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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 self-assessment

Introduction

0.1 General

It is essential for organizations to enhance their "raison d'être" 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 adapt itself to changes in business environment, extract its own strength and weakness and maintain management to ensure to solve challenges with its direction aligned, it is important for an organization to act, under the leadership of its top management while giving considerations to

- perform self-assessment to find out effectiveness and efficiency of its quality management system and its own maturity,
- identify needs for improvement and innovation and decide their priority, and
- implement the improvement and innovation and reassess whether their outcomes are adequate.

The objective of this Japanese Industrial Standard is, based on a model of quality management systems given by "JIS Q 9005 *Quality management systems—Guidelines for sustainable growth*" to provide guidelines for self-assessment of quality management system that organizations perform to implement improvement and innovation.

0.2 Relationship with JIS Q 9005

This Standard is intended for a use as guidelines to perform 12.2 Self-assessment of "JIS Q 9005 *Quality management systems—Guidelines for sustainable growth*". Structured in the same way as JIS Q 9005, this Standard gives guidelines for self-assessment against each clause about quality management systems in JIS Q 9005.

By positively recognizing an organizational capability profile and evaluating one's own quality management system based on a set of criteria derived from the recognized organizational capability profile, an organization is able to identify areas for improvement and innovation, prioritize them, and implement appropriate improvement and innovation of quality management system.

This Standard has been designed to be used independently from JIS Q 9005, but can also be used to complement each other with JIS Q 9005 as a consistent pair.

0.3 Relationship with JIS Q 9001 and JIS Q 9004

JIS Q 9001:2000 gives a model of quality management system for defined 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 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 effectiveness.

This Standard gives guidelines for self-assessment against a model for quality management systems given by JIS Q 9005 that enables sustainable growth in any business environment based on organizational and individual learning and innovation, exceeding the quality management system models given by JIS Q 9004:2000.

0.4 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.

1 Scope This Standard provides guidelines for self-assessment to accurately determine maturity of an organization's quality management system, to identify major areas for improvement and innovation and to support improvement and innovation of the quality management system.

This Standard is designed to enable the organization to positively recognize its own organizational capability profile, to select appropriate self-assessment subjects based on a set of criteria derived from the recognized organizational capability profile, and to perform self-assessment.

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.

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

2 Normative references The following standards contain provisions which, through reference in this text, constitute provisions of this Standard. The most recent editions of the standards (including amendments) 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)

JIS Q 9005 *Quality management systems—Guidelines for sustainable growth*

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

3.1 maturity model model to define phase of capability of an organization

4 Framework of self-assessment

4.1 General In performing self-assessment to realize sustainable growth, the organization should

- a) identify its organizational capability profile,
- b) identify by which elements of its quality management system necessary capabilities are to be materialized,
- c) intensively assess issues relating to the identified elements, and
- d) discuss and implement improvement and innovation of quality management system based on the self-assessment outcomes.

4.2 Defining organizational capability profile The organization should define an organization capability profile of itself showing what the organization should be in terms of competitive advantage factors and business success factors.

In defining the organizational capability profile, the organization should use the following procedures:

- a) Identifying sets of products/services that the organization provides or plans to provide in the relevant business domain.
- b) Defining customer values to be provided through the sets of products/services by analyzing which aspects of a product/service are appreciated by customers in competitive market when purchasing.
- c) Identifying capabilities relating to technology, management, people, equipment, finance, information technology and knowledge that the organization must have in order to provide the defined customer values
- d) Determining the organizational capability profile, considering a business success scenario leveraging the organization's characteristics (the organization's strength and weakness), out of the capabilities identified in c), which is considered important in light of the competitive advantage and the business success factors

4.3 Establishing and implementing self-assessment program In performing self-assessment, the organization should establish self-assessment program and perform self-assessment in accordance with the program.

4.3.1 Objectives of self-assessment program The organization should establish objectives of self-assessment program, considering

- its own vision,
- organizational capability profile,
- current organizational capabilities,
- needs and expectations of interested parties, and
- prospects for the future.

4.3.2 Defining scope of self-assessment program and subjects of self-assessment The organization should define scope of self-assessment program by identifying areas to be self-assessed while considering quality management system elements to be self-assessed which have been identified in line with its organizational capability profile.

For each identified area to be self-assessed, the organization should define subjects of assessment in each those area, considering that by which quality management system elements capabilities found necessary by defining the organizational capability profile are to be materialized.

4.3.3 Responsibility and procedure of self-assessment program Top management should appoint a management representative for self-assessment program who is generally familiar with guidelines given by JIS Q 9005 and this Standard and with application of competence of those who perform self-assessment.

The management representative for self-assessment program should

- a) establish objectives and scope of self-assessment program and subjects of self-assessment,
- b) define responsibilities and procedures, and ensure to provide resources,
- c) ensure to implement self-assessment program,
- d) ensure to maintain relevant records of self-assessment program, and
- e) monitor, review and improve self-assessment program.

The organization should establish procedure of self-assessment program that includes

- planning of self-assessment
- selection of those who perform self-assessment
- development of criteria for self-assessment
- implementation and record of self-assessment
- monitoring of self-assessment program
- report on results of self-assessment

4.3.4 Implementing self-assessment program The organization should implement self-assessment program, including the following actions:

- a) Communicating self-assessment program to those concerned;
- b) Coordinating self-assessment and other activities relating to self-assessment program, and preparing detailed time-frame;
- c) Establishing self-assessment criteria for each quality management system element identified as the area to be self-assessed by defining the organization capability profile, taking into account the following.
 - 1) **Development of self-assessment subject** Based on examples of indicators of self-assessment subject (5.1 to 12.2 of JIS Q 9005), determine the indicator in each organization and develop self-assessment subject for each quality management system element identified as the area to be self-assessed.
 - 2) **Development of criteria for maturity level** Develop criteria for maturity level for each quality management system element identified as the area to be self-assessed taking into account the common maturity model shown in figure 1. (See figure 2.)
- d) Performing self-assessment and assign maturity level for each quality management system element identified as the area to be self-assessed, taking into account the following:
 - 1) Based on self-assessment subject and criteria for maturity level developed by organization, evaluate status of planning and implementation for each element of quality management system, record how the evaluation was approached and assign their maturity level.
 - 2) Based on self-assessment subject and criteria for maturity level developed by organization, evaluate status of performance for each element of quality management system, record how the evaluation was approached, and assign their maturity level.
- e) Ensuring to control records of self-assessment activities;
- f) Extraction of the issues which are necessary for improvement and innovation of quality management system;
- g) Ensuring to review and approve self-assessment report and to distribute the report to those who direct to perform self-assessment and other defined parties concerned;
- h) Ensuring to implement follow-up of self-assessment when applicable.

4.3.5 Records of self-assessment program To provide evidence of implementation of self-assessment program, the organization should maintain, retain and appropriately protect records such as the following:

- self-assessment plan,
- self-assessment report that identifies opportunities for improvement and innovation of quality management system,
- plan for improvement and innovation,
- self-assessment follow-up report when applicable, and

- results of self-assessment program reviews.

4.4 Improvement of maturity of quality management system through self-assessment

The organization should use areas requiring innovation of quality management system identified in self-assessment as inputs to strategic management review.

The organization should also use areas relating to quality management system improvement identified in self-assessment as inputs to management review.

Through strategic management review or management review, the organization should gradually improve maturity of quality management system elements identified as the area to be self-assessed and thereby enhance its organizational capability. Steps to improve maturity should include

- a) assessing current degree of maturity continuously,
- b) analyzing results of assessment in a) in terms of structure of subject and issue and significance, and extracting quality management system elements which to be areas for improvement and innovation,
- c) establishing and implementing plans for improvement and innovation, and
- d) reassessing results of improvement and innovation implemented and, as necessary, implementing improvement and innovation continuously.

4.5 Common maturity model, maturity level and self-assessment subjects

- a) Table 1 shows common maturity model to be used as a basis for assessing each element of quality management system. Planning/Implementation in table 1 indicates status of the planning and/or implementation for the necessary actions in the quality management system element. The performance indicates result which assesses comprehensively status implemented as a basis on self-assessment aspect and result compared with competitor.
- b) Table 2 is an example which presents the criteria for assessing maturity level laid out at 9.6 purchasing, considering the structure of the common maturity model shown in table 1.
- c) Table 3 shows the basis and general for self-assessment aspect and example of self-assessment indicator. Self-assessment subjective contains a pair of self-assessment aspect and example of self-assessment indicator. Each self-assessment subject for quality management system elements is shown below table 4 based on table 3.
 - 1) The self-assessment aspect is based on JIS Q 9005. What is shown in the left column offers each element of quality management system of JIS Q 9005. On the other hand, what is shown in the right column offers methodology and technique to achieve each element.
 - 2) The example of self-assessment indicator assesses how and to what degree the self-assessment aspect can be achieved. What is shown in the above column offers the example of self-assessment parameter that measures the overall performance in the entire quality management system element. On the other hand, what is

shown in the below column offers the example of the parameter that measures the degree of individual results in the part of element.

NOTE : For examples of the self-assessment parameter not divided into two columns, they represent the example of self-assessment parameter that measures the overall performance.

Table 1 Common maturity model

Level	Planning/Implementation	Performance
1	There are flaws in process planning and/or process is not implemented as planned.	The planned results are not achieved. Ranked below many competitors.
2	Procedures relating to JIS Q 9001 requirements have been established and implemented.	The planned results are almost achieved. Ranked at lower middle among competitors.
3	Organizational capability profile has been defined, and actions considered necessary based on the profile have been effectively planned and implemented.	The planned results are achieved. Ranked at upper middle among competitors.
4	Organizational capability profile has been defined, and an effective and efficient plan for necessary actions has been established and implemented throughout the organization.	The planned results are efficiently achieved. Ranked above many competitors.
5	An innovative plan to cope with changes in business environment has been established. Wisdom gained through the planning process has been shared. Wisdom is created. Improvement and innovation is implemented continually.	The planned results are efficiently achieved under any business environment. Positioned among top players in competition, presenting best practices.

Table 2 Example of maturity level (9.6 purchasing)

Level	Planning/Implementation	Performance
1	There are flaws in purchasing process and process is not implemented as planned.	Requirements agreed with suppliers are not satisfied and nonconforming product/service always occurs. Ranked below by market/customer evaluation.
2	Procedures relating to JIS Q 9001 requirements for purchasing have been established and implemented.	Requirements agreed with suppliers are mostly satisfied but problems sometimes occur. Ranked at lower middle by market/customer evaluation.
3	Organizational capability profile has been defined, and procedures for purchasing have been effectively planned and implemented.	Requirements agreed with suppliers are satisfied and improvement activities are performed. Ranked at upper middle by market/customer evaluation.
4	Organizational capability profile has been defined, and an effective and efficient purchasing procedure for necessary actions has been established and implemented throughout the concerned.	Requirements agreed with suppliers are satisfied. Response to changes in organizational requirements on a timely manner and cost reduction is conducted. Ranked above by market/customer evaluation.
5	An innovative process for purchasing to cope with changes in business environment has been established. Wisdom gained through the planning process has been shared. Wisdom is created. Improvement and innovation is implemented continually.	All requirements are shared by the organization and supplier under any business environment. The organization keeps the status that nonconforming products/services purchased almost never occur. Ranked top among competitors in founding cost, lead time, risk treatment and flexibility.

Table 3 Subject of self-assessment (fundamental and general)

self-assessment aspect			example of self-assessment parameter
a)	Each quality management system element based on JIS Q 9005	Methodology and technique to achieve each quality management system element	— the example of self-assessment parameter that measures the overall performance in the entire quality management
b)			— ...
c)			— the example of the parameter that measures the degree of individual results in the part of element. — ...

5 Learning and innovation

5.1 Learning Table 4 shows self-assessment aspect and examples of self-assessment parameter for learning.

Table 4 Subject of self-assessment (Learning)

Self-assessment aspect			Example of self-assessment parameter
a)	Has the organization established, implemented and maintained a learning process which enables itself to collect, analyze and get insight from information on business environment and thereby to obtain capabilities necessary to itself?	- changes in needs of interested parties including customers - 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 - gaining necessary capabilities	- the number of proposals submitted by its people - the number of procedures and analysis reports - the number of problem recurrences - opportunity to share information - opportunity of learning
b)	Does the organization integrate personal competence into the organizational capability by merging value system of the organization with knowledge and thinking/behavioral patterns of its people?	- respecting and accepting heterogeneity and diversity of people in the organization - organizational culture and shared values to recognize importance of wisdom - opportunity for common experience to share wisdom	
c)	Does the organization promote learning based on its people's autonomy and establish culture of learning organization?	- defining principles, vision and strategy of the organization and sharing sense of values - the initiative of top management in learning and showing its leadership - respecting competence of people in the organization 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 people in the organization with an opportunity of exchange beyond the organization's internal boundaries - providing people in the organization 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 Table 5 shows self-assessment aspect and examples of self-assessment parameter.

Table 5 Subject of self-assessment (Innovation)

	Self-assessment aspect		Example of self-assessment parameter
a)	Does the organization detect changes in business environment, understand its core competence, and innovate its own competitive capability and constitution as necessary?	- technology/product/service - business model - organization - processes	- the number of new business projects and new processes - the number of new products/services - the number of new technologies/products/services materialized - the number of newly-introduced business management techniques - speed for innovation - advantage inside and outside of the industrial sector
b)	Does the organization drive to establish a climate to appreciate innovation in order to promote prompt and flexible innovation in response to changes in business environment?	1) detecting indication of changes - insight and decision of top management - sharing values, vision and sense of crisis - not sticking to past successful experience 2) understanding the reality accurately - building learning organization - determining priority - conducting benchmarking for inside and outside of the industrial sector 3) commitment to innovation - strong leadership - initiating innovation in a timely manner - defining objectives and goals of innovation - selection and concentration 4) 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 Table 6 shows self-assessment aspect and examples of self-assessment parameter for quality management system in general.

Table 6 Subject of self-assessment (Quality management system in general)

	Self-assessment aspect		Example of self-assessment parameter
a)	Has the organization identified organizational capability profile needed to realize the vision for the relevant business, and developed, established and maintain its quality management systems appropriate its business domain materializing the required organizational capability.	- trend of market and customers needs, - trend of technology and - competitive environment	- achievement degree of goals of vision for the relevant business - consistency between vision for the relevant business and organizational capability profile

6.2 Type of quality management system Table 7 shows self-assessment aspect and examples of self-assessment parameter for type of quality management system.

Table 7 Subject of self-assessment (Type of quality management system)

	Self-assessment aspect		Example of self-assessment parameter
a)	Has the organization selected a quality management system of a type appropriate to nature of its management?	- strategy - requirements for quality management system from customers and other interested parties - organizational capability profile	- feedback from customers - costs to run quality management system - adaptability to changes of business environment

6.3 Strategy Table 8 shows self-assessment aspect and examples of self-assessment parameter for strategy.

Table 8 Subject of self-assessment (Strategy)

	Self-assessment aspect		Example of self-assessment parameter
a)	Has the organization developed strategy as a part of its activities to establish plan for business to achieve its vision?	1) analyzing business environment and resources (the organization's people, partners, infrastructure, work environment, financial resources, intellectual resources etc.) 2) components of strategy - overall strategy - business strategy - product/service strategy	- historical business performance - size of current (and future) market - market share - height of entry barrier - potential market growth - technological advantage

6.4 Business strategy Table 9 shows self-assessment aspect and examples of self-assessment parameter for business strategy.

Table 9 Subject of self-assessment (Business strategy)

	Self-assessment aspect		Example of self-assessment parameter
a)	Has top management developed vision for the relevant business domain and ensure all people in the organization understand the vision?	- consistency between the vision and the corporate principles - defining strategic objectives and target due dates	- historical business performance - market share - winning and maintaining competitive advantage - handling changes in needs and expectations of customers - considering balance between investment and risks
b)	Has top management ensured that the organization develops business strategy to provide a framework for proper allocation of resources? Has top management review business strategy as necessary?	1) business environment - understanding business environment surrounding the entire sector by analyzing developments and trends in macro-economy, politics and society - identifying opportunities and threats by analyzing competitive environment 2) target markets and customers - analyzing and understanding characteristics of needs from markets and of customers 3) product/service to be provided - analyzing and understanding characteristics that product/service needs to feature to win competitive advantage 4) organizational capability profile - analyzing and understanding type and level of organizational capabilities needed to continue providing customer values with competitive advantage based on the results of business environment analysis, customer/market analysis and product/service analysis - identifying factors of business success by considering characteristics of the organizational capabilities, the organization's current strength and trends of expected customer values and of technology 5) allocation of resources - appropriately allocating resources including human resources, materials and budget based on the business strategy developed incorporating the business success factors identified 6) risk analysis - identifying risks derived from rapid changes in business environment and risks intrinsic in product/service to be provided	