



World Institute for
Nuclear Security

WORLD INSTITUTE FOR NUCLEAR SECURITY

Quality Management System Manual

November 2021

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.

A handwritten signature in black ink, appearing to read 'Lars van Dassen', with a stylized, cursive script.

Lars van Dassen
Executive Director
November 2021

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WINS Quality Management System Manual

1. Introduction

This manual describes the WINS' Quality Management System (QMS) that supports the achievement of our Strategic Objectives, as described in the WINS Strategic Outlook 2021-2026.

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.

Our management system has been certified as being compliant with ISO 9001:2015. Our management system also support our learning services that have been certified as complying with ISO 29993:2017 and our learning services with ISO 29993:2017.

Who We Are

The World Institute for Nuclear Security was established in 2008 (and began operations in January 2009) with the mandate to share best practices for nuclear security management¹ with our members and the nuclear community. Based in Vienna, we are a not-for-profit international non-governmental organisation (INGO) under Austrian law.

We have achieved broad international and political recognition in the period since our formation. Our work is fully consistent with and complementary to the IAEA's longstanding work in the field of nuclear security, including its recommendations and guidance regarding the need to improve the security of nuclear and other radioactive material, both under regulatory control and out of regulatory control, globally.

We publish International Best Practice Guides on numerous topics relating to nuclear security and hold international events including workshops, webinars and roundtables on key topics. We are a member based organisation and we have members who are individuals and members that are organisations. Our members are involved in all sectors of nuclear security

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 organisations and as part of an integrated management system with close links to safety and operations. Our belief is that nuclear security is a fundamental component of risk management and corporate reputation. The WINS Academy offers programmes that lead to the achievement of Certified Nuclear Security Professional (CNSP) and Certified Radioactive Source Security Professional (CRSP).

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.

WINS Strategic Outlook 2021–2026

WINS' overarching goal is to *be of service to the entire world and to address all security issues related to nuclear and other radioactive facilities, activities and materials, whether under or outside of regulatory control*. To achieve this overarching goal, WINS has the following three operational goals:

1. To be an international forum for nuclear security professionals and stakeholders,
2. To extend WINS' influence to a broad range of stakeholders involved in all areas of nuclear security,
3. To further develop WINS as a high-quality professional institute and ensure the continuous improvement of WINS' in-house capabilities to provide high-quality services.

These three operational goals overlap, intersect and together strengthen WINS' performance and contribution.

WINS Context and Stakeholders²

Because we operate in the field of nuclear security, we understand that our objectives could be influenced by external events and factors such as

- whether a significant nuclear security incident occurs that generates major political and public demands for change,
- the extent to which the international community views nuclear security as a priority, and funds it accordingly,
- how the IAEA's nuclear security programme evolves in the years ahead, and
- whether other organisations are established to compete with or complement WINS.

While working to fulfil our objectives and implement our strategy, we constantly monitor external events so that we can respond flexibly and revise our strategy accordingly.

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 sustainability.

2. Quality Policy

This Quality Policy sets the framework for the achievement of our Strategy and demonstrably communicates the purpose of our quality management system for our internal and external stakeholders.

We fulfil our Mission to enable our stakeholders contribute to sustainable nuclear security globally

Quality for our stakeholders means they can rely on our products and services to consistently meet their requirements to support sustainable nuclear security.

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

Quality for our colleagues means we take personal ownership to ensure our work meets stakeholder requirements and meets their expectations for risk reduction through sustainable nuclear security .

Quality for our organisation means we drive a continuous improvement culture that is enabled by WINS quality system

3. Scope of QMS

Our quality management systems support our four programmatic activities. Our commitment to gender equality, inclusion and diversity is integrated into all of our activities. These are:

- Sharing Operational Experience
- The WINS Knowledge Centre
- Training and Certification
- Benchmarking and Evaluation Activities

We have also incorporated the following support processes:

- Gender parity by design
- Diversity and inclusion principles
- Website & Communication
- Membership Management
- Quality Management & Control Systems

4. 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 *Po2 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 QMS³ 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

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

6. Ensuring that the resources needed are available
7. Ensuring that the QMS achieves its intended results
8. Promoting continual improvement

WINS expects its staff to always maintain the highest standards of integrity when conducting the affairs of WINS. The WINS' Policies includes our policy that we always act with integrity and in an ethical manner. For further details, see *Po1 WINS Policies*.

5. Addressing risks and opportunities

We have considered external and internal parameters when setting the framework for management of risks including threats and opportunities as an integrated component of the WINS Strategy. The overall objective has been to identify, assess and manage risk strategically. For more detail, please see *Po3 Management of Risks and Opportunities* and the current *Risk Assessment and Risk Register*.⁴

6. Resources

The Executive Director and the Board are responsible ensuring that we have the resources needed to implement our strategy.

Staff

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

- a) Define what is required in each role,
- b) Set the development targets to achieve higher levels of performance, and
- c) Ensure a competency-based recruitment and selection process.

For more detail, see *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 ensures⁵ 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. (For a current staff list, see the *WINS Organisational Chart*.)

⁴ The WINS Risk Register is re-assessed and updated on a quarterly basis.

⁵ ISO 9001:2015; §7.2 Competence

Because WINS is committed to personal and professional development, all staff members are encouraged to continue developing new skills. The Executive Director meets with each staff member at least every 6 months to assess their performance⁶. 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

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, safe and secure so that it continues to meet our needs. This includes people’s workspace, equipment, software, and telecommunications support.

For more information on our working arrangements, working environment, IT security and infrastructure, and Business Continuity Plans see:

- *Po5 Working Arrangements*
- *Po6 Health, Safety and Security*
- *Po7 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 outlined in detail in *Po8 WINS External Providers Selection and Evaluation*.

⁶ ISO 9001:2015; §7.1.5 Monitoring and measuring resources and §7.1.6 Organisational knowledge

7. 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 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 and all significant activities are covered by project management requirements (*see p20 Project Management*).

In each of our programme areas we are implementing our gender parity by design principles as well as having regard to diversity and inclusion.

In each of our programme areas we are ensuring that we comply with all external legal requirements including EU General Data Protection Regulation (EU GDPR).

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, webinars, roundtables, and other pertinent events. They include both face-to-face (workshops, roundtables) and virtual (webinars, internet forums) opportunities for information exchange. In view of the COVID-19 pandemic we have adapted to provide more of our services through on-line platforms.

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 control⁷—from determining inputs and defining detailed processes —to final outputs, are available 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 of immediate and current relevance, such as radicalisation, advanced technologies and evolving threat capabilities.

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

Training and Certification

We offer two streams of certification under the WINS Academy Programme, the Certified Nuclear Security Professional (CNSP) programme and the Certified Radioactive Source Security Professional (CRSP) programme. Each stream uses a problem-solving approach to learning that is practitioner-focused, hands-on, cross-disciplinary and immediately useful. All modules tell a compelling, well-researched story designed for an educated audience without using bureaucratic or academic language. We incorporate numerous case studies, exercises and questions for reflection to stimulate thinking and increase learning. Our programmes can be completed entirely online, with no prior knowledge or other prerequisites required for each stream.

Our Certified Nuclear Security Professional (CNSP) programme consists of a Foundation Module plus one of eight elective modules for participants to complete. To receive CNSP certification, both exams have to be passed (the exam pass grade for each module is 65% and participants have the option to take the exams at a PearsonVUE test centre or by remote online proctoring).

Our Certified Radioactive Source Security Professional (CRSP) programme consists of a single module. Due to the targeted nature of the programme, it does not require participants to enrol in the Foundation Module. To receive CRSP certification, the exam pass grade is 65% and participants have the same options to take the exam.

Learners 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

⁷ ISO 9001:2015; §8 Operations

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 available in *P11 WINS Academy Curriculum Development*, 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 available 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.

For more details, see *P13 Website and Communication Management*.

WINS Membership

WINS is a membership-based organisation comprised of members who are individuals and organisations. 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.

For more details on how WINS membership is managed and administered, see *P14 WINS Membership*.

8. 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 needs.

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. For more information, please see *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.

For more information, see *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. 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.

For more information, see *P18 Policy for Reporting Serious Concerns*.

Internal Reviews

In compliance with Clause 9.2 of ISO 9001:2015 and Clause 4.9 of ISO 29990:2010, we conduct internal reviews 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 reviews 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 reviews 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 review team:

- a) Defines the review criteria and scope of each review.
- b) Conducts the review to ensure the objectivity and impartiality of the 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 review findings.

The outputs of the reviews include necessary corrections and corrective actions. We also retain documented information⁸ as evidence that the review programme and its results have been implemented.

⁸ ISO 9001:2015 §9.2.2

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:
 - Nonconformities and corrective actions
 - Monitoring and measurement results
 - Audit results
 - Customer satisfaction
 - Issues concerning external providers and other relevant interested parties
 - Adequacy of resources required for maintaining an effective quality management system
 - 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 all staff

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 group meetings and staff 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 financial, reputational or programmatic.

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 results¹⁰.

The minutes of our management meetings provide the principal record of discussions and actions taken to identify and address non-conformances. We hold the following meetings to consider our processes and review our service delivery

- 1) Programme/Finance (each 6 weeks)
- 2) Biweekly Management Group Meetings
- 3) Biweekly staff meetings
- 4) Academy Steering Group
- 5) IT Steering Group

We also hold Board meetings each quarter in accordance with the Board Governance Manual.

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 objectives.

Underpinning our 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
01P	Our Purpose, Objectives, Approach and Values
02Q	Quality Management System Manual
P01	Policies
P02	Board Governance Manual
P02(b)	Reserved Powers and Delegated Authorities
P03	Management of Risks and Opportunities
P04	Competency Framework
P05	Working Arrangements
P06	Health, Safety and Security
P07	Information Technology Security
P08	External Provider Selection and Evaluation
P09	Organising and Conducting WINS events
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