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## **Quality management systems— Guidelines for sustainable growth**

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## Foreword

This translation has been made based on the original Japanese Industrial Standard established by the Minister of Economy, Trade and Industry through deliberations at the Japanese Industrial Standards Committee in accordance with the Industrial Standardization Law.

This JIS document is protected by the copyright Law.

Attention is drawn to the possibility that some parts of this Standard may conflict with a patent right, application for a patent after opening to the public, utility model right or application for registration of utility model after opening to the public which have technical properties. The relevant Minister and the Japanese Industrial Standards Committee are not responsible for identifying the patent right, application for a patent after opening to the public, utility model right or application for registration of utility model after opening to the public which have the said technical properties.

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# Quality management systems— Guidelines for sustainable growth

## Introduction

### 0.1 General

It is essential for organizations to enhance their “raison d’etre” by winning satisfaction of customers and other interested parties about values of products/services that they provide, in order to fulfill their mission, maintain their competitive advantage and realize sustainable growth.

To this end, organizations need to create higher customer value by agilely adapting themselves to changes in business environment, improving their overall performance in an effective and efficient way, and meeting needs and expectations of customers and other interested parties.

In order to continue creating higher customer value, maintain its competitive advantage and fulfill sustainable growth, an organization needs to promptly detect and respond to diversification of market needs and changes in surrounding business environments such as technology innovation.

The objective of this Japanese Industrial Standard is to provide a model of quality management systems that enables organizations to agilely adapt themselves to changing business environment.

### 0.2 Relationship with JIS Q 9001 and JIS Q 9004

**JIS Q 9001:2000** provides a model of quality management system for products/services.

Using **JIS Q 9001:2000**, an organization can promote quality management focusing on customer satisfaction within their existing business scope.

**JIS Q 9004:2000** gives guidance on a wider range of objectives of a quality management system than does **JIS Q 9001:2000**, particularly it provides a model of quality management systems for the continual improvement of an organization's overall performance and efficiency, as well as its effectiveness.

This Standard provides a model for quality management systems that enables to realize sustainable growth in any business environment based on organizational and individual learning and innovation, and provides values to customers and other interested parties through products/services, exceeding the quality management system models given by **JIS Q 9004:2000**.

### 0.3 Compatibility with other management systems

This Standard does not include guidance to other management systems, such as those particular to environmental management system, occupational health and safety management system or information security management system.

However, this Standard is designed to enable an organization, which has developed and implemented an existing relevant management system, to incorporate elements of this Standard to develop and operate an appropriate management system.

The organization may also use this Standard for developing and operating a quality management system, which is totally independent of its existing management system(s).

#### 0.4 Consistency with JIS Q 9005 family Standards

This Standard is designed to be used independently from JIS Q 9006 but can also be used to complement each other as a consistent pair. Also this Standard is designed to be used together with "JIS Q 9023 *Guidelines for management by policy*", "JIS Q 9024 *Guidelines for procedures and methodology for continual improvement*" and "JIS Q 9025 *Guidelines for quality function deployment*".

**1 Scope** This Standard specifies guidelines of quality management system to realize sustainable growth based on learning and innovation.

This Standard is intended to be applicable to all organizations, regardless of type, size and product/service provided, that wish to realize their sustainable growth.

The organization may develop a quality management system suitable to itself by focusing on some elements in this Standard, prioritizing the elements or excluding inapplicable elements.

This Standard is not intended for certification, regulatory or contractual use.

**2 Normative reference** The following standard contains provisions which, through reference in this text, constitutes provisions of this Standard. The most recent edition of the standard (including the amendment) shall be applied.

JIS Q 9000 *Quality management systems—Fundamentals and vocabulary*

NOTE : Corresponding International Standard : ISO 9000 *Quality management systems—Fundamentals and vocabulary* (IDT)

**3 Terms and definitions** For the purpose of this Standard, the terms and definitions given in JIS Q 9000 and the following definitions apply.

**3.1 quality** overall characteristics of capability to meet needs or expectations

**3.2 organizational capability profile** overall picture of capability of an organization necessary to maintain competitive advantage

**3.3 corporate principles** core values and fundamental approach for management

NOTE : Corporate principles are sometimes referred to as corporate philosophy or company credo.

**3.4 vision** visualized future or conception that an organization wishes to realize

**3.5 strategy** basic policy and measures to realize vision (3.4) of an organization

**3.6 business strategy** basic policy and measures to achieve business objective in a business domain of an organization

**3.7 quality policy** overall intentions and direction of an organization related to quality (3.1) as formally expressed by top management

NOTES 1 Generally the quality policy is consistent with the vision (3.4) of the organization and provides a framework for setting objectives.

2 Quality policy is placed at the highest level of a quality management system.

**3.8 partner** external organization that provides an organization with what is necessary for creation and provision of customer value (products/services, wisdom and resources).

e.g. supplier, trade association, business alliance member, subcontractor, distributor, sales agent, maintenance service company.

## **4 Basic concept of quality management system model**

### **4.1 Sustainable growth**

**4.1.1 Adaptation to changes** A good organization is an organization which adapts to any changes in business environment and thereby realizes sustainable growth.

In order to realize sustainable growth, an organization should be equipped with capability to innovate itself as necessary based on learning in addition to capability to recognize changes/needs in external business environment.

The concept of "sustainable growth" is threefold:

- It is good that an organization sustains itself.
- An organization needs to adapt to changes in order to sustain itself.
- An organization should fully understand and use its own strength and characteristics when adapting to changes.

**4.1.2 Concept of learning** Sustainable growth requires learning ability in the following two aspects:

- a) **learning ability of an organization** abilities of an organization to collect information on, analyze and gain an insight from external events including business environment
- b) **ability which integrate personal competence to organizational competence** abilities to integrate knowledge and thinking/behavioral patterns of the people in the organization into the value system of the organization.

In order to realize sustainable growth, the organization needs to understand external business environment to begin with.

Not only understand but the organization needs to change itself in a timely manner as well. One of the key elements for changing the organization is heterogeneity among its people.

The organization should foster a culture to prompt changes through creative competitions via mutual enlightenment among its people, and be managed in that way.

In the organization armed with advanced learning ability, it is possible to sophisticate and effectively use wisdom gained by the organization and its people, to build core competence of the organization, and to promote continual improvement and innovation.

**4.1.3 Concept of innovation** Innovation based on learning ability is essential for sustainable growth.

In other words, sustainable growth is made possible only when the organization detects changes in its business environment, understands its core competence and innovates its competitiveness and organizational constitution as necessary.

Innovation is to entirely or partially deny the existing framework of the organization and reconstruct a new framework. It is achieved by wisdom gained through learning and constructive self-abnegation.

## **4.2 Developing a quality management system to implement business strategy**

**4.2.1 Defining a organizational capability profile** In order to make a business success by providing products/services to satisfy customers in a targeted business area, the organization needs to identify competitive advantage factors and business success factors in the business area and to define its organizational capability profile.

The quality management system should be also developed based on the defined organizational capability profile.

It is important, for determining the organizational capability profile, to consider followings:

- a) analyze the competitiveness of products/services to be provided in the relevant business domain.
- b) define values provided to customers through the products/services.
- c) identify capabilities necessary to provide these values.
- d) determine significant capabilities out of those identified in the previous sub-clause c) from the viewpoint of the factors of competitive advantage, taking into account the strength of the organization.

The overall picture of the capabilities defined in d) is the organizational capability profile.

The organization, which has recognized the organizational capability profile, can

identify its strength and weakness based on assessment of its current capability in comparison with the organizational capability profile as well as its strength and weakness derived from its business successes/failure factors.

It also becomes possible to understand what capabilities the quality management system should be equipped with in what way.

Moreover recognizing the organizational capability profile enables the organization to have clear grounds for a set of criteria for self-assessment in the planning of self-assessment program.

**4.2.2 Three-layer quality management system model** As a quality management system which ensures sustainable growth, this Standard adopts a three-layer quality management system model which integrates three management layers: 1) innovation of the quality management system itself, 2) management and continual improvement of the quality management system and 3) realization and continual improvement of products/services,

The layer of quality management system innovation features a function to innovate the entire quality management system by identifying problems and challenges in the other two layers both of which have been developed to implement a specific business strategy.

Figure 1 shows the model of quality management system which shows the relationships among elements in a quality management system.

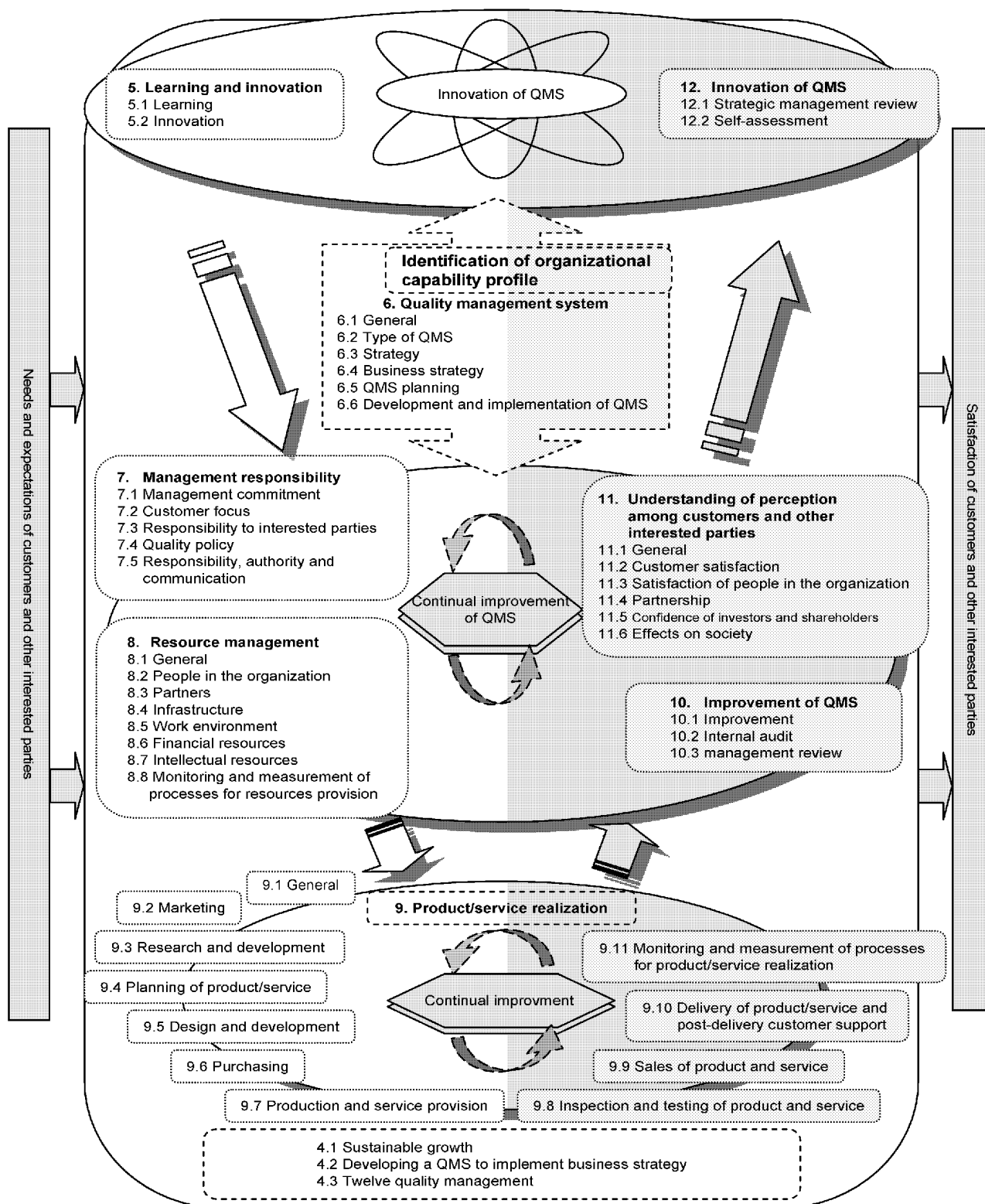


Figure 1 The model of quality management system

**4.2.3 Self-assessment and strategic management review** In this Standard, innovation of a quality management system is regarded as an essential driver for sustainable growth.

This Standard views self-assessment as a means for the organization to examine carefully itself, identify the need for innovation of the quality management system and determine areas requiring innovation.

The way of self-assessment this Standard and **JIS Q 9006** recommend is not such an approach as scoring against a set of questions on a checklist prepared to reflect a management system model, but an evaluation of one's own quality management system based on a set of criteria derived from the recognized organizational capability profile.

This Standard recommends the organization to conduct strategic management review as an opportunity to identify the need for innovation.

The strategic management review is intended to determine the need for and direction of innovation by evaluating whether the quality management system designed to implement the business strategy has functioned effectively to accomplish what was initially planned.

**4.3 Twelve quality management principles** The quality management principles developed to realize sustainable growth by means of learning and innovation are different from the conventional "eight quality management principles" which are scarcely aware of "changes."

As one of the advanced models, this Standard recommends the organization to adopt following twelve quality management principles.

- a) **Creating customer value** Creating customer value means to newly create what prompts customers to feel some value and get satisfied. Whether or not customers buy a product/service depends on how successfully values created by the product/service meet their needs and expectations. The organization should develop and maintain a system to enable itself to create customer value.
- b) **Focus on social value** Focus on social value means to pay close attention to how customers and other interested parties feel about the impact organizations will have on the society. The organization can ensure sustainable growth only when interested parties and society at large appreciate its social value in addition to providing valuable output to customers.
- c) **Visionary leadership** Visionary leadership is leadership in the organization which establishes vision, sets up clear policy to realize the vision and directs people to lead the organization to a correct direction. Top management needs to exercise such visionary leadership to make the organization respond to changes in business environment promptly.
- d) **Understanding core competence** Core competence includes various enablers to ensure competitive advantage of the organization such as technology, skill,

know-how and organizational culture. It represents collective strength specific to the organization that leads to creation of customer value. The organization should aware core competence that it is supposed to have, innovate itself in response to changes in business environment to maintain its competitive advantage.

- e) **Involvement of people** In order to manage the organization in the most effective and efficient way and achieve its objectives, it is important to facilitate involvement of all people in the organization so as to make a maximum use of its people's competence such as wisdom, skill and creativity.
- f) **Collaboration with partners** It is important for the organization to collaborate with its partners so as to obtain optimal wisdom, skill and creativity and to achieve customer satisfaction by creating customer value.
- g) **Total optimization** In order for the organization to achieve its objectives, it is necessary to pursue optimization of the organization as a whole rather than partial. To this end, it is essential to optimize each operational process from the entire management standpoint.
- h) **Process approach** The organization should identify each of operational processes for creating customer value, and understand and manage interactions of these processes. In addition, it is important for the organization to apply these processes while keeping a good balance with the system at large.
- i) **Factual approach** It is important for the organization to make management decisions based not on speculation but on facts understood clearly. To this end, it is important to share information and wisdom and to apply factual analysis, logical thinking, scientific approach etc.
- j) **Organizational and personal learning** To keep creating values, the organization should learn its external business environment and change itself. At the same time, the organization should facilitate personal learning and collect personal wisdom and it should thereby establish a wisdom which can be shared in the organization in a non-stereotyping, innovative way.
- k) **Agility** Agility is essential for the organization to make a success in a drastic change in business environment. It is important for the organization to make decisions free from stereotyping and turn any ever-changing business environment into an opportunity for successes in its business.
- l) **Autonomy** Based on circumstance analysis and self-analysis, it is important for the organization to set up standard of value for itself, make decisions and take actions on its own.

Figure 2 shows relationship among these twelve principles.

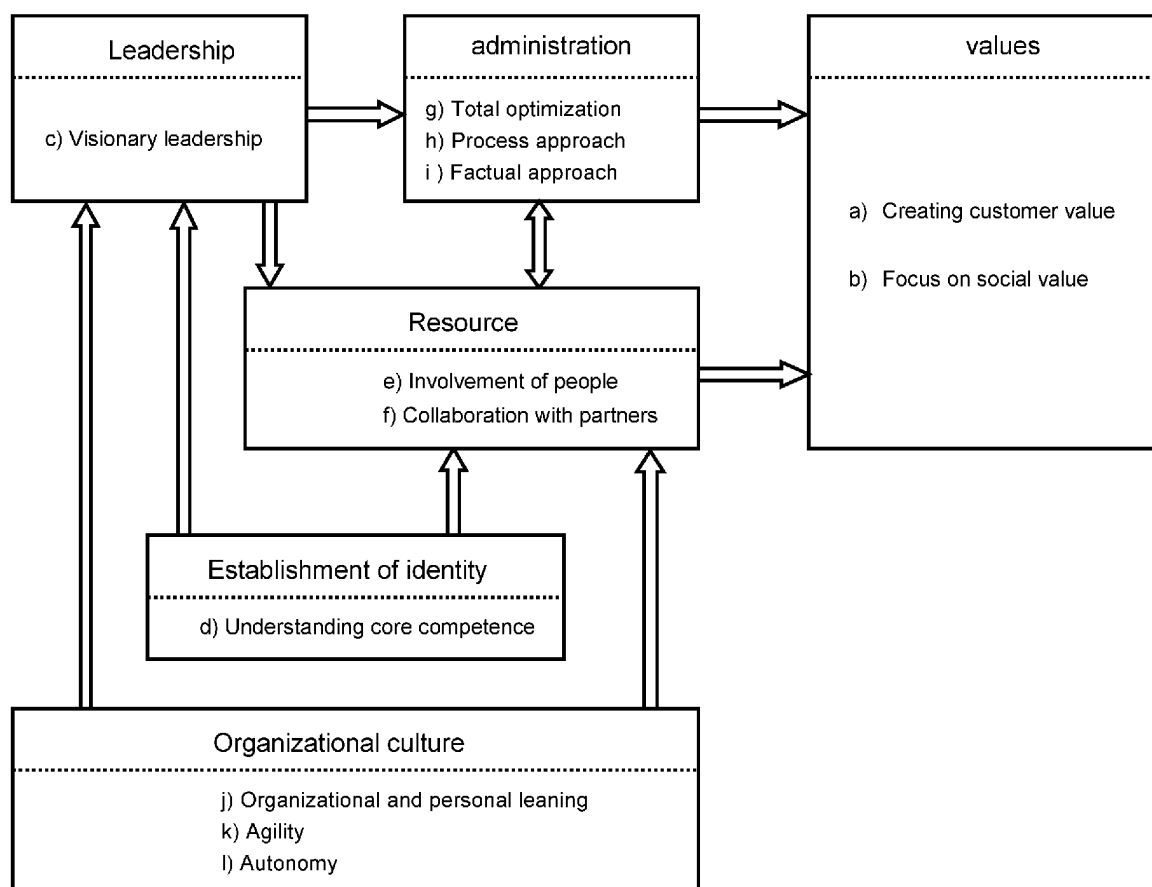


Figure 2 Relationship among twelve principles

## 5 Learning and innovation

### 5.1 Learning

**5.1.1 Organizational learning ability** The organization should understand the importance of the process of learning to obtain capabilities necessary to the organization by collecting information on business environment, analyzing and getting insight from them

The organization should establish a process for learning taking into account the followings;

- needs of interested parties including customers and its changes,
- changes in technological capabilities necessary to meet needs of the interested parties,
- changes in competitive environment and factors affecting competitive advantage,
- capabilities to collect and analyze various types of information, and
- gaining necessary capabilities.

**5.1.2 Fusion of personal competence to organizational capability** The organization should integrate personal competence into the organizational capability by merging value system of the organization with knowledge and thinking/behavioral patterns of its people.

In order to appreciate, promote and integrate its people's wisdom, the organization should

- respect and accept heterogeneity and diversity of its people,
- build organizational culture and shared values to recognize importance of wisdom, and
- provide its people with an opportunity for common experience and thereby to share wisdom.

**5.1.3 Success factors of learning** The organization should promote learning based on its people's autonomy and establish culture of learning organization.

In establishing the culture of learning organization, the organization should consider

- defining its principles, vision and strategy and sharing sense of values,
- the initiative of top management in learning and show its leadership,
- respecting its people's competence and supporting improvement of it,
- appreciating creativity, accepting heterogeneity and tolerating failures,
- recognizing and rewarding positive outcomes,
- building mutual confidence and atmosphere to accept others,
- providing its people with an opportunity of exchange beyond its internal boundary,
- providing its people with an opportunity of collaboration and experience-sharing (including experience-sharing with customers),
- effective use of information, knowledge and wisdom of internal/external origin.

## **5.2 Innovation**

**5.2.1 General** The organization should maintain its competitive advantage in any business environment, detect changes in business environment, understand its core competence, and innovate its own competitive capability and constitution as necessary in order to realize sustainable growth.

If necessary, the organization should implement the following innovations, as appropriate:

- a) **innovation of technology/product/service** Innovation to respond to changes in business environment and product lifecycle;
- b) **innovation of business model** Innovation to ensure necessary competitive advantage and create new business opportunities along with changes in business envi-

ronment;

- c) **innovation of organization** Innovation of the organization's constitution in response to changes in business environment;
- d) **innovation of processes** Innovation of methods for product/service realization.

**5.2.2 Success factors of innovation** The organization should drive to establish a climate to appreciate innovation in order to promote prompt and flexible innovation in response to changes in business environment.

In establishing the climate, the organization should consider the following success factors and provide innovation-oriented environment.

- a) **Detecting indication of changes**
  - insight and decision of top management,
  - sharing values, vision and sense of crisis,
  - not sticking to past successful experiences,
- b) **Understanding the reality accurately**
  - building learning organization
  - determining priority
  - conducting benchmarking for inside and outside of the industrial sector
- c) **Commitment to innovation**
  - strong leadership
  - initiating innovation in a timely manner
  - defining objectives and goals of innovation
  - selection and concentration
- d) **Implementing innovation**
  - active support by top management
  - forming a cream-of-the-crop team which plays a core role
  - handling counterviews and the objection
  - warm consideration to those negatively affected and the weak
  - speed of innovation

## **6 Quality management system**

**6.1 General** The organization should establish vision for the relevant business giving consideration to trend of market and customers needs, trend of technology and competitive environment, to identify organizational capability profile needed to realize the vision, and to establish, maintain, improve and innovate its quality management

systems appropriate its business domain incorporating the required organizational capability.

**6.2 Type of quality management system** The organization should select a quality management system of a type appropriate to nature of its management at the beginning of development phase. Figure 3 shows the examples of types of quality management system. Types of quality management system include

- a) monolithic (single quality management system),
- b) business-specific (quality management system specific to a business area), and
- c) integrated (quality management system with multiple business areas integrated).

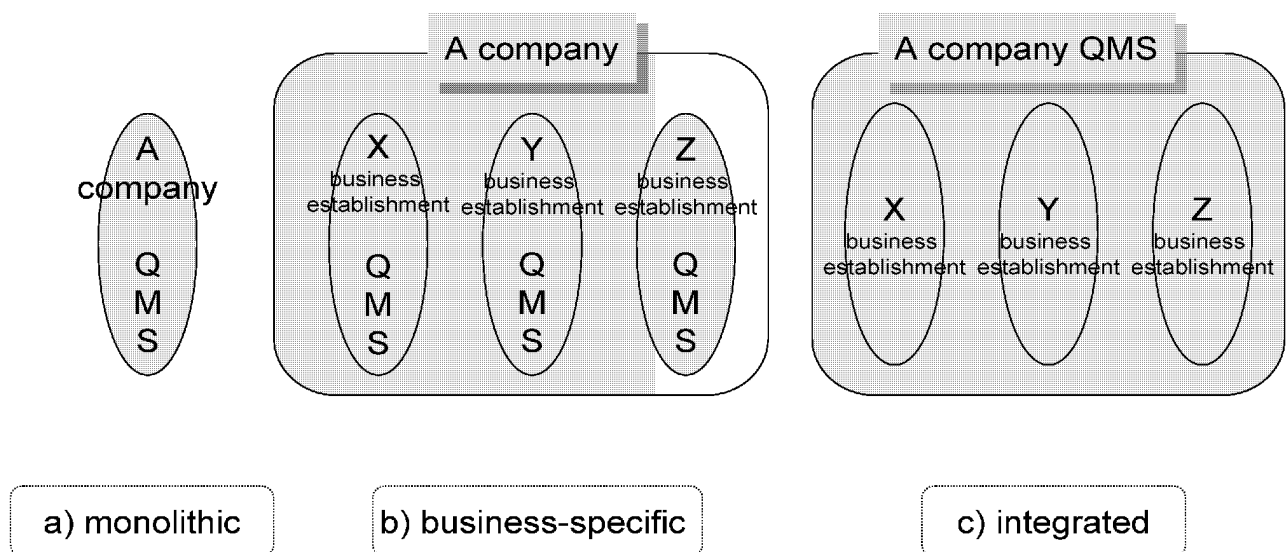


Figure 3 Examples of types of quality management system

In deciding type of quality management system, the organization should consider

- strategy,
- requirements for quality management system from customers and other interested parties, and
- organizational capability profile.

Figure 4 shows quality management system which shows significance of each quality management system element determined in light of development and deployment of strategy for realization of business strategy.

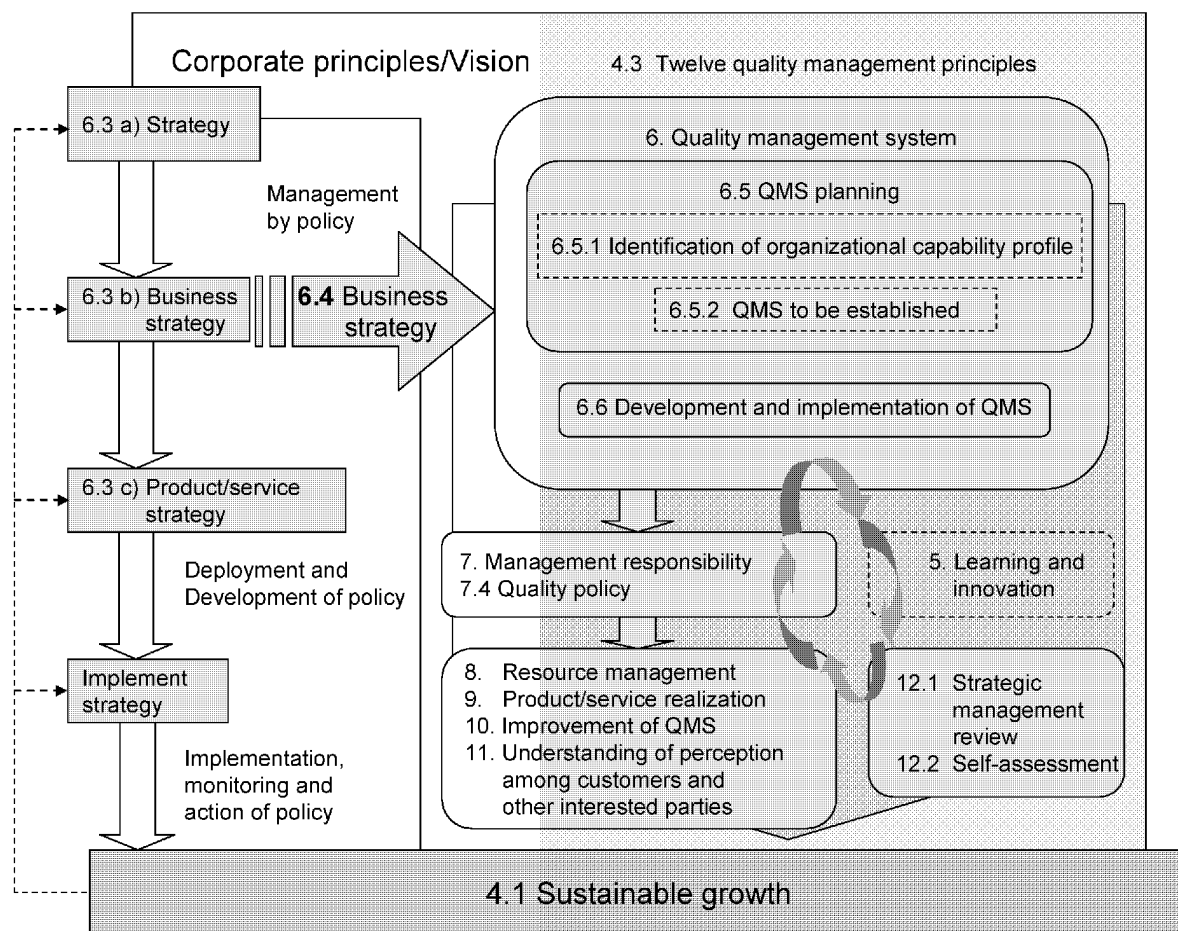


Figure 4 A quality management system to implement business strategy

**6.3 Strategy** The organization should develop strategy as a part of its activities to establish plan for business to achieve its vision, based on analysis of its business environment and resources (its people, partners, infrastructure, work environment, financial resources, intellectual resources etc.). The strategy usually includes the following three layers:

- a) **Overall strategy** Measures relating to direction of the organization's entire business operations including allocation of resources and future outlook.
  - e.g. a plan to allocate resources to each business area in an organization engaged in multiple business, abolishment/merger of business, merger & acquisition.
- b) **Business strategy** Measures to realize vision for a specific business domain (see 6.4).
  - e.g. product/service profile of the business domain, values to be provided through products/services, basic policy relating to customers and other interested parties, measures to maintain/obtain technology to determine success/failure of the business (core technology), other essential resources.