جامعة قطر
QATAR UNIVERSITY

Implementation of
ISO 9001 QMS Certification
Guidelines

Institutional Excellence

Strategy and Performance Department

Chief Strategy and Development Office

Overview:

To ensure continuing development and achievement of goals, QU has undertaken a massive transformation initiative and developed a long-term strategy aimed at providing a quantum leap forward in terms of the delivery of excellence in education, research, engagement and the provision of services to its students and society.

One of the core values of the new strategy is raising the quality of these aspects in accordance with international standards. One of the strategic objectives to achieve this goal is to enhance the efficiency and effectiveness of support services across QU. Institutional Excellence commits the University to the highest standards of quality and professionalism by nurturing quality enhancement processes across QU.

From the organizational perspective, this will bring cumulative benefits as operational process efficiency will improve and the goal of institutional excellence will be expedited. As more units become compliant and certified, QU can consolidate the certification and achieve maximum benefits.

ISO 9001 is an internationally recognized quality management standard used to help organizations to integrate a Quality Management System within their business processes and operations for the delivery of quality services. A QMS provides a structured approach to managing quality performance and planning to enable quality management to be an integral part of the organization.

This document describes the guidelines for the ISO 9001 implementation process at QU.

Benefits of getting ISO 9001 certified:

1. Improved communication, planning and administration processes leading to efficient and effective operations
2. Improved employee motivation, awareness, and morale
3. Consistency in the quality of service delivery
4. Enhanced customer satisfaction by fulfilling the needs and expectations of customers (internal or external) in terms of quality of service delivery
5. Enhanced reputation and recognition internally and externally
6. Reduce cost and increases productivity and results due to integration and alignment of internal processes
7. Demonstrates the unit's adherence to International benchmarks

8. Demonstrate direct evidence of QU's commitment to high quality, safe and secure services
9. Providing confidence to interested parties as to the consistency, effectiveness and efficiency of the unit
10. Ensure adherence to quality, safety and security commitments by periodic internal and independent audits

Frequency of Review:

After the initial certification attainment over a period of 6 – 8 months, Surveillance Audits will occur at the agreed upon frequency for the remainder of the 3-year cycle after which the unit will undergo recertification. The surveillance audit must be conducted at least annually, and no later than 12 months after the previous audit. The purpose of the Surveillance Audit is to ensure QMS of the Concerned Unit continues to meet ISO 9001 requirements. This audit takes less time than the initial certification audit.

Owner:

ISO 9001 implementation process is facilitated by Institutional Quality Management Section under Institutional Excellence within Strategy and Performance Department run by Chief Strategy and Development Office.

This document includes:

- Contact information
- Certification methodology
- Process timetable
- Roles and Responsibilities
- Post certification analysis

Contact Information

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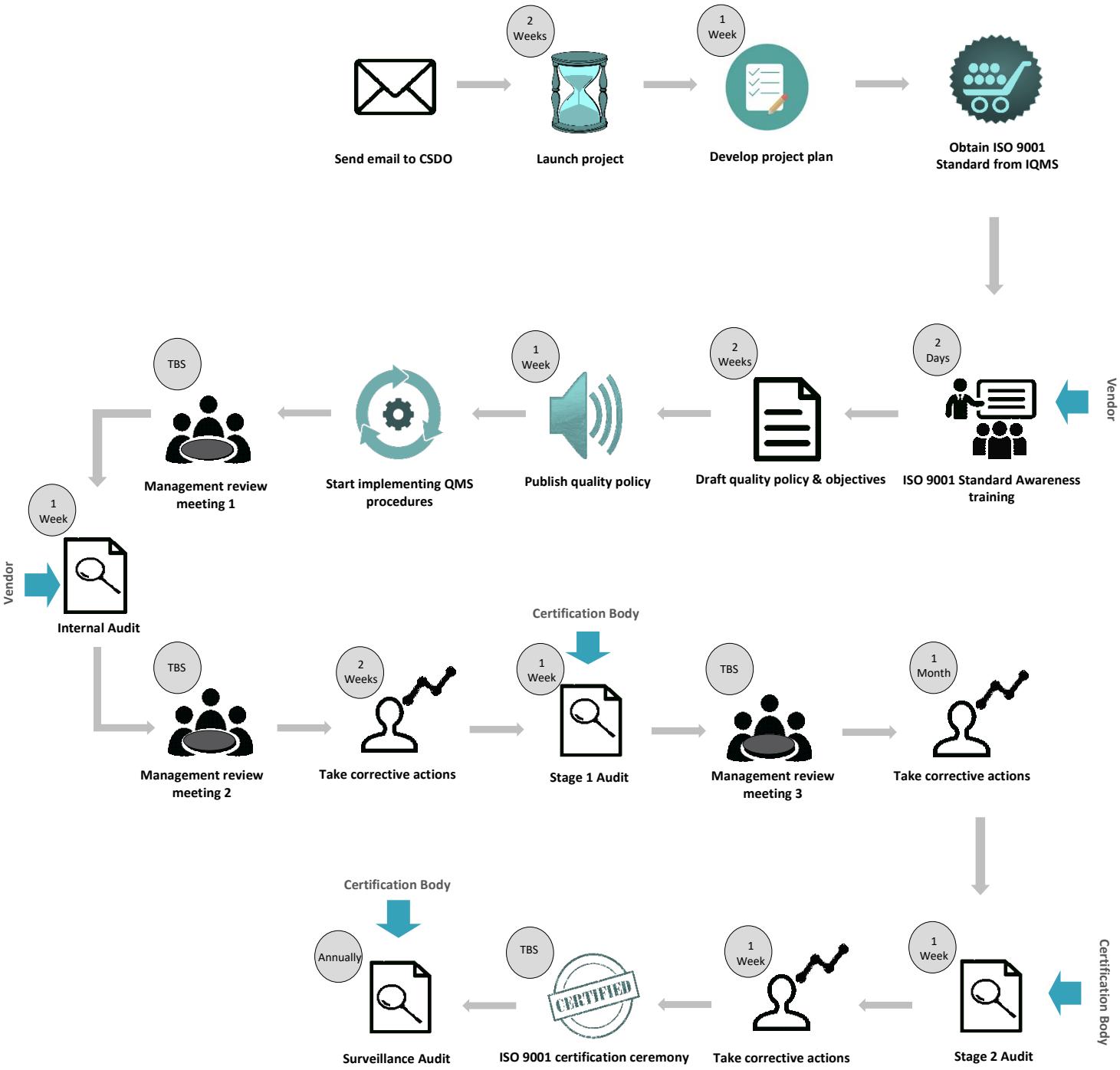
Abbreviations	
ISO	International Organization for Standardization
QMS	Quality Management System
CSDO	Chief Strategy and Development Office
IQMS	Institutional Quality Management Section
QU	Qatar University
VP	Vice President
CB	Certification Body
TBS	To Be Scheduled

Certification Methodology

The diagram below shows the ISO 9001 Certification process with respect to the concerned unit.



Process Timetable

When/Duration	What	Who
	Send official request to Director of Strategy and Performance Department by email to initiate the ISO 9001 Certification process	• Concerned Unit
1 week	Submit project proposal to Concerned Unit	• IQMS
2 weeks	Launch Project	• Concerned Unit *[The Director appoints Management representative/s to support in facilitating the certification process]*
1 week	Develop project plan by conducting current state study of the concerned unit	• Concerned Unit • IQMS
	Obtain ISO 9001 standard from IQMS	• Concerned Unit
1-2 days	ISO 9001 standard awareness training	• Vendor • IQMS
2 weeks	Draft quality policy and objectives	• Concerned Unit • IQMS
1 week *[to publish within the department]* *[Next step is to coordinate with Communications and Public Relations Department to publish on QU website]*	Publish quality policy	• Concerned Unit
1 month	Develop QMS procedures	• IQMS • Concerned Unit
[It is important to start implementing and running QMS procedures effective for at least 3 months prior to certification]	Start implementing QMS procedures	• Concerned Unit • IQMS
1 month	Finalize the proposal received from vendor and certification body with the concerned unit, and schedule ISO audits	• IQMS • Concerned Unit • Vendor/Certification Body
TBS *[within a week]*	Management review meeting 1 *[To approve QMS procedures]*	• Concerned Unit
1 week	Internal Audit	• Vendor • Concerned Unit
TBS *[within a week]*	Management review meeting 2 *[To review Internal Audit findings]*	• Concerned Unit
2 weeks	Take corrective actions	• Concerned Unit

1 week	Stage 1 Audit	• Certification Body • Concerned Unit
TBS *[within a week]*	Management review meeting 3 *[To review major non-conformities from Stage 1 Audit]*	• Concerned Unit
1 month	Take corrective actions	• Concerned Unit
1 week	Stage 2 Audit	• Certification Body • Concerned Unit
1 week *[To develop corrective action plan for minor non-conformities]*	Take corrective actions	• Concerned Unit
1 month	Issue certificate	• Certification Body
TBS *[after receiving intimation from Certification Body, also depending on the total number of units certified/recertified]*	ISO 9001 Certification ceremony	• IQMS
Semi-annually	Post certification assistance	• IQMS
Annually *[After receiving initial certification, at an agreed frequency over a 3 year cycle]*	Surveillance Audit	• Certification Body

Roles and Responsibilities

Concerned Unit

1. The Director after having their respective VP approval sends an official communication request to Strategy and Performance Department.
2. Once the respective VP approves the project proposal prepared by IQMS and submitted by Director, launch the project by
   2.1 Appointing project lead (Management Representative/s) to support IQMS in accomplishing the project.
   2.2 Sending official emails prepared by IQMS:
   - To CSDO marking the start of ISO 9001 certification journey
   - To Management Representative/s assigning his/her roles
   - To all employees of the concerned unit announcing the initiative to obtain ISO 9001 certification
3. Support IQMS in conducting the current state study of the concerned unit and developing the project plan.
4. Obtain a copy of ISO 9001 Standard from IQMS
5. Attend the ISO 9001 Standard Awareness training conducted by the Vendor and ensure the presence of all employees of the Concerned Unit.
6. Upon the start of the project, support in drafting quality policy and objectives in coordination with IQMS.
7. Publish the quality policy developed in Step 6 within the unit and QU website (in coordination with Communications and Public Relations Department) and notify IQMS.
8. Collaborate with IQMS in developing QMS procedures.
9. Start implementing QMS procedures with the help of IQMS and maintain all records. This step is very crucial, as implementation of QMS should be effectively running for at least 3 months prior to attainment of certification.
10. Acknowledge the proposal of vendor and certification body for certification services as forwarded by IQMS.
11. Conduct Management review meeting 1 to approve the QMS procedures.
12. After the Internal Audit conducted by the Vendor, conduct Management review meeting 2 to review the findings from Internal Audit.
13. If there is non-conformance from the Internal Audit findings, take corrective actions with the support of IQMS. If there is conformance, proceed to Stage 1 Audit.

14. After the Stage 1 Audit conducted by the Certification Body, if there are any major non-conformities from Stage 1 Audit findings then conduct Management review meeting 3 to review them and proceed to take corrective actions with the support of IQMS.
15. If there are only minor non-conformities from Stage 1 Audit findings, take corrective actions directly with the support of IQMS without any management review meeting. If there is conformance, proceed to Stage 2 Audit.
16. After the Stage 2 Audit conducted by the Certification Body, if there is non-conformance from Stage 2 Audit findings then proceed to take corrective actions with the support of IQMS. If major actions were taken, then proceed to Stage 2 Audit again.
17. If there is conformance/only, minor actions were taken, the Certification Body will proceed with the issuance of ISO 9001 Certificate, and IQMS will notify the unit accordingly.
18. After being certified, prepare for Annual Surveillance Audit that takes place over an agreed frequency in a 3-year cycle with the support of IQMS.

Management Representative/s

1. Ensure that all policies, procedures, and work instructions of the concerned unit are documented in a clear, simple and concise manner.
2. Ensure the compliance of all in-scope unit's functions with the ISO 9001 standard.
3. Ensure that the units' employees have received awareness on ISO 9001/QMS and on the documented QMS policies and procedures.
4. Build and maintain a library of relevant local and international standards, legislative and regulatory requirements.
5. Prepare audit schedules and arrange for internal audits.
6. Initiate necessary corrective actions.
7. Prepare and revise the QMS documents (namely Quality Management System procedures and other documentations).
8. Conduct Management Review meetings to communicate to the Management relevant quality issues, non-conformities and audit reports.
9. Represent the management during certification and surveillance audits.
10. Ensure that ISO 9001 accreditation is obtained and maintained.

11. Ensure the periodic review of the Quality Policy.
12. Continually monitor and measure the in-scope process performance through periodic review of all the functions to check the effective implementation of the Quality Management system.

Institutional Quality Management Section

1. Prepare the project proposal that includes recommendations, timeline, and budget to attain the certification and submit it to the Concerned Unit for approval.
2. After the project launch by the Concerned Unit, conduct current state study of the concerned unit and develop the project plan in coordination with the Management Representative/s.
3. Arrange ISO 9001 Standard Awareness training for the Concerned Unit with the Vendor.
4. Draft quality policy and QMS objectives in collaboration with the Director and Management Representative of the Concerned Unit.
5. Draft QMS procedures such as QMS Manual, Documented Information Control Procedure, Management Review Meeting Procedure, QMS Internal Audit Procedure, Monitoring Measurement and Improvement Procedure, Quality objectives and targets Procedure, QMS Risk Management Procedure.
6. Support the Concerned Unit in the implementation of the QMS procedures especially in QMS Risk Management Procedure that includes the preparation of risk register, and ensure all records of the QMS procedure are generated and maintained.
7. Finalize the proposal of vendor and certification body for certification services with the blanket purchase agreement and forward to the Concerned Unit for their acknowledgement.
8. Arrange Internal Audits, Certification Audits (Stage 1 Audit and Stage Audit)/Surveillance Audits/ Re-certification Audits (Stage 1 Audit and Stage 2 Audit) with the vendor and certification body.
9. Participate in management review meetings conducted by the Concerned Unit and support in preparing minutes of meetings as per the standard requirements.
10. Support the Concerned Unit in taking corrective actions from the Internal Audit, Stage 1 Audit, Stage 2 Audit, Surveillance Audit findings, if any.

11. Assist the Concerned Unit semi-annually after certification for the Annual Surveillance Audit that takes place over an agreed frequency in a 3-year cycle to ensure the maintenance of ISO 9001 standards which involves:
    - Helping in identifying improvements
    - Supporting Internal Audit, Surveillance Audit/Recertification Audit preparations through follow up meetings
    - Participating in the management review meetings
    - Supporting the Concerned Unit in taking corrective actions
12. Conduct a post certification analysis on the effectiveness of the Concerned Unit, depending on the maturity of the unit's quality management system during the three-year cycle of certification.

Vendor

1. Conduct ISO 9001 Standard Awareness training for the Concerned Unit.
2. Conduct Internal Audit for developed QMS procedures of the Concerned Unit to assist conformity, evaluate effectiveness and identify opportunities for improvement for the certification.

Certification Body

1. Conduct Stage 1 Audit of the Concerned Unit, which is the preliminary certification audit to ensure if all the requirements for QMS procedures are ready for implementation.
2. Conduct Stage 2 Audit of the Concerned Unit, which is the second certification audit to ensure if all the QMS procedures are effectively implemented.
3. Issue ISO 9001 Certificate to the Concerned Unit.
4. Conduct Annual Surveillance Audit of the Concerned Unit, which takes place over an agreed frequency in a 3-year cycle to ensure the maintenance of ISO 9001 standards.

ISO 9001 post certification analysis

During the three-year cycle of certification, IQMS conducts an analysis on the effectiveness of the concerned unit. The following table depicts an example of post certification analysis carried out for a department in QU.

	Before ISO 9001 Certification	After ISO 9001 Certification
Quality policy	Not in place	• Quality policy established and communicated to employees, vendors • Published on website
Organizational Roles and responsibilities	• Job descriptions maintained by HR • Employees not fully aware	Job descriptions circulated to all employees
Customer focus	Customer surveys not being done	• Customer surveys conducted every year • Feedback analysis incorporated for improvements
Management review	Specific attention to Quality not in the purview of review meetings	Review meetings on Quality Management System regularly conducted focusing on performance, effectiveness, status of actions and opportunities for improvement
Monitoring and measurement	Not in place	Quality objectives extracted out of Strategic plan (KPI's) being measured
Internal Processes	• Ambiguity in terms • Procedures did not have uniformity	• Ambiguity in terms removed • Process standardized and implemented
Documentation	Only document being followed was the department policy	Many documents established e.g. QMS manual, Management Review Meeting procedure, QMS Internal Audit procedure, Supplier evaluation procedure, Documented Information Control procedure, Business process documentation

Continual improvement	• Help desk ticketing system introduced • Process improvement/reengineering
Benefits - Reputation	• Certified for ISO 9001:2015 • QU and Public recognition • Certificate handover by British Ambassador to QU President • Wide newspaper coverage
Benefits - Internal	• More staff involvement through trainings and communications • Internal audits help identify non-compliances and take corrective action
Benefits - Financial	Cost effectiveness through standardization of operational procedures and improvement in productivity
Benefits - External	Instilled confidence in interested parties as the department is following internationally accepted practices