
Quality management — Guidelines on people involvement and competence

*Management de la qualité — Lignes directrices pour l'implication et les
compétences du personnel*

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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.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. 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.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 10018 was prepared by Technical Committee ISO/TC 176, *Quality management and quality assurance*, Subcommittee SC 3, *Supporting technologies*.

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Introduction

0.1 General

The overall performance of a quality management system and its processes ultimately depends on the involvement of competent people and whether they are properly introduced and integrated into the organization. The involvement of people is important in order for an organization's quality management system to achieve outcomes which are consistent and aligned with their strategies and values. It is critical to identify, develop and evaluate the knowledge, skills, behaviour and work environment required for the effective involvement of people with the necessary competence.

This International Standard provides guidelines for human factors which influence people involvement and competence, and creates value that helps to achieve the organization's objectives.

0.2 Relationship with quality management systems

The quality management system standards developed by ISO/TC 176 are based on the quality management principles described in ISO 9000.

The correlation between this International Standard and ISO 9001 facilitates people's involvement and competence within the quality management system. However, this International Standard can also be used with other management systems.

0.3 Process-based approach to people involvement and competence

This International Standard is based on a strategic process-based approach (see Figure 1) for developing the involvement and competence of people at all levels of the organization.

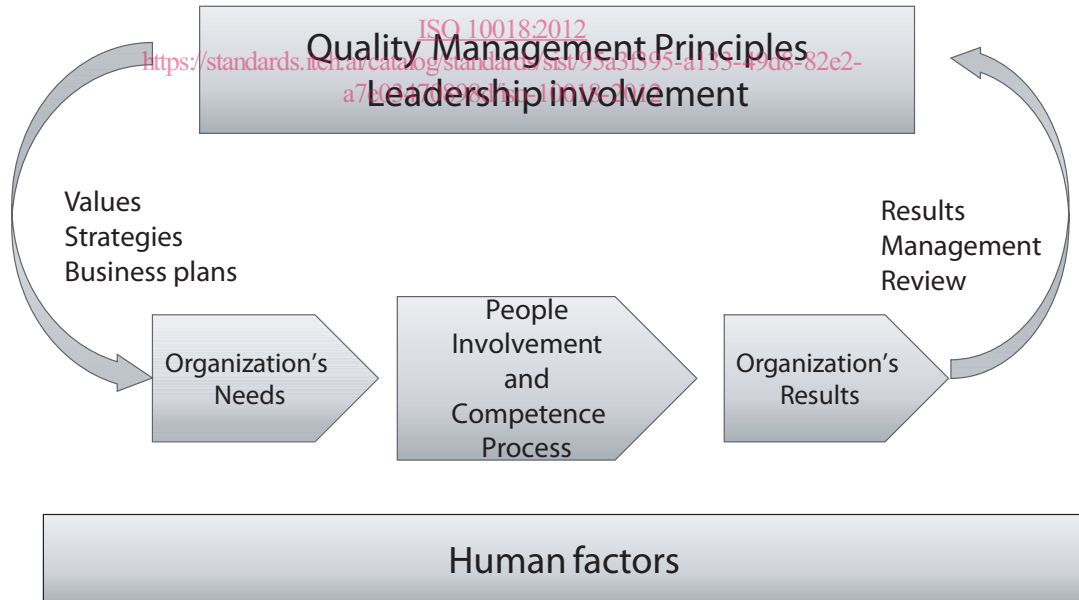


Figure 1 — Strategic process for people involvement and competence

The process model (see Figure 2) illustrates tactical actions, results and plans for people involvement and competence.

If people involvement and competence are monitored, measured and analysed within the quality management system, this produces results which enable top management to make decisions for improvement, thus leading to enhanced levels of customer satisfaction.

0.4 Using this International Standard

Clause 4 describes the processes which an organization can use to implement and maintain people involvement and competence in quality management systems.

The factors described in 4.6 provide actions which may be taken to strengthen people involvement. The guidelines in Clauses 5 to 8 provide the specific actions which can be taken to meet individual quality management system requirements, such as those specified in ISO 9001.

This International Standard provides guidance to leaders, managers, supervisors, quality practitioners, quality management representatives and human resources managers.

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Quality management — Guidelines on people involvement and competence

1 Scope

This International Standard provides guidance on engaging people in an organization's quality management system, and on enhancing their involvement and competence within it. This International Standard is applicable to any organization, regardless of size, type, or activity.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 9000, *Quality management systems — Fundamentals and vocabulary*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 9000 and the following apply.

3.1

competence

ability to apply knowledge and skills to achieve intended results

NOTE 1 Continuing application of competence can be affected by the work environment with all its variations, pressures, relationships and conflicts that can affect, for example, attitude and commitment to apply the relevant knowledge and skills.

NOTE 2 Competence requirements are more than academic qualifications, training and experience. They define the results or outcomes to be achieved for a particular job, the performance criteria or standards to be achieved, the evidence required and the method of obtaining it.

NOTE 3 Competences referenced in this International Standard apply both to people within an organization and those outsourced.

3.2

competence acquisition

process to ensure that **competence** (3.1) is attained by a person, a group of people, or an organization

NOTE In order to ensure the needs and objectives of the organization are being met, it can be necessary to have a continual programme of competence acquisition.

3.3

competence development

process to increase the competence of a person, a group of people, or an organization

3.4

human factors

physical or cognitive characteristics, or social behaviour, of a person

NOTE Human factors can have a significant influence on the interaction within, and the functioning of, management systems.

3.5

involvement

engagement in, and contribution to, shared objectives

4 Management of people involvement and competence

4.1 General

This clause provides a process and guidelines for developing people involvement and competence. Organizations can use these guidelines to ensure long-term commitment to involvement and competence.

4.2 Leadership involvement and strategy

Effective quality management systems require leaders to be visibly involved in achieving the people involvement and competence objectives.

Leaders should encourage people to assume responsibilities and create conditions which enable people to achieve desired results, ensuring relevant statutory and regulatory requirements are met.

Leaders should demonstrate their commitment to people involvement and competence by:

- a) establishing strategies, policies and objectives;
- b) defining responsibilities and authorities;
- c) ensuring understanding of customers' needs and expectations;
- d) determining personnel requirements, such as knowledge, skills and behaviour;
- e) assessing resource requirements, such as infrastructure, work environment and work conditions;
- f) providing the resources required;
- g) encouraging communication.

4.3 People involvement and competence acquisition process

Competence can be addressed in development plans which also contribute to people involvement. The process for people involvement and competence acquisition is described in Figure 2.

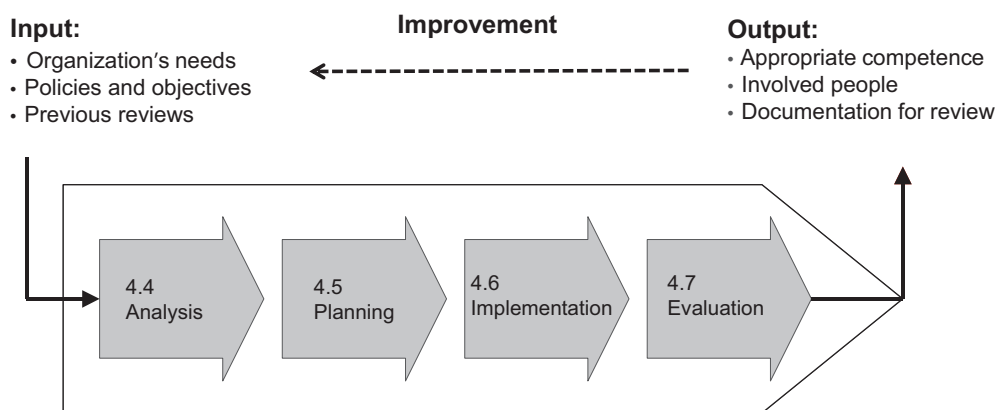


Figure 2 — Development process of people involvement and competence acquisition within an organization

The process is based on the four steps outlined below:

- a) analysis (see 4.4): data are collected and analysed in relation to the organization's short- and long-term objectives for people involvement and competence;
- b) planning (see 4.5): procedures are established and maintained to plan the people involvement and competence acquisition process on an organizational, group and individual level;

- c) implementation (see 4.6): the plans and associated actions are implemented in order to achieve the objective of people involvement and competence;
- d) evaluation (see 4.7): plans, actions and outcomes are reviewed and evaluated for continual improvement.

There should be a review carried out at every step to ensure that the input and output data are correct. These steps apply to all levels of the organization, group and individual.

4.4 Analysis of people involvement and competence acquisition

4.4.1 Needs identification

The organization should identify its short- and long-term people involvement and competence needs at planned intervals. The identification of needs may include organizational strategies, values, business plans, policies and input from interested parties, such as customers.

The identification process will begin by evaluating the current levels of people involvement and competence, identifying any limitations or gaps. The process will therefore involve the following stages of assessment:

- a) identifying involvement and competence needs;
- b) identifying the conditions and resources needed for people to be effective in the workplace.

The organization should also consider whether special arrangements are necessary to reduce or manage risks associated with deficiencies in current activities. Such risks can occur, for example, where there are new or complex tasks, language barriers or organizational changes.

4.4.2 Assessment

The organization should assess people involvement and competence at the individual, team and organizational levels. In order to assess the level of people involvement, leaders should define specific methods for evaluating the manner in which the people work, communicate, collaborate and network.

The assessment should be consistent with development activities. The output of the assessment should enable analysis of the fulfilment of objectives that have been established relating to people involvement and competence. A record of this assessment should be maintained.

The output of the assessment defines the gaps between the existing people involvement and competence and the needs which have been identified. The gaps show the areas to be developed and create the inputs to the next step.

4.5 Involvement and competence planning

4.5.1 General

Upon completion of the gap analysis, the organization should follow and maintain procedures to plan its people involvement and competence acquisition. This includes developing and establishing short-term and long-term competence objectives at both the organizational and individual level. The objectives should be approved and documented.

The plans should be integrated into the annual organizational and financial planning, in order to ensure that there are planned resources to reach the objectives of people involvement and competence.

4.5.2 Organizational planning

Competence acquisition and people involvement plans should be based on the strategic roadmap which influences the future needs. These plans should be documented and should include the following:

- objectives and requirements based on the organization's strategic direction;
- defined activities and responsibilities;

- a timeframe for people involvement and competence acquisition;
- required resources.

There should be agreement between the leadership and people concerning the plans, which should be recorded, reviewed and updated at defined intervals. Such a plan is a strategic document based on the previously described analyses and should be adopted by the leadership of the organization. A plan should define activities, responsibilities and timeframes to accomplish the development objectives.

4.5.3 Planning of the involvement and competence of individuals

Individual involvement and competence development plans should be established for each person. These plans should define activities, resources, responsibilities and timeframes to accomplish the development objectives, and they should be agreed between the people, their managers and leaders. These plans should also be recorded, reviewed and updated at defined intervals.

4.6 Implementation

4.6.1 General

The organization should carry out the planned activities developed in 4.5 for people involvement and competence acquisition. The outcomes of those planned activities should be recorded and reviewed.

4.6.2 Implementation of people involvement plans

Leadership actions to enhance people involvement should address factors such as communication, teamwork, responsibility, innovation and recognition. These are described more fully in Annex A.

Involvement requires an environment in which people participate in planning and may influence decisions and actions which affect their jobs. The environment should enable the engagement of people to achieve the organizational goals.

The people involvement process includes a number of factors, as described below.

- Communication: integrates the factors and should be addressed to promote shared understanding and involvement. Managers should communicate key information and expectations to people and listen to their views about the current direction on a continual basis (see Clause A.4).
- Recruitment: the process of sourcing, screening and selecting people for a position in an organization. Managers can undertake some part of the recruitment process, but larger organizations often use professional recruiters (see Clause A.12).
- Awareness: once communication objectives and methods are established, people should be made aware that ISO 9001 requires an organization to establish and implement a quality management system. Managers should ensure that their people are aware of those processes for which they are responsible (see Clause A.3).
- Engagement: employer engagement is the company's commitment to improving the partnership and developing shared understanding between the people and their managers (see Clause A.8).
- Teamwork and collaboration: occurs when people work together for a common goal. This is a way of organizing workload which strongly contributes to people involvement. This creates common goals, shared knowledge, values and behaviour, thus increasing the probability that quality objectives can be achieved (see Clause A.14).
- Responsibility and authority: managers are accountable for creating systems which provide people with the authority to assume responsibility to make decisions about their work. They should be consistent with competence requirements defined within their quality management system. The managers create a work environment which fosters the ability of people to control their own work and make decisions for which they are accountable (see Clause A.13).

- Creativity and innovation: success results from a high degree of creativity. Allowing creativity creates a higher sense of personal fulfilment and consequently enhances involvement. Creativity is the process of producing new ideas, while innovation is the process of applying such these ideas. In the context of an organization, the term innovation refers to the entire process by which individuals or groups generate creative new ideas and convert them into products, services, or business practices (see Clause A.5).
- Recognition and rewards: the organization should take actions to continually improve people involvement. This is achieved through recognition and rewards as well as feedback for individuals or teams that have been involved in achieving results to the benefit of the organization (see Clause A.11).

In addition to the above factors, other factors described in Annex A also affect the level of people involvement, i.e. leadership (see Clause A.9), empowerment (see Clause A.7), attitude and motivation (see Clause A.2), and education and learning (see Clause A.6).

EXAMPLES Examples of methods for measuring the extent to which some of these human factors are implemented are given below. These measurements can be obtained through staff surveys, focus groups or individual interviews.

- Awareness: the degree of understanding of the policies and objectives of the organization's quality management system.
- Networking: the effectiveness of how groups of people work together and support each other in critical tasks.
- Engagement: the level of satisfaction people have in activities such as communication, learning and management.
- Teamwork: the extent to which a team reaches its objectives in key project milestones and process requirements.
- Creativity and innovation: the numbers of ideas generated when compared to their implementation rates.

4.6.3 Implementation of competence plans

The organization should carry out planned activities for competence acquisition. The input to this step is the competence acquisition plan.

Activities in an acquisition plan for the organization could be education and training, recruitment, establishing partnerships and outsourcing.

For the individual, a competence development plan can be comprised of activities such as education and training, both classroom or on-the-job, networking, teamwork, reading and self-study.

Activities that have been carried out should be recorded.

4.7 Evaluation

The organization should follow procedures for evaluation of the effectiveness of people involvement and competence acquisition activities that have been completed.

The evaluation should compare results of people involvement and competence acquisition with the previously prepared plans, and the outcomes should be communicated to all affected parties. Improvements should then be implemented.

Evaluations should be conducted at planned intervals, and the outcomes should be recorded and used as an input to the management review process.

Most of the activities listed in Clauses 5 to 8 can be used as a checklist to assess the current status of an organization regarding people involvement and competence. The levels of people involvement and competence can be checked by comparing the completed actions against the items listed in each clause.

Annex B also provides a method of organizational self-assessment.

5 Management responsibility

5.1 Management commitment

When demonstrating their commitment to people involvement, management should:

- a) explain to the people in the organization the value created by the quality management systems;
- b) ensure that quality management objectives are set and deployed throughout the organization;
- c) ensure awareness of the relationship between the quality management systems and financial performance.

5.2 Customer focus

In enhancing customer satisfaction, top management should help people understand the following:

- a) the relationships between their jobs and the needs and expectations of interested parties;
- b) the importance of customer satisfaction.

5.3 Quality policy

When creating the policy and ensuring this is understood, top management should:

- a) discuss the policy to promote understanding;
- b) ensure that the policy balances the needs and expectations of all interested parties;
- c) encourage people to understand the policy's relevance and explain the relationship between the policy and each person's activity;
- d) show people the relationship between policies and business or operational plans.

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5.4 Quality objectives and planning

When ensuring that measurable quality objectives are established in the organization, top management should:

- a) explain the objectives to people;
- b) monitor their achievement;
- c) align people activities with the organizational objectives;
- d) involve people in the creation and updating of objectives which impact on them.

5.5 Responsibility, authority and communication

5.5.1 Responsibility and authority

When ensuring that responsibilities are defined and communicated, top management should:

- a) specify the roles and responsibilities of managers and supervisors for people involvement and competence;
- b) provide individuals with an explanation of their roles and responsibilities;
- c) ensure that people have the responsibility and authority they need to perform their duties effectively within the quality management system.