

International Workshop Agreement

IWA 4

Quality management systems — Guidelines for the application of ISO 9001:2008 in local government

* * * *

*Systèmes de management de la qualité —
Lignes directrices pour l'application de l'ISO 9001:2008
à la collectivité locale*

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). ISO's technical work is normally carried out through ISO technical committees in which each ISO member body has the right to be represented. International organizations, governmental and nongovernmental, in liaison with ISO, also take part in the work.

In order to respond to urgent market requirements, ISO has also introduced the possibility of preparing documents through a workshop mechanism, external to its normal committee processes. These documents are published by ISO as International Workshop Agreements. Proposals to hold such workshops may come from any source and are subject to approval by the ISO Technical Management Board which also designates an ISO member body to assist the proposer in the organization of the workshop. International Workshop Agreements are approved by consensus amongst the individual participants in such workshops. Although it is permissible that competing International Workshop Agreements exist on the same subject, an International Workshop Agreement shall not conflict with an existing ISO or IEC standard.

An International Workshop Agreement is reviewed after three years, under the responsibility of the member body designated by the Technical Management Board, in order to decide whether it will be confirmed for a further three years, transferred to an ISO technical body for revision, or withdrawn. If the International Workshop Agreement is confirmed, it is reviewed again after a further three years, at which time it must be either revised by the relevant ISO technical body or withdrawn.

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

This second edition of International Workshop Agreement IWA 4 cancels and replaces the first edition (IWA 4:2005), which has been technically revised.

This second edition of International Workshop Agreement IWA 4 was unanimously approved at a workshop held in Leon, Guanajuato, Mexico in November 28th to 30th 2008, which was hosted by the International Foundation for Development of Reliable Local Governments (FIDEGOC), the IWA 4 International Secretariat headquarters, in agreement with the Sub Committee 54 of the Mexican Committee to ISO (CMISO). The workshop meeting was held with the support of the State Government of Guanajuato through the Government' Secretary and the Federal Government of Mexico through the National Institute for Federalism and Municipal Development, the Federalism and Municipal Development Commission of the Federal Chamber of Deputies and the General Bureau of Standards (DGN, Dirección General de Normas) of the Economics' Secretary. It was also supported by the Instituto Latinoamericano para la Calidad (INLAC), the Instituto Mexicano de Normalización y Certificación (IMNC) and the Organización de Servicios Interdisciplinarios (OSI).

Introduction

One of the great challenges that societies face today is the need to develop and maintain citizens' confidence in their governments and their institutions. In this respect, local governments have an important role to play in creating sustainable local communities in which quality, cost effective and consistent public services help to promote sustainable economic prosperity and social justice at the local level, by deploying and interacting with national and regional policies in a consistent and compatible way. In extreme cases, local governments can provide stability and promote governability and governance when these are lacking at the regional or national level. In this way, it should be possible to build stronger regional, national and global governments working from the local level. By securing a high quality performance of the municipal government, public policies coming from other government levels can be corrected and improved, allowing the whole system to become stronger. This type of coherent approach will help build reliable and consistent governments, at the local, regional and national level.

Although the needs and expectations of local citizens can vary significantly in different parts of the world, local governments worldwide are experiencing higher levels of democracy and pluralism, which require them to increase their ability to carry out their mandates in an effective and transparent way. This in turn requires sound management of the different resources and processes available to local government in order for these to work together coherently and effectively as a system.

Local governments depend on their citizens and they should satisfy the citizen's needs. But local governments also depend on other level of governments, such as state, national and International.

Citizens expect to have a community provided with all the services, safety and security, good roads, and public transportation available, there is easiness for document proceeding, local government is transparent, health and education systems available, infrastructure is present, all needs are satisfied. Citizens feel they are represented by local government, environment is protected. Citizens also need to organize in associations, in order to focus and agree on community expectations and needs.

International bodies provide for world policies, legal structure, global vision.

Key areas for effective operation of local governments are:

- *Communication means with the community, through surveys, suggestion box, website, email, letters, assemblies, chamber meetings, claims, referenda, elections among others.*
- *SWOT analysis with the community, with associations, internal, with higher government, identifying a mission, vision, strategies, objectives, goals, actions, responsible.*
- *Improvement process should follow a structured approach, such as "Plan-Do-Check-Act" (or PDCA) methodology, and should be applied consistently with the process approach for all processes.*
- *Protect Client property.*

A quality management system is the way in which a local government can direct and control its activities, in order to satisfy the needs and expectations of the local community. Broadly, it consists of the organizational structure together with the planning, processes, resources and documentation that are needed to achieve the quality objectives, and to provide continual improvement of the products and services that are being provided. ISO 9001:2008 "Quality management systems –

Requirements” has gained widespread acceptance as a basis for the development of such a system. Its effective implementation provides an excellent tool for local governments to be able to provide confidence to local citizens that their needs and expectations are fully understood and are capable of being met on a consistent basis and in a timely manner.

The current key documents from the ISO 9000 family of standards consist of

- *ISO 9000:2005, which sets out the concepts, principles, fundamentals and vocabulary for quality management systems in general,*
- *ISO 9001:2008, which sets out the requirements for a system to be able to consistently meet the needs and expectations of customers (who in this case are the local citizens),*
- *ISO 9004.*

This International Workshop Agreement has been prepared in order to provide local governments worldwide with a consistent approach to quality management. It aims to “translate” the technical language of ISO 9001:2008 into language that is more user-friendly for people who are involved in local government. In doing so, the intent is to stimulate and facilitate the use of ISO 9001:2008 in local government. However, since the specific circumstances of local governments in different regions and cultures will necessarily be different, it is important to recognize that there is no single prescribed way of implementing a quality management system that is based on ISO 9001:2008. It is up to individual local governments to adapt the examples that are provided in this International Workshop Agreement for their own particular situation and circumstances.

Although some local government organizations may have implemented ISO 9001:2008 partially, for specific services, the objective of this International Workshop Agreement is to promote the use of the standard on an integral basis throughout the whole range of services provided including any contingency requirements. The Annexes to this International Workshop Agreement provide some examples of the services and associated processes that local governments should strive to provide, and a simple methodology by which to assess their degree of effectiveness and maturity.

In order to achieve the objective of a reliable, responsive and transparent local government, it is not necessary to seek certification to ISO 9001:2008, although this might be encouraged by regional or national government initiatives. Nor should conformity to ISO 9001:2008 be regarded as a final objective in itself – once a local government has achieved a level that allows it to provide consistent, conforming services to the local community, it should look beyond conformance to performance, and consider the utilization of ISO 9004 and/or other excellence models to improve its overall efficiency.

The relative stages in the implementation of a quality management system and the role of this International Workshop Agreement can be seen schematically in Figure 1 below.

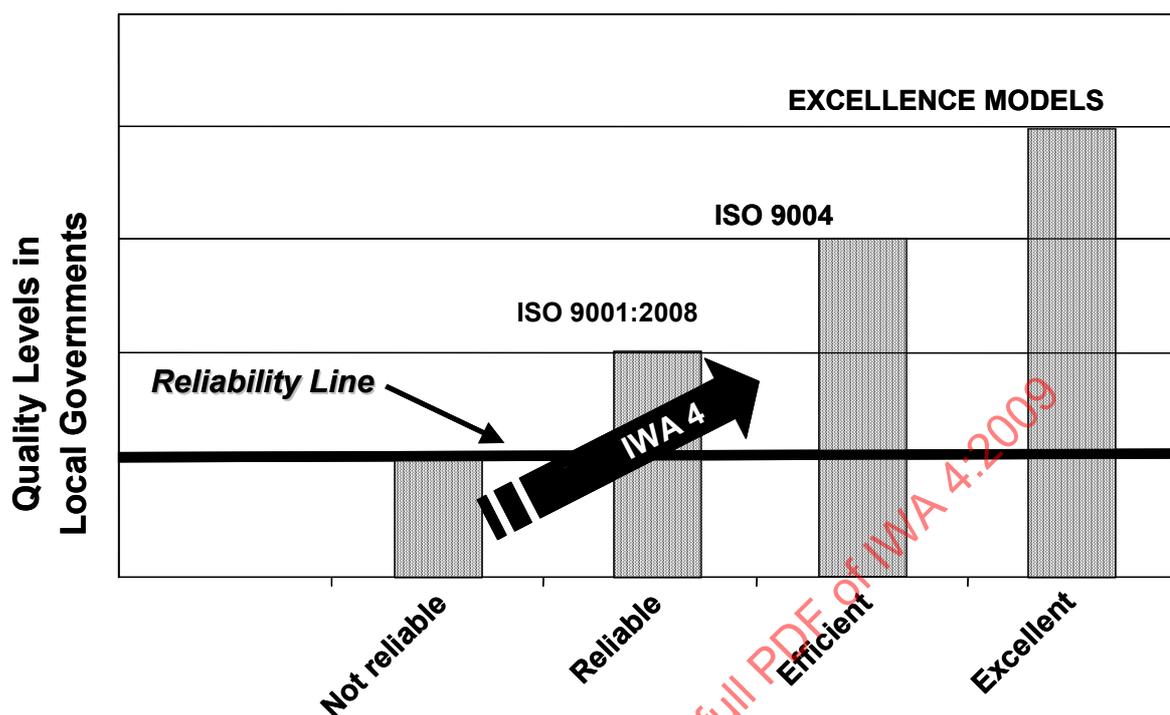


Figure 1 – Schematic diagram to show the positioning of this International Workshop Agreement

The objective of this International Workshop Agreement is to establish guidelines to help local governments understand and implement a quality management system that meets the requirements of ISO 9001:2008, in order to meet the needs and expectations of its citizens. Annex A provides information about some typical local government processes, and Annex B gives a description of a diagnostic model that can be used as a starting point for the implementation of an integral quality management system for a reliable local government.

NOTE 1: Each clause of the ISO 9001:2008 is bordered with a continuous and solid line with normal font. The text corresponding to this International Workshop Agreement is shown in italics, without a border.

NOTE 2: Figure 1 of ISO 9001:2008 is also bordered with a continuous and solid line.

NOTE 3: For a better understanding of excellence models. See Annex A of ISO 9004 'An auto evaluation tool', and the national quality prizes models.

0.1 General

The adoption of a quality management system should be a strategic decision of an organization. The design and implementation of an organization's quality management system is influenced by:

- its organizational environment, changes in that environment, and the risks associated with that environment;
- its varying needs;
- its particular objectives;
- the products it provides;
- the processes it employs;
- its size and organizational structure.

It is not the intent of this International Standard to imply uniformity in the structure of quality management systems or uniformity of documentation.

The quality management system requirements specified in this International Standard are complementary to requirements for products. Information marked "NOTE" is for guidance in understanding or clarifying the associated requirement.

This International Standard can be used by internal and external parties, including certification bodies, to assess the organization's ability to meet customer, statutory and regulatory requirements applicable to the product, and the organization's own requirements.

The quality management principles stated in ISO 9000 and ISO 9004 have been taken into consideration during the development of this International Standard.

0.1 General

The present general guidelines aim to help local government organizations relate the concepts of quality management as described in the ISO 9000 family of standards with the practice and terminology commonly employed in the local government context.

It is expected that a development plan or work programme in the short or medium term is received, understood, and applied by the employees, officers and representatives of the local government. However, the plan or programme itself does not ensure that the needs and expectations of the local community will be covered if the processes needed for the effective implementation of such plans or programmes are deficient or nonexistent. The need to avoid these deficiencies has motivated the elaboration of this guide to help local governments in the implementation of an effective quality management system.

Certification of the quality management system by external parties is not a requirement of this guide, though local governments may choose to seek certification to ISO 9001:2008 if they wish. Internal quality audits can provide the verification of compliance with the requirements, in conjunction with the control of complaints or claims from customers, users, citizens and the local community in general.

*Any quality management system will be influenced by the different policies, objectives, diverse work methods, resource availability and administrative practices that are specific for each local government. Therefore, it may be expected that the details of each quality management systems will vary in each local government. It is not the detailed method of implementation of the quality management system that is important; what matters is that it yields effective, consistent and reliable **results**. The quality management system should be as simple as possible in order to function properly. It needs to be understandable enough to meet the policies and quality objectives of the local government.*

ISO 9000:2005 (Quality management systems – Fundamentals and vocabulary) states that, in order for an organization to be successful, it needs to be guided and controlled in a systematic and transparent way. This is particularly true for local government, where transparency and accountability to its citizens are vital in order to gain their trust and confidence. Sustainable success will only result from the implementation of an integral quality management system that addresses the needs and expectations of all interested parties. The quality management system of a reliable and successful local government should therefore cover all activities and processes that can affect its ability to satisfy the requirements of its "customers"/citizens as well as those of other interested parties, such as regional or national governments.

0.2 Process approach

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

For an organization to function effectively, it has to determine and manage numerous linked activities. An activity or set of activities using resources, and managed in order to enable the transformation of inputs into outputs, can be 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 of these processes, and their management to produce the desired outcome, 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 over their combination and interaction.

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

- a) understanding and meeting 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 customers play a significant role in defining requirements as inputs. Monitoring of customer satisfaction requires the evaluation of information relating to customer perception as to whether the organization has met the customer requirements. The model shown in Figure 1 covers all the requirements of this International Standard, but does not show processes at a detailed level.

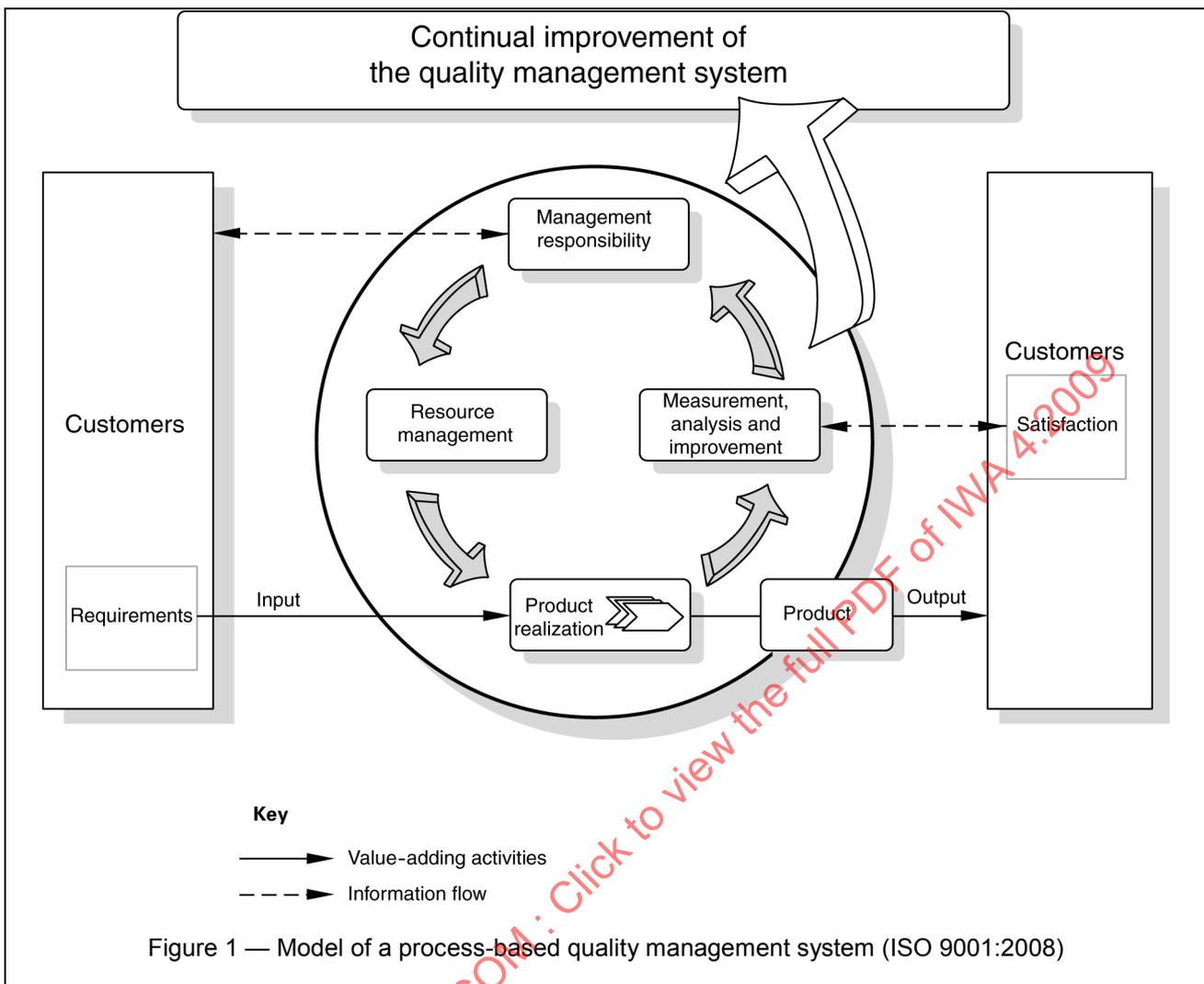
NOTE In addition, the methodology known as “Plan-Do-Check-Act” (PDCA) can be applied to all processes. PDCA can be briefly described as follow.

Plan: establish the objectives and processes necessary to deliver results in accordance with customer requirements and the organization’s policies.

Do: implement the processes.

Check: monitor and measure processes and product against policies, objectives and requirements for the product and report the results.

Act: take actions to continually improve process performance.



0.2 Process approach in local government

For local governments to be able to adopt a process approach, it is important for them to be able to recognize the different kinds of process that are needed for them to provide reliable services to their customers/"citizens". There are various kinds of process involved, including management, operational, and support processes, as well as the core processes needed to provide the local government's services. See 3.6 for definition of the various types of process commonly used in local government.

For each process, it should be possible to identify:

- Who is the customer? (Who receives the output from the process?). This might be an internal customer, within another area of the same local government, or an external customer such as a citizen who is receiving a service
- What are the main inputs to the process? (for example, information, legal requirements, national and/or regional government policies, materials, energy, human and financial resources)
- What are the desired outputs? (for example, what are the characteristics of the service to be provided?)

- What controls are needed to verify the process performance and/or results?
- What is the interaction with other local government processes? (outputs from one process typically form inputs into other processes)

NOTE: The guidance document ISO/TC176/SC2/N544 provides further guidance about the “process approach”

Typical examples of some local government processes include:

- strategic management processes to determine the local government’s role in the socio-economic environment;
- provision of resources and the capacity to provide the local government services;
- processes needed to maintain the work environment;
- preparation, revision and updating of development plans and work programmes;
- monitoring and assessment of the service provision process;
- transparent internal and external communication processes; these should include citizen involvement mechanisms that promote dialogue with internal and external interested parties to encourage a shared understanding on local government issues, aspects and performance;
- processes to address emergency preparedness and response to crises.

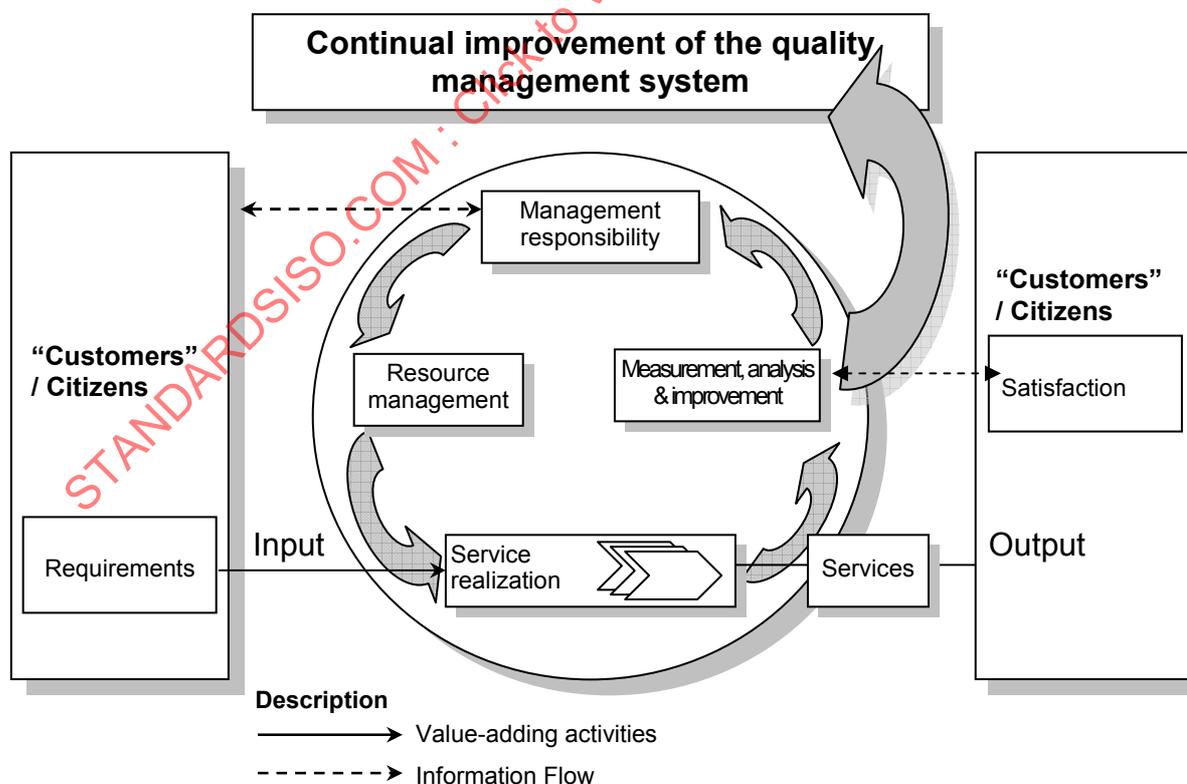


Figure 2 — Model of a process-based quality management system for local government

0.3 Relationship with ISO 9004

ISO 9001 and ISO 9004 are quality management system standards which have been designed to complement each other, but can also be used independently.

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 and applicable statutory and regulatory requirements.

"At the time of publication of this International Standard, ISO 9004 is under revision. The revised edition of ISO 9004 will provide guidance to management for achieving sustained success for any organization in a complex, demanding, and ever changing, environment. ISO 9004 provides a wider focus on quality management than ISO 9001; it addresses the needs and expectations of all interested parties and their satisfaction, by the systematic and continual improvement of the organization's performance. **However, it is not intended for certification, regulatory or contractual use."**

Note At the time of the publication of this International Standard, ISO 9004:2000 is under revision.

In the context of local government, it has to be recognized that the ability to provide consistent, conforming services may depend on the provision of resources that are outside the local government's direct control. ISO 9004 provides guidance on how to improve process efficiency, in order to make maximum use of the limited resources available.

0.4 Compatibility with other management systems

During the development of this International Standard, due consideration was given to the provisions of ISO 14001:2004 to enhance the compatibility of the two standards for the benefit of the user community

This International Standard does not include requirements 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 system requirements. It is possible for an organization to adapt its existing management system(s) in order to establish a quality management system that complies with the requirements of this International Standard.

In ensuring the quality of the services that it provides, it may be necessary for a local government to address environmental, health and safety or other management systems issues, through its quality management system. This situation should not subsequently be mis-represented to imply that the local government has a full management system (or systems) for these other disciplines, just based on its quality management system alone; however, it may be necessary for the local government to either co-ordinate, or integrate, its quality management system with other such systems.

Quality management systems — Guidelines for the application of ISO 9001:2008 in local government

Quality management systems – Requirements

1 Scope

1.1 General

This International Standard specifies requirements for a quality management system where an organization:

- a) needs to demonstrate its ability to consistently provide product that meets customer and applicable statutory and regulatory requirements, and
- b) aims to enhance customer satisfaction through the effective application of the system, including processes for continual improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

NOTE 1 In this International Standard, the term "product" only applies to:

- a) product intended for or required by a customer
- b) any intended output resulting from the product realization processes

NOTE 2 Statutory and regulatory requirements may be expressed as legal requirements.

1 Scope for local government

1.1 General

The objective of this International Workshop Agreement is to provide local governments with guidelines for the voluntary application of ISO 9001:2008 on an integral basis. These guidelines do not, however, add, change or modify the requirements of ISO 9001:2008.

For a local government to be considered reliable, it should guarantee minimum conditions of reliability for the processes that are necessary to provide all the services needed by its citizens in a consistent and reliable manner. All the local government's processes, including management, core, operational and support processes (see 3.6), should constitute a single, integral, quality management system. The integral character of this system is important because, otherwise, although a local government could be reliable in some areas of activity, it may be unreliable in others. For a government to be considered reliable, it should guarantee minimum conditions of reliability for all key processes and services. To achieve this, it is advisable that the local government clearly identify the management, core and support processes that, together, make it reliable (see Annex A). Annex B provides a diagnostic tool for local governments to evaluate the scope and maturity of their processes and services.

Note: In local governments with scope and functions that doesn't apply the Annex B indicator, this can be considered applied for these diagnostic systems. Also can include some indicators that apply to its scope and functions.

1.2 Application

All requirements of this International Standard are generic and are intended to be applicable to all organizations, regardless of type, size and product provided.

Where any requirement(s) of this International Standard cannot be applied due to the nature of an organization and its product, this can be considered for exclusion.

Where exclusions are made, claims of conformity to this International Standard are not acceptable unless these exclusions are limited to requirements within clause 7, and such exclusions do not affect the organization's ability, or responsibility, to provide product that meets customer and applicable statutory and regulatory requirements.

1.2 Application in local government

All the guidelines indicated in this International Workshop Agreement are general and they are intended to be applicable to all local governments regardless of their type, size and services provided.

As this International Workshop Agreement is a guidance document, the guidance provided is not subject to the "exclusion" of requirements, as is the case for ISO 9001. The user is free to apply the guidance as necessary, to their maximum benefit.

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 9000:2005 *Quality management systems — Fundamentals and vocabulary*.

2 Normative references

No additional guidance necessary.

3 Terms and definitions

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

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

3 Terms and definitions in local government

For the purpose of these guidelines, the terms and definitions given in ISO 9000:2005 apply. Wherever the term "the organization" is used in ISO 9001:2008, it means the local government.

The use of the terms and definitions presented in these guidelines may vary according to the culture, practices and customs of each location and region in which the local government is located. ISO 9001:2008 does not require the local government to adopt specific ISO 9000:2005 terminology in developing its quality management system.

3.1

top management

*officer or group of officers in charge of the executive function at the highest level of the **local government** (3.5)*

*Note 1: Titles and functions may vary significantly according to country and culture. Typical examples could be: Mayor, regional governor, head of the local council, director, etc. This is the authority typically elected by popular voting or other electoral process that presides and performs the provisions and agreements of the **local government** (3.5).*

Note 2: The local council is typically the assembly of the local government (3.5) that is regulated by a specific organic legislation and whose origin is typically a popular election process. It is normally formed by the local mayor, counsellors, officials and trustees. It is also the local public corporation in charge of managing the interests of a territory and its population.

3.2

customer/citizen

*organization or person that pays for and/or receives a **service** (3.7) from **local government** (3.5)*

Note 1: It is important for local governments to recognize the various categories of customer and to achieve a balanced response to all of their needs and expectations. For example, some citizens who are taxpayers, and whose contributions serve to finance the services of the local government, might not be the same citizens as those who actually benefit most from the services provided.

Note 2: The term “customer” can sometimes cause controversy in local government / public administration and even in public international law, since it is related to the mercantile legislation. However due to its wide adoption and usefulness in the standardization of quality management systems the use of the word “customer” has been adopted in these guidelines, and, where possible, has been adapted to “customer/citizen”.

3.3

specification for local government

*minimum requirements to be fulfilled by the **local government** (3.5) in order to provide products and services that meet the needs and expectations of its citizens consistently and effectively*

Note 1: This is sometimes expressed in a document such as a “local government charter” or “service pledge”.

Note 2: Part of the specification may come from legislation, or from regional or national government policies.

Note 3: See also Annex B for possible indicators of the performance specifications for local government.

3.4

Citizen’s Charter

document that specifies the local government, and its personnel, commitments toward the citizens and lists the pertinent citizen’s rights.

Note 1: These documents can also be named service letters, citizen letters, and compromise letters.

Note 2: These documents include normally the list of the services provided by the local government and the relevant quality factors, indicators, standards. It also usually includes general information concerning the community, facts of historical interest about municipality, buildings and infrastructures of public interest, tourist attractions, the local government organization, the citizens rights, the complaints form with instructions, the reference addresses (postal, telephone, e-mail), municipal offices places and opening hours, the area and town map, the public relation offices and interfacing tools.

3.5

local government

*part of government in a country or nation that is typically closest to the population, in charge of managing, governing and promoting development of a specific territory, and responsible for providing local government **services** (3.7) to the **customer/citizen** (3.2)*

Note: The local government is normally based on a territorial division and on the national and/or regional political and administrative organizations closest to the population. It is typically a public entity formed by territory, population, government and legislation, has its own legal capacity, and states its own political, administrative, patrimonial and regulatory capability.

3.6

local government process

set of interrelated or interacting activities of the local government which transform input elements (policies, resources, customer/citizen needs and expectations, etc.) into outputs/results (the products and services provided to the citizens)

Note 1: Annex A provides some examples of typical local government processes.

Note 2: For improvement process please see ISO 9004.

3.7

service

*result of one or several processes performed by the **local government** (3.5)*

Note 1: "Service" is normally used to indicate an intangible product. Wherever ISO 9001:2008 refers to the organization's "product", this means both the products and the services provided by the local government. Although predominantly intangible in nature, service may include some tangible components (for example, advisory brochures, waste receptacles, shelters among others).

Note 2: Examples of services may relate to the provision of drinking water, sewage and drainage, lighting, waste collection, civil protection, among others.

Note 3: One major service that is often provided by local government is that of development projects, which may need specific quality plans (see ISO 10005 and ISO 10006 for the development of quality plans and project management respectively).

3.8

quality management system of the local government

set of interrelated or interacting elements that allow the local government to establish its policy and objectives related to quality, and to achieve those objectives

Note 1: Compound definition derived from ISO 9000:2005, definitions 3.2.1, 3.2.2 and 3.2.3.

*Note 2: These elements usually include the hardware (equipment), software (methods and procedures) and the human ware (people) that are needed for the effective operation of the **local government processes** (3.5).*

*Note 3: The objectives for quality should include the **specifications for local government** (3.3).*

3.9

transparency

result of processes, procedures, methods, data sources and assumptions used by the local government that are made available to all interested parties and citizens and collectively ensure that interested parties are made aware of their roles, rights and duties in the local government

4 Quality management system

4.1 General requirements

The organization shall establish, document, implement and maintain a quality management system and continually improve its effectiveness in accordance with the requirements of this International Standard.

The organization shall

- a) determine the processes needed for quality management system and their application throughout the organization (see 1.2),
- b) determine the sequence and interaction of these processes,
- c) determine criteria and methods needed to ensure that both the operation and control of these processes are effective,
- d) ensure the availability of resources and information necessary to support the operation and monitoring of these processes,
- e) monitor, measure where applicable, and analyse these processes, and
- f) implement actions necessary to achieve planned results and continual improvement of these processes.

These processes shall be managed by the organization in accordance with the requirements of this International Standard.

Where an organization chooses to outsource any process that affects product conformity to requirements, the organization shall ensure control over such processes. The type and extent of control to be applied to these outsourced processes shall be identified within the quality management system.

NOTE 1 Processes needed for the quality management system referred to above include processes for management activities, provision of resources, product realization, measurement, analysis and improvement.

NOTE 2 An “outsourced process” is a process that the organization needs for its quality management system and which the organization chooses to have performed by an external party.”

NOTE 3 Ensuring control over outsourced processes does not absolve the organization of the responsibility of conformity to all customer, statutory and regulatory requirements. The type and extent of control to be applied to the outsourced process may be influenced by factors such as:

- a) the potential impact of the outsourced process on the organization’s capability to provide product that conforms to requirements;
- b) the degree to which the control for the process is shared;
- c) the capability of achieving the necessary control through the application of clause 7.4.

4 Quality management systems in local government

4.1 General requirements

Due to the fundamental character of this clause and the fact that it establishes the basis for the rest of the quality management system, these guidelines should help to define the elements that enable a local government to document, implement, and maintain a quality management system, so that it can have an effective and reliable performance in a transparent manner.

The local government should clearly define the areas of activity to which its quality management system applies. The identification and differentiation of the products and services provided are essential in order to define the processes that should be developed to achieve consistent results, continual improvement and the satisfaction of the customer/citizen.

The local government should:

- a) *define the processes needed for the provision of its products and services, acceptance criteria (where possible) , and for evaluation of the results;*
- b) *identify the processes needed for quality management system that will promote an integral, reliable and effective performance;*
- c) *determine the sequence and interaction of these processes (how they relate to each other in terms of inputs and outputs – see 0.2);*
- d) *determine the criteria and methods to ensure that the operation and control of these processes are effective;*
- e) *ensure the availability of resources and information to support the operation and monitoring of these processes;*
- f) *carry out the monitoring, measurement, and analysis of these processes; and*
- g) *implement the necessary actions to obtain the planned results and the continual improvement of these processes.*

It is important to emphasize that the local government has to retain overall management responsibility in cases where processes are outsourced to third parties. An example could be where some services are provided by outside, non-governmental organizations such as public/private partnerships.

Note: Annex A gives examples of typical local government processes

4.2 Documentation requirements

4.2.1 General

The quality management system documentation shall include

- a) documented statements of a quality policy and quality objectives,
- b) a quality manual,
- c) documented procedures and records required by this International Standard, and
- d) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of its processes.

NOTE 1 Where the term “documented procedures” appears within this International Standard, this means that the procedure is established, documented, implemented and maintained. A single document may address the requirements for one or more procedures. A requirement for a documented procedure may be covered by more than one document.

NOTE 2 The extent of the quality management system documentation can differ from one organization to another due to

- a) the size of organization and type of activities,
- b) the complexity of processes and their interactions, and
- c) the competence of personnel.

NOTE 3 The documentation can be in any form or type of medium.

4.2 Documentation in local government

4.2.1 General

When planning the documentation needed for the quality management system, the local government should consider the following aspects, among others:

- a) terminology and definitions required and commonly used by the local government;
- b) governmental policies (including local, regional and national policies);
- c) applicable laws, standards and regulations;
- d) employee competence;
- e) projects, products and services provided.

ISO/TC176/SC2/N525 provides further guidance about the documentation requirements of ISO 9001:2008(see bibliography).

4.2.2 Quality manual

The organization shall establish and maintain a quality manual that includes

- a) the scope of the quality management system, including details of and justification for any exclusions (see 1.2),
- b) the documented procedures established for the quality management system, or reference to them, and
- c) a description of the interaction between the processes of the quality management system.

4.2.2 The quality manual in local government

The quality manual is the essential top-level document for the quality management system. One of its functions is to describe the way the requirements of ISO 9001: 2008 have been interpreted and implemented, for each local government.

The manual should describe the scope of the quality management system of the local government and the interactions among its processes (see 3.6). It should include or contain references to all the applicable documented procedures that are needed for the effective implementation of the quality management system.

These should include:

- the documented procedures required by ISO 9001:2008;
- any documented procedures required by the applicable legislation, statutory and/or regulatory requirements for the products and services (including projects) to be provided;
- documented procedures and/or other documentation needed to demonstrate transparency in the local government's processes (for example in purchasing activities).

4.2.3 Control of documents

Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in 4.2.4.

A documented procedure shall be established to define the controls needed

- a) to approve documents for adequacy prior to issue,
- b) to review and update as necessary and re-approve documents,
- c) to ensure that changes and the current revision status of documents are identified,
- d) to ensure that relevant versions of applicable documents are available at points of use,
- e) to ensure that documents remain legible and readily identifiable,
- f) to ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the quality management system are identified and their distribution controlled, and
- g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

4.2.3 Control of documents in local governments

The purpose of documentation control is to ensure that all documents needed for the quality management system are kept up-to-date and are readily available for use by those who need them. For this purpose, the local government should establish a documented procedure describing:

- a) *mechanisms to issue, revise and approve internal documents, including their identification and revision status;*
- b) *mechanism for controlling external documents such as policies applicable legal documents, emergency procedures and others; these should be made available to the public as appropriate;*
- c) *mechanism that allows access to the documents for use by local government personnel, contractors, and other interested parties as necessary.*

NOTE: Most documents issued by local governments are public documents, which increases the necessity for reliable document control. This can be done electronically, and should not generate undue bureaucracy. The documents can be in different support means: paper, videos, pictures, electronic and electromagnetic media, among others.

The documents used to define, manage and control the provision of the local government products services and projects should also be controlled (see 7.1). Documents issued internally should be reviewed, revised and approved for adequacy and conformity.

Information regarding the revision of publications, regulations, complementary forms or other resources to provide the service should be controlled and should be traceable to any relevant design and development processes or changes.

For projects, the control procedures of work programmes or plans, the services, the application forms for services, permits or payments, the instructions for filling in forms, report preparation etc. should be maintained in order to make the necessary documentation available in a complete and updated package.

4.2.4 Control of records

Records established to provide evidence of conformity to requirements and of the effective operation of the quality management system shall be controlled.

The organization shall establish a documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention and disposition of records.

Records shall remain legible, readily identifiable and retrievable.

4.2.4 Control of records in local government

A record is a special kind of document that provides information regarding the activities performed by the local government and it is normally kept as proof of the results obtained in each stage of the local government processes. This is particularly important for local government, in order to be able to demonstrate transparency in its activities and to provide adequate accountability to its customers/citizens.

The local government should pay attention to the retention times and the availability of the records, which are generally established by legislation or regulation.

It may be necessary for the local government to define specific guidelines aimed at providing confidentiality of some customers/citizens and/or other kinds of records (for example permits, liens, payment exemptions, penalties, etc.) – see 7.5.4.

ISO/TC176/SC2/N525 provides further guidance on the records required by ISO 9001:2008 (see bibliography).

In addition, the following are examples of the kind of records that could be part of a local government's quality management system:

- a) *population needs outputs;*
- b) *process development and design outputs;*
- c) *completed checklists of*
 - *progress and final reports of plans, programmes and projects;*
 - *the granted permits;*
 - *any payment exemptions;*
 - *personnel assessment;*
 - *supplier assessments;*
 - *infrastructure assessment;*
 - *works progress;*
- d) *assessments of impact of the local government actions;*
- e) *loss, damage or inadequate use of documentation;*
- f) *claims or complaints.*

5 Management responsibility

5.1 Management commitment

Top management shall provide evidence of its commitment to the development and implementation of the quality management system and continually improving its effectiveness by

- a) communicating to the organization the importance of meeting customer as well as statutory and regulatory requirements,
- b) establishing the quality policy,
- c) ensuring that quality objectives are established,
- d) conducting management reviews, and
- e) ensuring the availability of resources.

5 Management responsibility in local government

5.1 Management commitment

Top management (see 3.1) could show its commitment to the quality management system by continuously identifying the needs and expectations of its customers/citizens, as well as by assuring that the local government's processes and programmes meet the applicable statutory and regulatory requirements.

Some strategies and actions that could be used by the top management of a local government to demonstrate the above include:

- a) establishing unity of purpose within all the entities of the local government towards achieving quality in their services, including the importance of meeting the customer/citizen requirements as well as the standards and the legal framework applicable to the provided service;*
- b) establishing, communicating and explaining the quality policy to all the entities of the local government in order that all the members are aware of it and understand it;*
- c) assuring that quality objectives are established and that these are consistent with the quality policy and the customer/citizen requirements;*
- d) performing periodic reviews of the quality management system through the assessment of the local government performance to monitor compliance of the policies and the fulfilment of objectives as part of continual improvement, and*
- e) ensuring the adequate and timely availability of the resources necessary to meet the objectives.*

NOTE: The quality management principles given in ISO 9004 may assist top management to understand better the need for management responsibility.

5.2 Customer focus

Top management shall ensure that customer requirements are determined and are met with the aim of enhancing customer satisfaction (see 7.2.1 and 8.2.1).

5.2 Customer/citizen approach in local government

Top management of the local government should identify current and (where possible) future needs and expectations of its customers/citizens aim to meet them and achieve customer/citizen satisfaction within the framework of its legal powers and resources available.

The requirements of the customer/citizen should be defined and documented as requirements in local government programmes; specific objectives and performance indicators should be identified to ensure that these are being met. The needs and expectations of customers/citizens should be reviewed at planned intervals and updated as necessary to ensure customer/citizen satisfaction.

5.3 Quality policy

Top management shall ensure that the quality policy

- a) is appropriate to the purpose of the organization,
- b) includes a commitment to comply with requirements and continually improve the effectiveness of the quality management system,
- c) provides a framework for establishing and reviewing quality objectives,
- d) is communicated and understood within the organization, and
- e) is reviewed for continuing suitability.

5.3 Quality policy in local government

The quality policy should be oriented to the satisfaction of the needs and expectations of the local government's customers/citizens. It should be documented and should be consistent with the overall purpose of the local government, applicable statutory and regulatory requirements, as well as with other policies of the local government (e.g. policies related to anti-corruption, environmental, social responsibility, security, and transparency concerns) and policies originating at other governmental levels.

Top management of the local government should use the quality policy to guide it in its decision making processes.

The quality policy should serve as framework to develop, implement and update where necessary the quality objectives of the local government.

Local governments should take appropriate actions in order to communicate the policy and also take action to assess how well it is understood.

The quality policy should be periodically reviewed for continuing adequacy and updated as necessary.

5.4 Planning

5.4.1 Quality objectives

Top management shall ensure that quality objectives, including those needed to meet requirements for product [see 7.1 a)], are established at relevant functions and levels within the organization. The quality objectives shall be measurable and consistent with the quality policy.

5.4 Planning in local government

5.4.1 Quality objectives

Top management of the local government should assure that the quality objectives are established and communicated within the organization at the corresponding functions and levels, including those necessary to meet the service requirements [see 7.1 a)].

The quality objectives should:

- *aim to satisfy the current and (where possible) future needs and expectations of the customers/citizens;*
- *be consistent with statutory and regulatory requirements;*
- *be derived from the quality policy of the local government;*
- *be revised periodically and systematically;*
- *be communicated within the relevant functions and levels of the local government;*
- *be measurable and assessable, and*
- *focus on continual improvement within the global performance of the local government.*

Top management should establish measurement and assessment processes to provide information and data on the extent of fulfilment of the quality objectives. Local governments may also wish to make information on the fulfilment of quality objectives available to their customers/citizens.

The assessment methodology presented in Annex B may be used to identify and prioritize areas for quality improvement in local governments. This can lead to establishment of new or revised quality objectives.

NOTE: Given the expectations of customers/citizens for long term infrastructure projects, care should be taken when changing quality objectives that influence such projects by successive administrations in local governments.

5.4.2 Quality management system planning

Top management shall ensure that

- a) the planning of the quality management system is carried out in order to meet the requirements given in 4.1, as well as the quality objectives, and
- b) the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.

5.4.2 Quality management system planning

Top management of the local government should assure that the quality management system planning is performed considering the activities necessary to achieve its quality objectives and the resources available.

The local government should consider the use of a strategic development plan that includes:

- *short-term, medium-term and long-term objectives;*
- *identification of potential development areas;*
- *prioritization of programmes, projects and actions;*
- *availability of resources;*
- *organizational diagnostics (strengths – weaknesses and threats – opportunities), and*
- *risk evaluation and assessment.*

When the local government plans and implements changes to its quality management system, for example during administration changes, it should ensure that the system integrity is maintained.

5.5 Responsibility, authority and communication

5.5.1 Responsibility and authority

Top management shall ensure that responsibilities and authorities are defined and communicated within the organization.

5.5 Responsibility, authority and communication in local government

5.5.1 Responsibility and authority

Top management of the local government should clearly describe the functions, responsibilities and authorities of the personnel involved in the quality management system and its processes. This could include activities that are specific to the quality management system, such as internal auditors or process owners.

One way to achieve this could be the preparation of an organization chart indicating the hierarchy levels and communication lines. The responsibility and the authority could be established in job descriptions and/or in the detailed procedures.

The organization of local government should facilitate empowerment and decision making whilst at the same time ensuring that all activities are carried out by officials who have the responsibility and authority to do so.

5.5.2 Management representative

Top management shall appoint a member of the organization's management who, irrespective of other responsibilities, shall have responsibility and authority that includes

- a) ensuring that processes needed for the quality management system are established, implemented and maintained,
- b) reporting to top management on the performance of the quality management system and any need for improvement, and
- c) ensuring the promotion of awareness of customer requirements throughout the organization.

NOTE The responsibility of a management representative can include liaison with external parties on matters relating to the quality management system.

5.5.2 Management representative in local government

*The local government should appoint a management representative, to be responsible for the overall **coordination** of the quality management system and to ensure that the requirements of ISO 9001:2008 are met on a continual basis, taking note of the guidance in this International Workshop Agreement. Responsibility for the effective implementation of the system lies throughout the entire organization, and should not be seen as the sole responsibility of the management representative. The management representative may need to be supported by a group of colleagues to ensure the effective implementation of the quality management system throughout the local government.*

It should be emphasized that the management representative should be given sufficient authority and independence to ensure the quality policy, quality objectives and the quality management system are not compromised by other activities of the local government.

5.5.3 Internal communication

Top management shall ensure that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the quality management system.

5.5.3 Internal communication in local government

Top management of the local government should ensure that there are effective communication processes between organization levels and through the different areas and departments, to share information related with the performance of the local government and the effectiveness of its quality management system. This mechanism can be used to drive quality management system improvement activities (see 8.5).

5.6 Management review**5.6.1 General**

Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives.

Records from management reviews shall be maintained (see 4.2.4).

5.6 Management review in local government**5.6.1 General**

Local government needs to conduct regular reviews of its performance for a wide range of systems. These include processes for institutional development and good government, for sustainable economic development, sustainable environmental development, and social development. As part of this activity top management needs to conduct a review of the performance of the quality management system, in accordance with the input parameters defined in 5.6.2.

This review should verify the adequate functioning of the quality management system, assess its effectiveness, and ensure that it meets the requirements and objectives for key performance indicators. It should establish preventive and corrective actions for identified or potential non conformities, in accordance with sections 8.5.2 and 8.5.3.

Reviews should be conducted at regular planned intervals and be sufficiently flexible to allow for additional reviews to be performed as needed to maintain system integrity.

5.6.2 Review input

The input to management review shall include information on

- a) results of audits,
- b) customer feedback,
- c) process performance and product conformity,
- d) status of preventive and corrective actions,
- e) follow-up actions from previous management system, and
- f) recommendations for improvement.

5.6.2 Review information in local government

The input information to assess the quality management system effectiveness needs to consider the items listed in the ISO 9001 requirements and could also include, for example:

- *complaints and suggestions from customer/citizen and local government personnel;*
- *comparative studies in the implementation of systems of other local governments with this International Workshop Agreement 4 or other reference models;*
- *budget available for the system implementation and operation;*
- *monitoring progress of previously decided actions relevant to the quality management system;*
- *changes in national or regional government policies;*
- *changes in national or regional government resource provision to the local government;*
- *changes in statutes and regulations;*

- *changes in local demographics;*
- *statistical and trend analysis outcomes from local government activities;*
- *performance of key suppliers and/or partners.*

5.6.3 Review output

The output from the management review shall include any decisions and actions related to

- a) improvement of the effectiveness of the quality management system and its processes,
- b) improvement of product related to customer requirements, and
- c) resource needs.

5.6.3 Review outputs in the local government

Top management of the local government should, as a result of the quality management system review:

- *confirm if the activities and processes of the quality management system adhere to the quality policy and allow the achievement of the quality objectives;*
- *define any necessary corrective and/or preventive actions;*
- *establish improvement parameters for the local government services, infrastructure and processes;*
- *update or perform a review of the measurement indicators of the local government processes;*
- *define actions to take into account changes in national or regional government policies and resource provisions;*
- *define actions to account for changes in statutory and regulatory requirements;*
- *define actions to improve the level of customer/citizen satisfaction and to reduce complaints;*
- *define actions to improve communications with customers/citizens, and*
- *develop loss prevention and mitigation plans (including emergency plans) for identified risks.*
- *Keep updated the citizen's Charter*

6 Resource management

6.1 Provision for resources

The organization shall determine and provide the resources needed

- a) to implement and maintain the quality management system and continually improve its effectiveness, and
- b) to enhance customer satisfaction by meeting customer requirements.

6 Resource management in local government

6.1 Provision of resources

The local government should ensure the availability of resources for the effective functioning of the quality management system and to meet its customer/citizen requirements.

The local government should establish mechanisms for the identification of the resources necessary for the realization of its services and processes, including personnel, infrastructure, equipment, plants and work environment.

The local government should:

- a) *establish the input information to determine the resources needed;*
- b) *perform short, medium and long term planning of resources;*
- c) *provide adequate resources for monitoring, verification and assessment tasks;*
- d) *provide resources to establish effective communications within the local government organization and with customers/citizens;*
- e) *provide resources for continual improvement of performance and of the quality management system.*

6.2 Human resources

6.2.1 General

Personnel performing work affecting conformity to product requirements shall be competent on the basis of appropriate education, training, skills and experience.

NOTE Conformity to product requirements can be affected directly or indirectly by personnel performing any task within the quality management system.

6.2 Human resources in local government

6.2.1 General

The local government should establish processes for managing human resources to ensure the availability of competent personnel. These processes should aim to maintain and improve personnel competence at all levels (including top management, internal auditors etc). Customers/citizens should be assured that the local government uses competent personnel to provide its services.

The local government should provide its personnel with information about the way in which competence, awareness and training are related with the local government's legal powers, ethics and values, responsibilities and activities.

The local government should have a system for managing public officials that

- *defines their required competence,*
- *specifies the contractual conditions of employment,*
- *specifies job profiles and professional profiles, including any required professional qualifications,*
- *records the performance of all officials, both elected and designated, and*
- *defines recruitment and dismissal procedures that include transparency in the hiring of personnel for all designated official positions.*

The processes for managing human resources should include elements such as:

- *training programmes;*
- *continual professional development;*
- *appropriate supervision until personnel become fully competent;*
- *assessment of personnel performance (e.g. through customer/citizen surveys for designated officials), and*
- *control of the use of temporary staff and/or outsourcing of local government services.*

6.2.2 Competence, training and awareness

The organization shall

- a) determine the necessary competence for personnel performing work affecting conformity to product requirements,
- b) where applicable, provide training or take other actions to achieve the necessary competence,
- c) ensure that the necessary competence has been achieved,
- d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives, and
- e) maintain appropriate records of education, training, skills and experience (see 4.2.4).

6.2.2 Competence, awareness and training in local government

The local government should:

- a) *systematize the actions to determine training or other needs by comparison of the job requirements with the current competence levels of its personnel;*
- b) *implement awareness programs to ensure that personnel have knowledge of the quality policy, quality objectives and the methods used to achieve these;*
- c) *plan the training programmes or other activities needed to ensure the use of competent personnel, such as the re-allocation of responsibilities, the use of new technologies, or incorporation of new personnel;*
- d) *assess within planned intervals the results of the actions performed and provide feedback on the process;*
- e) *review the training needs and determine further action as necessary.*

6.3 Infrastructure

The organization shall determine, provide and maintain the infrastructure needed to achieve conformity to product requirements. Infrastructure includes, as applicable

- a) buildings, workspace and associated utilities,
- b) process equipment (both hardware and software), and
- c) supporting services (such as transport, communication or information systems).

6.3 Infrastructure in local government

Local governments are usually responsible for the provision of infrastructure to local customers/citizens such as facilities for water supply, for waste collection and disposal, schools, public lighting, sport areas, cemeteries, etc. Another important part of the infrastructure, however, are the resources necessary to support the local government's quality management system processes, but which are not incorporated in the final service. Examples include government offices, computer networks, office furniture, software and vehicles.

The local government should plan the provision and maintenance of the infrastructure to comply with the requirements of the customer/citizen, of the processes and those of the services provided. The plans for infrastructure should consider the identification and mitigation of any associated risks.

6.4 Work environment

The organization shall determine and manage the work environment needed to achieve conformity to product requirements.

NOTE The term "work environment" relates to those conditions under which work is performed including physical, environmental and other factors (such as noise, temperature, humidity, lighting, or weather).

6.4 Work environment in local government

The local government should identify the work environment factors that affect quality within their different services (e.g. tourism, waste disposal, street cleaning, office-based services, etc.), control them, and establish improvement actions for them.

These may include ergonomic factors related to the facilities and equipment used by the personnel or the customer/citizen (area, distribution and functionality of the spaces, adequacy of the furniture and work equipment, disabled access, signalling and visual support, etc.) and environmental factors (adequate lighting, heating/cooling and ventilation of the work areas, etc.) that have an effect in the local government processes.

Other relevant factors could be the psychological-social factors, such as extended work sessions or poor internal personnel relations, which can impact the work environment and in an indirect way the satisfaction of the customer/citizen.

The local government should implement feedback mechanisms that allow information, proposals and suggestions from personnel and customers/citizens to contribute to improving the work environment.

7 Product realization

7.1 Planning of product realization

The organization shall plan and develop the processes needed for product realization. Planning of product realization shall be consistent with the requirements of the other processes of the quality management system (see 4.1).

In planning product realization, the organization shall determine the following, as appropriate

- a) quality objectives and requirements for the product;
- b) the need to establish processes and documents, and to provide resources specific to the product;
- c) required verification, validation, monitoring, measurement inspection and test activities specific to the product and the criteria for product acceptance;
- d) records needed to provide evidence that the realization processes and resulting product meet requirements (see 4.2.4).

The output of this planning shall be in a form suitable for the organization's method of operations.

NOTE 1 A document specifying the processes of the quality management system (including the product realization processes) and the resources to be applied to a specific product, project or contract, can be referred to as a quality plan.

NOTE 2 The organization may also apply the requirements given in 7.3 to the development of product realization processes.

7 Service realization in local government

7.1 Planning service realization

The local government should plan and develop the processes it needs in order to provide its different services. These typically include the detection and analysis of customer/citizen needs, design and development of the service in order to meet these needs, as well as the support activities (including the allocation of adequate resources) to assure the planned implementation. It should also ensure that adequate control is given to any outsourced processes. Further guidance on outsourced processes is given in ISO/TC176/SC2/N630 (see bibliography).

To facilitate the planning of local government service realization, a comprehensive information system should be available, to include objective indicators for the verification, validation, monitoring, inspection, trial, pilot tests and tests of the services, as well as an analysis of the outputs and the record of historical performance. In this way the corresponding work methodologies allow for the plan and programmes to be updated.

The local government should clearly establish the area responsible for coordinating the planning process and the implementation of the service provision in a participative manner, and should assure that associated personnel have the necessary competence (see 4.1, 6.2 and 6.3).

As part of the planning process, the local government should identify potential emergency situations and potential accidents that may have an impact on the local community and how it will respond to them. This should include provision for communication and interaction with regional and national governments, as necessary.

7.2 Customer-related processes

7.2.1 Determination of requirements related to the product

The organization shall determine

- a) requirements specified by the customer, including the requirements for delivery, and for post-delivery activities,
- b) requirements not stated by the customer but necessary for specified or intended use, where known,
- c) statutory and regulatory requirements applicable to the product, and
- d) any additional requirements considered necessary by the organization.

NOTE Post delivery activities include, for example, actions under warranty provisions, contractual obligations such as maintenance services, and supplementary services such as recycling or final disposal.

7.2 Customer/citizen related processes in local government

7.2.1 Determination of requirements related to the services

The local government typically provides a range of services with both tangible and intangible components.

Service requirements are those that are needed to meet the needs and expectations of society, as well as those requirements that are not specified by the customer/citizen but are necessary to meet local government regulations and/or the customer/citizens' rights.

The general requirements of the service provided by the local government should be provided considering the equal rights and the dignity of the customers/citizens and include, but not be limited to, the following:

- a) safe and hygienic facilities;*
- b) professional, honest and respectful behaviour of local government personnel;*
- c) acceptable waiting and/or response times;*
- d) adequate reward for the service provision;*
- e) adequate service hours for customers/citizens;*
- f) reports on processes, procedures and records that are clear, transparent and consistent;*
- g) responsiveness to emergencies and/or crises;*
- h) availability of clear and precise information and/or instructions to customers/citizens.*

All services provided by local government should have clear, concrete and consistent specifications depending on their scope and nature.

Citizen's Charter" is a typical document commonly adopted to specify the commitments of the local governments toward the citizens and their rights.

7.2.2 Review of requirements related to the product

The organization shall review the requirements related to the product. This review shall be conducted prior to the organization's commitment to supply a product to the customer (e.g. submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and shall ensure that

- a) product requirements are defined,
- b) contract or order requirements differing from those previously expressed are resolved, and
- c) the organization has the ability to meet the defined requirements.

Records of the results of the review and actions arising from the review shall be maintained (see 4.2.4).

Where the customer provides no documented statement of requirement, the customer requirements shall be confirmed by the organization before acceptance.

Where product requirements are changed, the organization shall ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements.

NOTE In some situations, such as internet sales, a formal review is impractical for each order, instead the review can cover relevant product information such as catalogues or advertising material.

7.2.2 Review of requirements related to the service in local government

The local government should assure that it understands, and is able to satisfy the requirements of the local customers/citizens, before binding itself to provide such a service.

If the service requirements from local customers/citizens and/or statutory/regulatory requirements are not yet clearly defined, the local government should transform these requirements into measurable and verifiable characteristics of the service it intends to provide.

Whenever a written request from the customer/citizen is not expected, the local government should make sure it understands the demand before accepting it. This might be the case in the services of waste collection, public lighting or building of roads, among others, where the customer/citizen

does not specifically request the service but the local government foresees the need for it. This revision of requirements should be documented.

Note 1: In the case of a non-written request, the public servant should confirm the veracity and validity of information provided by the customer/citizen.

Note 2: Some examples of the review of service requirements include the following.

- a) The invitation for registration in an elementary school, where the local government should not accept a number of pupils larger than its resources (teachers and other facilities) can support. In this case, the review might be made in 2 stages: first through an adequate planning and provision of resources using forecast demographic data, and later by establishing a mechanism that assures that no new pupils will be accepted once the maximum possible number is reached.*
- b) The offer of services and the maximum number of customers that can possibly be attended to per day. For example, the certification of construction drawings, the processing of individual documentation, the sale of tickets for an art or sport activity. The revision is made taking into account process planning and the provision of resources.*
- c) An activity that will take place only if a minimum number of interested people is obtained. The registrations can be taken on a provisional basis and they can be confirmed once the registration period is finished. One aspect of the revision is to determine if there are enough interested people to carry out the activity.*

There is always the possibility of having to introduce modifications to a service due, for example, to changes in laws or regulations, to the analysis of the results for the assessment of complaints, claims or satisfaction of the customers/citizens. In view of this, changes in the service, and thus in the commitments made to the customer/citizen, should be made in a controlled way. The local government should apply the same concepts and criteria as when it offered the service for the first time, assuring that the new requirements were correctly identified and that it is able to satisfy them. This new application of the requirements could be often made in a simplified form, according to the forecast size and impact of the changes.

7.2.3 Customer communication

The organization shall determine and implement effective arrangements for communicating with customers in relation to

- a) product information,
- b) enquiries, contracts or order handling, including amendments, and
- c) customer feedback, including customer complaints.

7.2.3 Customer /citizen communication in local government

The local government should strengthen customer/citizen participation in its service-related processes as a mechanism for transparency and public accountability.

The local government should establish effective mechanisms that assure communication and promotion of the service, based on the requirements, characteristics, availability, price, procedures, and criteria, for example. These communications and feedback mechanisms could be information modules, phone service, Website, e-mail, citizen service desk, complaints and suggestion mailbox, use of mass media, among others.

The local government should establish a process to record, analyse and reply to these communications. Every customer/citizen needs to know that he/she is being properly served by local government; by ensuring a prompt and courteous response to communications from customers/citizens, dissatisfaction can often be transformed into satisfaction before becoming a formal complaint or claim.

It is also important that the local government establishes an evaluation process of the communications with the customer/citizen. This constitutes a source of reliable information for improvement, beyond having the need to perform corrective actions to prevent the repetition of problems. This activity is directly related with the concept of improvement (see 8.5).

7.3 Design and development

7.3.1 Design and development planning

The organization shall plan and control the design and development of product.

During the design and development planning, the organization shall determine

- a) the design and development stages,
- b) the review, verification and validation that are appropriate to each design and development stage, and
- c) the responsibilities and authorities for design and development.

The organization shall manage the interfaces between different groups involved in design and development to ensure effective communication and clear assignment of responsibility.

Planning output shall be updated, as appropriate, as the design and development progresses.

NOTE Design and development review, verification and validation have distinct purposes. They may be conducted and recorded separately or in any combination as suitable for the product and the organization.

7.3 Design and development in local government

In the context of local government, design and development is the process that transforms the customer/citizen needs and expectations and/ or the legal requirements into the characteristics of the service to be provided.

7.3.1 Design and development planning

Whenever local government designs and develops a product (whether it is a tangible product such as a new sports facility, or a new service such as an interactive website), it should define planning and control mechanisms that are in compliance with the applicable legislation and regulation. At all times, the local government should keep in mind that the design and development of the services should be for the benefit of the customer/citizen.

Infrastructure projects should be planned considering the lifetime typically expected for such products. For example, if a highway requires major investments after 25 years, the design for a highway should consider all variables that guarantee at least that same quality and lifetime.

Within the planning for design and development, the local government should determine the stages, scheduling of activities, goals, responsibilities and resources consistent with the planned objectives, the schedule for the service provision and factors related to processes linked with other government levels.

The local government should establish in the design and development planning of the services, the mechanisms of revision, verification and validation at pre-defined stages, relating them to the legal procedures of the local control authority (such as an environment agency), the issuing of reports and transparency in the information provided.

During the design and development planning process, the required timeframe for implementation and review of the results should be determined, in accordance with the legal and regulatory framework.

7.3.2 Design and development inputs

Inputs relating to product requirements shall be determined and records maintained (see 4.2.4).

These inputs shall include

- a) functional and performance requirements,
- b) applicable statutory and regulatory requirements,
- c) where applicable, information derived from previous similar designs, and
- d) other requirements essential for design and development.

The inputs shall be reviewed for adequacy. Requirements shall be complete, unambiguous and not in conflict with each other.

7.3.2 Design and development input elements in local government

The local government should determine the input elements related to the service requirements and should keep records. These should include:

- *the functional and performance requirements resulting from the analysis of the identified needs: effectiveness, competence of the personnel involved in the services, as well as the timeframe for attention and reply;*
- *the requirements that should be met, with regard to human, material, financial and technological resources, to ensure the service implementation;*
- *the applicable legal and regulatory requirements; it is also important to determine the application of official technical regulations or international standards, as needed;*
- *information from similar previous designs, successful experiences in other local governments already providing the service, when applicable; and*
- *any other requirement essential for the design and development, results of surveys, researches or expectations of the customers/citizens.*

The local government should review these elements to verify their inclusion in the service design and development process. The requirements should be complete, systematized, and without ambiguities or contradictions.

7.3.3 Design and development outputs

The outputs of design and development shall be in a form suitable for verification against the design and development input and shall be approved prior to release.

Design and development outputs shall

- a) meet the input requirements for design and development,
- b) provide appropriate information for purchasing, production and for service provision,
- c) contain or reference product acceptance criteria, and
- d) specify the characteristics of the product that are essential for its safe and proper use.

NOTE Information for production and service provision can include details for the preservation of product.

7.3.3 Design and development outputs in local government

The result of the design and development process is the specification of the characteristics of the service to be provided to the customer/citizen. It should include the criteria to assure that the specification has been met and that the service can be used correctly and safely.

The design and development results should:

- *comply with the requirements of the input elements for the design and development; this process can result in the development of regulations, norms and manuals;*
- *provide appropriate information for the purchase, production and provision of the service; such as service information and promotion programmes or internal policies;*
- *contain or make reference to the service acceptance criteria; mechanisms of internal verification and evaluation from the customer/citizen should be included; and*
- *provide the specifications of the service characteristics that are essential for safety and security of the customers/citizens.*

7.3.4 Design and development review

At suitable stages, systematic reviews of design and development shall be performed in accordance with planned arrangements (see 7.3.1)

- a) to evaluate the ability of the results of design and development to meet requirements, and
- b) to identify any problems and propose necessary actions.

Participants in such reviews shall include representatives of functions concerned with the design and development stages(s) being reviewed. Records of the results of the reviews and any necessary actions shall be maintained (see 4.2.4).

7.3.4 Design and development review in local government

One main objective of this review is to assure that the service being designed can be performed within the foreseen terms, costs and timeframe. The review process should be used for all stages of design and development.

Depending on the complexity of the design and development processes, the review can be performed in one or several stages. The participants in the relevant activities within each phase should review the design and development results against the requirements. The agreements should be recorded in the minutes of formal meetings.

A group of people, including those responsible for the design, should perform the review. This group reviews the design reports and should be in charge of judging if the design is adequate to comply with the requirements.

The design process should be reviewed in terms of the expected service results. This review should be based on the experience from both successful and unsuccessful projects.

A design report and completed checklists should be issued to document the procedures used and the way the service meets the design specifications.

The service acceptance criteria should be specified and can include the following:

- a) the approval of the content by one or more specialists in the topic who did not participate in the design and development stage. This could include, for example, those in charge of the next phase (i.e. internal customers);*
- b) approval by a specialist of any technology used;*
- c) application trials in an environment similar to that where the service will be provided.*

7.3.5 Design and development verification

Verification shall be performed in accordance with planned arrangements (see 7.3.1) to ensure that the design and development outputs have met the design and development input requirements. Records of the results of the verification and any necessary actions shall be maintained (see 4.2.4).

7.3.5 Design and development verification in local government

Verification is the process of assessing the results of a design stage or activity to assure its conformity with the established input requirements. The verification could be a progressive process performed through several stages depending on the project size.

This activity could be performed either internally, by specialists who have not participated in the design and development, or externally. The design and development results should comply with the input specifications of design and development. (See figure 3.)

7.3.6 Design and development validation

Design and development validation shall be performed in accordance with planned arrangements (see 7.3.1) to ensure that the resulting product is capable of meeting the requirements for the specified application or intended use, where known. Wherever practicable, validation shall be completed prior to the delivery or implementation of the product.

Records of the results of validation and any necessary actions shall be maintained (see 4.2.4).

7.3.6 Design and development validation in local government

This process is performed to assure that the characteristics of the planned, developed and designed service meet the needs of the users. (See figure 3.)

In most cases the validation should be performed with the participation of a representative group of the customers/citizens.

The validation should be generally performed in the final stages of the design and development process. This is typically the case for a pilot project, development of a prototype, among others.

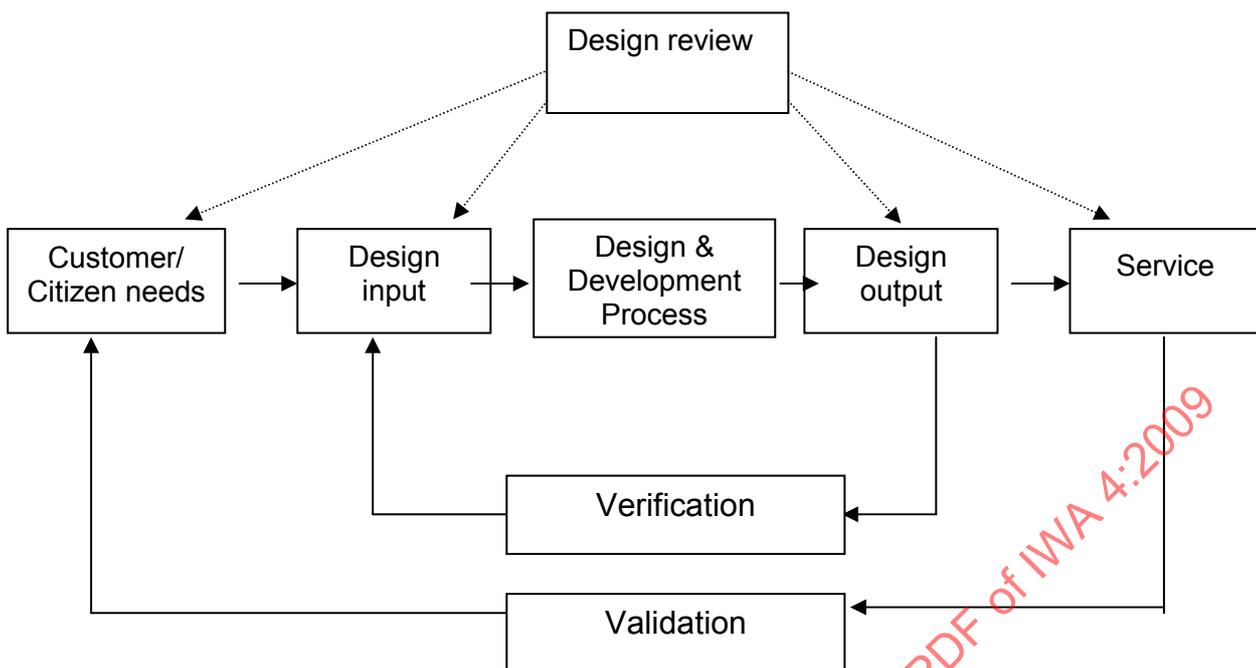


Figure 3: Design and Development Process

NOTE Design and development review, verification and validation have distinct purposes. They may be conducted and recorded separately or in any combination as suitable for the product and the organization.

7.3.7 Control of design and development changes

Design and development changes shall be identified and records maintained. The changes shall be reviewed, verified and validated, as appropriate, and approved before implementation. The review of design and development changes shall include evaluation of the effect of the changes on constituent parts and product already delivered.

Records of the results of the review of changes and any necessary actions shall be maintained (see 4.2.4).

7.3.7 Control of design and development changes in local government

The local government should describe how to revise and update the service characteristics based on experience, including any complaint from the customers/citizens available during the service implementation process.

The local government should establish mechanisms that allow for easy identification of the records of the design and development changes of each one of the processes, as well as the results and evaluations performed.

Before accepting design and development changes, these should be evaluated for their potential effect on the local government's internal processes on the relevant interested parties and on the satisfaction of the customers/citizens.

This control of changes usually implies the performance of all necessary stages of the design and development process, from the planning to the validation of the change in an existing design.

7.4 Purchasing

7.4.1 Purchasing process

The organization shall ensure that purchased product conforms to specified purchase requirements. The type and extent of control applied to the supplier and the purchased product shall be dependent upon the effect of the purchased product on subsequent realization or the final product.

The organization shall evaluate and select suppliers based on their ability to supply product in accordance with the organization's requirements. Criteria for selection, evaluation and re-evaluation shall be established.

7.4 Purchasing in local government

The purchasing process of the local government should be performed in accordance with the legal and regulatory provisions regarding the procurement of goods and/or services.

7.4.1 Purchasing process

The invitation to become supplier of a local government should be open, accessible, widely published and contain the necessary purchasing information (7.4.2).

The local government should clearly identify its requirements for the goods and services to be purchased. The local government should be clear that its suppliers have to comply with the established requirements and that their responsibility depends on the specifications and conditions previously established in contracts or agreements. For new suppliers, it may be convenient to include a test period or pilot scheme before final supplier approval is granted.

Local government should determine the type and scope of control to be applied to its suppliers and their good/services. This in turn depends on the impact that the purchased goods or services can have on the local government's own service provision, and on the previous demonstrated performance of the supplier.

The local government should establish the minimum reliability requirements (including requirements for the supplier's quality management system, where necessary) that the suppliers shall meet to assure the quality of the provided service.

The local government should maintain up-to-date information on its suppliers, evaluated on their ability to comply with purchasing requirements both in terms of conformity of the goods and services provided and delivery performance. This list could serve as a basis for supplier selection.

The information about approved suppliers may include, for example, the following:

- *compliance with the applicable regulations (legal and fiscal aspects);*
- *technical and administrative capacity;*
- *economic capability;*
- *if the supplier has evaluations from third parties or if they have a quality management system that meets the requirements of ISO 9001:2008;*
- *supplier's past performance record.*

NOTE: The ISO informational brochure "ISO 9001:2008 – What does it mean in the Supply Chain?" provides more detailed explanations about supplier evaluations and claims of conformity to ISO 9001:2008.

7.4.2 Purchasing information

Purchasing information shall describe the product to be purchased, including where appropriate

- a) requirements for approval of product, procedures, processes and equipment,
- b) requirements for qualification of personnel, and
- c) quality management system requirements.

The organization shall ensure the adequacy of specified purchase requirements prior to their communication to the supplier.

7.4.2 Purchasing information in local government

Information in the purchasing documents (requisitions, purchase orders, requests for tender, bid documents, etc.) should be perfectly clear with respect to what it is required.

The purchasing documents should be reviewed and approved by the competent authority before their transmission to potential suppliers. It may be convenient for the local government to have forms, checklists or software that ensure the requirements are adequately documented.

The specification of what it is to be purchased needs to contain, at least, the characteristics describing the goods or service, but it may be necessary to add additional information, such as the way it is to be produced and controlled by the supplier.

7.4.3 Verification of purchased product

The organization shall establish and implement the inspection or other activities necessary for ensuring that purchased product meets specified purchase requirements.

Where the organization or its customer intends to perform verification at the supplier's premises, the organization shall state the intended verification arrangements and method of product release in the purchasing information.

7.4.3 Verification of purchased goods and services in local government

The local government should implement adequate mechanisms to assure that the goods and services purchased meet the specified requirements. For this purpose, it should have competent personnel, procedures and/or or operating instructions for inspection and verification of the received goods and services.

Verification should include a check that the supplier has provided any necessary support documentation, such as instructions manuals, warranties and maintenance manuals, among others.

7.5 Production and service provision**7.5.1 Control of production and service provision**

The organization shall plan and carry out production and service provision under controlled conditions.

Controlled conditions shall include, as applicable

- a) the availability of information that describes the characteristics of the product,
- b) the availability of work instructions, as necessary,
- c) the use of suitable equipment,
- d) the availability and use of monitoring and measuring equipment,
- e) the implementation of monitoring and measuring, and
- f) the implementation of product release, delivery and post-delivery activities.

7.5 Production and service provision in local government

7.5.1 Control of production and service provision

The local government should plan and carry out in a controlled way the production and service provision. The control to be exercised could include among others:

- a) *knowing the specification of the service to be provided, to be able to verify that the provided service meets expectations;*
- b) *having work instructions when necessary. The work instructions can be documents written in the form of a procedure or instructions, posters displayed in the work place directed both to the local government employees and to suppliers and customers/citizens;*
- c) *having the human resources necessary for the processes, in accordance with 6.2;*
- d) *using the appropriate equipment (construction machinery, cleaning equipment, computer hardware and software, for example);*
- e) *having the necessary process monitoring and measurement (computer programmes, water quality laboratories, verbal and written communication means, power consumption measurement equipment for public lighting, among others). The control of these equipment is referred to in 7.6;*
- f) *performing the monitoring and measurement of the goods and services being provided, and their associated processes, in accordance with 8.2.3 and 8.2.4;*
- g) *establishing control mechanisms in the service provision in order to assure compliance with the service requirements.*

The local government should have processes in place to respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental, health and safety and/or socio-economic impacts. The local government should periodically review, test, validate (see 7.5.2) and, where necessary, revise its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations.

7.5.2 Validation of processes for production and service provision

The organization shall validate any processes for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement, and as a consequence, deficiencies become apparent only after the product is in use or the service has been delivered.

Validation shall demonstrate the ability of these processes including, as applicable

- a) defined criteria for review and approval of the processes,
- b) approval of equipment and qualifications of personnel,
- c) use of specific methods and procedures,
- d) requirements for records (see 4.2.4), and
- e) revalidation.

7.5.2 Validation of processes for production and service provision in local government

Validation of the production and service provision processes is necessary for processes where the local government cannot detect nonconformities until it is too late (usually after the goods and services have been delivered).

For these cases, the following process validation steps are usually needed:

- *to review and approve the method to ensure its capacity to achieve the planned results;*
- *to define and make available the necessary equipment and infrastructure;*

- to designate specific, competent personnel who have the necessary training, qualification and/or experience;
- to have records that allow feedback based on the actual process results.

One example of such a process might be the case of leak detection in domestic water supplies. In these cases, it is not normally feasible to make general excavations or to introduce inspection equipment into the water pipes, and the process tends to be based on acoustic emissions from the leaking pipe. Any nonconformity in the detection process only becomes evident when it is too late (when expensive excavations have been made in the wrong location). It is therefore necessary to validate the detection process, to ensure that only qualified, specialized personnel, using approved acoustic apparatus carry out this process.

7.5.3 Identification and traceability

Where appropriate, the organization shall identify the product by suitable means throughout product realization.

The organization shall identify the product status with respect to monitoring and measurement requirements throughout product realization.

Where traceability is a requirement, the organization shall control the unique identification of the product and maintain records (see 4.2.4).

NOTE In some industry sectors, configuration management is a means by which identification and traceability are maintained.

7.5.3 Identification and traceability in local government

In a local government, service identification and traceability are usually important for the following reasons:

- *for identification of the service status with respect to the monitoring and measurement requirements;*
- *in order to meet statutory requirements, for example in birth certificates, notary records and circulation permits, among others;*
- *for analysis of the impact and social or economic benefit of the services, or in the investigation of complaints.*

Steps should be taken during the service realization and provision processes in order to achieve the identification and traceability needed to ensure customer/citizen satisfaction, accountability, transparency and compliance with statutory/regulatory requirements. Typical records needed to ensure adequate identification and traceability include:

- *information of the services provided;*
- *destination, delivery sites and dates/times of the services;*
- *identification of local government personnel and/or customers/citizens involved.*

7.5.4 Customer property

The organization shall exercise care with customer property while it is under the organization's control or being used by the organization. The organization shall identify, verify, protect and safeguard customer property provided for use or incorporation into a product. If any customer property is lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer and maintain records (see 4.2.4).

NOTE Customer property can include intellectual property and personal data.

7.5.4 Customer /citizen property in local government

The local government should exercise care with any information, document, material or other item provided by the customer/citizen for its processing (service, process, verification, validation, among others).

All the assets the local government holds as property should really be considered as goods under safeguard since they are common goods belonging to the local government's customers/citizens. For this reason, the local government should protect it and safeguard it as a collective property of the customer/citizen. A quality characteristic implies that the local government is responsible for the effective care of the common goods entrusted to it (parks, rivers, sanitary landfills, streets, urban infrastructure, history, files, and cultural assets, among many others). The protection of the common goods is also based, under these guidelines, in the property the local government should preserve for the customers/citizens belonging to future generations.

The care of the goods owned by the customer is generally regulated by some legislation or contract. However, for cases where there are no rules in this regard, the local government should elaborate procedures or instructions assuring the protection of these goods.

For example:

- In case of a traffic violation, when the car of the infringer is taken to a place assigned by the local government, this shall have the processes and equipment necessary for safe transportation and protection against damage.*
- When a customer/citizen wishes to obtain a document such as a passport and for this he/she needs to provide personal identification documents, these need to be handled according to a specific procedure that assures the confidentiality and security from the corresponding office until they are duly returned once the process is complete.*

In case the goods provided by the customer/citizen are damaged, lost or destroyed, the customer/citizen should be immediately informed, preferably in writing, and the liability for any damage needs to be performed according to the relevant regulations.

Any intellectual property produced by the local government also needs to be considered as the collective intellectual property of the local government's customers/citizens and therefore has to be safeguarded according to this clause of ISO 9001:2008. Equally, the local government needs to have processes to secure the intellectual property of its suppliers. This is sometimes carried out at the local level, with internal local government procedures whose scope at a regional or national level should be analyzed.

7.5.5 Preservation of product

The organization shall preserve the product during internal processing and delivery to the intended destination in order to maintain conformity to requirements. As applicable, preservation shall include identification, handling, packaging, storage and protection. Preservation shall also apply to the constituent parts of a product.

7.5.5 Preservation of product in local government

The preservation of product is applied to the handling, storage, packing, shipping, care and delivery of the goods a local government provides. Customers/citizens expect that the local government will take steps to avoid deterioration of goods, thereby avoiding wasted resources.

The scope and application of product preservation is related to the amount and type of goods and services the local government could provide and may vary from merely administrative services to the provision of tangible goods such as pavements, graves in graveyards, passports, driving licences, and school breakfasts, among others.

When dealing with requirements related to the handling, storage, packing, shipping, care and delivery of goods, the local government should consider all applicable normative, regulatory, hygiene and work safety requirements.

7.6 Control of monitoring and measuring equipment

The organization shall determine the monitoring and measurement to be undertaken and the monitoring and measuring equipment needed to provide evidence of conformity of product to determined requirements

The organization shall establish processes to ensure that monitoring and measurement can be carried out and are carried out in a manner that is consistent with the monitoring and measurement requirements.

Where necessary to ensure valid results, measuring equipment shall

- a) be calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exist, the basis used for calibration or verification shall be recorded (see 4.2.4);
- b) be adjusted or re-adjusted as necessary;
- c) have identification in order to determine its calibration status;
- d) be safeguarded from adjustments that would invalidate the measurement result;
- e) be protected from damage and deterioration during handling, maintenance and storage.

In addition, the organization shall assess and record the validity of the previous measuring results when the equipment is found not to conform to requirements. The organization shall take appropriate action on the equipment and any product affected. Records of the results of calibration and verification shall be maintained (see 4.2.4).

Records of the results of calibration and verification shall be maintained (see 4.2.4).

When used in the monitoring and measurement of specified requirements, the ability of computer software to satisfy the intended application shall be confirmed. This shall be undertaken prior to initial use and reconfirmed as necessary.

NOTE Confirmation of the ability of computer software to satisfy the intended application would typically include its verification and configuration management to maintain its suitability for use.

7.6 Control of monitoring and measurement equipment in local government

“Monitor” means “to observe, to supervise, to keep under review; to measure or test at intervals, especially for the purpose of regulation or control”. All processes can be monitored. “Measure” means “to determine the magnitude or quantity of something, usually by comparison with a reference standard”. It is important for local governments to understand the difference. Measuring equipment can usually be calibrated, but many monitoring equipment cannot.

The local government should establish which monitoring and measurement equipment need to be verified or calibrated, and the degree of accuracy, error and frequency with which this should be done. An important consideration is whether the lack of verification or calibration may affect the quality or amount of the goods and services to be provided. An example would be the case of drinking water metering equipment, which if not well calibrated can affect the monetary contribution

of the customer/citizen to local government, which in turn affects the service quality of the drinking water supply.

When a verification or calibration is considered necessary, the local government should evaluate the need to establish calibration methods and define the records to be maintained. For example, calibration may be necessary for measuring equipment used in the control of noise, gaseous emissions to the atmosphere, pavements, lighting, and/or incoming inspection of materials and goods.

The local government should have mechanisms to evaluate and record the validity of the results of measurements made when it is detected that the measuring equipment is not accurate.

In the case of applying computer programmes, the validity of the results should be verified, for example the software used for the verification of pollutant emission.

Control of the monitoring and measurement equipment should be performed by impartial personnel (people with no conflict of interests in this control).

8 Measurement, analysis and improvement in local government

8.1 General

The organization shall plan and implement the monitoring, measurement, analysis and improvement processes needed

- a) to demonstrate conformity to product requirement,
- b) to ensure conformity of the quality management system, and
- c) to continually improve the effectiveness of the quality management system.

This shall include determination of applicable methods, including statistical techniques, and the extent of their use.

8.1 General orientation

The local government should determine appropriate means for monitoring and measuring its quality management system processes, for analyzing the results and for making improvements. Monitoring and measurements should allow the local government to demonstrate that the goods and services it provides consistently meet the needs of its customers/citizens, and that its quality management system conforms to all relevant requirements. As such, the effectiveness of the quality management system should be improved continually in accordance with the will of the customers/citizens.

Monitoring and, where appropriate, measurements should relate to the full range of services provided and the service provision processes within the local government. Monitoring and measurements should also relate to the quality management system processes, including the policies and objectives established, which reflect the priorities of the local government.

Note: Annexes A and B of this International Workshop Agreement provide examples of a structure of local government processes for consideration in establishing appropriate monitoring and measurement.

8.2 Monitoring and measurement**8.2.1 Customer satisfaction**

As one of the measurements of the performance of the quality management system, the organization shall monitor information relating to customer perception as to whether the organization has met customer requirements. The methods for obtaining and using this information shall be determined.

NOTE Monitoring customer perception can include obtaining input from sources such as customer satisfaction surveys, customer data on delivered product quality, user opinion surveys, lost business analysis, compliments, warranty claims and dealer reports.

8.2 Monitoring and measurement in local government**8.2.1 Customer/citizen satisfaction**

The local government should monitor and evaluate the perception of the customer/citizen as regards meeting their requirements.

The methods used for the monitoring of customer satisfaction should be selected so as to provide meaningful information regarding customer/citizen satisfaction as well as their priorities. This information should include suitable indicators to demonstrate progress and trends in customer/citizen satisfaction.

The local government should determine and implement appropriate methods for acting upon the customer/citizen satisfaction information, including communicating these results to interested parties.

Note: Examples of monitoring and measurement of customer/citizen satisfaction include

- *direct surveys of customers/citizens;*
- *focus group meetings;*
- *customer/citizen hotline records;*
- *third party opinion polls.*

8.2.2 Internal audit.

The organization shall conduct internal audits at planned intervals to determine whether the quality management system

a) conforms to the planned arrangements (see 7.1), to the requirements of this International Standard and to the quality management system requirements established by the organization, and

b) is effectively implemented and maintained.

A documented procedure shall be established to define the responsibilities and requirements for planning and conducting audits, establishing records and reporting results.

An audit programme shall be planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods shall be defined. The selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work.

Records of the audits and their results shall be maintained (see 4.2.4).

The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes. Follow-up activities shall include the verification of the actions taken and the reporting of verification results (see 8.5.2).

NOTE See ISO 19011 for guidance.

8.2.2 Internal audits in local government

The internal audit process provides the local government with information on the extent to which the quality management system is meeting requirements and its effectiveness in meeting objectives and customer/citizen requirements. It is important that top management promotes a proactive internal audit culture, and not one that is aimed at assigning blame for any problems encountered.

Note: These quality management system audits should be distinguished from other internal audits typically performed in government bodies, such as those which relate to use of public funds.

The local government should perform internal audits at planned intervals based on the relative importance of the various services, processes and functions, as well as any changes and other concerns in the processes and the performance of the quality management system.

A documented procedure should be established to define the steps involved in the internal audits, including determining the audit methodology, scope and criteria that will be used and the reporting of audit results.

Minimum guidelines should exist for the selection and training of the auditors and to assure the maintenance of their competence, usually through training programmes. Wherever possible, auditors should be selected so that they are to some extent independent of the activities they are auditing. As a minimum, auditors should not audit their own work.

The local government should define how the audit report is to be used, including distribution and follow-up of findings.

8.2.3 Monitoring and measurement of processes

The organization shall apply suitable methods for monitoring and, where applicable, measurement of the quality management system processes. These methods shall demonstrate the ability of the processes to achieve planned results. When planned results are not achieved, correction and corrective action shall be taken, as appropriate.

NOTE When determining suitable methods, the organization should consider the type and extent of monitoring or measurement appropriate to each of its processes in relation to their impact on the conformity to product requirements and on the effectiveness of the quality management system.

8.2.3 Monitoring and measurement of processes in local government

The local government should determine suitable ways to monitor (and, where applicable, to measure – see 7.6) its service provision processes as well as other quality management system processes such as management review, internal audit, document control, etc. This monitoring and

measurement has the purpose of determining the extent to which these processes can deliver the planned results.

Note: Examples of processes that should be monitored include, but are not limited to the following:

- public procurement processes;
- strategic programmes and projects, such as public awareness;
- staff development.

Established process measurements should relate to the policies and objectives set, and care should be taken that these measurements are carried out in a proactive manner so as not to cause adverse reactions and/or side-effects.

Note: The management indicators shown in the “Check-up” System presented in Annex B may be useful in establishing process measurements.

The results of process monitoring and measurement should be recorded and used to provide evidence that the services achieved the planned objectives. Where available, process benchmarks should be considered.

When planned results are not met, the local government should take actions through corrections to rectify nonconforming situations and corrective actions for improvement of the processes to avoid recurrence.

The local government should clearly define any methods used to measure, analyse and act upon the effectiveness of the processes. Examples of the methods include comparative analysis, statistical methods, seasonal or cyclic variations, etc.

8.2.4 Monitoring and measurement of product

The organization shall monitor and measure the characteristics of the product to verify that product requirements have been met. This shall be carried out at appropriate stages of the product realization process in accordance with the planned arrangements (see 7.1). Evidence of conformity with the acceptance criteria shall be maintained.

Records shall indicate the person(s) authorizing release of product for delivery to the customer (see 4.2.4).

The release of product and delivery of service to the customer shall not proceed until the planned arrangements (see 7.1) have been satisfactorily completed, unless otherwise approved by a relevant authority and, where applicable, by the customer.

8.2.4 Monitoring and measurement of service in local government

The local government should establish and use appropriate methods to monitor and measure the resulting goods and services to ensure conformity with customer/citizen requirements. These requirements could include any public service pledges, commitments and charters.

In monitoring to ensure conformance with requirements, the local government should establish specific mechanisms for all the various goods and services it provides, such as product and process checks, minimum compliance indicators, external audits, and measuring progress of government programmes.

These measurements should relate to the policies and objectives set, as well as any service specifications and commitments. Care should be taken that these measurements are carried out in a proactive manner so as not to cause adverse reactions and/or side-effects.

Note 1: Examples of suitable measurements include: response time; accuracy of service transactions; coverage of population, etc.

Note 2: The management indicators shown in the “Check-up” System presented in Annex B may be useful in establishing these measurements.

The results of monitoring and measurement should be recorded and used to provide evidence that the services achieved the required outcomes. Where available, the use of benchmarks should be considered, both within and outside of local government activities.

8.3 Control of nonconforming product

The organization shall ensure that product which does not conform to product requirements is identified and controlled to prevent its unintended use or delivery. A documented procedure shall be established to define the controls and related responsibilities and authorities for dealing with nonconforming product.

Where practicable, the organization shall deal with nonconforming product by one or more of the following ways;

- a) by taking action to eliminate the detected nonconformity;
- b) by authorizing its use, release or acceptance under concession by a relevant authority and, where applicable, by the customer;
- c) by taking action to preclude its original intended use or application.
- d) by taking action appropriate to the effects, or potential effects, of the nonconformity when nonconforming product is detected after delivery or use has started.

When nonconforming product is corrected it shall be subject to re-verification to demonstrate conformity to the requirements.

Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained, shall be maintained (see 4.2.4).

8.3 Control of nonconforming service in local government

In the context of local government, a nonconformity in the goods or services provided means that one or more requirements has not been met. These requirements may come from the customer/citizens, from statutes or regulations, or they may be internal requirements defined by the local government itself.

The local government has to establish a documented procedure indicating:

- *appropriate mechanisms to detect a nonconforming service;*
- *tools for the identification of the nonconforming service;*
- *controls to prevent the non-intentional use or provision of the nonconforming service;*
- *appropriate actions to avoid the nonconforming service being repeated again.*

The local government should define the responsibility and authority for monitoring the effective implementation of this procedure.

In the case of a nonconformity directly involving the customer/citizen, the local government should provide for:

- *contingency plans;*
- *transfer of the customer/citizen's needs to other programmes;*
- *development of improvement plans and agendas for subsequent fiscal periods;*
- *appropriate strategies of conflict management.*

8.4 Analysis of data

The organization shall determine, collect and analyse appropriate data to demonstrate the suitability and effectiveness of the quality management system and to evaluate where continual improvement of the effectiveness of the quality management system can be made. This shall include data generated as a result of monitoring and measurement and from other relevant sources.

The analysis of data shall provide information relating to:

- a) customer satisfaction (see 8.2.1),
- b) conformity to product requirements (see 8.2.4),
- c) characteristics and trends of processes and products including opportunities for preventive action (see 8.2.3 and 8.2.4), and
- d) suppliers (see 7.4).

8.4 Analysis of data in local government

The local government should determine and collect data regarding the performance of the quality management system and its processes, as well as for the goods and services they provide.

Wherever possible, the data should be obtained from information systems that already exist within the local government organization. Typical examples include:

- *management review data;*
- *information received from administrative personnel and the customer/citizen;*
- *review of the service requirements;*
- *service performance data;*
- *supplier evaluations;*
- *satisfaction surveys of customers/citizens and other interested parties;*
- *results of audits;*
- *monitoring and measurement at the beginning, during and at the end of processes;*
- *service identification;*
- *the verification and validation of the methods used for the monitoring and measurement; and*
- *information on nonconforming goods and services.*

The data gathered and the analysis techniques used should be consistent with the purpose of the process and should reflect the performance of the process in meeting objectives. It should be recognised that local government processes often have both quantitative and qualitative characteristics, and that some of the factors that have an influence on the local government effectiveness are outside the local government's direct control. Data from some of these factors such as the budget assigned, political factors, bureaucracy, etc. should be considered as part of the data analysis and continual improvement process.

Wherever possible, the local government should analyze the information and data gathered using, but without being limited to, numerical and graphical methods.

Some typical examples of data analysis techniques include:

- conceptual diagrams of processes, including process flow diagrams;
- histograms;
- correlation charts;
- statistical control charts;
- Pareto diagrams;
- cause and effect diagrams;
- failure mode and effect analysis (FMEA).

Once the analysis of data has been performed, it should be used to support the continual improvement process through the definition of preventive and corrective actions, and records should be maintained in order to ensure continuity of the measurement and data collection system. The resulting conclusions from data analysis, performance assessment, the customer/citizen satisfaction analysis and the analysis of trends can help control an efficient process that should become an integral part of the quality management system.

8.5 Improvement

8.5.1 Continual improvement

The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review.

8.5 Improvement in local government

8.5.1 Continual improvement

The local government should continually improve the effectiveness of its quality management system. That means continually improving the local government's ability to consistently provide conforming goods and services. This usually implies systematic process improvement through the involvement of all personnel to identify the need for change and establish improvement projects within their scope of activity.

In cases where there have been changes of responsibilities and authority, the improvement processes should consider previous initiatives and decisions in order to assure the continuity, effectiveness and efficiency of the services provided.

Methods used to identify potential improvements may be based on traditional quality improvement tools using, but not limited to, the following information sources:

- internal evaluations of the understanding of the quality policy by local government personnel;
- performance in the achievement of quality objectives;
- process performance results;
- inputs from customers/citizens and from other interested parties such as industry, government and society;
- analysis of interactions with other local governments or with other levels of government.

The continual improvement process should consider any complaints received from customers/citizens, the results of quality management system audits and the acceptance criteria of the results. It should also consider the resource availability required in order that the improvements may come into effect. (See Clause 6.)

8.5.2 Corrective action

The organization shall take action to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the effects of the nonconformities encountered.

A documented procedure shall be established to define requirements for

- a) reviewing nonconformities (including customer complaints),
- b) determining the causes of nonconformities,
- c) evaluating the need for action to ensure that nonconformities do not recur,
- d) determining and implementing action needed,
- e) records of the results of action taken (see 4.2.4), and
- f) reviewing the effectiveness of the corrective action taken.

8.5.2 Corrective action in local government

The local government needs to have a documented procedure for control of corrective actions (including the analysis related to the main causes), to assure its effectiveness and to avoid or minimize the recurrence of the nonconformity. The evaluation should be designed to identify the main causes before applying the corrective action.

Corrective actions should be applied to reduce, mitigate or eliminate the causes of nonconformities. Examples include, but are not limited to:

- *nonconforming goods or services;*
- *objectives not met;*
- *deviations from the local government programmes and plans;*
- *unacceptable results from the review, verification, validation and modification of the design and development of the local government service;*
- *poor performance rates;*
- *complaints of the customer/citizen and/or other identified interested parties;*
- *unsatisfactory results of audits; and*
- *nonconformities identified in the monitoring and measurement of processes and services of the local government.*

The extent of the corrective actions should take into account the potential risks associated with a reoccurrence of the nonconformity. The corrective actions should be documented, recorded and properly communicated to ensure their effective implementation.

8.5.3 Preventive action

The organization shall determine action to eliminate the causes of potential nonconformities in order to prevent their occurrence.

Preventive actions shall be appropriate to the effects of the potential problems.

A documented procedure shall be established to define requirements for

- a) determining potential nonconformities and their causes,
- b) evaluating the need for action to prevent occurrence of nonconformities,
- c) determining and implementing action needed,
- d) records of results of action taken (see 4.2.4), and
- e) reviewing the effectiveness preventive action taken.

8.5.3 Preventive action in local government

The local government needs to have a documented procedure for the control of preventive actions. These are actions that usually result from the identification, analysis of the causes and risks associated with potential nonconformities that have not yet occurred. Preventive actions can lead to continual improvements of the quality management system and the local government processes.

Typical input data could include:

- *analysis of data (see 8.4), including trend analysis;*
- *administrative personnel performance indicators;*
- *achievement of the quality objectives;*
- *analysis of costs related to the achievement of the quality objectives;*
- *satisfaction surveys of the customer/citizen and other interested parties;*
- *interactions (including benchmarking) with other local governments;*
- *results of audits and management reviews.*

The actions resulting from the preventive action process should be documented and people in the appropriate organizational areas should be informed.

The lessons learned resulting from the preventive action process should be reviewed and the appropriate functions and levels throughout the entire local government should be informed.

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Annex A

Typical Processes for the Integral Quality Management of Local Governments

