



# TickITplus Implementation Note

<b>Title</b>	Understanding Base Practices – Producing policies and procedures		
<b>Date</b>	January 2015	<b>Reference</b>	TIN014-1501
<b>Originator</b>	Dave Wynn	<b>Version</b>	v1r1
<b>Key Terms</b>	Process Reference Model, Base Practices, Implementation		

Many of the TickITplus Base Process Library (BPL) processes start with a Base Practice, BP.1, which requires policies and procedures to exist. For example, the Human Resource Management process (ORG.1) BP.1 requires establishing Human Resource policies and procedures. These Base Practices, like other Base Practices, have stated input and output work products. The business plan and management framework are usually identified for the input work products, and the actual policy and procedure are identified for the output work products.

Process Base Practices	Input Work Products	Output Work Products
<p><b>BP.1 Establish Human Resource Policies and Procedures</b></p> <p>Policies are established, approved and communicated that ensure human resources are identified, provided, managed, developed and released.</p> <p>Policies take into account all statutory, regulatory and security requirements.</p> <p>Procedures are defined, approved and made available for use, to implement the human resources policies.</p> <p>The policies and procedures are maintained under the management framework.</p>	<p>Business Plan</p> <p>Management Framework</p>	<p>Human Resource Policies</p> <p>Human Resource Procedures</p>

*Human Resource Management Base Practice 1*

While creating an organisation’s Process Reference Model (PRM) that covers these Base Practices the Base Practice description needs to reference the organisation’s Integrated Management System (IMS) process or procedure that is actually used to create the management system artefacts, i.e. the processes, procedures, templates, forms, etc. This IMS process or procedure isn’t always recognised as the component that creates other processes and procedures, but it is often present. For example, it could be the IMS document management procedure which is used to ensure that a consistent approach is taken to defined, create, document, review, and issue the necessary processes and procedures used throughout the organisation.

The PRM input for these Base Practices is usually the Management Framework and the Business Plan. The Management Framework is usually the item or artefact that describes or represents the entire management system, so usually the Quality Manual, or equivalent, would satisfy this. The Business Plan input is usually something that directs the creation of the management system, in other words the business requirement for a management system in the first place<sup>1</sup>. The output work product is the actual policy and or procedure that is required, such as a HR Department manual that contains the policies and procedures that are used by the HR department to undertake their activities. Note here that HR policies are not intended to be the company wide policies relating to human resources, such as vacation policy, holiday policy, expenses policy, but should be policies by which the HR department comply with.

In some cases it has been noted that the Base Practice description for these Base Practices in the organisation’s PRM have referred to, incorrectly, the actual process or procedure that is required as the output. Remember that the PRM Base Practice description needs to refer to the part of the IMS that addresses the requirement of the Base Practice, so referencing the actual procedure that is required is suggesting that that the procedure creates itself, which clearly isn’t possible. For example, in the PRM extract below the organisation’s mapping for HRM BP.1 incorrectly references the HR Handbook under the Base Practice column (highlighted in red).

<sup>1</sup> Please see TIN002-1208 for further details



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<b>ORG.1 Type-A Human Resource Management</b>		
To ensure that the resources required to meet the business plan are available.		
<b>Outcome OU.1 Human resources are provided to meet the business plan and no impact from lack of human resources is evident.</b>		
<b>Defined Process</b> Omniprove		<b>Defined Process Outcome</b>
<b>BP.1 Establish Human Resource Policies and Procedures</b> Policies are established, approved and communicated that ensure human resources are identified, provided, managed, developed and released. Policies take into account all statutory, regulatory and security requirements. Procedures are defined, approved and made available for use, to implement the human resources policies. The policies and procedures are maintained under the management framework.	<b>Input Work Product</b> Business Plan Management Framework	<b>Output Work Product</b> Human Resource Policies Human Resource Procedures
The HR Handbook (IMS-HR-01) includes all policies and procedures that are applicable to managing human resources. The handbook is part of the Integrated Management System (IMS) and is reviewed, updated and communicated to all relevant staff.	5 year plan presentation BMS	HR Handbook

*Incorrect example of PRM Base Practice reference for BP.1*

The Base Practice requires policies and procedures to be created and therefore the organisation should identify where in their management system, policies and procedures would be created and not simply reference the actual procedures needed. In this example, the reference to the HR Handbook under the Output Work Product column would be correct. Also, although the BPL suggests 2 work products, it is completely feasible for policies and procedures to be contained in one document; there is no requirement for there to be a one to one mapping between the BPL identified work products and the organisation's work products.

The PRM extract for this Base Practice should be more like:

<b>ORG.1 Type-A Human Resource Management</b>		
To ensure that the resources required to meet the business plan are available.		
<b>Outcome OU.1 Human resources are provided to meet the business plan and no impact from lack of human resources is evident.</b>		
<b>Defined Process</b> Omniprove		<b>Defined Process Outcome</b>
<b>BP.1 Establish Human Resource Policies and Procedures</b> Policies are established, approved and communicated that ensure human resources are identified, provided, managed, developed and released. Policies take into account all statutory, regulatory and security requirements. Procedures are defined, approved and made available for use, to implement the human resources policies. The policies and procedures are maintained under the management framework.	<b>Input Work Product</b> Business Plan Management Framework	<b>Output Work Product</b> Human Resource Policies Human Resource Procedures
The organisation IMS Management procedures (IMS-ORG-01) provides the necessary procedures to create, review, update, improve and deploy IMS related artefacts such as policies, processes, procedures and all supporting documentation.	5 year plan presentation BMS	HR Handbook

*Acceptable example of PRM Base Practice reference for BP.1*

In many cases, organisations do not actually have a process or procedure that creates IMS policies, processes or procedures other than just the normal IMS document control procedure. This isn't usually a problem so long as it addresses all aspects of creating IMS policies, processes and procedures, reviewing them, providing appropriate approval and ensuring that they are fully deployed into the organisation, i.e. distributing, providing awareness, monitoring use, and accommodating improvement requests.

If the general IMS document control procedure, which is required by ISO 9001:2008, doesn't fully address all these aspects, there would clearly be some benefits, and a better implementation of TickITplus, if a process (not just procedure) were created to do these aspects. In practice, this would also fully address the requirements of ORG.2, Management Framework Base Practices BP.1 and 2, which particularly requires a management system to be established.

This requirement could be satisfied by a conventionally defined process, similar to all the other processes in an IMS, or it could be addressed through an over-arching management plan or even a very comprehensive quality manual that fully explains the requirement, creation and improvement of the organisation's management system.

Personally, I don't like the term "quality manual" because quality is nothing in its own right; quality belongs to the products, services or the culture of the organisation, which, by definition, is or should be expressed through something that addresses the overall business operation, such as a business manual, but that's another TIN.

So, a good business manual would, amongst other aspects, typically describe the needs of the management system based on the business plan, i.e. which would provide the management system requirements. It would also describe the organisational structure for managing the management system including responsibilities, links to senior management approvals for implementing policies, processes and procedures, how the management system is



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deploys, monitored and improved, how audits and assessments are undertaken and acted upon, and how the overall system is reviewed by senior management.

Bringing quality and the business together to the point where they are indistinguishable would be a real success as in practice there shouldn't be any difference.