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Quality management system— Guidelines for self-assessment

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Foreword

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Quality management system – Guidelines for self-assessment

0 Introduction

0.1 General For an organization to fulfill its mission, maintain competitiveness, and realize sustainable growth, it is vital for the organization to build its rationale for existence by means of gaining satisfaction of customers and other interested parties for the value of products it provides. For this purpose, the organization shall respond to environmental changes with agility, improve overall performance of the organization effectively and efficiently, respond to needs and expectations of customers and other interested parties, and to create outstanding customer value.

In order to keep managing to adapt to environmental changes, identify the strengths and weaknesses of the organization, define the direction for the organization and resolve problems and issues adequately, the organization should execute activities with the following items taken into consideration and founded on leadership of its top management.

- Conduct self-assessment of the effectiveness and efficiency of the organization's quality management system, as well as of the level of maturity of the organization.
- Identify priorities in improvement and/or innovation opportunities and decide on investment of resources for improvement.
- Execute improvement for innovation and, in addition, conduct reassessment on whether or not the results are justifiable.

The standards herein have been developed for the purpose of producing the following benefits.

- Improvement in awareness, knowledge, and learning attitude of people
- Assessment of the organization's capabilities
- Improvement and innovation of work and processes
- Adaptation to environmental changes

In contrast to innovation that destroys the existing framework, building of a totally new framework where none existed is called creation. In other words, it means creation of a new paradigm with paradigm shift or creative development on one's own. It points to totally new change. Because of this, this is heavily dependent on the exceptional individual or leader potential. The term “innovation” used in this Technical Report should be used to suggest “creation” as well.

0.2 Consistency with other standards The standards herein had been written for the purpose of use separate from TR Q 0005 *Quality management system – Guidelines for sustainable growth*. However, it may be used as complementary material that is in consistency with this Technical Report. The standards herein are aimed at use as guidelines

for self-assessment described in 11.2 of TR Q 0005, this Technical Report may be used together with **JIS Q 9023** *Performance improvement of management systems — Guidelines for management by policy*, **JIS Q 9024** *Performance improvement of management systems — Guidelines for procedures and methodology for continual improvement* and **JIS Q 9025** *Performance improvement of management systems — Guidelines for quality function deployment* to contribute to performance improvement more effectively and efficiently.

0.3 Relationship with JIS Q 9001 JIS Q 9001 specifies the requirements for quality management systems and focuses on the effectiveness of quality management systems in satisfying product requirements.

On the other hand, this Technical Report focuses on the effectiveness, efficiency and innovation in quality management system when satisfying the needs and expectations, including requirements, of customers, people in the organization, and other interested parties. Vis-à-vis JIS Q 9001, the Technical Report establishes the guidelines in quality management systems by adding items related to creating customer values, creating social values, creating knowledge, learning and innovation. It is recommended as guidelines when an organization aspires to achieve sustainable growth beyond the scope of requirements defined in JIS Q 9001.

0.4 Compatibility with other management systems This Technical Report does not include guidelines specific to other management systems, such as environmental management, occupational health and safety management, financial management, and risk management. However, the Technical Report has been written with attention to possible combination or integration of quality management system with other related management systems. When an organization takes action to build a quality management system based on these guidelines, these may be adapted to existing management systems.

1 Scope

1.1 General This Technical Report provides guidelines to support effective and efficient self-assessment of quality management system, in order to determine the level of maturity of the organization, identify principal areas requiring improvement, and boost upward growth of the quality management system. The focus of this report is on the following.

- Support in providing benefits to interested parties through creation of customer values
- Support in improvement of performance and competitiveness of an organization
- Support in sustainable growth of an organization that is powerful and resistant in all environments

1.2 Application This technical report applies to all organizations that aspire to achieve sustainable growth, regardless of industry, type of business, business scale or products provided.

By identifying clearly the organization and its organizational profile, including product characteristics, the report can be applied to the organization in the best suited manner, by focusing on a number of provisions in the reports or excluding those that are inappropriate.

2 Normative reference The following normative document contains provisions which, through reference in this text, constitute provisions of this Technical Report. For dated references, subsequent amendments to, or revisions of, this publication do not apply.

JIS Q 9000:2000 *Quality management systems — Fundamentals and vocabulary*

3 Terms and definitions For the purpose of this technical report, terms and definitions given in JIS Q 9000:2000 and TR Q 0005, and the following terms and definitions apply.

A term in definition or note that is defined in clause 3 is indicated by boldface. Terms given in **JIS Q 9000** are indicated in boldface, followed by **JIS Q 9000** shown in parentheses. Such a boldface term may be replaced in the definition by its complete definition.

The term “products” wherever used throughout this Technical Report shall also mean “services”.

3.1 Organizational profile Summary of the business environment surrounding the organization (**JIS Q 9000**) conducting business and **organizational structure** (**JIS Q 9000**).

EXAMPLE Background, management principles, systems, members, scale, facilities, financial standing, and management performance of the **organization (JIS Q 9000)**.

customers, employees, partners, shareholders, and competitors.

state of competition in the industry, success factors and core competence, including market information, value on change, and organizational activities.

3.2 Maturity model Model for evaluating the organization's position in its life cycle and level of its capabilities.

NOTE 1 In order to determine what shall be improved or innovated in the organization, for example, an immature organization and mature organization are compared to identify the differences in maturity level.

2 Organization with low level of maturity

- Unclear management objective
 - Management capabilities of divisions do not translate into capabilities of the entire organization
 - No objective standards for problem-solving
 - Wide disparity in response
 - Work achievements are not evaluated correctly
 - Low quality of products and services
 - Lack of awareness of customer value creation process
 - Low level of customer satisfaction
- 3 Organization with high level of maturity
- Management objective is established clearly and communicated to all relevant parties
 - High level of overall organizational capabilities
 - Strategic factors included in management
 - Process for realizing customer value defined clearly
 - Activities conducted on defined processes
 - Achievements are assessed and applied in process improvement
 - Targets and actual activities are assessed with data
 - Learning for effective management improvement conducted on continual basis
- 4 Examples of maturity model our assessment guidelines for various quality awards, models evaluating information system configuration capabilities, and models evaluating project management. In virtually all cases, maturity level is rated on scales of clauses 5 to 10.

4 Framework for self-assessment

4.1 General The organization should take the following into consideration in self-assessment for realizing sustainable growth.

- a) Clear identification of the current state and the ideal image of the organization.
- b) Selection of the scope of quality management system to be assessed, along with assessment items.
- c) Various factors in the quality management system to be assessed are to be weighed.
- d) Execute assessment.
- e) Identify strengths and weaknesses from the assessment findings and conduct review for improvement and innovation, including the management environment.

4.2 Identification of organizational profile As starting point in self-assessment, the organization should clearly identify the current organizational profile and the ideal organization profile for realizing the objectives shown below.

- The organization is to decide on various yardsticks, depending on industry, type of business, and scale of the organization, with transparency and objectivity.
- Understand how findings on important management items found in assessment conducted subsequently affect performance by identifying the management environment of the organization.
- Contribute to strategy planning for the organization to realize its objective, as well as method suited in implementing the strategy.

In identifying the organizational profile, the organization should take the following into consideration.

a) Scope of the quality management system

- 1) Principal products and their characteristics
- 2) Scale of the organization (total sales, number of employees, and capital)
- 3) Location of the organization

b) Understanding toward organizational capabilities

- 1) Management principles, vision, and mission
- 2) Technologies and knowledge the organization possesses and their level
- 3) Level of management
- 4) Level of capability for various management functions (planning, design and development, production and realization, marketing and sales, and partners)
- 5) Facilities and equipment ownership
- 6) Financial resources
- 7) Strengths of principal products and their reasons
- 8) Maturity level of the organization

c) Understanding toward people

- 1) Organizational culture
- 2) Level of freedom in authority and decision-making
- 3) Level of leadership
- 4) Educational and knowledge levels of employees
- 5) Types of employees
- 6) How knowledge is shared

d) Understanding toward the external environment

- 1) **Markets and customers** Principal requirements for key customers and market segments

2) Interested parties

- Key partners and their requirements
- Requirements of key investors and shareholders

3) Requirements from society

- Requirements under laws and regulations
- Environmental issues

4) Competitive environment

- Threat from new entries
- Threat from alternative products
- Power balance with customers
- Power balance with suppliers
- Competition within the industry

4.3 Execution of assessment The organization should execute assessment based on the contents of clause 5 “Maturity level of performance” and clause 6 “Assessment standards” of this Technical Report, considering the provisions described in **TR Q 0005** *Quality management system – Guidelines for sustainable growth*.

4.4 Follow-up on assessment The organization should improve its current maturity level in steps and improved organizational capabilities. Improvement in maturity level includes the following.

- a) Assess maturity level.
- b) Execute improvements/innovation program based on assessment in a).
- c) Improvements/innovation program is to be executed by continual rotation of the PDCA cycle at each level of maturity.
- d) Improvements/innovation is to be executed with customer value creation as standard.
- e) Utilize knowledge sharing, benchmarking, etc., in coming up with ideas on value creation.
- f) Measure personal capability and suitability scientifically and assigning each individual to jobs where he or she is able to work voluntarily.

5. Maturity level in performance The maturity level in performance used in this Technical Report is defined by assessment rating, based on the common maturity model shown in Table 1.

Table 1 Common maturity model

Level	Plan and execution	Results
1	Whether there are shortcomings in the plan and/or plan is not executed as planned.	Anticipated results are not produced. Ranks low among competitors.
2	Procedures pertaining to requirements of ISO 9001 are established and implemented.	Anticipated results are generally produced. Ranks are in the middle among competitors.
3	The organizational profile is clearly established, and effective plan, targeted to items for which action was identified as necessary, is planned and implemented.	Anticipated results are produced. Ranks are in the middle among competitors.
4	The organizational profile has been clearly established, and effective and efficient plan for the action items is planned, recognized as important, and implemented.	Anticipated results produced efficiently. Ranks high among competitors.
5	Innovative plan capable of adapting to environmental changes is planned, knowledge gained in the planning process is shared, knowledge is created, and reform implemented.	Anticipated results are produced efficiently regardless of management environment. Ranks are among the top excellence models compared to competitors.

Definition of terms used in Table 1:

effect: the level on which planned activities were implemented and anticipated results were realized.

efficiency: relationship between results realized and resources used.

6. Assessment standards

6.1 Quality management system (clause 4 in TR Q 0005 *Quality management system – Guidelines for sustainable growth*)

6.1.1 Management strategy and quality management system (4.1 in TR Q 0005 *Quality management system – Guidelines for sustainable growth*)

- 1) **Objective of assessment** The organization is to establish clearly its organizational profile based on management strategy and assess whether or not it has been able to build quality management system suitable for management of the organization.

2) Assessment perspectives

Table 2 Assessment perspectives
(Management strategy and quality management system)

	Assessment perspectives	Assessment indicators	
		Planning and execution	Performance
a)	Whether or not the organization has clearly established organizational profile suited to the area of business and build quality management system adapted to the management approach of the organization?	* Establish management strategy clearly * Establish organizational profile clearly * Determine form of quality management system	* General strategy, business strategy, and product strategy * Organizational profile * Quality management system that is consolidated on companywide basis, consolidated for specific business divisions, or integrated on companywide basis.

3) Maturity level

Table 3 Maturity level
(Management strategy and quality management system)

Level	Planning and execution	Performance
1	Planning for quality management system development has shortcomings, and activities for development have not been implemented.	Quality management system remains undeveloped.
2	Plan for quality management system development based on management strategy has been developed, and activities for development are being implemented.	Generally effective quality management system has been developed.
3	Organizational profile is clearly established, and the plan for quality management system development targeted to action items recognized as necessary to be implemented has been developed and implemented.	Effective quality management system adapted to the organizational profile has been developed.
4	Organizational profile is clearly established, and efficient plan for quality management system to be developed has been planned and implemented, with its importance recognized as well.	Effective quality management system adapted to the organizational profile has been developed efficiently.
5	Plan for development of an innovative quality management system capable of adapting to environmental changes has been developed, and knowledge gained through the planning process is shared, with knowledge created and reform implemented.	Quality management system adapted to the organizational profile has been developed efficiently as planned, regardless of the management environment.

6.1.2 Business strategy (4.2 in TR Q 0005)

- 1) **Assessment objective** Assessment is conducted on whether not the top management has effectively developed vision, disseminated it throughout the organization, and developed business strategy.
- 2) **Assessment perspectives**

Table 4 Assessment perspectives (Business strategy)

	Assessment perspectives	Assessment indicators	
		Planning and execution	Performance
a)	Has the top management developed management principles and vision?	* Vision planning and dissemination	* Vision * Top management involvement in vision planning and dissemination
b)	Has the top management developed business strategy?	* Business strategy planning	* Business strategy * Top management involvement in business strategy planning
c)	Has analysis been conducted for business strategy planning?	* Management environment analysis, product analysis, customer and market analysis, identification of key success factors, allocation of management resources, and risk analysis	* State of analysis for items described at left

3) Maturity level

Table 5 Maturity level (Business strategy)

	Planning and execution	Performance
1	Absence of plan for business strategy planning, and no action in business strategy planning.	No business strategy.
2	Plan for business strategy planning, and action taken on business strategy planning.	Business strategy developed as generally planned.
3	Organizational profile is clearly established, and effective plan for business strategy planning is found and developed to address action items recognized as necessary to be implemented.	Business strategy developed as planned.
4	Organizational profile is clearly established, and effective and efficient plan for business strategy planning is found and developed to address action items, with its importance recognized.	Business strategy developed efficiently as planned.
5	Innovative business strategy planning capable of adapting to environmental changes is found, knowledge gained through the planning process shared, and knowledge created, with reform implemented.	Business strategy developed efficiently as planned, regardless of management environment.

6.1.3 Quality management system planning (4.3 in TR Q 0005)

- 1) **Assessment objectives** Assessment is conducted on whether or not the organization has a clear organization profile and is capable of customizing quality management system to suit the organization.
- 2) **Assessment perspectives**

**Table 6 Assessment perspectives
(Quality management system planning)**

	Assessment perspectives	Assessment indicators	
		Planning and execution	Performance
a)	Whether or not organizational profile is clearly established?	* Clarification of scope of application for quality management system * Understanding toward organizational capabilities, people, and external environment	* Organizational profile suited to the organization.
b)	Whether quality management system that should be establish is clearly identified, with priorities established ?	* Establishment of scope of application, business strategy review, focus on organizational profile adjusted to business strategy and review into counteraction, and identification and weighing of factors in quality management system	* Quality management system customized to suit the organizational profile

3) Maturity level

**Table 7 Maturity level
(Quality management system planning)**

Level	Planning and execution	Performance
1	Shortcomings in plan to customize quality management system, and activities for customizing the system not implemented.	Quality management system is not customized.
2	Plan to customize quality management system exists, and activities for customizing the quality management system are being implemented.	Quality management system in general is customized.
3	Organizational profile is clearly established, and effective plan on quality management system, related to items recognized as requiring customization, is planned and implemented.	Quality management system is customized as planned.
4	Organizational profile is clearly established, and effective and efficient plan on quality management system, related to items that shall be customized, is planned and implemented, with its importance recognized.	Quality management system is customized effectively and as planned.
5	An innovative quality management system customization plan adapted to environmental changes is planned, knowledge gained in the planning process shared, and knowledge created with reform implemented.	Quality management system can be customized effectively and as planned, regardless of the management environment.

6.1.4 Establishment of quality management system (4.4 in TR Q 0005)

- 1) **Assessment objective** Assessment whether or not the organization is able to establish, implement and maintain quality management system.
- 2) **Assessment perspective**

**Table 8 Assessment perspectives
(Establishment of quality management system)**

	Assessment perspectives	Assessment indicators	
		Planning and execution	Performance
a)	Whether or not quality management system has been established, implemented, maintained, and its effectiveness and efficiency improved continually or innovated?	* Establishment of processes and their order and mutual relations * Establishment of goal and performance indicators clearly and confirmation of state of progress * Clear definition of monitoring, measurement, and improvement opportunities * Improvement of processes * Innovation of quality management system	* State of management of quality management system
b)	Whether or not to there is documentation for processes to be managed effectively and efficiently?	* Identification of necessary documents, including records	* Documentation system * Level of knowledge sharing * Level of application of organizational profile
c)	Whether or not documentation management is implemented for effective and efficient utilization of documents?	* Establishment of documentation management procedure	* Mechanisms for documentation management

3) Maturity level

**Table 9 Maturity level
(Establishment of quality management system)**

Level	Planning and execution	Performance
1	There are inadequacies in the plan to establish quality management system, and it is not implemented as planned.	Quality management system is not established.
2	There is a plan for establishing quality management system, and is being implemented as planned.	Quality management system in general is established.
3	Organizational profile is clearly established, and effective plan on items recognized as necessary for quality management system establishment is planned and implemented.	Quality management system is established as planned.
4	Organizational profile is clearly established, and effective and efficient plan on items recognized as necessary for quality management system establishment, is planned and implemented, with its importance recognized.	Quality management system is established effectively and as planned.
5	An innovative quality management system establishment plan adapted to environmental changes is planned, knowledge gained in the planning process shared, and knowledge created with reform implemented.	Quality management system can be established effectively and as planned, regardless of the management environment.

6.2 Learning and innovation (5 in TR Q 0005)

6.2.1 Learning (5.1 in TR Q 0005)

- 1) **Assessment objective** Assessment of mechanisms and activities for gathering and sharing personal knowledge and converting it into organizational knowledge. Also, assessment will be conducted on whether or not efforts are made to upgrade, elaborate, improve/innovate the mechanisms and activities.
- 2) **Assessment perspectives**

Table 10 Assessment perspectives (Learning)

	Assessment perspectives	Assessment indicators	
		Planning and execution	Performance
a)	Whether or not opportunities and resources are provided to personal learning and whether or not the organization has mechanisms for utilizing learning?	* Provide learning opportunities and resources * Mechanisms for utilizing learning	* Opportunities for personal learning and quantity/volume of resources provided * Learning mechanisms and their levels
b)	Whether or not the top management itself is engaged in learning and whether and not development of learning support and culture that learns is encouraged?	* Learning by the top management * Development of learning support and culture that learns	* Number and level of learning cases by top management * State of learning support * Level of learning culture
c)	Whether or not the venues are provided for learning and whether not vacillation is stimulated to create and utilize knowledge?	* Provide venues for learning * Create and utilize knowledge	* Number of learning venues and level of activity * Number of cases of knowledge creation * Level of knowledge utilization
d)	Whether or not a learning environment has been developed and whether or not tacit knowledge is shared, explicit knowledge created and tacit knowledge created?	* Build learning environment * Knowledge sharing and creation	* State of learning environment development * State of knowledge conversion
e)	Whether or not learning effect is measured?	* Measurement of learning effect	* Present/absence of learning effect measurement * Level of measurement
f)	Whether or not learning culture is rooted in the organization and success factors are utilized?	* Entrenchment of learning culture * Utilization of success factors	* State of entrenchment of learning culture * Level of utilization of success factors

3) Maturity level

Table 11 Maturity level (Learning)

Level	Planning and execution	Performance
1	No education/training plans. No understanding for learning.	No education/training programs. Learning not implemented.
2	Education/training been planned. Understanding for learning and its importance.	Education/training programs are found and evaluated, and their effect is confirmed. Learning is conducted by only part of the organization.
3	Effective plan based on organizational knowledge is planned and implemented. Organizational knowledge is dependent on certain personal knowledge base.	Environment is created for organizational learning. Effect of learning is felt in part of performance.
4	Organizational knowledge is utilized generally in management policy realization planning. Presence of environment and mechanisms for sharing personal knowledge and integration into organizational knowledge.	Performance is realized as planned, and organization ranking is among the top compared to competitors. Learning continuing on an organization wide basis and contributing to improvement in performance.
5	Plans for continual improvement and innovation founded on knowledge gained through organizational learning. Learning is entrenched in organizational culture.	Learning effect leading to continual improvement in organizational performance. Performance ranking is at the top compared to competitors.

6.2.2 Innovation (5.2 in TR Q 0005)

- 1) **Assessment objectives** In drastic environmental change or when aggregate of gradual changes exceeds the threshold limit, the organization faces the crisis of being unable to adapt, and innovation becomes necessary. For survival and continual development of the organization, assessment is conducted on mechanisms and activities in identifying and focusing on areas requiring innovation and promoting innovation.

2) Assessment perspectives

Table 12 Assessment perspectives (Innovation)

	Assessment perspectives	Assessment indicators	
		Planning and execution	Performance
a)	Whether or not targets of innovation narrowed down and selected?	* Selection of innovation targets	* Selection of appropriate target of innovation
b)	Whether or not there are innovations in technologies/products?	* Planning of innovative technology/product	* Absence/presence, number, and level of innovative technology/product
c)	Whether or not there is innovation in business model?	* Planning of innovative business model	* Absence/presence, number, and level of innovative business model
d)	Whether or not there are innovations in processes?	* Planning of innovative process	* Absence/presence, number, and level of innovative process
e)	Whether or not there is organizational innovation ? Whether or not factors of failure and success being utilized?	* Planning of organizational innovation * Utilization of factors of failure and success	* Success of innovation in organization * Level of utilization of failure and success factors
f)	Whether or not innovation procedure is established ? Whether or not innovation methodology is utilized?	* Planning of innovation procedure establishment * Planning of innovation methodology utilization	* Manual for innovation procedure/methodology * Level of utilization of innovation procedure/ methodology

3) Maturity level

Table 13 Maturity level (Innovation)

Level	Planning and execution	Performance
1	Procedure for continual improvement are not established. No awareness for innovation. Inadequate planning for action items.	No continual improvement. No awareness toward environmental changes. Results from plans are not assessed.
2	Procedure for continual improvement established. Plan for action items is developed. Innovation plan is not developed.	Continual improvement is conducted, contributing to performance improvement. Slow reaction to change. No innovation.
3	Effective planning of action items is planned and implemented. Innovation planning is conducted in part of organization.	Response made to visible and rapid changes but not to gradual changes. Innovation is taking place in part of the organization.
4	Presence of mechanisms to measure and analyze environmental changes. Effective and efficient plan on action items is developed and implemented.	Change is being forecast, or action taken ahead of change. Organization wide innovation is taking place, in addition to areas where anticipated results are produced.
5	Innovative planning is developed and implemented. Knowledge gathered and shared in the planning process is utilized in organizational knowledge.	Results of continuing innovation is improving performance continually, placing the organization at the top ahead of other competitors. Causing environmental change through self-innovation, and corporate culture of innovation is rooted in the organization.

6.3 Management responsibility (clause 6 in TR Q 0005)

6.3.1 Management commitment (6.1 in TR Q 0005)

- 1) **Assessment objective** Assessment is conducted on whether or not the top management shows commitment to the quality management system with its own actions.
- 2) **Assessment perspectives**

**Table 14 Assessment perspectives
(Management commitment)**

	Assessment perspectives	Assessment indicators	
		Planning and execution	Performance
a)	Whether or not the top management is showing its commitment to establishment and implementation of quality management system, as well as continual improvement and innovation in its effectiveness and efficiency	* Demonstration of its own responsibility and authority to ensure customer focus * Demonstration of its own responsibility and authority to fulfill social responsibility * Planning and deployment of quality policy * Provision of organizational mechanisms and resources necessary for implementing quality management system * Implementation of management review and strategic management review	* Systematic supply of management resources (investment value into activities) * Systematic supply of management resources (investment value in social contribution) * Level of involvement in quality policy development and deployment * Level of fulfillment in management of resources * Level of participation in reviews and number of effective outputs

3) Maturity level

Table 15 Maturity level (Management commitment)

Level	Planning and execution	Performance
1	Top management does not have plans pertaining to commitment, and not active in executing commitment.	Top management commitment is not recognized in the organization.
2	Top management has plans pertaining to commitment and is implementing it itself.	Top management provides management resources necessary in executing commitment, and its commitment is recognized in the organization.
3	Top management is involved in establishing clear organizational profile and has established and executed commitment based on the profile.	Items of commitment are executed without fail.
4	Top management is involved in establishing clear organizational profile and has established its commitment based on the profile and is executing it continually with recognition of its importance.	Top management is deeply involved in solid and effective action on items of commitment.
5	Top management has established commitment for continual improvement based on knowledge sharing and creation and has exercised leadership continually to deal with environmental changes.	Top management exercises leadership and is taking action on items of commitment without fail and with efficiency and continuity. All of the people in the organization recognize top management commitment.

6.3.2 Customer focus (6.2 in TR Q 0005)

- 1) **Assessment objective** Assessment is conducted on whether top management is actively involved in activities directed toward customer focus.
- 2) **Assessment perspective**

Table 16 Assessment prospective (Customer focus)

	Assessment perspectives	Assessment indicators	
		Planning and execution	Performance
a)	Whether or not top management provides with customer focus products based on customer needs and expectations and builds relations of trust with customers?	* Exercise leadership in systematic gathering of information for decision-making on customer demands, such as needs, expectations, and complaints * Exercise leadership in systematic gathering of information on product characteristics and provision methods that lead to repeat purchases and recommendations to others * Greater clarity in industry position based on comparison with competitors and benchmarking	* Level of management resources investment necessary for information gathering described at left * Level of action by top management based on information acquired * Level of management resources investment necessary for information gathering at left * Level of action by top management based on information acquired * Level of involvement of the top management pertaining to activities described at left

3) Maturity level

Table 17 Maturity level (Customer focus)

Level	Planning and execution	Performance
1	Top management's action plan on customer focus activity is vague, and involvement is not systematic.	Top management is not involved in customer focus activities.
2	Top management action plan for customer focus action is in place, and top management is involved in customer focus activity based on the plan.	Top management is implementing customer focus activities in general as planned.
3	There is clear organizational profile, and top management recognizes importance of customer focus activities based on the profile, develops action plans, and is actively involved in efficient customer focus activities	Top management is implementing customer focus activities adapted to the organizational profile as planned, and anticipated results are produced.
4	Organizational profile is clearly established, and top management recognizes the importance of customer focus activity based on the profile, develops action plans and is actively involved in efficient customer focus activity.	Top management's customer focus activities adapted to organizational profile are conducted efficiently.
5	Innovative process to provide products that are one step ahead of customer needs and expectations has been established, based on knowledge sharing and creation, and top management is implementing systematically customer focus activities aimed at continual improvement of customer satisfaction and relations of trust with customers.	Top management implements customer focus activities adapted to organizational profile as planned, efficiently and continually, regardless of the management environment.

6.3.3 Social responsibility (6.3 in TR Q 0005)

- 1) **Assessment objective** Assessment is conducted whether or not the top management is actively involved in activities to fulfill social responsibility.
- 2) **Assessment perspectives**

Table 18 Assessment perspectives (Social responsibility)

	Assessment perspectives	Assessment indicators	
		Planning and execution	Performance
a)	Whether or not the top management contributes as member of society to social development, is trusted and respected by society, and has built organization for coexistence?	* Understanding of current and future impact on society * Understanding of social needs and expectations	* Level of top management involvement * Level of top management action regarding items at left
b)	Whether or not the top management is improving transparency of important management items both inside and outside the organization?	* Leadership in transparency, consistency, and fairness of rules inside the organization * Leadership in transparency of organizational activities outside the organization	* Level of top management involvement * Transparency of organizational activities related to organizational ethics * State of equal employment opportunities * State of information disclosure * State of accountability toward investors and shareholders
c)	Whether or not the top management is working on protection of the global environment and reducing environmental impact?	* Leadership in activities to minimize environmental impact	* Level of top management involvement * Level of performance realization in various activities (conservation of resources in product life cycle, pollution control, recycling/reuse, recycling, waste reduction, distribution efficiency, promotion of environmental awareness)
d)	Whether or not the top management supports actively the local society to which the organization belongs and promotes activities for prosperity together with society?	* Top management leadership in social contribution activities	* State of profit reimbursement, such as amount of tax payment * State of employment and job turnover * State of support to local community, industrial world, external organizations, and volunteer activities * State of investments in cultural activities * State of availability of organization-owned facilities for public activities