Quality Manual

Prepared by: Paul Ballard, George Lewis, Michael Sherwin

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1 Introduction

Delivering quality for our customers is the solid foundation on which our whole business strategy is based. Without it, nothing else matters.

This manual describes our quality management system (QMS) and is intended primarily for 3di staff:

- to support your induction training
- as a reference
- as the one place where what we all *should* be doing to deliver quality is captured.

We also use the quality manual to communicate about our QMS to external auditors and in certain circumstances, our customers.

As much as possible, this document references other specific documents, wiki pages or systems that are used every day by all of us.

1.1 Contents list of topics

2 Scope of 3di's Quality Management System

The 3di quality management system covers all aspects of the 3di UK integrated services and technologies for:

- Clear technical communication.
- Complex translation and localization.
- Supplying Technical Communication specialists: whether 3di staff, or 3di approved freelancers.
- Delivering projects and services: that meet customer quality, budget and time objectives.
- Providing consultancy: helping customers make decisions, plan and implement for success.

Exclusion from the ISO 9001:2015 Standard

We do not use any equipment to measure or monitor our services, so we judge it appropriate to exclude clause **7.1.5.2 Measurement traceability** from the scope of our Quality Management System.

Since January 2016, 3di has operated a separate company in Krakow, Poland. That team provides services to 3di, and we collaborate together on business improvement activities, and work hard to provide a seamless service to customers. Where it's appropriate, we align how we work, but there will be differences. From a QMS perspective, we manage work with them as Associates.

3 3di's Quality Policy and Leadership

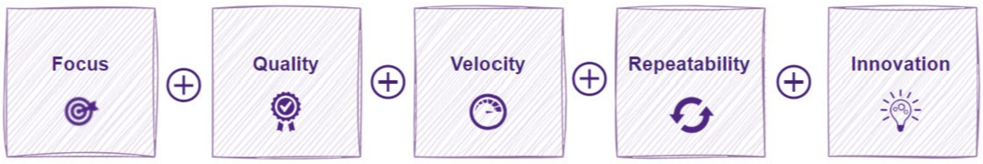
The 3di statement of purpose "Complexity made clear" is at the heart of our quality management system. It brings together in as few words as possible what 3di is about. This is why our expertise matters to customers. This has to matter to them enough for them to pay us well for that expertise. It also reminds us how we should be communicating with our customers, and within the 3di team, in every respect.

3.1 Delivering quality is at the heart of our strategy – one of the five 3di Habits

The 3di Habits are a way of understanding how 3di delivers great work for our customers and builds a thriving business.

They are a shorthand and a call to action. They mean specific things in the context of 3di, but are each a term widely used to describe how businesses and people behave. There is a logic to the order they are listed, and an implied priority. In combination, they are immensely powerful, and they can be applied at any level, from individual actions to business strategy.

The original four habits (Quality, Velocity, Repeatability, Innovation) emerged from my attending a Cranfield University business growth training programme in 2011, alongside the 3di tagline that we still use: complexity made clear. 'Focus' has been added recently.



3.2 We have a framework that consistently delivers quality for our customers

We have established a framework so that delivering quality for our customers becomes the natural product of our efforts. Our framework ensures that we can:

- Attract the customers we know we can help.
- Understand what their requirement is each time.
- Agree with them how we are going to meet their requirement.
- Deliver what we agreed, and understand the customer better while we do it.
- Review how we did: within the team, and with the customer.

3.3 We maintain an effective quality management system

The management team is committed to meeting the requirements of the ISO9001:2015 standard, and to continually seek to improve our quality management system. Its key components are:

- “Complexity made clear” is our clear statement of purpose.
- Our quality policy communicates the commitment and the context.
- The management team implement the strategy, understand the risks to quality, and establish and review the objectives.
- The internal team and wider 3di resources own their objectives and deliver the quality.
- Processes, procedures, documents and records capture and communicate.

3.4 We have challenging quality objectives

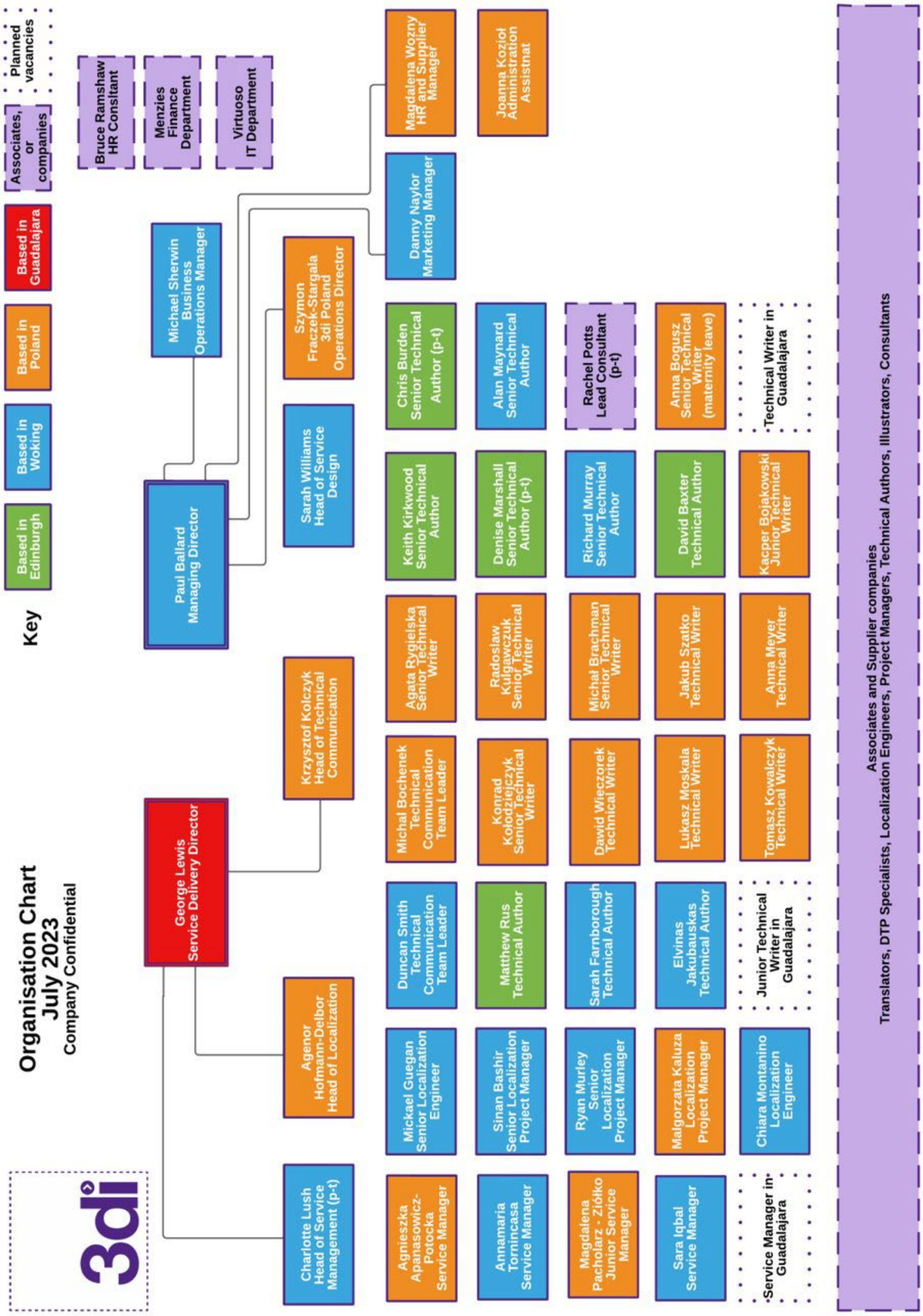
There is a clear connection between the roles and teams in 3di, and how we deliver quality for our customers. Good and poor quality is visible to everyone, and there are mechanisms, and a culture, in place that makes it possible to discuss quality, and when necessary, how to improve:

- Job Descriptions make the contribution to quality clear. When someone is performing well, they have achieved their quality objectives.
- Quotes, Proposals and Service Descriptions capture what the customer expects. When a customer accepts our work, we have achieved our quality objectives.
- Revenue from customers pays for our ability to deliver quality. When we are meeting our Revenue targets, our Sales and Marketing operations are meeting their quality objectives.
- We monitor customer satisfaction and retention, and new customer acquisition.

- At three tiers of management review (Board Team, Management Team, Functional Teams), we have dashboards of our performance against objectives.
- We use the Objectives & Key Results (OKRs) methodology as our driving mechanism for managing our performance.

4 How we are organised

Organisation chart for the combined 3di UK and 3di Poland teams.

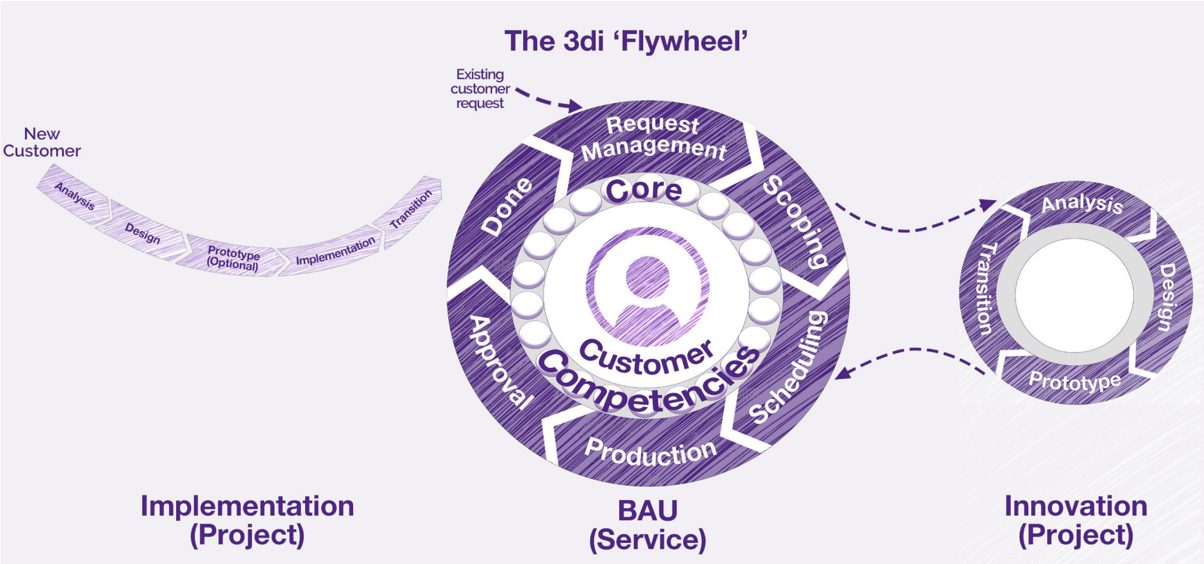


5 How our core processes work together

3di reviews and hones the way our core processes work together, and we capture this in our images and narrative on the wiki in the "What 3di does" space.

5.1 The 3di Flywheel - Our strategic model for operating and growing efficiently

We use the idea of the 3di Flywheel and Core Competencies to represent how we operate. We aim to be expert and leading in what we do - Technical Communication and Localization. This means that we use our best practices when working for a customer. Every time we process a request for a customer, we have the opportunity to get better. With every request, we spin the flywheel faster, and build momentum. Implementation projects and Innovation projects can be 'sticky' so we try and handle them as distinct activities so they don't slow down the BAU Services (Flywheel).



5.2 Core competencies

Core competencies are vital for ensuring the 3di Flywheel can run as smoothly as possible. The Core Competencies are the basic capability units in which we need to be expert and leading for 3di to deliver value to our customers.

The Core Competencies cover two equally important themes:

The skills that underpin our fields of expertise

- The Fundamentals of Technical Communication and Localization.
- This is why people come to us.
- They are the Fundamentals but they are not what makes 3di's offer unique.

The skills that enable us to deploy our expertise

- Our Infrastructure and our Relationships.
- This is what keeps people with us.
- It doesn't matter how expert and leading we are in the Fundamentals; if we can't deploy that expertise, and bring the customer with us, then that expertise is irrelevant.

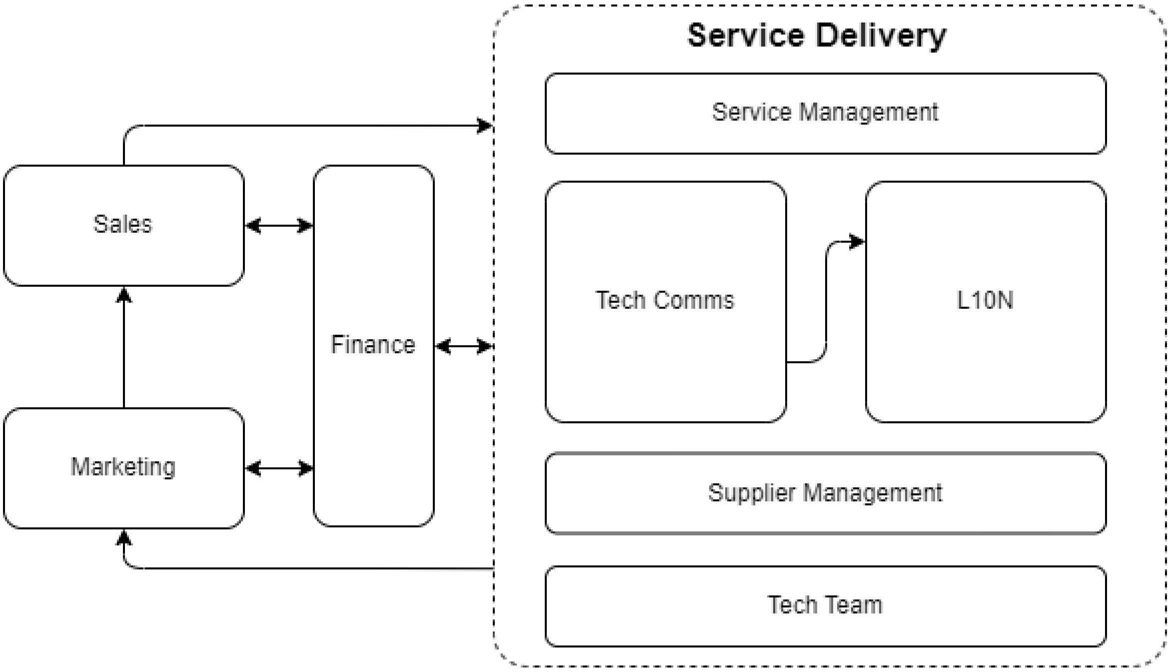
- This has to become 3di's Secret Sauce - the ability to blend TC & L10N into an effective, high quality and repeatable whole. This is how we deliver value to our customers.

The Core Competencies tend to span several teams to a greater or lesser extent. Some teams will need a more in-depth knowledge, but teams will need an understanding of most competencies - that is why these are "Core".

Fundamentals	Infrastructure	Relationships
TC - Information design	Training and development	Selling
TC - Creating content	Governance	Service management
TC - Publishing content	Quality and innovation management	Project management
L10N - Localization design	Process and system management	Supplier management
L10N - Translating	Technology and automation	
L10N - Engineering		

5.3 Functional organisation

This graphic represents how the functional teams in 3di are organised.



6 Controlling documented information

The 3di QMS depends on clear communication within the team and externally to associates, suppliers and customers. Much of that communication is delivered or captured in documents, records or data and we have to have consistent ways of these working and relating to each other to help ensure we can be consistent in how we deliver. Particularly given the nature of our business, we have to be clear and consistent communicators!

However, we have to keep in mind that every customer and every project is unique, and each day brings new challenges.

In order to stay responsive and ultimately deliver the best services, we promote extensive communication within the team by all means available (face-to-face, phone, email, Teams, Zoom, Confluence, Jira, HubSpot, Groove, etc.). This ensures that the team can quickly adapt to customer preferences. When we capture and communicate in documents, records or data we try to do that consistently, using those referenced here, and using standard templates where possible.

6.1 Controlled documents

The documents and templates that need to be controlled to support our QMS are listed on the wiki, in the Quality space on the page called *Register of controlled documents*. They include our standard contracts, quote and proposal templates, quality standards and this manual, and a few customer-specific processes.

The only controlled copies of these documents are the versions held on *3di Global/QMS*, with the exception of the 3di quote templates and 3di job confirmation template, which are managed in HubSpot.

The Document Owner is responsible for making sure the correct version is available for you to use, and to communicate any changes to the controlled version. If you think they need to be updated or improved, let them know. The Document Owner will approve any changes and make the new version available and archive the old version, in the 'Obsolete' folder.

6.2 Other documents, records and data that help us deliver quality

These are the records that need to be managed carefully as part of our QMS:

Document, record, data type	Comments	Owner	Where?	Protection /Retrieval /Disposal
Customer contact details	Data	Business Operations Manager	HubSpot	System
Proposals to customers	Optional	Sales / Service Manager	SharePoint	System
Quotes to customers	Optional	Sales / Service Manager / Project Manager	HubSpot	System
Orders from	Either PO	Sales / Project	HubSpot /	System

Document, record, data type	Comments	Owner	Where?	Protection /Retrieval /Disposal
customers	or Email	Manager / Service Manager / Finance	SharePoint / Groove	
Order details	Data	Service Manager	Productive	System
Order files and assets	Optional	Service Mgr / Project Mgr	SharePoint	System
Quote context, Analysis + Design	Optional	Service Mgr / Project Mgr	Confluence / Jira / HubSpot/ SharePoint	System
Order context, Analysis + Design	Optional	Service Mgr / Project Mgr	Confluence / Jira / SharePoint / HubSpot	System
Project plans	Optional	Service Mgr / Project Mgr	Jira / Confluence / SharePoint	System
Job confirmations to resources		Service Mgr / Project Mgr	HubSpot / XTM	System
Resources timesheets	Optional	Service Mgr / Project Mgr	Jira / Productive	System
Resources delivery notes	Optional	Service Mgr / Project Mgr	Translation	System
Customer delivery notes	Email	Service Mgr / Project Mgr	Email / XTM / Productive	System
Resources contact details	Data	Supplier Manager	HubSpot / XTM	System
Resources CVs		Supplier Manager	HubSpot / XTM	System
Staff training records		HR Manager	BreatheHR	System
Quality control reports		Business Ops Manager	Jira / Confluence	System
Quality audit reports		Business Ops Manager	QMS	System
Customer satisfaction survey results	Data	Marketing Manager	QMS	System
Management review records		Business Ops Manager	Confluence	System
Health and Safety records		HR Manager	Confluence / QMS	System

Document, record, data type	Comments	Owner	Where?	Protection /Retrieval /Disposal
Invoices from resources		Supplier Mgr	Xero	System
Invoices to customers		Business Operations Mgr	Xero / Productive	System
Insurance records		Business Operations Mgr	QMS	System
IT Plans and status reports		Service Delivery Director	Confluence	System

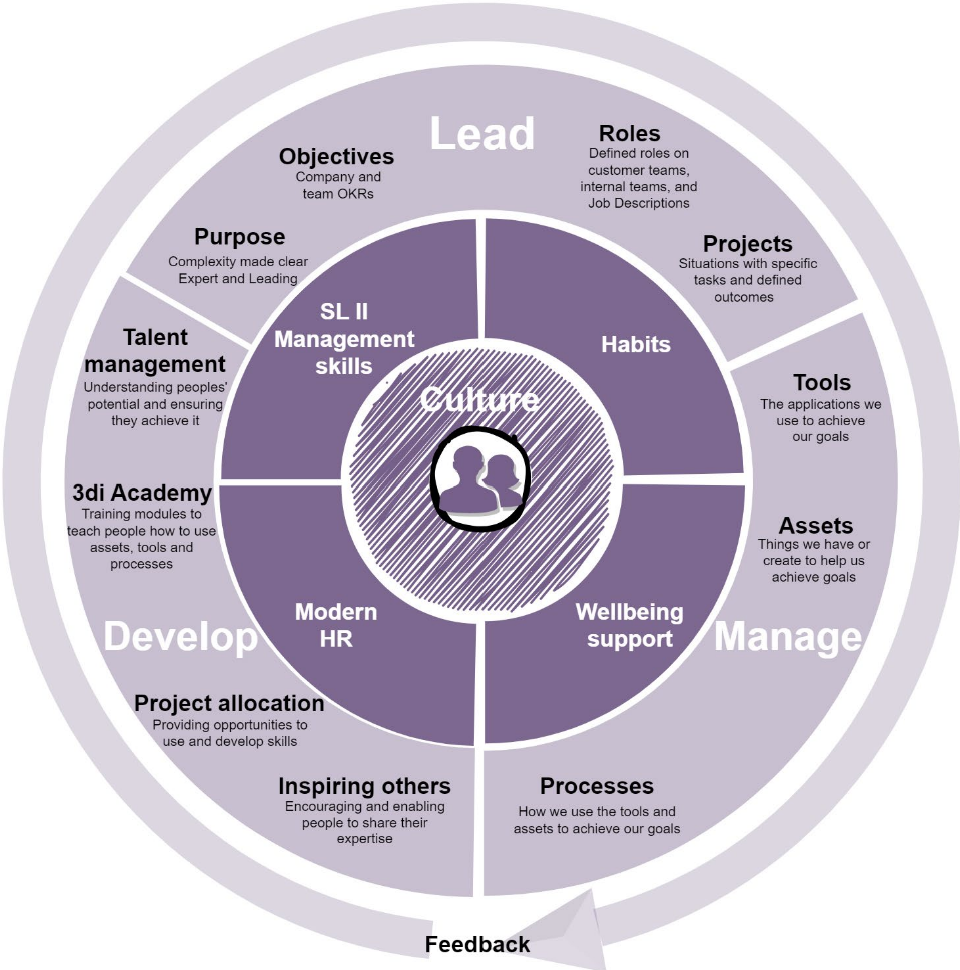
The owner is responsible for keeping these records for a minimum of 5 years or as required by statutory, regulatory or contractual requirements, whichever is longer.

The Protection, Retrieval and Disposal of the records is by using the 'System' processes and procedures related to where they are stored. 3di no longer has any Controlled Documents that are in paper form.

7 Resource Management

7.1 Overview of 3di's People Management Framework

In early 2023, we refreshed our understanding of everything we have in place at 3di that supports our ability to provide excellent people management. We describe this as our People Management Framework, and it is defined in more detail on Confluence.



7.2 Staff

Our strategy is to have a core in-house team (Staff) that has the capabilities to understand what our customers need, to specify how we will meet it, and then to deliver the service ourselves, or manage the delivery through selected freelancers or other companies (Associates).

To run a profitable business, we need to be careful to get the balance right between the 'fixed costs' of the staff, and the 'marginal costs' of the associates. Getting this balance right also helps to ensure that for each new project, we only use resources that have the appropriate skills.

Recruitment

The Management team agrees what the right balance is. We then identify staff vacancies and develop a job specification. The recruitment process is managed by the HR Manager and described on Confluence:

- We use Jira to manage the process
- We advertise or use our network of contacts
- HR review candidates' CVs and recommend a shortlist
- Technical author candidates sit the 3di writing test
- Interview at least twice, with at least two 3di senior managers involved, including reviewing samples of and/or discussing previous work

Background checks

All job offers are contingent upon acceptable results of a background check. Background checks will verify candidate information including (but not limited to):

- Passport or National ID card check, for authorisation to work, or visa status
- National Insurance Number, for Government tax status
- Government Criminal Record check using the UK Disclosure and Barring Service (DBS) or Poland equivalent
- Recent employment history
- Higher level education verification

Training records

A record of staff training is kept using the BreatheHR system, including such details as:

- Date of training or event
- Training and/or activities undertaken
- Duration
- Qualifications and/or certificates attained.

The 3di Academy wiki space is used as a hub for capturing and sharing learning and training about specific skills.

7.3 Associates

Based on the strategy, the management team work to ensure that we have access to the best possible associates to help us deliver specific customer projects. We often don't know exactly what these projects will be until just before we need to start delivering them so we have to keep in touch with lots of potential associates and work professionally to manage expectations with both customers, and with the associates who want projects to work on.

Since January 2016, 3di has operated a separate company in Krakow, Poland. That team provides services to 3di, and we collaborate together on business improvement activities. From a QMS perspective, 3di Poland is classed as an Associate, but all the staff collaboration and working practices are the same as for 3di UK staff unless there are Poland specific legal reasons not to.

All the non-staff (Associate) resources we use for our customer projects or placements are selected from our databases of 'active' translators (XTM) or authors (HubSpot):

How a potential author/translator becomes 'active'

The Service Delivery and Working for 3di spaces on the wiki includes pages on how we ensure we have a good supply of suitably skilled associate resources.

During 2021, we introduced a new Freelancer Recruiting process and Supplier Manager role to improve the way we attract and onboard new technical authoring freelancers in particular.

When new candidates send us their CV, we screen them for suitable skills and experience, and add their details to Plunet (Translators), or HubSpot (Authors) under.

To become an "active" resource, they need to:

- Translators must pass our translation test. Since 2021, all new authors will be asked to complete a writing test
- Have a successful interview with a Senior 3di Manager
- Provide suitable references and/or work samples
- Agree our terms of Business and a pay rate

In addition to their CV, contact details and rates, the profile of our resources on Plunet or HubSpot may also include some notes such as:

- Communication (notes or copy of emails)
- Their performance or attitude in past projects
- Their availability (holidays, work pattern, contract preferences, etc.)
- Evidence of specific customer training if required

If we can't find a suitable resource within the database, and if timescales allow, we advertise for the role, usually via online sites such as Totaljobs, JobServe, or Upwork and on networking/discussion forums such as the ISTC or LinkedIn.

7.4 Suppliers

3di suppliers are the companies that provide services to us outside of customer projects. These include our bank HSBC, our IT partner Virtuoso and our Office space supplier IWG (Spaces). The data and records about this resource are managed by our bookkeepers Menzies, and recorded in the Xero accounting software. The performance of each Supplier is reviewed at least annually.

7.5 IT

IT is one of the core means we have of delivering services to meet customer requirements. We operate dispersed systems, combining servicers in Woking HQ with cloud-based communications and collaboration applications. The Service Delivery Director manages the services delivered by our Tech Team which includes:

- Planning IT expenditure
- Managing IT support providers
- Managing Information Security
- Coordinating Incident management procedures

The data and records about this resource are managed on the wiki and the Tech Team SharePoint site.

IT & information security practices

Our security practices are consistent with industry standard practices such as ISO27001 and Cyber Essentials and are designed to meet the following requirements:

- Ensure the security and confidentiality of information
- Protect against anticipated threats or hazards to information security
- Protect against unauthorised access or use of information
- Ensure effectiveness of ongoing controls

Network and infrastructure

- All physical and virtual endpoints managed by our IT support provider using MicroSoft InTune.
- All physical and virtual endpoints are protected by a Windows Defender for Business.
- Site-to-site VPN connections are used where required. Access from home-offices we use Dell SonicWall VPN connection.
- Our IT support provider monitors vulnerabilities and run regular simulated security attacks, for example, phishing attacks. (not currently in place)
- On network devices all ports are closed by default, and use strong passwords.

Access management

- Access is granted through individual user accounts.
- User and group permissions manged via Azure AD with Federated Single-Sign On for cloud applications where possible.
- HR & supplier manager co-ordinates consistent and secure ‘onboarding’ for new staff and suppliers, and IT ‘leaving’ for departing staff in conjunction with our IT support provider.
- Multifactor authentication used for accessing devices and core services (e.g. Sharepoint, Email, Jira, Confluence)

- Personal, company and customer credentials stored and managed using Password Management System (LastPass) to control access to only authorised people.
- Project kick-off meetings provide the opportunity to agree any specific information security requirements that a customer might have.
- Access to customer data restricted to authorised persons using the principle of “least privilege”, and access is reviewed regularly.
- Access to offices and buildings restricted to authorised personnel only by fob or key card. Access logs retained by building management. Our in-Woking (HQ) office server room has further restricted access with access logged via key-fob entry.
- Suppliers of business-critical cloud applications (e.g. Microsoft, Gitlab, Atlassian, SolarWinds) are SOC 2 compliant.

Data storage & transit

- All data on physical and virtual endpoints are encrypted at rest.
- Customer data and project information is segregated, with access restricted to only personnel authorised to work with those customers.
- All hard drives on physical infrastructure are destroyed when hardware is decommissioned in compliance with industry standards such as BSI-GSE, CESG CPA – Higher Level and DoD 5220.22 M ECE.
- File sharing with customers and suppliers provided by Microsoft SharePoint using access management and data transferred using https.
- Cloud applications (e.g. Sharepoint, Email, Jira, Confluence) support encryption for data at rest and in transit (https or ssl).
- Content for translation and translation memories stored and managed in XTM Cloud with access to authorised personnel only.

Business continuity and disaster recovery

- All of our staff are able to work remotely using our communication and collaboration tools. If a workstation is lost or stolen, all physical and virtual endpoints can be remotely wiped, and user profiles and data restored to a replacement device using Microsoft Intune.
- Physical and virtual servers daily backed up using SolarWinds. Backups are encrypted at rest and can be replicated to our Azure Cloud within 24 hrs.
- Data in business-critical cloud applications (e.g. Sharepoint, Email, Confluence) are backed up at least daily using 3rd party services (e.g. Office 365 backups by AvePoint). Backups are encrypted at rest can be restored in 24hrs.

Training & monitoring

- Information Security practices are part of the induction and ongoing training for all members of staff.

- Our IT Partner Virtuoso provide a TechHub portal for all staff which includes IT and security related training.
- IT & Data Security policies are regularly audited as part of our ISO quality audit schedule.
- We are working towards Cyber Essentials plus certification for 2024.

Data privacy practices

- Our Data Privacy practices are consistent with the GDPR.
- Data Privacy form part of the induction and ongoing training for all members of staff.
- All staff, project Suppliers, Associates and Contractors sign an NDA before beginning work for 3di.
- Our policy is to notify whoever has been affected by a Security or Data breach within 24hrs of identifying who they are.

7.6 Offices

We use the following office facilities:

- Spaces shared office facility in central Woking
- Regus shared office facility in central Edinburgh
- WeWork shared office facility in Guadalajara
- Leased floor in an office building in central Krakow (3di Poland Associate business)

The data and records about this resource are managed on Confluence. We review and change our office facilities from time to time and we continue to assess the long-term implications of staff working predominantly from home and what this will mean of the office facilities we will need.

7.7 Money

The Managing Director is responsible for making sure we get the best from the money resources we have available. This includes managing effective relationships with our banks, HSBC and Aldermore, our accountants, Menzies, our associates and suppliers, whose invoices need to be paid, and our customers who need to pay our invoices. The data and records about this resource are managed in the Xero, Productive and Excel and online banking software tools.

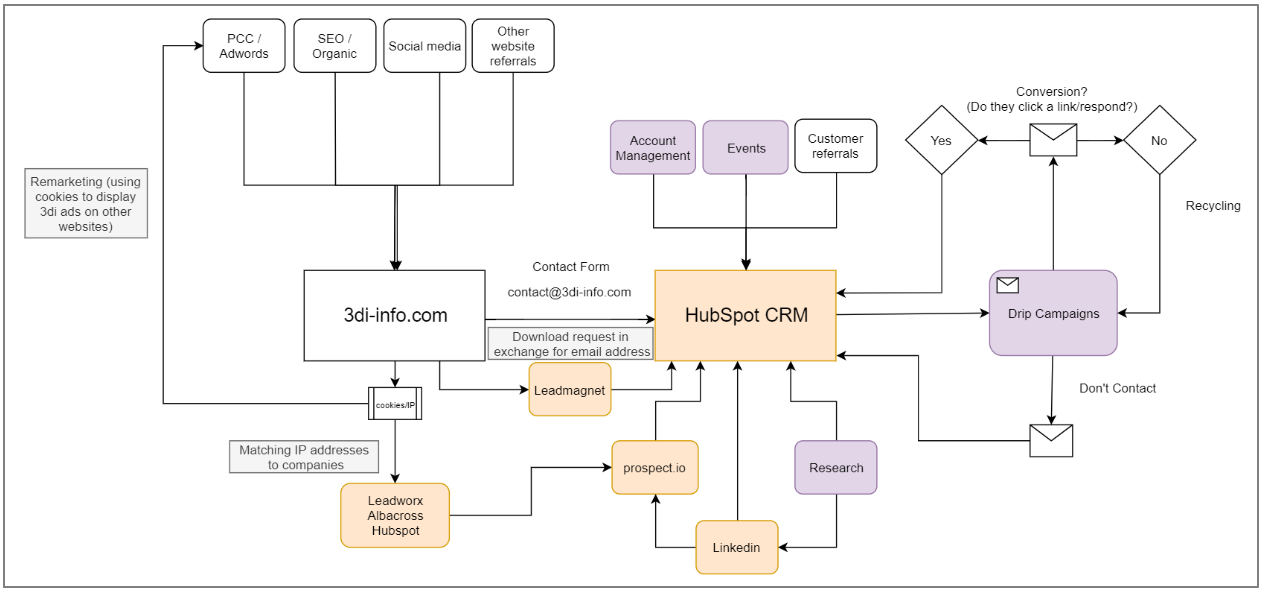
8 Marketing and sales

The Marketing Manager is responsible for ensuring that the right marketing activities are carried out to deliver potential new customers (Prospects) and resources that fit with the agreed strategy. The Managing Director and the Business Operations Manager ensure we convert as many of the Prospects into Customers as possible. This process is managed in HubSpot.

8.1 Generating prospects and future customers – our marketing engine

New 3di customers typically contact us having been recommended, or visiting our website through Organic or Paid web search. In 2019 we invested in the HubSpot CRM software platform and now, all our Lead, Prospect and Customer data into this one specialised environment. Using this tool makes it easier for us to communicate with our market, while ensuring we meet stricter data privacy rules, as defined in the GDPR.

Screenshot of our HubSpot CRM marketing engine process



8.2 Understanding, specifying, and capturing the customer requirement

When we receive an enquiry from a potential new customer, we collect their details - directly from them or via their website - and create a new customer account in HubSpot, along with details of the Deal.

If we qualify out the enquiry, 3di notifies the potential customer of our decision.

Whether an existing or a new customer, if we decide that we can potentially meet the customer's requirement, we work to understand exactly what it is they need, why they need it, and what their priorities are. This may take only a few minutes of a phone conversation, or take months involving several meetings. Understanding, specifying, and capturing the requirement may also be carried out by one person, or could involve a wide range of specialists.

Customer communications

We will do one or more of the following:

- Discuss what they need and 3di's capabilities – a Briefing Session – typically via a 45 minute video Teams meeting
- For new customers, provide a Briefing Email that summarises our understanding of what they need and provide an outline of the 3di service, and examples of our expertise, and often an outline budget scenario.
- Exchange emails that capture the requirement and any agreements
- Provide a quote – includes estimates or firm pricing, timescales and service levels

Existing customers who have repeat or similar requirements to current/past projects with us, will normally only need to receive a quote.

Occasionally, a large proposal document will be needed for new customers. These are based on the 3di proposal template. All quotes to customers are based on the 3di HubSpot template.

However, each proposal or quote is unique, so the sender has to tailor the document to each individual customer. This could involve slight changes to the original template.

8.3 Preparing the business for winning the work

We use HubSpot and Teams to ensure the Service Delivery teams understand what work might be coming, what resource assumptions are built into the quotes or proposals and what expectations the customer has. This information is captured in HubSpot. Jira, Confluence and Productive, discussed with the Service Delivery team during the sales process, and for new customers, handed over to the Service or Project Manager during the Sales-to-Service Handover meeting and the Internal Kick-Off meeting.

We use a weekly technical writing Staffing Meeting to handle the permutations of the team of 25+ technical writers across customer projects, and to ensure we have capacity to start new customer projects.

9 Service delivery

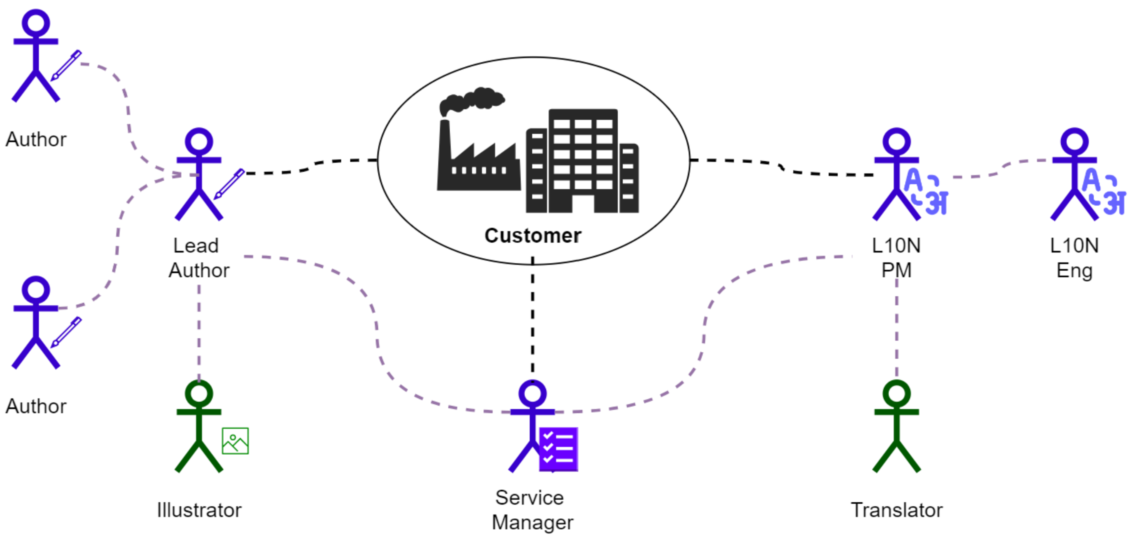
9.1 Defining standard services

3di has been working hard to define Standard Services, which enable us to more efficiently deliver complex services as consistently as possible. Progress with defining these is led by the Service Delivery Director, and managed on Confluence.

Service delivery team roles and responsibilities

Each customer has a Service Delivery team with specific roles.

- Not all customers use all of our services. Lead roles are only required when those services are being delivered - e.g. no need for L10N PM if no L10N is being done.
- Smaller customers may have fewer people and potentially one person doing more than one role, but all roles must be assigned for all projects.
- More complex projects will require more people, and more functional teams, with some roles split by clear divides – e.g. product groups, languages etc.



9.2 Understanding what we need to do to meet the agreed requirements

The approval from new customers to proceed will be in the form of an e-signed quote, email or a purchase order. In some circumstances, existing customers may give a verbal approval to proceed.

Those involved in the sales process will ensure they have briefed the Service Delivery team effectively. For Technical Authoring projects, this will be the Service Manager and Lead Author, and for Localization projects, the Service Manager and Localization Project Manager. The Service Manager will ensure those involved in the service delivery have been briefed effectively.

The Service Manager will ensure that the Productive record reflects the agreed requirement. Supporting information will be in Confluence, Jira or SharePoint.

9.3 Planning and allocating resources

The resources for the project may have been identified during the sales process, or after the customer approval to proceed has been received. Each resource allocation decision is based on achieving an optimum balance between all the requirements for that customer order, considered in the context of all the other customer orders, and the wider 3di business goals. There is no formula for getting this right every time. It is the experience and judgement of the 3di team members that gets the balance right for each customer Order.

The decision about the resources allocated will be recorded in Productive, Confluence and XTM.

The Service Manager will ensure each resource knows what their contribution needs to be. Every Associate resource receives a Job Confirmation for each customer Order they contribute to. For all projects, Jira or XTM will be used to allocate specific tasks.

9.4 Monitoring progress and managing issues

The Service Manager communicates effectively with each Resource to understand how closely each is to delivering in line with the agreed requirements.

The Service Manager ensures Productive accurately reflects the status of each Order Item. Individual project teams or resources may meet weekly to discuss progress.

Service Managers may use spreadsheets, Confluence, Jira, and Productive to track and report on Orders.

The Service Delivery management team meets every week to discuss the progress of live and upcoming projects.

9.5 Validating that we are meeting the agreed requirements

The Project or Service Manager will ensure that each Order includes the appropriate validation (quality assurance) tasks.

For Implementation projects, this will at least include the customer having the opportunity to provide review comments on a draft of the deliverables.

For managed technical authoring services (BAU services), this will at least include the customer having the opportunity to provide review comments on a draft, or a review being carried out by a 3di colleague.

For translation-based projects, this will at least include the customer having the opportunity to provide review comments on a draft translation, or a review being carried out by a 3di colleague.

9.6 Delivering to the customer

The Project or Service Manager agrees with the customer when and how the project delivery will be made, and ensures this is reflected in Productive and the supporting project records.

The customer may provide a written acceptance of the delivery. If so, this is recorded in the Productive, Groove or SharePoint record.

9.7 Business as Usual (BAU) services

In the context of BAU services, the Project Manager or Service Manager and Lead Author will meet with the customer at least monthly to review progress against previously agreed priorities, and agree the priorities for the next period.

9.8 After we have delivered

The Service Manager ensures Productive reflects what and how the customer should be invoiced, and what any Associates should be paid.

The Service Manager sends invoices to the customer, and the Finance team chases for payment if necessary, and reflects the status of invoices in Productive and Xero.

The Finance team receives and pays Associate invoices and reflects the status of invoices on Productive and Xero.

The Service Manager decides if asking the customer for a case study or a testimonial statement of satisfaction would be appropriate.

10 If we get things wrong

10.1 Avoiding getting things wrong in the first place

Potential risk	What we do to stop it from happening
Setting wrong expectations with the customer	3di quotes involve the input of several people, often including the customer, before a final version is sent to the customer For new customers, Sales and Service Delivery meet and discuss potential risks related to expectations during the Sales to Service Handover.
The customer is not happy with the final result	We ask the customer to review our work at different stages of the project
Missing agreed deadlines	The Service Manager liaises with all parties throughout a project to make sure we are "on target". Any potential delay is reported and discussed immediately.

However, no one is completely immune to errors. So, if we get something wrong, we take action.

10.2 What to do when things go wrong

Report and correct it as soon as possible:

- Whether it is you who has got something wrong, or someone else, and you spotted it or been told about it, you are responsible for bringing it to the attention of someone who can do something about it.
- Let the Lead and the Service Manager know, and discuss any action to be taken immediately.
- This may well involve briefing, and getting input from, other resources on the project, the customer and Management colleagues.
- Agree the plan for correcting the problem, work the plan, and check that it has worked.
- Log the issue and action taken into Jira, following the guidance on the wiki: Capture a quality ticket.

Prevent it from happening again:

- A member of the Management Team will review the record and provide input to help ensure an effective plan is in place.
- Within the team, understand how it happened in the first place.
- Agree with your manager/colleagues how this will be avoided in future.
- Schedule in Jira a suitable time to check that the actions have worked.
- If appropriate, a Management colleague will organise an update to the QMS.

10.3 Reviewing how well the corrective actions have worked

The management team reviews the corrective actions taken and will contribute as appropriate to updating the QMS.

At least annually, the Management team review all recent quality issues, to identify any patterns, and report any concerns at the next Management meeting.

11 Checking that we do what we say we do

11.1 The role of internal audits

As well as detecting risks and eliminating bad service in our daily work, we have to review each aspect of our Quality System once every 12 months. This is to check that:

- Our quality system is as good as it can be, and
- We do what we say we do.

The schedule of internal audits is on 3di Global/QMS

The Business Operations Manager will arrange for members of the 3di team to perform internal audits, and to review the training materials. You will only be asked to audit an area of the company that is not your own, and you will never be asked to audit your own work.

We understand that you may see it as a time-consuming, awkward experience, but it is worth it, so thank you! You may of course also find it quite interesting to see how other teams work.

11.2 Guidance for carrying out an internal audit

We have designed this Quality Manual to make auditing as easy as possible. Useful tools such as templates and checklists can be found on 3di Global/QMS. If you are unsure, ask the Business Operations Manager to help you.

Before the audit:

- The Business Operations Manager will tell you which activity you will audit, and who you will interview (the person you interview is called the auditee).
- Together, agree and book arrangements in the calendar (allow 1-2 weeks in order to fit some preparation time around your daily work).
- Read/browse this Quality Manual: it describes the good practice you will be looking for in your audit.
- Find the areas of Confluence that are relevant to the activity audited.
- Prepare your check-list of questions that will help you gather the matching evidence.

During the audit (30-45 minutes guideline):

- Going through your checklist, ask the auditee open questions

- Take the time to write down detailed notes of:
  What they do (how do they do this or that)
  What you see (note the exact details of relevant documents, email, etc.)
  What you hear (verbal answers, what they know/don't know)
- When you are satisfied that you have covered everything and gathered the relevant evidence, thank the auditee for their time.

After the audit:

- Fill in the green boxes in the Audit Report template
- Send the report to the Business Operations Manager

11.3 How we use internal audit reports

The Management team will review all internal audit reports. If the evidence doesn't match the manual or Confluence we'll agree appropriate actions to resolve the issue and tackle their cause.

We'll use Jira to track progress and resolution as we do with other Quality Issues.

12 Appendix1: Revisions to this quality manual

Date	Version number and summary of changes	Updated by
09 Oct 2012	New Quality Manual-draft	Karine Rousseau/Paul Ballard
23 Nov 2012	3di-QMS-QualityManual-v1DRAFT23nov12	Paul Ballard
27 Nov 2012	3di-QMS-QualityManual-v1	Paul Ballard
15 Jan 2013	3di-QMS-QualityManual-v1.1 (Added more 'controlled' documents: purchase T&Cs for services; translation and authoring standards; writing test and suggested answers)	Steve Reynolds
23 Apr 2013	3di-QMS-QualityManual-v1.2 3di quotation template now controlled in Plunet; organisation chart updated.	Steve Reynolds
1 July 2013	3di-QMS-QualityManual-v1.2 Server change: update McKinley references Updated marketing responsibilities.	Steve Reynolds
29 Aug 2013	3di-QMS-Quality Manual-v1.3 Updated "Services to customers" graphic on 3di Policy Updated Org chart	Karine Rousseau/Paul Ballard
25 Oct 2013	3di-QMS-QualityManual-v1.4 Updated Org chart Updated "Controlled Documents" Updated "Associates"	Karine Rousseau/Paul Ballard
26 Nov 2013	3di-QMS-QualityManual-v1.5 Updated "Controlled Documents" Updated "Associates" Updated "Performing an internal audit"	Karine Rousseau/Paul Ballard
14 Jan 2014	3di-QMS-QualityManual-v1.6 Updated Org Chart	Karine Rousseau/Paul Ballard
13 Oct 2014	3di-QMS-QualityManual-v1.7 • Updated scope graphic Updated Org chart • Updated Core process flow diagram to reflect addition of Strategic projects	Paul Ballard

Date	Version number and summary of changes	Updated by
	• Updated "Staff management framework" to reflect Breathe HR Tool • Updated "IT", "Offices" and "Suppliers" to reflect changes to named companies or people.	
23 Oct 2015	3di-QMS-QualityManual-v1.8 • Updated scope text to reflect comment from previous BSI audit • Updated four habits diagram under Quality Policy • Updated Org chart • List of Controlled documents replaced with reference to wiki-held list • Updated details about other QMS documents • Renamed contacts and owners to reflect new Org structure • Referenced new SOP covering Associates.	Paul Ballard and Frank Ferrett
18 May 2016	3di-QMS-QualityManual-v1.9 • Updated Org chart • Replaced references to recently departed staff • Noted forthcoming change from QuickBooks to mySAP • Updated Training records section to show now stored in BreatheHR	Paul Ballard and Frank Ferret
26 October 2016	3di-QMS-QualityManual-v2 • Updated format to reflect 3di proposal style • Updated Introduction to explain the purpose and audience of the quality manual • Updated Org chart • Updated supporting documents list • Updated training records summary	Paul Ballard Frank Ferret

Date	Version number and summary of changes	Updated by
	• Reinstated specific reference to 15 year retention period for Roche – related documents • Clarified relationship of the QMS to 3di Poland • Updated Suppliers to reflect change to SAPB1 system • Updated IT to reflect change of ownership • Updated Money to reflect change to SAPB1 • Updated Service delivery to reflect use of Confluence and JIRA, and to reflect no longer a monthly separate Operations meeting. • Updated After we have delivered to reflect change to SAPB1 • Updated internal audit guidance • Added section reflecting the emergence of What 3di does as our new cross-company approach to Sales and Service Delivery	
1 December 2017	3di-QMS-QualityManual-v3 • Updated QMS exclusions section (2) • Incorporated 'Leadership' content (3) • Updated Organisation chart (4) • Updated What 3di does to reflect evolving model (6) • Updated controlled and other documents section to reflect roles of Confluence and Jira and SharePoint, and the consolidation into a single Ops network folder system under Translation (7) • Removed reference to resource manager names (8.2) • Updated Sales and Marketing to reflect relevance of Services offer	Paul Ballard / Frank Ferret

Date	Version number and summary of changes	Updated by
	role of Sales Ops Manager, and handover to Ops.	
31 August 2018	3di-QMS-QualityManual-v5 • Updated QMS exclusions section (2) • Updated Organisation chart (4) • Updated references throughout to 2015 standard • Added reference to Forecast tool (10) • Reflected change to using Jira to track Issues (11.2)	Paul Ballard / Frank Ferret
18 September 2019	3di-QMS-QaulityManual-v6 • Updated Organisation chart (4) • Updated processes overview (5) • Added reference to HubSpot throughout • Clarified the archiving of 'Obsolete' controlled documents (6.1) • Updated the list of supporting documents (6.2) • Removed reference to obsolete translator SOP and made reference to the Service Management wiki space (7.2) • Updated IT section to reflect more details about our Information Security practices and IT Infrastructure. (7.4) • Updated to reflect impact of HubSpot (8) • Updated Service Delivery Section to reflect impact of defining Standard Services more tightly (9)	Paul Ballard / Frank Ferrett
11 December 2019	3di-QMS-QualityManual-V7 • Updated Organisation chart (4) • Changed reference guidance for Capturing a quality issue (10)	Paul Ballard/Frank Ferrett

Date	Version number and summary of changes	Updated by
	• Added reference to the 3di Academy (7)	
19 October 2020	3di-QMS-QualityManual-V8 • Removed ref to Permanent recruitment (2) • Added reference to evaluating OKRs as mgt method (3) • Updated Org Chart (4) • Removed Building Maint. Schedule from Controlled Documents Register (6) • Replaced SAP references to Xero (6) • Removed reference to 'Paper' Controlled Documents (6) • Added section about new Background checks (7) • Updated Information security and IT infrastructure sections (7) • Updated section about Offices to reflect Covid-19 situation (7) • Updated section about Money to reflect change in finance operations and leadership (7) • Updated Marketing and Sales, and Service Delivery sections to reflect changes in roles (8 & 9) • Added section about transition to Harmony PSA (9)	Paul Ballard/Frank Ferrett
12 November 2021	3di-QMS-QualityManual-V9 • Updated Org Chart (4) • Updated core processes graphics , with new Flywheel, Core Competencies and Functional structure (5) • Reflected growing use of HubSpot and diminishing use of Plunet across our other QMS documents (6)	Paul Ballard/Frank Ferrett

Date	Version number and summary of changes	Updated by
	• Added reference to new Freelancer Recruiting process (7) • Added reference to our imminent move to Azure for our IT infrastructure environment (7) • Changed RBS to Aldermore as one of our banks (7) • Added reference to new TA Staffing Meeting (8 & 9) • Clarified roles of Service Mgrs, Project Mgrs and Lead Authors (9) • Added section about transition from Plunet to Productive (9)	
23 July 2023	3di-QMS-QualityManual-V10 • Amended Scope to reflect simplified *Clear technical communication* (removal of and business) (2) • Updated 3di Habits graphic and narrative (3) • Removed reference to dedicated Quality Manager (3) • Updated Org chart (4) • Updated Flywheel graphic and narrative (5) • Update functional teams graphic (5) • Replaced reference to Sagarmatha with 3di Global on SharePoint (6) • Removed references to Plunet throughout (6) • Removed reference to Translation drive throughout (6) • Added reference to Productive throughout (6) • Removal of reference to Roche Diagnostics 15 years retention policy (6)	

Date	Version number and summary of changes	Updated by
	• Added People Management Framework graphic (7) • Updated Staff Recruitment (7) • Updated narrative about 3di Poland 'Associate' status re QMS (7) • Added that each Supplier's performance is reviewed at least annually (7) • Updated Offices details (7) • Updated HubSpot refences (8) • Added Standard Services graphic (9) • Remove MS Project & Power BI from Monitoring Services (9) • Updated Productive references (9) • Updated Service Manager references (9) • Change Consultancy-based to Implementation projects (9) • Added Sales-to-Service Handover reference (10) • Updated change from a dedicated Quality Manager throughout (11) • Updated Internal Audit section (11)	