

Annex

ISO 10018 Audit

**ISO 10018 - Quality management - Guidelines on people involvement
and competence
Compliance Audit Checklist**

Organization: _____

Location: _____

Organization's Responsible Manager: _____

Audit Date(s): _____

Auditor(s): _____

Certification: ____ Yes ____ N

General requirements:

Is the organization's approach to people involvement and competence process-based?

_____ Yes _____ No

Evidence of process-based approach:

General topics:

- I. Management of people involvement and competence**
- II. People involvement and competence acquisition process**
- III. Analysis of people involvement and competence acquisition**
- IV. Involvement and competence planning**
- V. Implementation of people involvement plans**
- VI. Implementation of competence plans**
- VII. Management responsibility**
- VIII. Customer focus**
- IX. Responsibility and authority.**
- X. Internal communication**
- XI. Management review**
- XII. Resource management**
- XIII. Human resources**
- XIV: Customer related processes**
- XV. Purchasing**
- XVI. Production and service provision**
- XVII. Measurement, analysis and improvement**

Questions:

I. Management of people involvement and competence: visible evidence of leaders' involvement in achieving organizational people involvement and competence. The organization has:

- 1. established strategies, policies, and objectives
 - a. _____ Yes _____ No

Evidence:

2. defined responsibilities and authorities

a. Yes No

Evidence:

3. ensured understanding of customers' needs and expectations

Yes No

Evidence:

4. determined personnel requirements, such as knowledge, skills, and behavior

a. Yes No

Evidence:

5. assessed resource requirements, such as infrastructure, work environment, and work conditions

Yes No

Evidence:

6. provided the resources required

Yes No

Evidence:

7. encouraged communication

Yes No

Evidence:

II. People involvement and competence acquisition process: competence is addressed in development plans that also contributes to people involvement. The organization:

1. collects and analyses data in relationship to the organization's short and long-term objectives for people involvement and competence

_____ Yes _____ No

Evidence:

2. plans for the procedures and maintenance of the people involvement and competence acquisition process on organization, group, and individual levels

_____ Yes _____ No

Evidence:

3. implements its plans and associated actions in order to achieve the objective of people involvement and competence

_____ Yes _____ No

Evidence:

4. evaluates and reviews its outcomes for continual improvement opportunities

_____ Yes _____ No

Evidence:

III. Analysis of people involvement and competence acquisition: short and long-term involvement and competence needs should be identified at planned intervals. The organization:

1. identifies involvement and competence needs

_____ Yes _____ No

Evidence:

2. identifies the conditions and resources needed for people to be effective in the workplace

_____ Yes _____ No

Evidence:

3. assesses people involvement and competence at the individual, team, and organizational levels

Yes No

Evidence:

4. conducts a gap analysis to determine and define the gaps between existing people involvement and competence and the identified needs

Yes No

Evidence:

IV. Involvement and competence planning: following the gap analysis, organizations should follow and maintain procedures to plan people involvement and competence acquisition. The organization's documented plans include:

1. objectives and requirements based on the organization's strategic direction

Yes No

Evidence:

2. defined activities and responsibilities

Yes No

Evidence:

3. a timeframe for people involvement and competence acquisition

Yes No

Evidence:

4. required resources

Yes No

Evidence:

V. Implementation of people involvement plans: leadership actions to enhance people involvement should address factors such as communication, teamwork, responsibility, innovation, and recognition. The organization's people involvement process includes:

1. management's communication of key information and expectations to people, and listening to their views about the current direction on a continual basis

Yes No

Evidence:

2. a process for the sourcing, screening and selection of people

Yes No

Evidence:

3. people awareness of their responsibilities in the organization

Yes No

Evidence:

4. shared understanding of job requirements/expectations between employees and managers (people and managers understand these essentially the same way)

Yes No

Evidence:

5. people working together as teams to accomplish common goals, achieve shared knowledge, and live shared values

Yes No

Evidence:

6. systems that provide people with the authority to assume responsibility and make decisions about their work (managers create a work environment that fosters the ability of people to control their own work and make decisions which they are accountable for)

Yes No

Evidence:

an environment that fosters a high degree of creativity

a. Yes No

Evidence:

7. regular feedback, recognition and rewards for individuals and teams that have achieved results that benefit the organization

a. Yes No

Evidence:

VI. Implementation of competence plans. The organization has:

1. an organization competence acquisition plan

Yes No

Evidence:

2. a process that ensures that each employee has an individual competence acquisition plan

Yes No

Evidence:

Evaluation. The organization has procedures for evaluation of the effectiveness of people involvement that:

1. compares results of people involvement and competence with prepared plans and communicates the outcomes to all affected parties ensuring that indicated improvements are implemented

Yes No

Evidence:

2. is conducted at planned intervals with the recording of outcomes that are used in the management review process

3. Yes No

Evidence:

4. uses organization self-assessment

Yes No

Evidence:

VII. Management responsibility: when demonstrating their commitment to people involvement, management:

1. explains to people in the organization the value created by the organizations quality management approach

Yes No

Evidence:

2. ensures that quality objectives are set and deployed throughout the organization

Yes No

Evidence:

3. ensures awareness of the relationship between quality, people involvement, financial performance

a. Yes No

Evidence:

VIII. Customer focus. Top management ensures that people understand:

1. the relationships between their jobs and the needs and expectations of interested parties

Yes No

Evidence:

2. the importance of customer satisfaction

Yes No

Evidence:

IX. Responsibility and authority. To ensure that responsibilities are defined and communicated, top management:

1. specifies the roles and responsibilities of managers and supervisors for people involvement and competence

Yes No

Evidence:

2. provides individuals with an explanation of their roles and responsibilities

Yes No

Evidence:

3. ensures that people have the responsibility and authority they need to perform their duties effectively

Yes No

Evidence:

X. Internal communication. To ensure effectiveness and efficiency, top management:

1. establishes “top down” and “bottom” up communications systems

Yes No

Evidence:

2. uses techniques, such as team briefings, to communicate information

Yes No

Evidence:

3. monitors the effectiveness of communication systems

Yes No

Evidence:

XI. Management review. When evaluating the effectiveness and efficiency of the organization's people involvement and competency approach top management:

1. takes decisions and actions to improve the involvement and competence of people
 Yes No

Evidence:

2. sets involvement and competence objectives and communicates these to all concerned parties
 Yes No

Evidence:

3. establishes mechanisms to ensure the successful achievement of people involvement and competence objectives
 Yes No

Evidence:

4. provides resources to develop the competence of people
 Yes No

Evidence:

5. provides a platform for the exchange of people's ideas
 Yes No

Evidence:

XII. Resource management. Top management:

1. is aware of and provides the resources that people need to succeed in their work
 Yes No

Evidence:

2. manages the knowledge resource within the organization

_____ Yes _____ No

Evidence:

XIII. Human resources. Human resource planning should be both strategic and tactical.
The organization provides/ensures:

1. a transparent recruitment and selection process to candidates that emphasizes the importance of their competence

a. _____ Yes _____ No

Evidence:

2. applicants with information on organizational values and attitudes

_____ Yes _____ No

Evidence:

3. information related to how well a person will fit in with the organization's culture, (e.g., alignment with values and attitudes)

_____ Yes _____ No

Evidence:

4. competence criteria for each role that is defined by managers together with the people concerned during structured conversations

_____ Yes _____ No

Evidence:

5. that it follows its competence acquisition process

_____ Yes _____ No

Evidence:

6. that training is provided based on competence requirements

Yes No

Evidence:

7. the existence of professional or trade certification, when necessary

Yes No

Evidence:

8. that managers explain people roles and competence requirements needed for achieving organizational objectives

Yes No

Evidence:

9. that people are aware of how they contribute to organizational results

Yes No

Evidence:

10. that the appropriate people are involved at all levels in the planning of infrastructure

Yes No

Evidence:

11. that all staff are aware of the available resources

Yes No

Evidence:

12. that staff are competent to use resources effectively

Yes No

Evidence:

13. the existence of means to rectify any problems

a. Yes No

Evidence:

14. that people are aware of their roles and responsibilities in fulfilling relevant statutory and legal requirement

Yes No

Evidence:

15. that people are aware of their personal rights in terms of local, national, and international agreement

Yes No

Evidence:

16. that people are involved in identifying environmental deficiencies and health/safety risks related to their roles

Yes No

Evidence:

17. that people are trained in the organizational systems for the environment and health/safety

Yes No

Evidence:

18. that people are competent in reporting and recording hazards, and that they are able to take corrective action

Yes No

Evidence:

XIV: Customer related processes. The organization ensures:

1. That those responsible for product/service realization understand customer needs and expectations, as well as product/service requirements

Yes No

Evidence:

2. people understand statutory and regulatory requirements

Yes No

Evidence:

3. that operational staff have an understanding of legal obligations and statutory requirement for consumer protection

Yes No

Evidence:

4. that people engage with customers to obtain feedback and resolve unmet needs

Yes No

Evidence:

5. that people handling complaints are aware of the relevant policies and processes

Yes No

Evidence:

6. that meetings addressing complaints involve people in departments affected by the complaints

Yes No

Evidence:

7. that people handling complaints have the competence to communicate customer complaints to those people who can improve the affected processes

Yes No

Evidence:

8. that feedback is provided to the customer regarding complaint resolution, as well as to all people in the organization who have been involved with the complaint handling
_____ Yes _____ No

Evidence:

9. that customers are involved in activities for the development and improvement of products/services through meetings, such as focus groups
_____ Yes _____ No

Evidence:

XV. Purchasing. The organization's management ensures:

1. users of purchased goods/services are involved in supplier selection
 - a. _____ Yes _____ No

Evidence:

2. people who work in the organization, but are employed by an external organization, are competent and aware of the organizational processes and goals relevant to their function
 - a. _____ Yes _____ No

Evidence:

XVI. Production and service provision. The organization ensures:

1. that people are involved in creating their own work instructions to ensure understanding
_____ Yes _____ No

Evidence:

2. that work instructions are explained to new people and followed up with mentoring
_____ Yes _____ No

Evidence:

3. that training programs are developed for the introduction of new processes
 Yes No

Evidence:

4. that critical produce/service characteristics are explained to the workforce, and required measurements are agreed upon with those performing the work
 Yes No

Evidence:

XVII. Measurement, analysis and improvement. The organization ensures:

1. that responsibilities are defined for people who are measuring, evaluating, and monitoring
 Yes No

Evidence:

2. that people responsible for a process are involved in the selection of the key aspects to be measured in order to determine quality
 Yes No

Evidence:

3. that people responsible for measurement are competent in measurement, analysis, and improvement
 Yes No

Evidence:

4. that people are provided with information on how measurements contribute to the measurement of overall performance of the organization
 Yes No

Evidence:

5. that people are enabled to improve the performance of their processes by selected measures

_____ Yes _____ No

Evidence:

XVII. Internal audit. The organization provides/ensures/has:

1. an internal auditing process to ensure compliance with ISO 10018
2. _____ Yes _____ No

Evidence:

3. that internal ISO 10018 auditors are training, competent, and independent of those activities being audited
_____ Yes _____ No

Evidence:

4. that people from all business functions are engaged on the audit team, and represent different levels of seniority, to enable the team to be seen as representative of the entire organization
_____ Yes _____ No

Evidence:

Scoring. An overall score of 80% is required for certification. The organization achieves a score of 1 point for each “Yes” answer to the audit checklist, and a score of 0 for each “No” answer to the audit checklist.

Total possible score: 92
Score needed for certification: 74
Actual Score: _____
Certified: _____ Yes _____ No

Auditor’s comments:

Organization’s comments:

Signatures:
Lead Auditor: _____ Date: _____

Responsible Manager: _____ Date: _____

