
Process	PI-TI-01	Description	Technical - Inspections
Sequence of activities			

No	Activity	Responsibility	Remarks
1	Receiving Notification for inspection from OPCW to NA CWC India	Director	
2.	To acknowledge the notification to OPCW if the same is found to be in order or to intimate OPCW for discrepancy if any.	Director	
3	To inform the facility to be inspected about the inspection schedule and to make necessary arrangements to receive the inspection team at the facility	Director / Dy. Dir -Tech	
4.	To inform the Department of Chemicals and Petro Chemicals of the inspection notification and request them to nominate escort officer/s from their department.	Director	
5	To inform the State Govt., Intelligence Bureau, Custom Authorities, Immigration Authorities, CISF of the inspection and request them for their facilitation.	Director	

No	Activity	Responsibility	Remarks
6	To nominate escort officer from NA CWC, India	Director	
7	Booking of air tickets for domestic travel, hotel for stay and transport arrangements at the point of entry / exit and at site.	Director	
8	Receiving the inspection team at the airport.	Dy. Dir -Tech	
9	Receiving the Inspection Mandate, verifying the equipments and escorting the inspection team for inspection till departure.	Dy. Dir -Tech	
10	In case of on-site sampling and analysis inspection of Schedule 2 facilities, the following additional steps are followed: a).Comply with all formalities to bring in all inspection equipments including custom clearance, authorizing Cargo Agent for smooth custom clearance (import and export). b).Additional escort/s having laboratory and practical experience of sampling analysis of scheduled chemicals are nominated.	Dy. Dir -Tech	
11	Before exit, the escort team receives the sealed inspection report	Dy. Dir -Tech	

e. Where can I get further information on list of processes?

http://www.iso.org/iso/iso_catalogue/management_standards/quality_management/iso_90
01_2008/concept_and_use_of_the_process_approach_for_management_systems.htm

Action 6: Define the Sequence and Interaction of Processes

a. What are the sequence and interaction of processes?

The "sequence" of processes shows how the processes follow each other and also how they are linked to each other and eventually to the final output. For example, the output from one process may become the input of the next process or processes.

The "interactions" show how each process affects or influences one or more of the other processes. For example, poor record keeping may affect the process of ordering stocks on time and keeping adequate inventory of stocks.

b. Why are the sequence and interaction of processes required?

Ability to identify, understand and manage interrelated processes as a system contributes to the efficiency and effectiveness of achieving objectives by ministry / department.

Often the output from one process will form the input into the next process. The systematic identification and management of the various processes employed within an organization, and particularly the interactions between such processes, is referred to as the 'process approach' to management.

c. How to develop a sequence of interaction of processes?

Once all the processes are identified, their interrelationship may be identified using various methods like flow charts or affinity diagrams or block diagrams. The purpose is to identify how and when one process affects the other process so that they may be effectively managed.

Ministry/ Department:			
Process		Description	

Sequence of activities		
S.No	Activity/steps in the process	Responsibility head

d. Where can I get further information on sequence of interaction of processes?

http://www.iso.org/iso/iso_catalogue/management_standards/quality_management/iso_90 01_2008/concept_and_use_of_the_process_approach_for_management_systems.htm

a. What is the designated duty for the identified positions?

Each position (also referred to as designation) identified to be involved in the process, plays a role in the completion of the process. The designated person identified either formulates, regulates, monitors, reviews, authorizes or executes actions to make the process move forward. Whatever the designated person is supposed to do in the process is his/her designated duty.

b. Why is the description of duties of each designation required?

The description of the duties is an essential step to identify the gaps, overlaps, and dead ends in the process. It also helps create the ownership of steps and activities within the processes. Once ownership is established, then the desired timelines and deliverables can be then defined.

c. Example of designated duties of each position

Example from NACWC Roles and Responsibilities

Designation / Position	Responsibility
Advisor	Function as the escort officer for purposes of International Inspection and enforcement Officers under the CWC Act
	Assist in coordination and filing of various statutory declarations to the OPCW, as required under the convetion.
	Implemt declaration regime of chemical units under CWC Act
	Provide technical inputs on all the policy matters relating to the convention
	Provide training to concerned officers and staff of the central/state government
	Collect database of declarable facilities under CWC ACT
	Prepare various reports, statistics and data required to fulfill obligations under the convention.

d. How to develop the duties for each designation?

Start with a flow chart of the process, identify the milestones at which any position / designation intervenes / operates. The action that happens between the preceding and next milestone shall give clues about the duties each position (designation) needs to perform.

The organizational structure also imposes inherent duties owing to the place of the designated position in the hierarchy. The organization chart will also help the Department/ Ministry in identifying the duties of the designated person as per ISO.

A suggested sample format is given below:

Sl.	Designation	Responsibility

e. Where can I get further information on duties?

http://www.iso.org/iso/iso_catalogue/management_standards/quality_management/iso_90 01_2008/implementation_guidance_for_iso_9001_2008.html

Action 8: Prepare a List of Documents

a. What is a list of documents?

A comprehensive master list of documents / forms/ schedules / memos / office orders / guidelines / instructions which are currently being used in the department/ ministry are to be identified and the most current version of the same is to be collected and recorded.

b. Why is list of documents required?

A cornerstone of the ISO 9001documentation process is the control of documents. To be able to control the usage of correct and current documents, a master list of documents is prepared. It helps in simplifying the documentation requirement and may also lead to creation of an effective cross- referencing documentation system thus further simplifying the processes.

c. How to prepare a list of documents?

Refer to the processes developed at Action 5 and identify each document required. To make the list more organized it is suggested that the same be built on the basis of individual processes. All information in the form of inputs, processing and outputs gets captured in a prescribed format. List out all such documents.

A suggested format for preparing the master list of documents is given below:

Document No.	Document Title	Description	Responsibility

d. Where can I get further information on list of documents?

http://www.iso.org/iso/iso_catalogue/management_and_leadership_standards/quality_management/iso_9001-2008/faqs_on_iso_9001.htm

PART C

ACTION PLAN

SUBMISSION PROCESS

a. 'Action Plan for implementing ISO:9001'of the Ministry/Department must be submitted to the Performance Management Division (PMD), Cabinet Secretariat, by 5:30 PM on Monday, March 26, 2012 consisting of the following deliverables:

1. List of Management committee for implementing ISO 9001
2. Scope for ISO 9001
3. Organizational structure
4. Vision and Mission
5. List of processes with designations
6. List of sequence of interaction of processes
7. Duties of each identified designations
8. List of documents

b. Electronic copies of the above listed deliverables in PDF format should be sent to the following email :

   ○ Performance-cabsec@nic.in

   ○ Prajapati.trivedi@nic.in:

c. Printed version (15 copies) should be hand delivered to Performance Management Division, Cabinet Secretariat, at the following address:

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    i.   Selection of a Certification body Accredited by Quality Council of India.

    ii.   Application to Certification Body.

    iii.   Stage –I audit and Closure of Non conformances

    iv.   Stage –II audit and Closure of Non conformances

    v.   Award of ISO 9001:2008Certificate.

3. System Maintenance & Continual Improvement Phase

  i. Conducting   Third internal Audit and Closure of Non Conformances.

  ii. Conducting Third Management Review Meeting and Closure of actions.

  iii. Induction of New members to QMS

  iv. Refresher training for Enhancement of knowledge on QMS and Quality tools

  v. Conducting Fourth internal Audit and Closure of Non Conformances.

  vi. Conducting Fourth Management Review Meeting and Closure of actions.

  vii. Conducting Fifth internal Audit and Closure of Non Conformances.

 viii. Conducting Fifth Management Review Meeting and Closure of actions.

  ix. Conducting sixth internal Audit and Closure of Non Conformances.

  x. Conducting sixth Management Review Meeting and Closure of actions.

  xi. Revise QMS documentation as necessary.

4. Surveillance Audit Phase

    i. First Surveillance Audit by Certification body

    ii. Second Surveillance Audit by Certification body

5. Recertification Phase

    Recertification – after 3 years