INTERNATIONAL STANDARD

ISO 9004-2

Quality management and quality system elements —

Part 2:
Guidelines for services

Gestion de la qualité et éléments de système qualité —

Partie 2: Lignes directrices pour les services

Contents

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

International Standard ISO 9004-2 was prepared by Technical Committee ISO/TC 176, *Quality management and quality assurance*.

ISO 9004 consists of the following parts, under the general title *Quality management and quality system elements*:

— *Part 1: Guidelines*

— *Part 2: Guidelines for services*

— *Part 3: Guidelines for processed materials*

— *Part 4: Guidelines for quality improvement*

— *Part 5: Guidelines for quality plans*

— *Part 6: Guide to quality assurance for project management*

— *Part 7: Guidelines for configuration management*

Part 1 will be a revision of ISO 9004:1987. Parts 3 to 6 are in preparation.

Annexes A, B and C of this part of ISO 9004 are for information only.

Introduction

Quality and customer satisfaction are important subjects receiving increasing attention worldwide. This part of ISO 9004 provides a response to this awareness and seeks to encourage organizations and companies to manage the quality aspects of their service activities in a more effective manner.

This part of ISO 9004 builds on the quality management principles given in the ISO 9000 to ISO 9004 series. It recognizes that a failure to meet quality objectives can have consequences that may adversely affect the customer, the organization and society. It further recognises that it is a management responsibility to ensure that such failures are prevented.

The creation and maintenance of quality in an organization is dependent upon a systematic approach to quality management aimed at ensuring that customer needs are understood and met. The achievement of quality necessitates a commitment to quality principles at all levels in the organization and a continual review and improvement of the established system of quality management based on feedback of the customer's perception of the service provided.

The successful application of quality management to a service provides significant opportunities for

— improved service performance and customer satisfaction,

— improved productivity, efficiency and cost reduction, and

— improved market share.

To achieve these benefits, a quality system for services should also respond to the human aspects involved in the provision of a service by

— managing the social processes involved in a service,

— regarding human interactions as a crucial part of service quality,

— recognizing the importance of a customer's perception of the organization's image, culture and performance,

— developing the skills and capability of personnel, and

— motivating personnel to improve quality and to meet customer expectations.

Quality management and quality system elements —

Part 2:
Guidelines for services

1 Scope

This part of ISO 9004 gives guidance for establishing and implementing a quality system within an organization. It is based on the generic principles of internal quality management described in ISO 9004:1987 and provides a comprehensive overview of a quality system specifically for services.

This part of ISO 9004 can be applied in the context of developing a quality system for a newly offered or modified service. It can also be applied directly when implementing a quality system for an existing service. The quality system embraces all the processes needed to provide an effective service, from marketing to delivery, and includes the analysis of service provided to customers.

The concepts, principles and quality system elements described are applicable to all forms of service, whether solely of a service character or in combination with the manufacture and supply of a product. This can be shown as a continuum ranging from a situation where the service is directly related to a product to a situation where there is little product involved. Figure 1 illustrates this concept for three types of service.

NOTE 1 Equipment or facilities may also be directly involved in providing a service, for example, vending machines or automatic banking machines.

The concepts and principles in this part of ISO 9004 are appropriate to large and small organizations. Although the small service organization will not have, nor need, the complex structure necessary in the larger enterprise, the same principles apply. The difference is simply one of scale.

Primarily, the customer will be the ultimate recipient of the service external to the organization. Frequently though, the customer can be internal within the or-ganization; this is especially so in larger organizations where the customer can be at a subsequent stage in the provisioning process. While this part of ISO 9004 is written principally with respect to external customers, it can also apply to internal customers for overall achievement of the required quality.

The selection of operational elements and the extent to which they are applied depends on such factors as the market being served, the options of the organization, the nature of the service, the service processes and the customer needs.

Annex A is for information only, and gives examples of services to which this part of ISO 9004 may be applied. The examples include service activities inherently performed in product manufacturing industries.
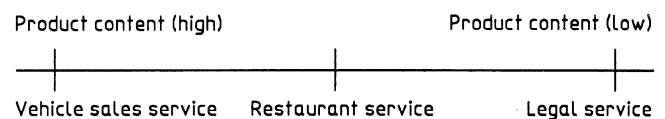

Product content (high) | | | Product content (Low)

Vehicle sales service Restaurant service Legal service

Figure 1 — Product content in a service continuum

2 Normative references

The following standards contain provisions which, through reference in this text, constitute provisions of this part of ISO 9004. At the time of publication, the editions indicated were valid. All standards are subject to revision, and parties to agreements based on this part of ISO 9004 are encouraged to investigate the possibility of applying the most recent editions of the standards indicated below. Members of IEC and ISO

maintain registers of currently valid International Standards.

ISO 8402:1986, *Quality — Vocabulary*.

ISO 9000:1987, *Quality management and quality assurance standards — Guidelines for selection and use*.

ISO 9004:1987, *Quality management and quality system elements — Guidelines*.

3 Definitions

For the purposes of this International Standard, the definitions given in ISO 8402, together with the following definitions, apply.

NOTES

2 The term "service organization" is also used to denote "supplier", as appropriate.

3 To provide clearer guidance, some existing definitions (without notes) are repeated with the source given in brackets.

3.1 organization: A company, corporation, firm, enterprise or association, or part thereof, whether incorporated or not, public or private, that has its own function(s) and administration.

3.2 supplier: An organization that provides a product or a service to a customer.

NOTE 4 The supplier is sometimes referred to as a "business first party".

3.3 sub-contractor: A supplier to the service organization in a contractual situation.

3.4 customer: The recipient of a product or a service.

NOTES

5 A customer may be, for example, the ultimate consumer, user, beneficiary or puchaser.

6 A customer is sometimes referred to as a "business second party".

7 A customer may be a unit within the service organization.

3.5 service: The results generated, by activities at the interface between the supplier and the customer and by supplier internal activities, to meet customer needs.

NOTES

8 The supplier or the customer may be represented at the interface by personnel or equipment.

9 Customer activities at the interface with the supplier may be essential to the service delivery.

10 Delivery or use of tangible product may form part of the service delivery.

11 A service may be linked with the manufacture and supply of tangible product.

3.6 service delivery: Those supplier activities necessary to provide the service.

3.7 quality: The totality of features and characteristics of a product or service that bear on its ability to satisfy stated or implied needs. [ISO 8402]

3.8 quality policy: The overall quality intentions and direction of an organization as regards quality, as formally expressed by top management. [ISO 8402]

3.9 quality management: That aspect of the overall management function that determines and implements the quality policy. [ISO 8402]

3.10 quality system: The organizational structure, responsibilities, procedures, processes and resources for implementing quality management. [ISO 8402]

4 Characteristics of services

4.1 Service and service delivery characteristics

The requirements of a service need to be clearly defined in terms of characteristics that are observable and subject to customer evaluation.

The processes that deliver a service also need to be defined in terms of characteristics that may not always be observable by the customer, but directly affect service performance.

Both types of characteristic need to be capable of evaluation by the service organization against defined standards of acceptability.

A service or service delivery characteristic may be quantitative (measurable) or qualitative (comparable), depending on how it is evaluated and whether the evaluation is done by the service organization or the customer.

NOTE 12 Many qualitative characteristics subjectively evaluated by customers are candidates for quantitative measurement by the service organization.

Examples of characteristics that might be specified in requirement documents include:

— facilities, capacity, number of personnel and quantity of materials;

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— waiting time, delivery time and process times;

— hygiene, safety, reliability and security;

— responsiveness, accessibility, courtesy, comfort, aesthetics of environment, competence, dependability, accuracy, completeness, state of the art, credibility and effective communication.

4.2 Control of service and service delivery characteristics

In most cases the control of service and service delivery characteristics can only be achieved by controlling the process that delivers the service. Process performance measurement and control are therefore essential to achieve and maintain the required service quality. While remedial action is sometimes possible during service delivery, it is usually not possible to rely on final inspection to influence service quality at the customer interface where customer assessment of any nonconformity is often immediate.

The service delivery process may range from being highly mechanized (as in a directly dialled telephone call) to one that is highly personalized (as in services such as legal, medical or consultancy). The more definable the process, whether by mechanization or by detailed procedures, the greater the opportunity to apply structured and disciplined quality system principles.

5 Quality system principles

5.1 Key aspects of a quality system

Figure 2 illustrates that the customer is the focal point of the three key aspects of a quality system. It also illustrates that customer satisfaction can only be assured when there is harmony of interaction between the management responsibility, the personnel and material resources and the quality system structure.

5.2 Management responsibility

5.2.1 General

Management is responsible for establishing a policy for service quality and customer satisfaction. Successful implementation of this policy is dependent upon management commitment to the development and effective operation of a quality system.

5.2.2 Quality policy

The responsibility for and commitment to a quality policy for the service organization belongs to the highest level of management. Management should develop and document a quality policy relating to the following:

— grade of service to be provided;

— service organization's image and reputation for quality;

— objectives for service quality;

— approach to be adopted in pursuit of quality objectives;

— role of company personnel responsible for implementing the quality policy.

Management should ensure that the quality policy is promulgated, understood, implemented and maintained.
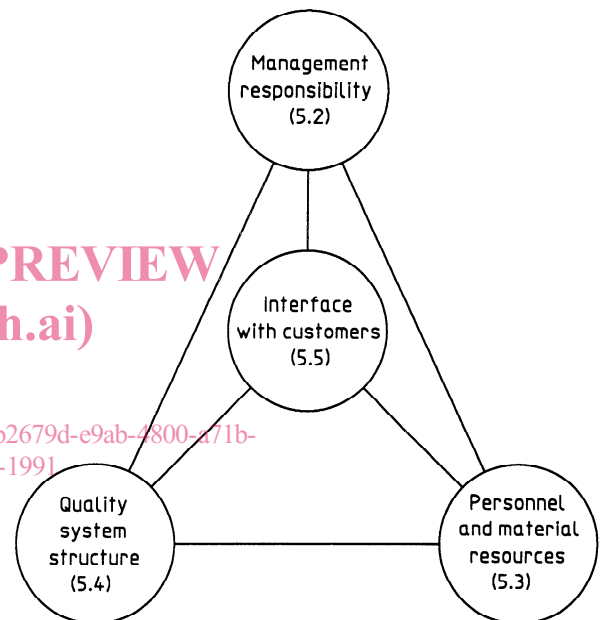

Figure 2 — Key aspects of a quality system

5.2.3 Quality objectives

The realization of a quality policy requires the identification of primary goals for establishing quality objectives. Primary goals should include:

— customer satisfaction consistent with professional standards and ethics;

— continuous improvement of the service;

— giving consideration to the requirements of society and the environment;

— efficiency in providing the service.

Management should translate the primary goals into a set of quality objectives and activities. Examples of these are:

— clear definition of customer needs with appropriate quality measures;

— preventive action and controls to avoid customer dissatisfaction;

— optimizing quality-related costs for the required performance and grade of service;

— creation of a collective commitment to quality within the service organization;

— continuous review of service requirements and achievements to identify opportunities for service quality improvement;

— prevention of adverse effects by the service organization on society and the environment.

5.2.4 Quality responsibility and authority

To achieve the quality objectives, management should establish a quality system structure for the effective control, evaluation and improvement of service quality throughout all stages of the provision of a service.

General and specific responsibility and authority should be explicitly defined for all personnel whose activities influence service quality. This should include ensuring effective customer/supplier relationships at all interfaces within, and external to, the service organization. The responsibility and authority defined should be consistent with the means and methods necessary for achieving service quality.

Senior management should be responsible for ensuring that the requirements for a quality system are developed. They should retain responsibility or designate a management representative responsible for ensuring that the quality system is established, audited, continually measured and reviewed for improvement.

While personnel with specific designated responsibilities can be instrumental in the attainment of quality, it should be stressed that it is not these personnel who create quality. They are only part of the quality system. The scope of the quality system encompasses all of the functions, and requires the involvement, commitment and effective interworking of all personnel in the service organization to achieve continuous improvement.

5.2.5 Management review

Management should provide for formal periodic and independent reviews of the quality system in order to determine its continuing suitability and effectiveness in implementing the quality policy and achieving the

quality objectives. Particular emphasis should be placed on the need or opportunity for improvement. The reviews should be carried out by appropriate members of management or by competent, independent personnel reporting directly to senior management.

Management reviews should consist of well-structured and comprehensive evaluations encompassing all relevant sources of information, including:

— findings of service performance analysis; i.e. information on the overall effectiveness and efficiency of the service delivery process in achieving service requirements and customer satisfaction (see 6.4);

— findings of internal audits on the implementation and effectiveness of all elements of the quality system in meeting stated objectives for service quality (see 6.4.4);

— changes brought about by new technologies, quality concepts, market strategies and social or environmental conditions.

Observations, conclusions and recommendations reached as a result of a review and evaluation should be submitted in documentary form to management for necessary action in establishing a programme for service quality improvements.

5.3 Personnel and material resources

5.3.1 General

Management should provide sufficient and appropriate resources to implement the quality system and achieve the quality objectives.

5.3.2 Personnel

5.3.2.1 Motivation

A most important resource in any organization is that of the individual members of personnel involved. This is especially important in a service organization where the behaviour and performance of individuals directly impacts on the quality of service.

As a spur to the motivation, development, communication and performance of personnel, management should:

— select personnel on the basis of capability to satisfy defined job specifications;

— provide a work environment that fosters excellence and a secure work relationship;

— realize the potential of every member of the organization by consistent, creative work methods and opportunities for greater involvement;

— ensure that the tasks to be performed and the objectives to be achieved are understood, including how they affect quality;

— see that all personnel feel that they have an involvement and influence on the quality of service provided to customers;

— encourage contributions which enhance quality by giving due recognition and reward for achievement;

— periodically assess the factors which motivate personnel to provide quality of service;

— implement career planning and development of personnel;

— establish planned actions for updating the skills of personnel.

5.3.2.2 Training and development

Education brings awareness of the need for change and provides the means whereby change and development can be accomplished.

Important elements in the development of personnel include:

— training executives in quality management, including quality-related costs and evaluation of the effectiveness of the quality system;

— training of personnel (this should not be restricted to those solely concerned with quality responsibilities);

— education of personnel on the service organization's quality policy, objectives and concepts of customer satisfaction;

— a quality-awareness programme which may include instruction and training courses for new entrants, and periodic refresher programmes for longer-serving personnel;

— procedures for specifying and verifying that personnel have received suitable training;

— training in process control, data collection and analysis, problem identification and analysis, corrective action and improvement, team working and communication methods;

— the need to assess carefully the personnel requirements for formal qualifications and give appropriate assistance and encouragement where necessary;

— the performance evaluation of personnel to assess their development needs and potential.

5.3.2.3 Communication

Service personnel, especially those directly involved with the customer, should have adequate knowledge and the necessary skills in communication. They should be capable of forming a natural work team able to interact appropriately with external organizations and representatives to provide a timely and smooth running service.

Team activities, such as quality improvement forums, can be effective for improving communication between personnel and can provide an opportunity for supportive participation and cooperation in solving problems.

Regular communication within the service organization should be a feature at all levels of management. The existence of an appropriate information system is an essential tool for communication and for service operations. The methods of communication may include:

— management briefings;

— information exchange meetings;

— documented information;

— information technology facilities.

5.3.3 Material resources

The material resources required for service operations may include:

— service provisioning equipment and stores;

— operational needs, such as accomodation provisions, transport and information systems;

— quality-assessment facilities, instrumentation and computer software;

— operational and technical documentation.

5.4 Quality system structure

5.4.1 General

The service organization should develop, establish, document, implement and maintain a quality system as a means by which stated policies and objectives for service quality may be accomplished. The operational elements of a quality system are described in clause 6.

The quality system elements should be structured to establish adequate control and assurance over all operational processes affecting service quality.

The quality system should emphasize preventive actions that avoid the occurrence of problems while not sacrificing the ability to respond to and correct failures, should they occur.

5.4.2 Service quality loop

Quality system procedures should be established to specify the performance requirements for all service processes including the three main provisioning processes (marketing, design and service delivery) which can be shown to be operating in a service quality loop, as illustrated in figure 3.

The quality of service as seen by the customer is directly influenced by these processes as well as by actions arising from those service quality feedback measures which contribute to service quality improvements, namely:

— supplier's assessment of the service provided;

— customer's assessment of the service received;

— quality audits of the implementation and effectiveness of all elements of the quality system.

Quality feedback should also be established between interacting elements in the quality loop.
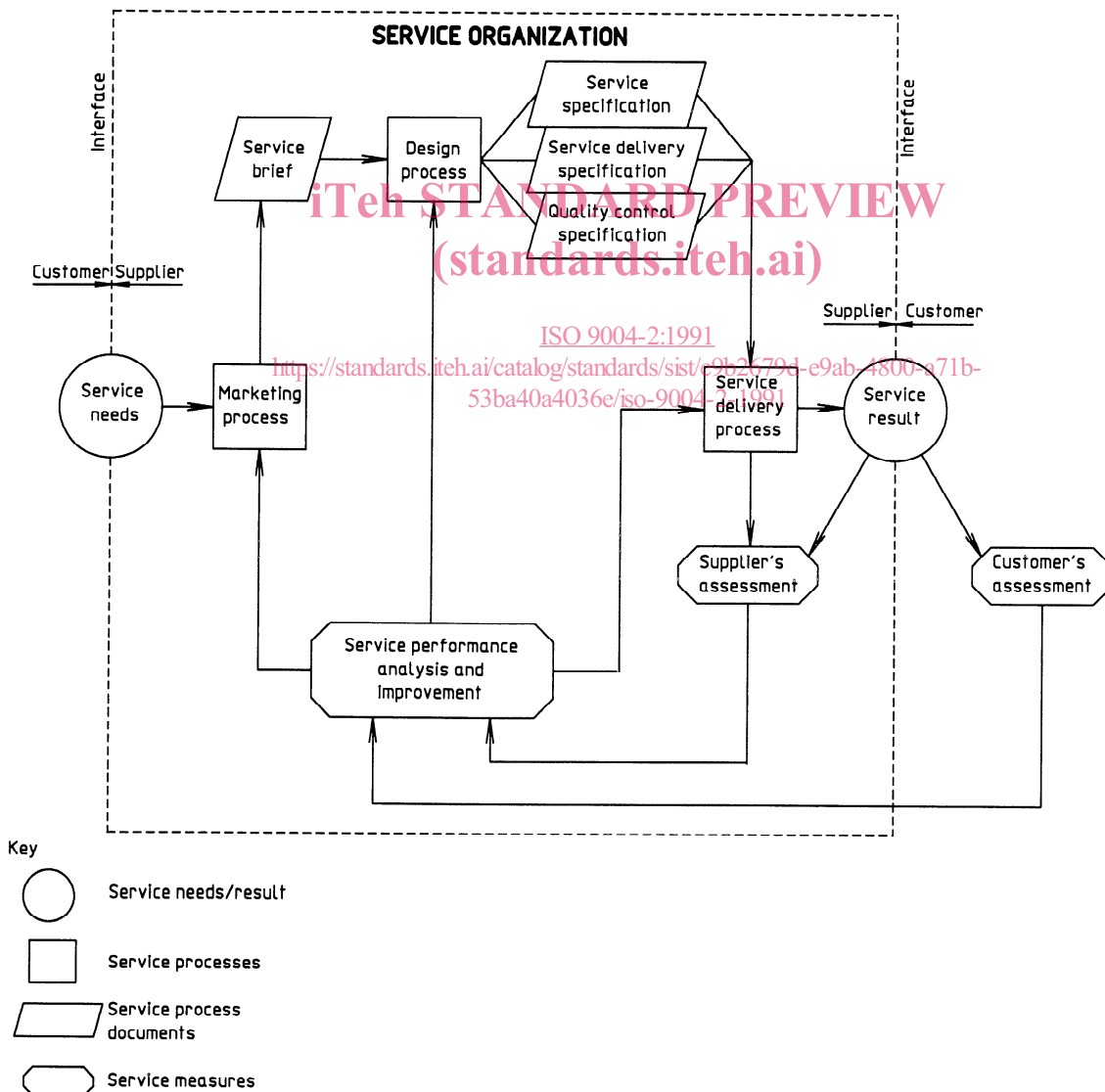

Figure 3 — Service quality loop

5.4.3 Quality documentation and records

5.4.3.1 Documentation system

All service elements, requirements and provisions incorporated in the quality system should be defined and documented as part of the service organization's overall documentation. Appropriate quality system documentation includes the following.

a) Quality manual: This should provide a description of the quality system as a permanent reference.

It should contain

— the quality policy;

— the quality objectives;

— the structure of the organization, including responsibilities;

— a description of the quality system, including all elements and provisions that form part of it;

— the quality practices of the organization;

— the structure and distribution of the quality system documentation.

b) Quality plan: This should describe the specific quality practices, resources and the sequence of activities relevant to a particular service.

c) Procedures: These are written statements which specify the purpose and scope of activities in the service organization to meet customer needs. They define how the activities are to be conducted, controlled and recorded.

Procedures should be agreed, be accessible to personnel and understood by all those who interface with their operation.

d) Quality records: These provide information

— on the degree of achievement of the quality objectives;

— on the level of customer satisfaction and dissatisfaction with the service;

— about the results of the quality system for review and improvement of the service;

— for analysis to identify quality trends;

— for corrective action and its effectiveness;

— on appropriate sub-contractors' performance;

— on the skills and training of personnel;

— on competitive comparisons.

The quality records should be

— verified as valid;

— readily retrievable;

— retained for a designated period;

— protected from damage, loss and deterioration while in storage.

Management should establish the policy for access to quality records.

5.4.3.2 Documentation control

All documentation should be legible, dated (including revision dates), clear, readily identifiable and carry authorization status.

Methods should be established to control the issue, distribution and revision of documents. The methods should ensure that documents are:

— approved by authorized personnel;

— released and made available in the areas where the information is needed;

— understood and acceptable to users;

— reviewed for any necessary revision;

— removed when obsolete.

5.4.4 Internal quality audits

Internal quality audits should be performed periodically to verify the implementation and effectiveness of the quality system and adherence to the service specification (see 6.2.3), the service delivery specification (see 6.2.4) and the quality control specification (see 6.2.5).

Internal quality audits should be planned, performed and recorded in accordance with documented procedures by competent personnel who are independent of the specific activities or areas being audited.

Audit findings should be documented and submitted to senior management. Management responsible for the activity being audited should ensure that necessary and appropriate corrective actions are taken in respect of the audit findings.

Implementation and effectiveness of corrective actions resulting from previous audits should be assessed.

NOTE 13   ISO 10011-1 is recommended for further information and guidance on quality audits.