

TECHNICAL REPORT

ASQ Z1 TR1– 2012

**GUIDELINES FOR PERFORMING  
A SELF-ASSESSMENT OF A  
QUALITY MANAGEMENT SYSTEM**

Related to ANSI/ISO/ASQ 9004:2009

This is a preview of "ASQ Z1 TR-2012". [Click here to purchase the full version from the ANSI store.](#)

ASQ Z1 TR1– 2012

**GUIDELINES FOR PERFORMING  
A SELF-ASSESSMENT OF A  
QUALITY MANAGEMENT SYSTEM**

Related to ANSI/ISO/ASQ 9004:2009



## COPYRIGHT PROTECTED DOCUMENT

© 2012 by ASQ

*Copyright Protection Notice for the ASQ/ANSI/ISO 9004:2009 Standard.*

This document is subject to copyright claims of ISO, ANSI, and ASQ. Not for resale. No part of this publication may be reproduced in any form, including an electronic retrieval system, without the prior written permission of ASQ. All requests pertaining to the ASQ/ANSI/ISO 9004:2009 Standard should be submitted to ASQ.

**Note:** As used in this document, the term "International Standard" refers to the American National Standard adoption of this and other International Standards.

ASQ will consider requests for change and information on the submittal of such requests regarding this Standard. All requests should be in writing to the attention of the Standards Administrator at the address below.

**ASQ Mission:** The American Society for Quality advances individual and organizational performance excellence worldwide by providing opportunities for learning, quality improvement, and knowledge exchange.

### PDF disclaimer

This PDF file may contain embedded typefaces. In accordance with Adobe's licensing policy, this file may be viewed but shall not be edited or printed. In downloading this file, parties therein accept the responsibility of not infringing on Adobe's licensing policy. ASQ accepts no liability in this area.

Adobe is a trademark of Adobe Systems Incorporated.

Details of the software products used to create this PDF file can be found in the General Info relative to the file; the PDF-creating parameters were optimized for printing. Every care has been taken to ensure that the file is suitable for use by our customers. In the unlikely event that a problem relating to it is found, please inform ASQ at the address below.

Published by:



Quality Press  
600 N. Plankinton Ave.  
Milwaukee, WI 53203-2914  
E-mail: [standards@asq.org](mailto:standards@asq.org)

**The Global Voice of Quality™**

## CONTENTS

<b>Foreward and background</b> .....	1
<b>Guidelines for performing a quality management system self-assessment</b> .....	2
<b>General</b> .....	2
<b>The self-assessment process</b> .....	4
Performance maturity levels .....	4
Table A – Performance maturity levels .....	4
<b>A model for conducting a self-assessment</b> .....	4
<b>Conducting a self-assessment – A step-by-step model</b> .....	6
Table B – Questions an assessor can consider in planning and conducting a self-assessment to the contents of ISO 9004:2009 .....	7
<b>Clause 4 – Managing for the sustained success of an organization</b> .....	7
4.1 General .....	7
4.2 Sustained success .....	8
4.3 The organization’s environment .....	8
4.4 Interested parties, needs and expectations .....	8
<b>Clause 5 – Strategy and policy</b> .....	8
5.1 General .....	8
5.2 Strategy and policy formation .....	9
5.3 Strategy and policy deployment .....	9
5.4 Strategy and policy communication .....	9
<b>Clause 6 – Resource management</b> .....	9
6.1 General .....	9
6.2 Financial resources .....	10
6.3 People in the organization .....	10
6.4 Suppliers and partners .....	10
6.5 Infrastructure .....	10
6.6 Work environment .....	11
6.7 Knowledge, information and technology .....	11
6.8 Natural resources .....	11
<b>Clause 7 – Process management</b> .....	11
7.1 General .....	11
7.2 Process planning and control .....	12
7.3 Process responsibility and authority .....	12
<b>Clause 8 – Monitoring, measurement, analysis and review</b> .....	12
8.1 General .....	12
8.2 Monitoring .....	12
8.3 Measurement .....	13
8.4 Analysis .....	14
8.5 Review of information from monitoring, measurement and analysis .....	14
<b>Clause 9 – Improvement, innovation and learning</b> .....	14
9.1 General .....	14
9.2 Improvement .....	14
9.3 Innovation .....	15
9.4 Learning .....	15
<b>Documentation of self-assessment results</b> .....	15
Table C – Example of the recording of self-assessment results .....	16

*(This page intentionally left blank.)*

# Guidelines for performing a self-assessment of a quality management system

## Foreward and background

Publication of this Technical Report registered with the American National Standards Institute (ANSI) has been approved by an accredited standards developer—the American Society for Quality (ASQ), 600 N. Plankinton Ave., Milwaukee, WI 53203, USA.

This document is registered as a Technical Report according to the ANSI Procedures for the Registration of Technical Reports.

This document is not an American National Standard and the material contained herein is not normative in nature. Comments on the content of this document should be sent to the American Society for Quality.

In 2009, the International Organization for Standardization (ISO) released a new edition of ISO 9004 titled “*Managing for the sustained success of an organization – A quality management approach*”.

The thrust of the 2009 edition of ISO 9004 goes beyond stating minimum requirements for a quality management system (QMS) and even beyond being a guideline for performance improvements. It was designed and developed to provide guidance on establishing, deploying and improving processes that will ensure the sustainable success of an organization.

ISO 9004:2009 articulates QMS elements that should be considered to ensure the long term sustainability of an organization.

Self-assessment is described in ISO 9000:2005—Quality management systems – Fundamentals and vocabulary, and is emphasized as important in ISO 9004:2009.

The U.S. Technical Advisory Group to ISO Technical Committee 176 (U.S. TAG to ISO/TC 176) has identified a need to improve the self-assessment approach and annex included in ISO 9004:2009 to ensure it is easy to use—especially by small and medium size enterprises (SME’s). *For details on the content of ISO 9004:2009 related to self-assessment see sub-clause 8.3.4 and Annex A – Self-assessment tool in ISO 9004:2009.*

Members of the U.S. TAG to ISO/TC 176 created this Technical Report to provide users with an alternative to the ISO 9004 self-assessment text and annex.

This Technical Report is intended to make it easier for small and medium-sized organizations in the USA to conduct self-assessments.