

**AS/NZS ISO 9004:2000**

**Quality management systems—  
Guidelines for performance improvements**



**Standards Australia**



**STANDARDS  
NEW ZEALAND**  
*Pūrere Aotearoa*

## **AS/NZS ISO 9004:2000**

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Alternatively, both organizations publish an annual printed Catalogue with full details of all current Standards. For more frequent listings or notification of revisions, amendments and withdrawals, Standards Australia and Standards New Zealand offer a number of update options. For information about these services, users should contact their respective national Standards organization.

We also welcome suggestions for improvement in our Standards, and especially encourage readers to notify us immediately of any apparent inaccuracies or ambiguities. Please address your comments to the Chief Executive of either Standards Australia International or Standards New Zealand at the address shown on the back cover.

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# Australian/New Zealand Standard™

## **Quality management systems— Guidelines for performance improvements**

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## PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee QR-008, Quality Management Systems.

This Standard is identical with and has been reproduced from ISO 9004:2000, *Quality management systems—Guidelines for performance improvements*, published by the International Organization for Standardization (ISO), which was prepared by ISO Technical Committee TC 176, Quality Management and Quality Assurance, Subcommittee SC 2, Quality systems.

This edition of AS/NZS ISO 9004:2000 cancels and replaces AS/NZS ISO 9004(Int):2000 and AS/NZS ISO 9004.1:1994, and constitutes a technical revision of these documents. The title has been modified to reflect the comprehensiveness of the quality management system. Committee QR-008 provided input to the ISO Committee, ISO/TC 176, during the preparation of this revision.

For the purposes of this Standard, the ISO text should be modified as follows:

- (a) Terminology—The words ‘this Joint Australian/New Zealand Standard’ should replace the words ‘this International Standard’ wherever they appear.
- (b) Certain Standards referenced in the International Standard have been adopted as Joint Australian/New Zealand Standards, as identified by the Joint AS/NZS ISO numbering.

The term ‘informative’, has been used in this Standard to define the application of the Annex to which it applies. An informative Annex is for information and guidance only.

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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 3.

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 International Standard may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

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

This second edition of ISO 9004 cancels and replaces ISO 9004-1:1994, which has been technically revised. The title has been modified to reflect the comprehensiveness of the quality management system. Many of the existing International Standards within the ISO 9000 family will be reviewed for withdrawal, or for re-issue as Technical Reports, as many of their provisions are incorporated into this International Standard.

In comparison to previous editions, ISO 9001 and ISO 9004 now form a consistent pair of standards on quality management. ISO 9001 aims to give quality assurance of product and to enhance customer satisfaction, while ISO 9004 uses a broader perspective of quality management to give guidance for performance improvement.

Annexes A and B of this International Standard are for information only.

## Introduction

### 0.1 General

The adoption of a quality management system should be a strategic decision by the top management of an organization. The design and implementation of an organization's quality management system is influenced by varying needs, particular objectives, the products provided, the processes employed and the size and structure of the organization. This International Standard is based on eight quality management principles. However, it is not the intent of this International Standard to imply uniformity in the structure of quality management systems or uniformity of documentation.

The purpose of an organization is

- to identify and meet the needs and expectations of its customers and other interested parties (people in the organization, suppliers, owners, society), to achieve competitive advantage, and to do this in an effective and efficient manner, and
- to achieve, maintain, and improve overall organizational performance and capabilities.

The application of quality management principles not only provides direct benefits but also makes an important contribution to managing costs and risks. Benefit, cost and risk management considerations are important for the organization, its customers and other interested parties. These considerations on overall performance of the organization may impact

- customer loyalty,
- repeat business and referral,
- operational results such as revenue and market share,
- flexible and fast responses to market opportunities,
- costs and cycle times through effective and efficient use of resources,
- alignment of processes which will best achieve desired results,
- competitive advantage through improved organizational capabilities,
- understanding and motivation of people towards the organization's goals and objectives, as well as participation in continual improvement,
- confidence of interested parties in the effectiveness and efficiency of the organization, as demonstrated by the financial and social benefits from the organization's performance, product life cycle, and reputation,
- ability to create value for both the organization and its suppliers by optimization of costs and resources as well as flexibility and speed of joint responses to changing markets.

### 0.2 Process approach

This International Standard promotes the adoption of a process approach when developing, implementing and improving the effectiveness and efficiency of a quality management system to enhance interested party satisfaction by meeting interested party requirements.

For an organization to function effectively and efficiently, it has to identify and manage numerous linked activities. An activity using resources, and managed in order to enable the transformation of inputs into outputs, is considered as a process. Often the output from one process directly forms the input to the next.

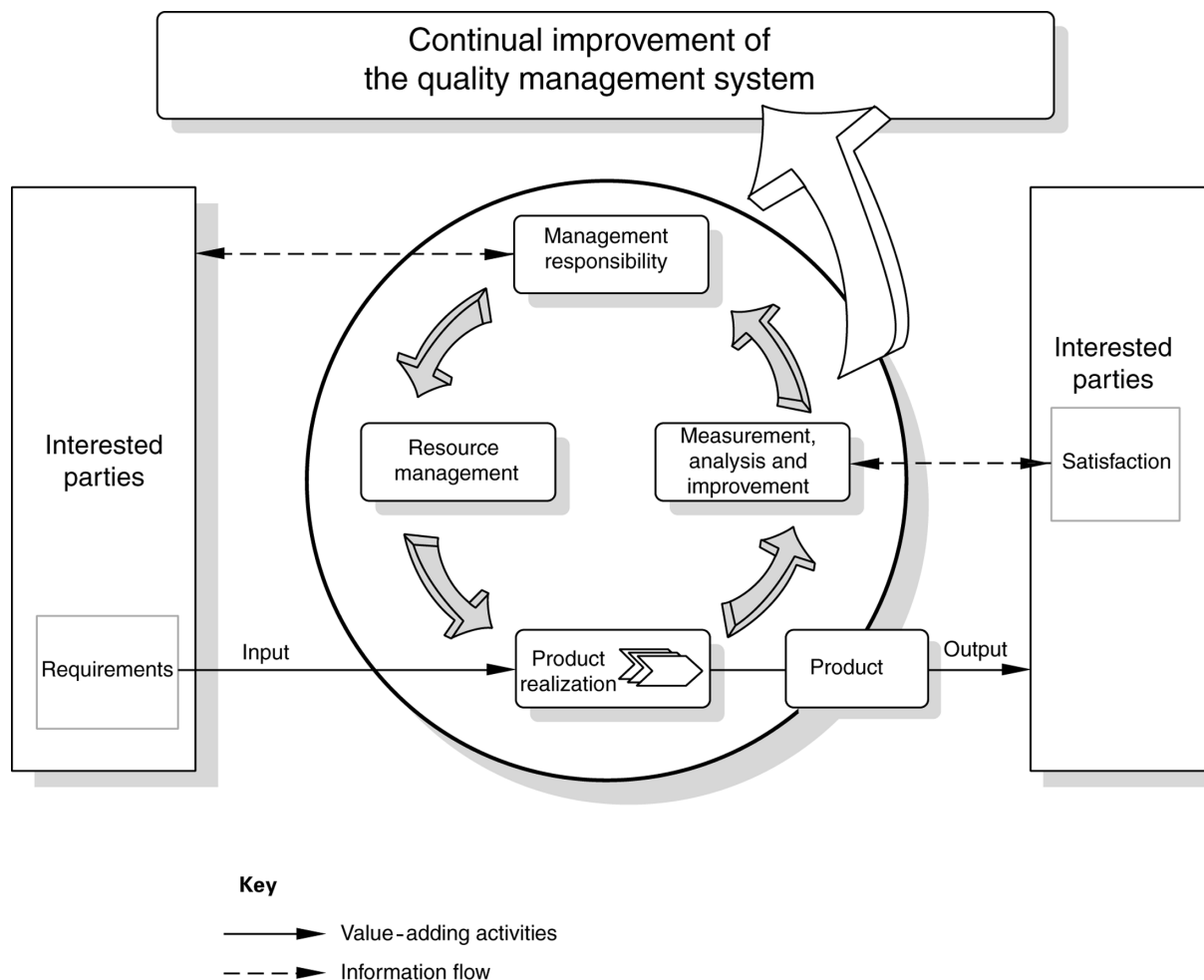
The application of a system of processes within an organization, together with the identification and interactions and managing of these processes can be referred to as the "process approach".

An advantage of the process approach is the ongoing control that it provides over the linkage between the individual processes within the system of processes, as well as their combination and interaction.

When used within a quality management system, such an approach emphasizes the importance of

- a) understanding and fulfilling the requirements,
- b) the need to consider processes in terms of added value,
- c) obtaining results of process performance and effectiveness, and
- d) continual improvement of processes based on objective measurement.

The model of a process-based quality management system shown in Figure 1 illustrates the process linkages presented in clauses 4 to 8. This illustration shows that interested parties play a significant role in defining requirements as inputs. Monitoring the satisfaction of interested parties requires the evaluation of information relating to the perception of interested parties as to whether the organization has met their requirements. The model shown in Figure 1 does not show processes at a detailed level.



**Figure 1 — Model of a process-based quality management system**

### **0.3 Relationship with ISO 9001**

The present editions of ISO 9001 and ISO 9004 have been developed as a consistent pair of quality management system standards which have been designed to complement each other but can also be used independently. Although the two International Standards have different scopes, they have similar structures in order to assist their application as a consistent pair.

ISO 9001 specifies requirements for a quality management system that can be used for internal application by organizations, or for certification, or for contractual purposes. It focuses on the effectiveness of the quality management system in meeting customer requirements.

ISO 9004 gives guidance on a wider range of objectives of a quality management system than does ISO 9001, particularly for the continual improvement of an organization's overall performance and efficiency, as well as its effectiveness. ISO 9004 is recommended as a guide for organizations whose top management wishes to move beyond the requirements of ISO 9001, in pursuit of continual improvement of performance. However, it is not intended for certification or for contractual purposes.

For further benefit to the user, the basic content of the ISO 9001 requirements are included in boxed text following the comparable clause in this International Standard. Information marked "NOTE" is for guidance in understanding or clarification.

### **0.4 Compatibility with other management systems**

This International Standard does not include guidance specific to other management systems, such as those particular to environmental management, occupational health and safety management, financial management, or risk management. However, this International Standard enables an organization to align or integrate its own quality management system with related management systems. It is possible for an organization to adapt its existing management system(s) in order to establish a quality management system that follows the guidelines of this International Standard.

# Quality management systems — Guidelines for performance improvements

## 1 Scope

This International Standard provides guidelines beyond the requirements given in ISO 9001 in order to consider both the effectiveness and efficiency of a quality management system, and consequently the potential for improvement of the performance of an organization. When compared to ISO 9001, the objectives of customer satisfaction and product quality are extended to include the satisfaction of interested parties and the performance of the organization.

This International Standard is applicable to the processes of the organization and consequently the quality management principles on which it is based can be deployed throughout the organization. The focus of this International Standard is the achievement of ongoing improvement, measured through the satisfaction of customers and other interested parties.

This International Standard consists of guidance and recommendations and is not intended for certification, regulatory or contractual use, nor as a guide to the implementation of ISO 9001.

## 2 Normative reference

The following normative document contains provisions which, through reference in this text, constitute provisions of this International Standard. For dated references, subsequent amendments to, or revisions of, any of these publications do not apply. However, parties to agreements based on this International Standard are encouraged to investigate the possibility of applying the most recent edition of the normative document indicated below. For undated references, the latest edition of the normative document referred to applies. Members of ISO and IEC maintain registers of currently valid International Standards.

ISO 9000:2000, *Quality management systems — Fundamentals and vocabulary*.

## 3 Terms and definitions

For the purposes of this International Standard, the terms and definitions given in ISO 9000 apply.

The following terms, used in this edition of ISO 9004 to describe the supply-chain, have been changed to reflect the vocabulary currently used:

**supplier**       $\longrightarrow$       **organization**       $\longrightarrow$       **customer (interested parties)**

Throughout the text of this International Standard, wherever the term “product” occurs, it can also mean “service”.