Quality Management System Manual

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As the Executive Director of WINS, I acknowledge my responsibility to uphold the quality of our organisation. I also expect every staff member and contractor working for WINS to demonstrate the same commitment and ownership of quality standards and to drive continuous improvement in our processes and performance.

Dr Roger Howsley
Executive Director

August 2018

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WINS QUALITY MANAGEMENT SYSTEM MANUAL

1. INTRODUCTION

This manual describes the WINS' Quality Management System (QMS), which has been continuously revised and improved as our strategy has developed over the last 10 years of operation. Our strategy is defined in a series of interlinked strategy documents that include Stakeholder Engagement, Events and Programme Objectives, the WINS Academy, Finance and Funding, and Improving Internal Processes. These are internal WINS documents, as are most of our quality management processes and procedures, a list of which is in the Annex 1. We adopt a risk-based approach to our management systems and constantly seek new opportunities for providing more effective and efficient services, and continuously improving our systems and processes.

WINS' QMS has been certified compliant with ISO 9001:2008 since 2012 and with ISO 29990:2010 since 2014. The last revision of the QMS Manual was developed in line with revisions to ISO 9001:2015 against which WINS is currently certified.

Who we are

The World Institute for Nuclear Security was launched in 2008 (and began operations in January 2009) with the mandate to share best practices for nuclear security management[1] with our members and the nuclear community. Based in Vienna, we are a not-for-profit international non-governmental organisation (INGO) under Austrian law.

WINS has achieved broad international and political recognition in the nine years since its formation. Our work is fully consistent with the IAEA's longstanding work in the field of nuclear security, including its recommendations and guidance regarding the urgent need to improve the security of nuclear and other radioactive material worldwide. We have published 35 International Best Practice Guides on numerous topics relating to the management of nuclear security and held over 80 international workshops and events in over 20 countries on five continents. Our growing membership now comprises over 4,700 individuals and organisations from 128 countries.

While carrying out our work, it became increasingly clear to us that a strong need existed for professional development and certification opportunities for personnel with nuclear security responsibilities. To meet such a need, we launched the WINS Academy in 2014. The programme is centred on a core philosophy that views security as a strategic activity to be implemented across nuclear-related organisations and as part of an integrated management system with close links to safety and operations. Nuclear security is a fundamental component of risk management and corporate reputation.

[1] When we refer to nuclear security management we are also referring to the security of other radioactive materials that may be used, for example, in medical institutes, in industry, mining or agriculture.

The Academy programme, which can be completed entirely online, consists of a required Foundation Module plus nine elective modules. After completing the selected modules, participants can sit for proctored exams; those who pass receive certification from WINS. The Foundation Module plus three electives were available by the end of 2014; all nine elective modules were made available by September 2016, and these have been updated, revised and restructured to reflect current trends and issues. By August 2018 the Academy had grown to over 1,200 participants from over 80 countries.

To reflect our new emphasis on professional development and certification, we revised our Vision and Mission Statements in 2016:

WINS Vision

All nuclear and other radiological materials and facilities are effectively secured by demonstrably competent professionals applying best practice to achieve operational excellence.

WINS Mission

To be the leader in professional development and certification for nuclear security management.

WINS is one of a number of organisations that share the desire for nuclear security to become more effective across the world.

The efforts of the IAEA and its Member States and the statements made at the Nuclear Security Summits and Nuclear Industry Summits are all examples of the importance of this international goal.

To develop our External Strategic Objectives, we identified objectives that WINS and External Stakeholders consider of importance and against which we want to see international progress by 2020. They are listed below and been revised in line with developments and the strategic guidance of the WINS Board:

1. Demonstrable competence increasingly becomes a licensing requirement for personnel with accountabilities for nuclear security, including the regulatory requirement for professional certification of key nuclear security management positions.

2. The IAEA's nuclear security programme promotes structured professional development and voluntary certification, and the IAEA has entered into joint nuclear security certification programmes with training institutes, including WINS.

3. An increasing number of organisations, including regulators, operators, police and responsible government departments, publish meaningful governance reports about the "corporate" oversight of their security programmes.

4. An effective and sustainable international industry forum is operating to implement the recommendations and commitments made during the Nuclear Industry Summits.

5. A sustainable peer review programme for nuclear security management practices has been implemented by operating organisations in some countries and benchmarking studies with organisations of other sensitive industries are regularly conducted.

6. Security is increasingly seen as a strategic issue for nuclear-related organisations (as is safety) rather than as a regulatory burden, and extends to commercial security, business continuity and reputational issues.

7. Security programmes are subject to the business disciplines of effectiveness (performance tested) and efficiency, and security regulations are performance-based.

8. Nuclear safety and security continue to coalesce, and more of the nuclear safety-related disciplines and management attitudes are used to enhance nuclear security.

9. Cyber security and physical protection arrangements are properly integrated as part of an all-risks approach to the security programme.

10. High quality professional development programmes that focus on promoting an inclusive and diverse nuclear security profession are more evident in the sector.

WINS constantly reflects on how we can contribute to these external objectives and is committed to doing what we can to help achieve them. We are now actively considering with our Board the External Strategic Objectives for 2025.

2. WINS CONTEXT AND STAKEHOLDERS[2]

Because we operate in the field of nuclear security, we understand that our mission and strategy could be influenced by external events and factors such as 1) whether a significant nuclear security incident occurs that generates major political and public demands for change, 2) the extent to which the international community views nuclear security as a priority, and funds it accordingly, 3) how the IAEA's nuclear security programme evolves in the years ahead, and 4) whether other organisations are established or evolve to compete with or complement WINS. While working to fulfil our mission and implement our strategy, we constantly monitor external events so that we can respond flexibly and revise our strategy accordingly.

We have used a strategy mapping process to analyse and structure our quality management system and have focused on four major areas: 1) Stakeholder Perspective, 2) Financial Perspective, 3) Internal Processes and 4) Learning & Growth Perspective. As a not-for-profit organisation, we understand that how we engage with our stakeholders, how we approach and coordinate our fundraising efforts, and how we promote our strategic objectives all affect our strategic development and sustainability.

3. SCOPE OF QMS

To help achieve excellence in nuclear security implementation, we have examined each of our internal processes for alignment and structured them around four programmatic activities:

– Sharing Operational Experience.

– The WINS Knowledge Centre.

– Training and Certification.

– Benchmarking and Evaluation Activities.

We have also incorporated the following support processes:

– Website & Communication.

– Membership Management.

– Quality Management & Control Systems.

WINS EXTERNAL PERSPECTIVE

WINS VISION AND MISSION

STAKEHOLDER PERSPECTIVE

WINS FINANCIAL PERSPECTIVE

WINS INTERNAL PROCESSES

WINS LEARNING AND GROWTH PERSPECTIVE

WINS VALUES

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[2] ISO 9001:2015; §4 Context of the organisation

4. WINS LANDSCAPE

To determine and align the strategic objectives with our work programme and internal processes, we use a Strategy Map that summarises the relationship between the various perspectives that were described earlier. The Map is shown below:
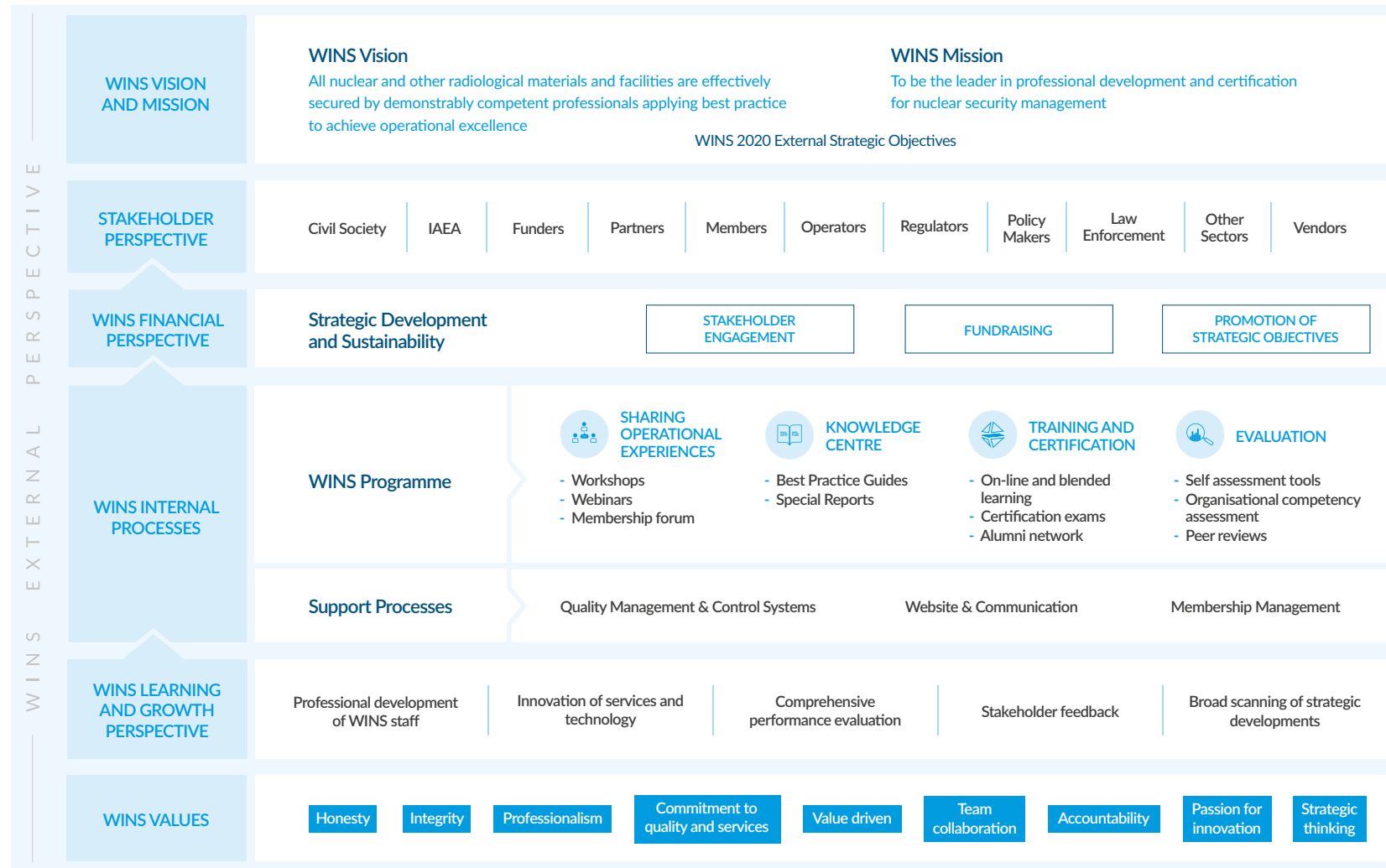
5. LEADERSHIP AND COMMITMENT

WINS is led by an Executive Director and operates under the strategic guidance and oversight of a Board of Directors. The WINS' *Governing Statute* and *P02 WINS Board Governance Manual* define our Board's role and responsibilities and interface with the management of the organisation.

The Executive Director demonstrates overall responsibility for the QMS[3] by:

1. Taking accountability for the effectiveness of the QMS.

2. Ensuring that quality policies and objectives are established for the QMS and that they are compatible with WINS' strategic direction and context.

3. Ensuring that the QMS is communicated, understood and applied within the organisation.

4. Ensuring the integration of the QMS requirements into our processes.

5. Promoting awareness of the process approach.

6. Ensuring that the resources needed are available.

7. Ensuring that the QMS achieves its intended results.

8. Promoting continual improvement.

In June 2018, the WINS Board adopted a revised Statute for the organisation and *Board Governance Manual (P02)* that constitute the framework for good governance and assurance at WINS.

WINS expects its staff to maintain the highest standards of integrity at all times when conducting the affairs of WINS. The WINS' Code of Conduct defines WINS' values and commitment to complying with the requirements guiding WINS status as an INGO. The overriding principles upon which this Code is based are the duties of care to employees and loyalty toward WINS. Further details are described in *P01 WINS Code of Conduct*.

6. ADDRESSING RISKS AND OPPORTUNITIES

We have considered external and internal parameters when setting the framework for management of risks and opportunities as an integrated component of the WINS Strategy. The overall objective has been to identify, assess and manage strategic risks and opportunities that could affect the viability of our organisation.
These are defined in *P03 Management of Risks and Opportunities and the current Risk Assessment and Risk Register* [4].

7. RESOURCES

The Executive Director and the Board are responsible for helping to ensure that we have the resources needed to implement our strategy. WINS has been successful in raising stable levels of funding since its launch, equivalent to approximately 3M euros/annum.

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[3] ISO 9001:2015; §5.1.1 Leadership and commitment for the quality management system.

[4] The WINS Risk Assessment and Risk Register is an evolving document that is updated continuously in the light of new risks as well as assessment of existing risks as correlated with control and response measures.

People

Our people contribute to our success in achieving our goals and raising our profile. We have developed our Competency Framework in respect of our overall strategic objectives and the vision and mission they support, underpinned by our core values. This Framework is designed to support and enhance the WINS performance management process. We aim to use it to:

a. Define what is required in a given role,

b. Set the development targets to achieve higher levels of performance, and

c. Ensure a competency-based recruitment and selection process.

These are defined in *Po4 Competency Framework.*

On a rolling basis, the Executive Director and management team update the forward business plans that include requirements and forecasts for the work environment, financial resources, and staff; these are presented to the Board for review and guidance. The Executive Director ensures[5] that people are assigned to roles based on their education, training, skills and competencies. Furthermore, the Executive Director ensures that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organisation. (These are defined in the *WINS Organisational Chart.*)

Because WINS is committed to personal and professional development, all staff members are encouraged to continue developing new skills. The Executive Director / Line Manager meets with each staff member at least every 6 months to assess their performance[6] and agree SMART targets. Each person prepares a brief assessment of their achievements during the preceding period and proposes goals and targets for the forthcoming period, including personal development needs.

The performance discussion covers topics such as:

– Successes in achieving or exceeding personal goals and how the member of staff has contributed to WINS teamwork and our culture.

– The identification of any obstacles or difficulties in achieving the objectives and proposed improvements.

– Training and Professional Development needs and opportunities.

– A reiteration of the importance of adhering to our quality standards and the *WINS Code of Conduct (Po1)*.

We periodically organise team building events to discuss selected topics relevant to the organisation, such as the WINS strategy, teamwork, internal and external communication and improvement of our QMS.

Infrastructure and work environment

We maintain an infrastructure that is healthy and safe so that it continues to meet our needs. This includes people's workspace, equipment, software, and telecommunications support.
In December 2017 we moved to new, un-serviced office premises that provide an improved working environment at a significantly cheaper price.

Further information on our working arrangements, working environment and IT security and infrastructure, and Business Continuity Plans are defined in:

- *P05 Working Arrangements.*
- *P06 Health, Safety and Security.*
- *P07 WINS Information Technology Security.*
- *P19 Business Continuity Plan.*

External providers

WINS depends on support from external providers of services to achieve its goals and objectives. We seek external providers who offer products and services that meet our high standards and expectations and who understand our needs. External providers that subsequently don't meet our quality and service requirements are no longer used by WINS.

The specific requirements, criteria for selection, and methods of monitoring, evaluating, and re-evaluating the performance of external providers are defined in *P08 WINS External Providers Selection and Evaluation*.

8. THE WINS PROGRAMME

As illustrated in the following diagram, our programme has been structured around four main work streams that enable nuclear security practitioners and their organisations to benefit from multiple and progressive opportunities for professional development and related services. Our work streams and associated processes support the achievement of our Strategic Objectives.

We have designed our processes to enable us to continually improve our services and activities. Because we are always looking for ways to share best practices with the nuclear security community, they need to be flexible, creative and dynamic. We see the elements of the WINS programme as a toolbox that enables us to customise our offerings and provide our customers with the best possible services for their needs.

We have outlined our main processes on the following pages; each one is described in detail in a separate quality management document.

Sharing Operational Experience

This work stream is the main platform for WINS members and other nuclear security practitioners to exchange their experiences and lessons learned from implementing security programmes for nuclear and other radioactive materials in use, storage and transport. Examples of activities include workshops, international operational consultation sessions (IOCS), webinars, roundtables and other pertinent events. They include both face-to-face (workshops, roundtables) and virtual (webinars, internet forums) opportunities for information exchange.

The major focus of such activities is on the identification of nuclear security best practices and on increasing the awareness of managers and other individuals with security responsibilities about the credible threats, possible consequences of malicious acts, and best approaches for implementing cost effective security arrangements. We seek to ensure that all our events are interesting, innovative and highly interactive. We use professional facilitators to help design and manage our workshops so that the workshops are as effective as possible, and provide all participants with the opportunity to contribute and learn.

Details on operational planning and control[7] —from determining inputs and defining detailed processes —to final outputs, are described in *P09 Organising and Conducting Workshops, Webinars and Other Events*.

Knowledge Centre

Building on the outputs of its work stream on *Sharing Operational Experience*, WINS disseminates best practices and other useful information that practitioners can use to effectively strengthen nuclear security. We do this through the Knowledge Centre that is available to all members.

We revise the best practice guidance based on new information, and also provide a range of Special Reports for our members on topical subjects. WINS has the advantage that we can be agile and write or commission special reports on subjects such as radicalisation, advanced technologies and evolving threats.

Details on the processes we use to research, compile and review our reports are described in *P10 Developing and Publishing Best Practice Guides and Other Special Reports*.

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[7] ISO 9001:2015; §8 Operations.

Training and Certification

This work stream comprises the WINS Academy, which offers a suite of certified professional development courses covering a range of relevant subject areas as shown in the diagram below:

There are currently over 1,200 participants enrolled in the Academy programme worldwide. When participants complete their studies, they are encouraged to take examinations in proctored conditions at test centres to demonstrate what they have learned.

Participants that successfully pass their examinations are invited to join the WINS Academy Alumni. This enables WINS to stay engaged with the Academy graduates to better understand if and how the certification programmes have contributed to their professional standing, responsibilities and salary, amongst other metrics.

This feedback is essential to establish the value of the Academy programme and whether it is making a sustainable difference to professional capacity and competence.

Details on the Academy Programme and its quality processes are described in *P11 WINS Academy Curriculum Development Procedure* and in *P12 Managing Certification Programmes*.

Benchmarking and Evaluation

This work stream provides the nuclear community with assessment tools that help to identify possible improvements and to benchmark facilities and organisations. All of our Best Practice Guides in the Knowledge Centre include a self-assessment questionnaire that helps organisations assess their performance on a 5-point scale from Resilient (1) to Vulnerable (5). The tools available for benchmarking and evaluation extend the opportunities for organisations to assess their performance by providing methodologies for peer review, employee attitude surveys, etc.

Details on the processes we use to conduct peer reviews are described in *P20 Organising and Conducting Peer Reviews*.

Website and Communication

We use our website, the *face* of WINS, to:

– Promote WINS activities in ways that encourage applications for membership from people who have accountabilities for nuclear security and who wish to actively support us.

– Encourage members to participate in events, collaborate in the online community, and contribute to the materials we publish.

– Promote the WINS Academy professional development and certification programme and provide information about the Academy to potential and enrolled participants.

– Offer materials and information with a clear operational focus that cannot be obtained anywhere else.

– Communicate on past and forthcoming WINS events and publications and provide news items about WINS.

– Promote feedback from our members to help ensure that we respond to their needs.

Details are described in *P13 Website and Communication Management*.

WINS Membership

WINS is a membership-based organisation comprised of both individuals and corporate members. Our members constitute a rich, varied community drawn from industry, government, law enforcement, and academic and research institutions. WINS enables its members to exchange ideas, network, promote leadership, and increase their professional development. We continually strive to maintain high levels of member satisfaction and increase membership by providing relevant, high quality services.

Details on how WINS membership is managed and administered are described in *P14 Membership Procedures*.

9. QUALITY MANAGEMENT AND CONTROL SYSTEMS

Monitoring

We define the key performance indicators and monitor and measure our performance against set targets. In accordance with ISO 9001:2015, we determine:

a. The indicators that need to be monitored and measured,

b. The methods used to monitor, measure, analyse and evaluate these indicators,

c. The frequency and timeline for monitoring and measuring, and

d. The process used to analyse and evaluate the results.

We regularly review the relevance of our indicators and adapt them to meet our strategic needs. Our KPIs are listed in each QMS Process.

The Executive Director and management team take an active role in achieving, and continually improving, how we respond to the needs, requests and feedback from different organisations and governments. This includes reviewing external feedback and taking appropriate actions for improvement.

Documented Information

The documented information required by the quality management system is managed and controlled as set out in Clause 7.5 of ISO 9001:2015. Details are described in *P15 Documented Information*.

Financial management

We have defined internal accountabilities and appointed third party external auditors to ensure regular control of our finances and the accuracy and adequacy of our financial management and control.

In doing so, we aim to achieve the following:

– Our financial management complies with external accounting requirements and principles.

– Our operations and projects comply with our financial control policies.

– Our projects finish on time and within budget.

– Our staff report on the adequacy of our resource levels.

– Our Board and funding organisations are satisfied with our progress and financial reports.

Further details are described in *P16 Financial Procedures and P17 Expenses Reimbursement Procedure*.

Reporting Serious Concerns

WINS encourages its staff, including fulltime employees, cost free experts, seconded experts and interns, to raise any concerns they may have within the organisation and report any suspected or actual occurrence(s) of illegal, unethical or inappropriate actions so that an investigation and appropriate actions can be taken. We expect line management to take effective action to address concerns but if, for whatever reason, the complainant feels it necessary to escalate the issue above their line manager then they are encouraged to use the procedure for reporting serious concerns. WINS is committed to protecting employees who report wrongdoing in accordance with this policy, as well as those who may be wrongly or falsely accused, from undue negative repercussions.

Further details are described in *P18 Policy for Reporting Serious Concerns*.

Internal Audit

In compliance with Clause 9.2 of ISO 9001:2015 and Clause 4.9 of ISO 29990:2010, we conduct internal audits at planned intervals to determine whether our quality management system:

a. Conforms to the requirements set by these International Standards, as well as to the Quality Management System requirements established by WINS, and

b. Is effectively implemented and maintained.

Internal audits are undertaken at least once annually. We may initiate them with a greater frequency if determined by QMS requirements, corrective actions, statutory/legal requirements, management decision, concerns raised by third parties / third party audits, employee concerns, or management review concerns.

Due to the small size of our organisation and the interconnectivity of our team members, we may carry out internal audits by employing an independent expert outside the organisation, who has been selected on the basis of his/her qualifications and demonstrable experience in similar organisations, to work together with assigned internal staff.

The audit team:

a. Defines the audit criteria and scope of each audit.

b. Conducts the audit to ensure the objectivity and impartiality of the audit process.

c. Records objective evidence to verify process compliance, both with our own QMS requirements and with ISO 9001:2015 and ISO 29990:2010 requirements.

d. Generates and reports audit findings.

The outputs of the internal audit include necessary corrections and corrective actions. We also retain documented information[8] as evidence that the audit programme and its results have been implemented.

Management Review

In accordance with Clause 9.3 of ISO 9001:2015 and Clause 4.3 of ISO 29990:2010, we conduct a management review of our QMS to ensure its continuing suitability, adequacy and effectiveness.

The management review is planned and carried out on scheduled intervals (at least once annually), taking into consideration:

a. The status of actions from previous management reviews.

b. Changes in external and internal issues relevant to the quality management system, including its strategic direction.

c. Information on the quality performance, including trends and indicators for:

1. Nonconformities and corrective actions.

2. Monitoring and measurement results.

3. Audit results.

4. Customer satisfaction.

5. Issues concerning external providers and other relevant interested parties.

6. Adequacy of resources required for maintaining an effective quality management system.

7. Process performance and conformity of products and services.

d. The effectiveness of actions taken to address risks and opportunities.

e. New potential opportunities for continual improvement.

The management review may also consider such issues as cost of quality and non-quality, the integration of the quality system with other operations and activities, and market and customer response to the quality effort.

The Executive Director determines the review schedule and dates in coordination with participating attendees. Management review meetings are chaired by the Executive Director and are attended by department managers and other staff members as applicable and agreed. Absent attendees receive minutes of the review meeting and, after reviewing the minutes, may submit their input for inclusion.

The outputs of the management review include decisions and actions related to:

a. Continual improvement opportunities.

b. Any need for changes to the quality management system, including resource needs.

Minutes of management review meetings are prepared by an assigned staff member and are then distributed to attendees, as well as to anyone who was absent. The minutes and other documents associated with the review are considered internal documents because they contain proprietary information.

Nonconformity and corrective actions

In accordance with Clause 10.2 of ISO 9001:2015 and Clause 4.4 of ISO 29990:2010, we review our QMS and our processes to identify and manage non-conformances.

Unlike ISO 9001:2008 which required a documented non-conformance and corrective action process, ISO 9001:2015 requires the organisation to demonstrate in substance that it has identified non-conformances and taken appropriate corrective action. Serious non-conformance are those non-conformances that could have a negative impact on an assessed risk whether liquidity, reputational or organisational.

Through a structured series of management meetings we review all aspects of our QMS and processes through a Plan–Do–Check–Act (PDCA)[9] cycle. We also determine and select opportunities for improvement and implement all necessary actions to:

a. Improve processes to help prevent nonconformities,

b. Improve processes and services to meet known and predicted requirements,

c. Improve quality management system results[10].

The minutes of our management meetings provide the principal record of discussions and actions taken to identify and address non-conformances. We also review all of our principal systems every three months and report any serious issues to the Board, as well as providing management assurances to the Board that all risks and non-conformances have been reported in full. The culture at WINS means that the number of serious non-conformances is very small, because staff are encouraged and empowered to address emerging issues quickly and effectively, so they don't become serious.

Continual improvement

Within our processes, we assess and measure outcomes and results. This gives us insight into potential requirements or causes of issues. We use these insights to consider changes to processes, training for our staff, and creative ideas for offering new events
and materials. We use the outputs from our management review to confirm whether areas of underperformance or opportunities exist that should be addressed as part of the continual improvement process.

We have an empowering management and organisational culture that provides all staff with professional development opportunities to improve their competencies in line with our strategic objectives.

Underpinning our operational programme is our desire to continuously improve what we do and to provide a better quality service. This means we must use an honest, unbiased and comprehensive performance evaluation system; encourage innovation to improve the services and technology on which we rely; and constantly scan the external environment for strategic developments and opportunities.

[9] ISO 29990:2010 § 4.4
[10] ISO 9001:2015 § 10.1

ANNEX 1

Index of WINS Quality Management Processes and Procedures

Reference	Document Title	Public or Internal document
01S	WINS Strategy Document	Public
02Q	Quality Management System Manual	Public
P01	Code of Conduct	Public
P02	Board Governance Manual	Internal
P03	Management of Risks and Opportunities	Internal
P04	Competency Framework	Internal
P05	Working Arrangements	Internal
P06	Health, Safety and Security	Internal
P07	Information Technology Security	Internal
P08	External Provider Selection and Evaluation	Internal
P09	Organising and Conducting Workshops, Webinars and Other Events	Internal
P10	Developing and Publishing Best Practice Guides and Other Special Reports	Internal
P11	WINS Academy Curriculum Development	Internal
P12	Managing Certification Programmes	Internal
P13	Website Management and Communication	Internal
P14	WINS Membership	Internal
Annex to P14	Members' Code of Conduct	Public
P15	Documented Information	Internal
P16	Financial Procedures	Internal
P17	Expense Reimbursement Procedure	Internal
P18	Policy for Reporting Serious Concerns	Public
P19	Business Continuity Plan	Internal
P20	Organising and Conducting Peer Review	Internal

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SYSTEM CERTIFIED
ISO 9001:2015   No.13020/0
ISO 29990:2010   No.00027/0

WINS Vision

All nuclear and other radiological materials and facilities are effectively secured by demonstrably competent professionals applying best practice to achieve operational excellence

WINS Mission

To be the leader in professional development and certification for nuclear security management

WINS | World Institute for Nuclear Security