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

Systèmes de management de la qualité — Lignes directrices pour l'application de l'ISO 9001 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). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 176, *Quality management and quality assurance*.

This second edition cancels and replaces the first edition (ISO 18091:2014), which has been technically revised. The main changes compared with the previous edition are:

— the guidelines for ISO 9001:2015 have been updated;

— the structure has been changed to the ISO high level structure for management system standards;

— Annexes A and B have been switched;

— Annex A has been updated, including adding references to the United Nations Sustainable Development Goals;

— a description of citizen observatories has been added in a new Annex C;

— an example how to use this document with other local government assessment systems has been added in a new Annex D.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

0.1 General

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 meeting this challenge, local governments have a mission to enable the development of a socially responsible and sustainable local community.

Achieving and maintaining a high-level of quality in how local governments operate can result in sustainable economic prosperity and social development at local levels. This includes interacting with national and regional policies in coherent, consistent and compatible ways.

Citizens expect local government to provide high-quality public products and services such as safety and security, well-maintained roads, public transportation, efficient processing of documents, transparency and accessibility of public information, health, education and infrastructure, among others. Citizens want local government to represent them and to protect or enhance their way of life.

It is possible to build stronger, more reliable and effective public policy networks at national, regional and international levels if local governments adopt quality management systems with the aim to improve their public products and services.

Improving the performance of local government can stimulate the whole system of government to provide better results overall. Applying a coherent approach across government can help to create reliable and sustainable governments at local, regional and national levels.

This document provides guidelines for local governments on understanding and implementing a quality management system that meets the requirements of ISO 9001:2015 and the needs and expectations of their citizens and other relevant interested parties.

A principle of this document is to help to make politically viable what is technically essential in local governments and their territories (see Annex A). This can be achieved by establishing links between government, citizens and governors (from the bottom to the top, see Annex C) and by facing the needs of the customers/citizens in an integral manner (see Annex B).

Annex A gives a diagnostic model that can be used as a starting point for implementing a comprehensive quality management system for reliable local government. The International Foundation for Reliable Local Governments (FIDEGOC) has the rights of these principles and share them for use in this document. Annex B provides information about typical local government processes. Annex C describes the creation of an integral citizen observatory that uses this document as a tool for citizen participation and for accountability of local government. Annex D describes how this document can help to translate different assessment systems, contents or subject matters, e.g. the United Nations Sustainable Development Goals (UN SDGs), into the indicators of public policy networks found in the diagnostic model given in Annex A.

The relative stages of implementing the quality management system and the role of this document are shown in Figure 1.
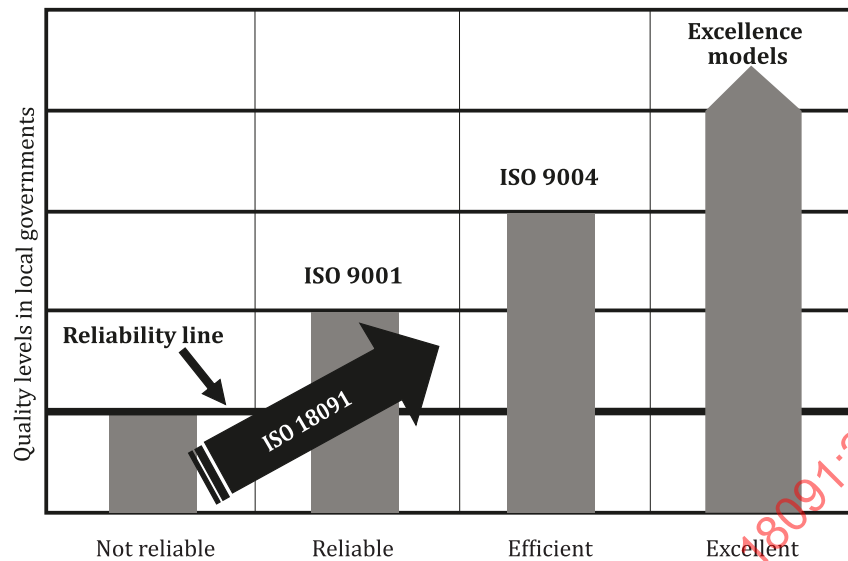
Figure 1 — Diagram showing the role of this document

In this document, the text reproduced from ISO 9001:2015 is placed in boxes to distinguish it from guidance given for each clause.

NOTE 1   Local governments seeking to improve themselves could consider the use of an excellence model to further develop the maturity of the organization and the level of its performance. Well-known excellence models include the European model for quality management (EFQM), the Malcolm Baldrige model for excellence in United States, The Deming Prize in Japan, and a number of national excellence award models used in different countries or regions. These excellence models aim to improve the satisfaction of all relevant interested parties and the sustainable development of the organization. Further information about these excellence models is available from the websites of the organizations representing the models.

NOTE 2   More examples of how the annexes can be used can be found at www.iso18091.org.

ISO 9001:2015, *Quality management systems — Requirements*

Introduction

0.1 General

The adoption of a quality management system is a strategic decision for an organization that can help to improve its overall performance and provide a sound basis for sustainable development initiatives.

The potential benefits to an organization of implementing a quality management system based on this International Standard are:

a)   the ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements;

b)   facilitating opportunities to enhance customer satisfaction;

c)   addressing risks and opportunities associated with its context and objectives;

d)   the ability to demonstrate conformity to specified quality management system requirements.

This International Standard can be used by internal and external parties.

It is not the intent of this International Standard to imply the need for:

—   uniformity in the structure of different quality management systems;

—   alignment of documentation to the clause structure of this International Standard;

—   the use of the specific terminology of this International Standard within the organization.

> The quality management system requirements specified in this International Standard are complementary to requirements for products and services.
>
> This International Standard employs the process approach, which incorporates the Plan-Do-Check-Act (PDCA) cycle and risk-based thinking.
>
> The process approach enables an organization to plan its processes and their interactions.
>
> The PDCA cycle enables an organization to ensure that its processes are adequately resourced and managed, and that opportunities for improvement are determined and acted on.
>
> Risk-based thinking enables an organization to determine the factors that could cause its processes and its quality management system to deviate from the planned results, to put in place preventive controls to minimize negative effects and to make maximum use of opportunities as they arise.
>
> Consistently meeting requirements and addressing future needs and expectations poses a challenge for organizations in an increasingly dynamic and complex environment. To achieve this objective, the organization might find it necessary to adopt various forms of improvement in addition to correction and continual improvement, such as breakthrough change, innovation and re-organization.
>
> In this International Standard, the following verbal forms are used:
>
> — "shall" indicates a requirement;
>
> — "should" indicates a recommendation;
>
> — "may" indicates a permission;
>
> — "can" indicates a possibility or a capability.
>
> Information marked as "NOTE" is for guidance in understanding or clarifying the associated requirement.

The guidelines in this document are intended to help local governments relate the concepts of quality management, as described in ISO 9000, ISO 9001, ISO 9004 and associated standards, with the practice and terminology commonly deployed in the context of local government.

NOTE 3   The use of the terms and definitions presented in these guidelines can vary according to the culture, practices and customs of each location and region in which the local government is located.

It is expected that a development plan or work programme in the short- or medium-term is received, understood and applied by the public servants and representatives of local government. However, the plan or programme itself does not ensure that the needs and expectations of the local community will be covered, as the processes needed for the effective implementation of such plans or programmes could be deficient or non-existent. To counter this problem, this document has been developed to help local governments to implement an effective quality management system.

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

It is not intended that conformity to ISO 9001 be regarded as a final objective. Once a local government has achieved a level that allows it to provide consistent and conforming products and services to the local community, it is important that it looks beyond conformance to requirements, and that it considers using ISO 9004 and/or other excellence models to improve its overall effectiveness and efficiency.

According to ISO 9000, 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 customers/citizens are vital to gain their trust and confidence. Sustainable success will only result from the implementation of a comprehensive quality management system that addresses the needs and expectations of all interested parties.

It is, therefore, important that the quality management system of a reliable and successful local government covers all activities and processes that can affect its ability to satisfy the requirements of its customers/citizens, the statutory and regulatory requirements and compliance commitments applicable to the products and services, and the local government's own requirements, as well as all other relevant interested parties, such as regional or national governments.

0.2 Quality management principles

ISO 9001:2015, *Quality management systems — Requirements*

0.2 Quality management principles

This International Standard is based on the quality management principles described in ISO 9000. The descriptions include a statement of each principle, a rationale of why the principle is important for the organization, some examples of benefits associated with the principle and examples of typical actions to improve the organization's performance when applying the principle.

The quality management principles are:

— customer focus;

— leadership;

— engagement of people;

— process approach;

— improvement;

— evidence-based decision making;

— relationship management.

This document supports the application to local government of the seven quality management principles from ISO 9000.

The relevance of the seven quality management principles to local government are as follows.

— Customer/citizen focus: Local government exists to serve its customers, i.e. its citizens. Therefore, the needs and expectations of citizens should be of priority in the plans and programmes of the local government.

— Leadership: Top management is the head of local government and should create a vision and provide direction to all concerned (e.g. public servants and volunteers) to achieve goals and targets that meet the needs and expectations of the customers/citizens.

— Engagement of people: All people should be involved in local government processes, including voluntary participation and citizens taking part in the activities of local government. Engaged people are fully committed and emotionally attached to the organization, its goals and objectives. They work enthusiastically and take pride in their work. This principle envisages ensuring a high level of motivation on an ongoing basis.

— Process approach: The logical framework and the approach to results in a local government should be based on processes that describe elements such as its vision and long-term plans, and even the daily activities of local government areas.

— Improvement: It is essential for local government to maintain its performance and search for new opportunities to improve its processes and enhance the satisfaction of its customers/citizens.

— Evidence-based decision making: Use of evidence and data analysis should provide the base for improving the quality management system and its processes.

— Relationship management: Local government should pay attention to how it relates to customers/citizens, external providers and partners, and to its horizontal and vertical relationships.

0.3 Process approach

0.3.1 General

ISO 9001:2015, *Quality management systems — Requirements*

0.3 Process approach

0.3.1 General

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. Specific requirements considered essential to the adoption of a process approach are included in 4.4.

Understanding and managing interrelated processes as a system contributes to the organization's effectiveness and efficiency in achieving its intended results. This approach enables the organization to control the interrelationships and interdependencies among the processes of the system, so that the overall performance of the organization can be enhanced.

The process approach involves the systematic definition and management of processes, and their interactions, so as to achieve the intended results in accordance with the quality policy and strategic direction of the organization. Management of the processes and the system as a whole can be achieved using the PDCA cycle (see 0.3.2) with an overall focus on risk-based thinking (see 0.3.3) aimed at taking advantage of opportunities and preventing undesirable results.

The application of the process approach in a quality management system enables:

a)   understanding and consistency in meeting requirements;

b)   the consideration of processes in terms of added value;

c)   the achievement of effective process performance;

d)   improvement of processes based on evaluation of data and information.

Figure 1 gives a schematic representation of any process and shows the interaction of its elements. The monitoring and measuring check points, which are necessary for control, are specific to each process and will vary depending on the related risks.
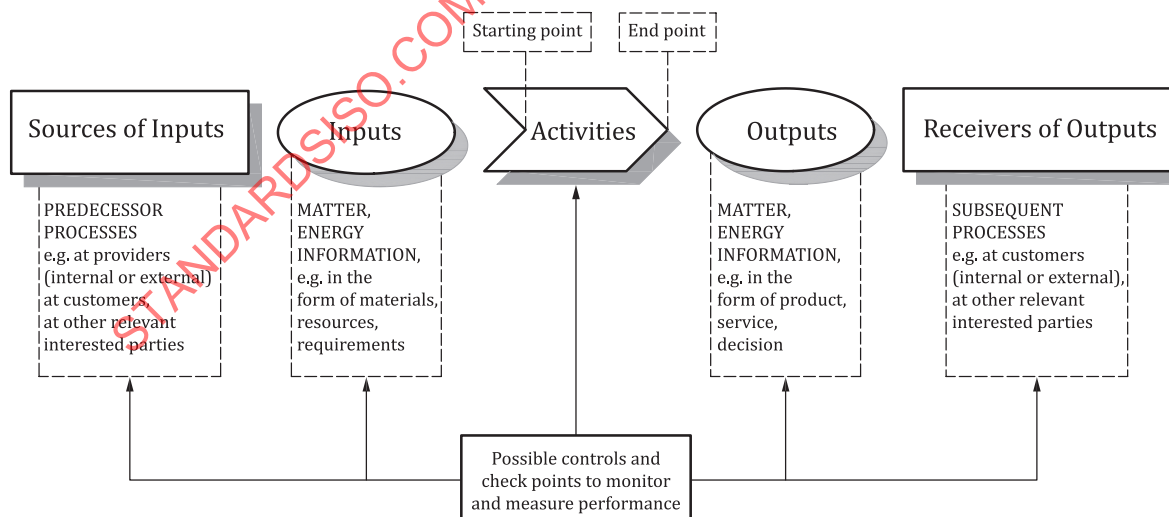
Figure 1 — Schematic representation of the elements of a single process

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For local governments to be able to adopt a process approach, it is important to recognize the different types of processes that are needed to provide reliable products and service to customers/citizens, as well as their management capacity to produce the desired outputs. These include processes for management of the organization, operational processes and support processes (see Annex B). The processes needed to provide the local government's products and service are the core of the operational processes.

Typical examples of local government processes are:

— strategic management processes to determine the local government's role in the socio-economic environment;

— provision of products and services to customers/citizens;

— improvement of quality management system processes;

— transparent internal and external communication processes.

For each process, the local government should identify the following.

— 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 product or 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 product/service to be provided?)

— What controls and indicators 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.)

— What controls are necessary to have transparency?

0.3.2   Plan-Do-Check-Act cycle

ISO 9001:2015, *Quality management systems — Requirements*

0.3.2   Plan-Do-Check-Act cycle

The PDCA cycle can be applied to all processes and to the quality management system as a whole. Figure 2 illustrates how Clauses 4 to 10 can be grouped in relation to the PDCA cycle.
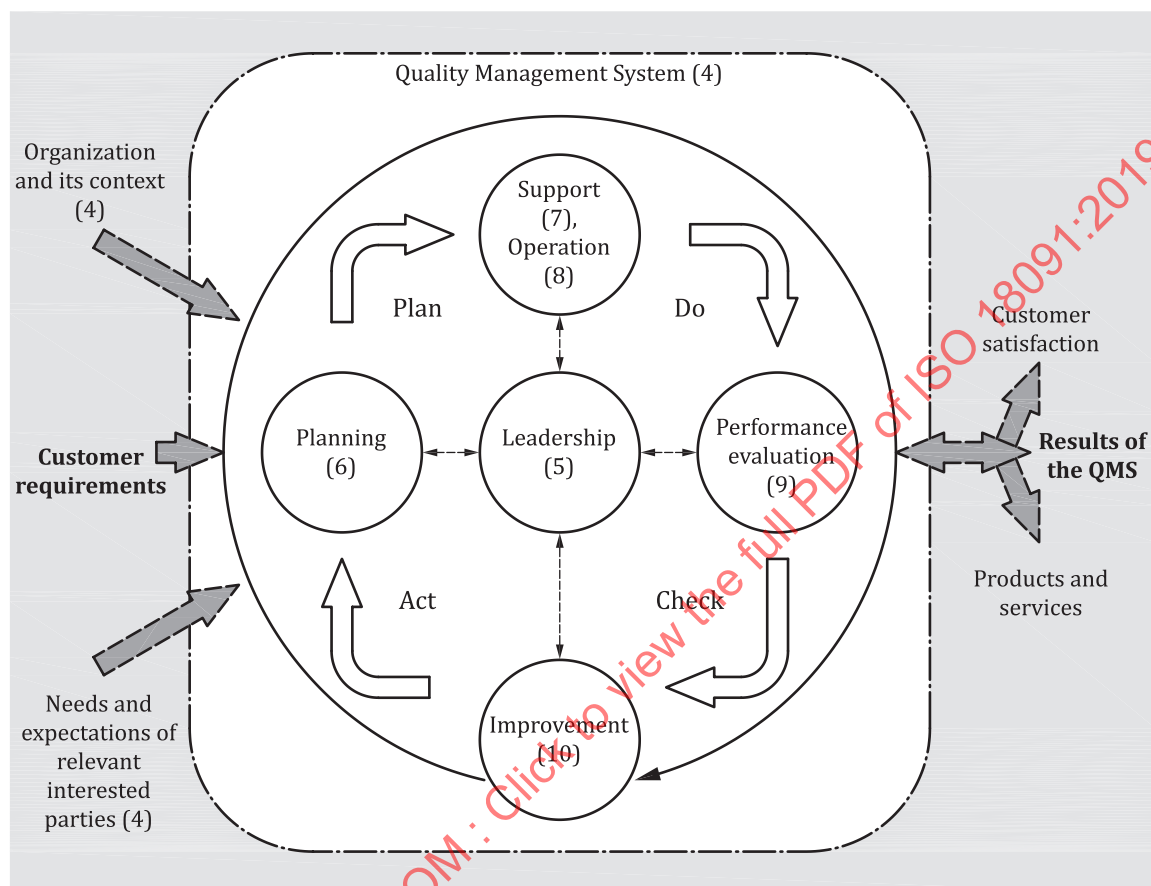
NOTE   Numbers in brackets refer to the clauses in this International Standard.

Figure 2 — Representation of the structure of this International Standard in the PDCA cycle

The PDCA cycle can be briefly described as follows:

— Plan: establish the objectives of the system and its processes, and the resources needed to deliver results in accordance with customers' requirements and the organization's policies, and identify and address risks and opportunities;

— Do: implement what was planned;

— Check: monitor and (where applicable) measure processes and the resulting products and services against policies, objectives, requirements and planned activities, and report the results;

— Act: take actions to improve performance, as necessary.

The PDCA cycle enables the top management of the local government to develop a systematic method of assessing the external and internal environment and to implement the necessary processes for the improvement of the products and services provided to its customers/citizens. The PDCA cycle can be initiated at any stage, but usually a local government that implements a quality management system for the first time or is in the process of upgrading its system can initiate the process by assessing its current performance (the Check stage) using the requirements of Clause 9, "Performance evaluation". The results of performance evaluation are fed into the PDCA cycle's Act stage (see Clause 10, "Improvement") where

the local government initiates the necessary actions to address the opportunities for improvement identified at the Check stage.

At the Plan stage of the PDCA cycle, the local authority not only plans the actions agreed at the previous stage, but, most importantly, it develops, by assessing the needs and expectations of its customers/ citizens and its other relevant interested parties, the necessary objectives, targets and actions to address the risks and opportunities identified as per Clause 6, "Planning". At the PDCA cycle's Do stage, the objectives and actions planned are communicated throughout the local government. New processes or changes to existing processes are implemented to ensure that agreed objectives are met.

The local government should use the PDCA cycle, with its overall focus on risk-based thinking, to design its quality management system, its processes and their interactions, in order to identify each of the necessary activities to maintain its quality level, to achieve continual improvement, to take advantage of opportunities and to prevent undesirable results. The local government should make short-, medium- and long-term plans using the PDCA cycle.

0.3.3 Risk-based thinking

ISO 9001:2015, *Quality management systems — Requirements*

0.3.3 Risk-based thinking

Risk-based thinking (see Clause A.4) is essential for achieving an effective quality management system. The concept of risk-based thinking has been implicit in previous editions of this International Standard including, for example, carrying out preventive action to eliminate potential nonconformities, analysing any nonconformities that do occur, and taking action to prevent recurrence that is appropriate for the effects of the nonconformity.

To conform to the requirements of this International Standard, an organization needs to plan and implement actions to address risks and opportunities. Addressing both risks and opportunities establishes a basis for increasing the effectiveness of the quality management system, achieving improved results and preventing negative effects.

Opportunities can arise as a result of a situation favourable to achieving an intended result, for example, a set of circumstances that allow the organization to attract customers, develop new products and services, reduce waste or improve productivity. Actions to address opportunities can also include consideration of associated risks. Risk is the effect of uncertainty and any such uncertainty can have positive or negative effects. A positive deviation arising from a risk can provide an opportunity, but not all positive effects of risk result in opportunities.

In local government, any changes in the operational environment, such as changes in policies, regulations and the expectations of relevant interested parties, can be a source of uncertainty and can lead to a deviation of performance.

Risk-based thinking is not new and can be inherent in the way the local government already operates. This document recommends that the identification of risks and opportunities is performed systematically and as part of an integral process.

The local government should address the risks and opportunities associated with its processes, for example, the provision of products and services and the performance of the quality management system. At the same time, risk and opportunities will be identified as a result of the strategic direction of the local government's role in the socio-economic environment.

One of the most recurring risks in a local government is not being able to access the resources offered by other levels of government. One way to mitigate this risk is to identify alternative forms of financing.

Openness to citizen participation through integral citizen observatories (ICOs) can be an opportunity to develop the organization of local government and to improve its products, services and processes. However, it could also constitute a risk if citizen participation, instead of promoting the improvement of products and activities, becomes the institutionalization of complaints.

0.4 Relationship with other management system standards

ISO 9001:2015, *Quality management systems — Requirements*

0.4 Relationship with other management system standards

This International Standard applies the framework developed by ISO to improve alignment among its International Standards for management systems (see Clause A.1).

This International Standard enables an organization to use the process approach, coupled with the PDCA cycle and risk-based thinking, to align or integrate its quality management system with the requirements of other management system standards.

This International Standard relates to ISO 9000 and ISO 9004 as follows:

— ISO 9000 *Quality management systems — Fundamentals and vocabulary* provides essential background for the proper understanding and implementation of this International Standard;

— ISO 9004 *Managing for the sustained success of an organization — A quality management approach* provides guidance for organizations that choose to progress beyond the requirements of this International Standard.

Annex B provides details of other International Standards on quality management and quality management systems that have been developed by ISO/TC 176.

This International Standard does not include requirements specific to other management systems, such as those for environmental management, occupational health and safety management, or financial management.

Sector-specific quality management system standards based on the requirements of this International Standard have been developed for a number of sectors. Some of these standards specify additional quality management system requirements, while others are limited to providing guidance to the application of this International Standard within the particular sector.

A matrix showing the correlation between the clauses of this edition of this International Standard and the previous edition (ISO 9001:2008) can be found on the ISO/TC 176/SC 2 open access website at: www.iso.org/tc176/sc02/public.

To ensure the quality of the products and services it provides, the quality management system of the local government should address some aspects related to other management systems, such as anti-bribery, the environment, health and safety, and risk management. This guidance document follows the structure of ISO 9001 and therefore follows the high level structure (HLS) for all ISO management system standards (MSS). The HLS facilitates the integration of different standards, which will enable local governments to develop an integrated management system (IMS).

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

1 Scope

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **1 Scope**
>
> This International Standard specifies requirements for a quality management system when an organization:
>
> a) needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, and
>
> b) aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.
>
> All the requirements of this International Standard are generic and are intended to be applicable to any organization, regardless of its type or size, or the products and services it provides.
>
> NOTE 1   In this International Standard, the terms "product" or "service" only apply to products and services intended for, or required by, a customer.
>
> NOTE 2   Statutory and regulatory requirements can be expressed as legal requirements.

This document gives guidelines for local governments on understanding and implementing a quality management system that meets the requirements of ISO 9001:2015, in order to meet the needs and expectations of their customers/citizens and all other relevant interested parties by consistently providing them with products and services.

It promotes implementing a quality management system in a responsible and accountable manner, through the application of ISO 9001 on a comprehensive basis. These guidelines do not add, change or modify the requirements of ISO 9001.

It is applicable to all local government processes at all levels (i.e. strategical, tactical-managerial and operational) in order to constitute a comprehensive quality management system that focuses on the local government achieving its objectives. The comprehensive character of this system is essential to ensure that all the areas of the local government have a specified level of reliability (i.e. effectiveness of the processes).

Annex A, as a starting point for users of this document, gives a diagnostic methodology for local governments to evaluate the scope and maturity of their processes and products and services. Annex B gives the processes necessary to provide reliable products and services to customers/citizens.

2 Normative references

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **2 Normative references**
>
> The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.
>
> ISO 9000:2015, *Quality management systems — Fundamentals and vocabulary*

No additional guidance necessary.

3   Terms and definitions

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **3   Terms and definitions**
>
> For the purposes of this document, the terms and definitions given in ISO 9000:2015 apply.

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

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at http://www.electropedia.org/

3.1
top management
person or group of people who directs and controls an organization at the highest level

Note 1 to entry: For the purposes of this document, the organization is the *local government* (3.3).

Note 2 to entry: Top management is the authority that presides over and performs the provisions and agreements of the local government. Titles and functions can vary significantly according to country and culture. Typical examples include mayor, regional governor, head of the local council, municipal president, intendant, director, city manager and city leader.

Note 3 to entry: The local council is the assembly of the local government that is regulated by a specific legislation. The local council is often selected by a local electoral process. It is normally formed of the local mayor, councillors, public servants and trustees. It can also be the local public corporation in charge of managing the interests of a territory and its population.

[SOURCE: ISO 9000:2015, 3.1.1, modified — The three notes of entry have been replaced with three new notes to entry.]

3.2
customer/citizen
person or organization that could or does receive a *product* (3.5) or a *service* (3.6) intended for or required by them

Note 1 to entry: For purposes of this document, customer/citizen refers to an organization, community or person that receives a product and service from the *local government* (3.3), whether in return for payment or not.

Note 2 to entry: Local governments should recognize the various customers/citizens and should achieve a balanced response to all their needs and expectations. For example, inhabitants, neighbours, tourists, natives or some citizens who are taxpayers, and whose contributions serve to finance the products or services of the local government, might not be the same citizens as those who benefit most from the products or services provided, as described in relevant public policies.

Note 3 to entry: 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 term "customer" has been adopted in this document, and is used in combination with "citizen".

[SOURCE: ISO 9000:2015, 3.2.4, modified — In the term "/citizen" has been added, the definition has been slightly reworded, the example has been removed and the note to entry has been replaced with three new notes to entry.]

3.3
local government
part of government in a country or nation that is typically closest to the population, is in charge of managing, governing and promoting development of a local area, and is *responsible* (3.8) for the definition, design, development and institutionalization of its public policies expressed in the provision of *products* (3.5) or *services* (3.6) to its *customers/citizens* (3.2)

Note 1 to entry: The basis for a local government can be, for example, a territorial division and the national and/ or regional political and administrative organizations that are closest to the population. It is typically a public entity formed by territory, population, government and legislation, it has its own legal capacity, and it states its own political, administrative, cultural and historical heritage and regulatory capability. In some countries, local governments include the executive and legislative authorities.

3.4
local government process
set of interrelated or interacting activities of the *local government* (3.3), which use inputs (e.g. public policies, resources, *customer/citizen* (3.2) needs and expectations) to provide an expected output

Note 1 to entry: Some examples of process inputs are public policies, resources, customer/citizen needs and expectations.

Note 2 to entry: Annex B provides some examples of typical local government processes.

3.5
product
<local government> output of a *local government process* (3.4) that can be provided with or without any transaction between the *local government* (3.3) and the *customer/citizen* (3.2)

Note 1 to entry: Some examples of products of local government are licences, documents, grants, permissions, roads and landfills.

3.6
service
<local government> output of a *local government process* (3.4) that has at least one activity performed at the interface between the *local government* (3.3) and *customer/citizen* (3.2) and that is generally intangible

EXAMPLE   Garbage collection, street lighting, public transportation, educational services, gender protection, security, potable water access, green areas, safe playgrounds.

Note 1 to entry: In most of the public services, local government requires citizen collaboration to deliver public services, e.g. garbage collection.

3.7
transparency
openness about decisions and activities that affect society, the economy and the environment, and willingness to communicate these in a clear, accurate, timely, honest and complete manner

Note 1 to entry: Transparency can be the result of processes, procedures, methods, data sources and assumptions used by the *local government* (3.3) that ensure appropriate information is made available to customers/citizens and other interested parties.

[SOURCE: ISO 26000:2010, 2.24, modified — The note to entry has been added.]

3.8
responsibility
having an obligation to do something, or having control over or care for someone

Note 1 to entry: In context of this document, "responsible" means trustworthy, reliable, capable, able, competent, qualified to make decisions and activities that affect society, institutions, the economy and the environment. The responsible activities of the *local government* (3.3) are those which it has the duty to perform in order to take care of the *customers/citizens* (3.2) as persons, their possessions and interests, so that they have confidence in it.

Note 2 to entry: The responsible activities of the local government are not only those that imply the fulfilment of legal requirements, but also those directly related to customer/citizen satisfaction and confidence.

3.9
accountability
state of a *local government* (3.3) being answerable for its decisions and activities to the controlling interests of its society and every *customer/citizen* (3.2), to other legal authorities, and, more broadly, to any other party interested

Note 1 to entry: In the case of regional or national governments, this includes being answerable to the local governments and societies in which they govern and operate.

[SOURCE: ISO 26000:2010, 2.1, modified — The wording of the definition has been changed and the note to entry has been added.]

3.10
governance
legitimate, *responsible* (3.8), *accountable* (3.9) and efficient system by which a *local government* (3.3) makes and implements decisions in pursuit of its objectives in the interests of a given community

3.11
public policy
principled guide to a course of actions taken in accordance with the intentions and direction of a *local government* (3.3), as formally expressed by its *top management* (3.1), as a response to a perceived need

Note 1 to entry: Public policy is generally adopted, implemented, and enforced by a specific public agency, who expect results.

Note 2 to entry: The principles of the local government are usually stated in response to a perceived problem of the citizens, acting as a constituency, formulated by a specific political process, and adopted, implemented and enforced by a specific public agency or local governmental area, who expect results.

Note 3 to entry: An example of public policy expressed in a *product* (3.5) *or service* (3.6) is the local government *responsibility* (3.8) for water, i.e. the provision of water to citizens through pipelines. There are two principles embedded in this course of actions or services:

a)   the provision of water to the entire population;

b)   the provision of water in an affordable manner.

There is a specific characteristic of this product and service: 100 % drinkable for health reasons.

Note 4 to entry: Another example of public policy that is not clearly a product or service is the promotion of gender equality (see Table A.3, indicator 4). Gender equality should be an important public policy in any local government, and it should be the basis for a programme in which the outputs focus on this issue. This is one case in which public policy goes much further than simply a product or service.

4   Context of the organization

4.1   Understanding the organization and its context

ISO 9001:2015, *Quality management systems — Requirements*

4.1   Understanding the organization and its context

The organization shall determine external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its quality management system.

The organization shall monitor and review information about these external and internal issues.

NOTE 1   Issues can include positive and negative factors or conditions for consideration.

NOTE 2   Understanding the external context can be facilitated by considering issues arising from legal, technological, competitive, market, cultural, social and economic environments, whether international, national, regional or local.

NOTE 3   Understanding the internal context can be facilitated by considering issues related to values, culture, knowledge and performance of the organization.

Local government will benefit from having a structured approach to formulating its strategy. Having a structured approach will assist the local government to have consistent and effective methods for identifying the necessary sources of information to determine the external and internal contexts, which can have an impact on the strategy and the purpose. This will enhance the local government's ability to achieve optimal results from its quality management system.

The local government should identify the external context (e.g. climate changes, hydrogeological disruptions, environmental pollution, money exchange rates, inflation forecasts, credit availability, variability of seasonal presence of the population, local unemployment rates, safety perception, crime levels, level of poverty, supply chain relationships, constraints in terms of resources, public investments, local infrastructure and public works) and categorize them according to a specified model (e.g. PESTLE, SWOT, brainstorming, scenario thinking).

In addition, local government should identify the internal context (e.g. actual performance and level of maturity of the management system of the local government, customer's/citizen's satisfaction, relevant interested parties' satisfaction, rules and procedures for decision making, competence of persons, organizational behaviour and culture, relationships with unions, environment for the operation of the processes) and categorize them.

NOTE 4   It is important to identify external relations such as intergovernmental relations. An example is a relationship that the local government has with the regional and national levels of government, and even with citizen participation.

4.2   Understanding the needs and expectations of interested parties

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ISO 9001:2015, *Quality management systems — Requirements*

4.2   Understanding the needs and expectations of interested parties

Due to their effect or potential effect on the organization's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, the organization shall determine:

a)   the interested parties that are relevant to the quality management system;

b)   the requirements of these interested parties that are relevant to the quality management system.

The organization shall monitor and review information about these interested parties and their relevant requirements.

The local government should identify individuals, groups or organizations in the public, private or social sector at the national, regional or international level relevant for the quality management system, and know their needs and expectations.

One way to identify interested parties that affect the quality management system is to conduct an analysis with each of the areas of local government. In this analysis, the local government defines as relevant interested parties those parties that have a direct or indirect influence on the fulfilment of the requirements of the quality management system.

Usually, these activities take place in the area that controls the political issues of the local government. Where this does not exist, the local government should assign an area responsible for monitoring the requirements or expectations of these interested parties.

The 39 indicators described in Annex A can have connections with different interested parties. Local government can identify needs and expectations related to each of the 39 indicators. Some examples of relevant interested parties are associations, non-governmental organizations, neighbouring areas, ICOs, external providers and other levels of government.

Where citizens elect local government representatives, the elected body may carry the overall accountability to their citizens for the quality of products and services. The elected body may establish the scope of local government products and services, future planning, applicable policies and budget priorities. The elected body may also negotiate with other interested parties, for example, regional and national government, on behalf of the local government organization.

4.3 Determining the scope of the quality management system

ISO 9001:2015, *Quality management systems — Requirements*

4.3 Determining the scope of the quality management system

The organization shall determine the boundaries and applicability of the quality management system to establish its scope.

When determining this scope, the organization shall consider:

a) the external and internal issues referred to in 4.1;

b) the requirements of relevant interested parties referred to in 4.2;

c) the products and services of the organization.

The organization shall apply all the requirements of this International Standard if they are applicable within the determined scope of its quality management system.

The scope of the organization's quality management system shall be available and be maintained as documented information. The scope shall state the types of products and services covered, and provide justification for any requirement of this International Standard that the organization determines is not applicable to the scope of its quality management system.

Conformity to this International Standard may only be claimed if the requirements determined as not being applicable do not affect the organization's ability or responsibility to ensure the conformity of its products and services and the enhancement of customer satisfaction.

The local government should determine the scope of its quality management system, considering in its mandate the public products and services normally provided in the local territory. The local government should determine the applicability of the requirements of this document in accordance with the scope of its quality management system.

The scope of the quality management system of the local government should consider the entire local government. It should be maintained as documented information in a transparent way.

All the requirements of ISO 9001 are generic and applicable to all local governments, regardless of their type, size and products and services provided. When some requirements are not applicable to local governments, they may be excluded with justifications.

4.4 Quality management system and its processes

ISO 9001:2015, *Quality management systems — Requirements*

4.4 Quality management system and its processes

4.4.1 The organization shall establish, implement, maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard.

The organization shall determine the processes needed for the quality management system and their application throughout the organization, and shall:

a) determine the inputs required and the outputs expected from these processes;

b) determine the sequence and interaction of these processes;

c) determine and apply the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes;

d) determine the resources needed for these processes and ensure their availability;

e) assign the responsibilities and authorities for these processes;

f) address the risks and opportunities as determined in accordance with the requirements of 6.1;

g) evaluate these processes and implement any changes needed to ensure that these processes achieve their intended results;

h) improve the processes and the quality management system.

Local government should use the government plan as a base to define its quality management system. If the local government does not have a plan, it can use the Annex B as a starting point to build its quality management system.

Top management should assign people with the responsibility and authority to lead the ongoing development and maintenance of the quality management system. Processes should be reviewed regularly to assess their effectiveness and to plan for improved performance of the quality management system.

Processes inside the local government should be defined as inputs, activities and outputs, including interfaces with other processes, responsibilities and accountabilities for these processes.

Monitoring, measurement and appropriate indicators should be included in definition of processes. The processes should be aligned to the government plan and applicable documents.

The local government should ensure quality management system continuity when changing administration by ensuring a timely and complete handover of all information about projects and plans underway, as well as the content and status of the quality management system.

It is important that the local government retains overall management accountability in cases where processes are outsourced to third parties. An example is where some products and services are provided by outside, non-governmental organizations, such as public and private partnerships.

ISO 9001:2015, *Quality management systems — Requirements*

4.4.2 To the extent necessary, the organization shall:

a) maintain documented information to support the operation of its processes;

b) retain documented information to have confidence that the processes are being carried out as planned.

The local government should maintain documented information about its quality management system processes, with the purpose of achieving an effective, transparent and trustworthy performance.

This information should be available and accessible through texts, electronic formats, photographs or any other medium to prove that processes are being carried out as planned.

5 Leadership

5.1 Leadership and commitment

5.1.1 General

ISO 9001:2015, *Quality management systems — Requirements*

5.1.1 General

Top management shall demonstrate leadership and commitment with respect to the quality management system by:

a) taking accountability for the effectiveness of the quality management system;

b) ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the context and strategic direction of the organization;

c) ensuring the integration of the quality management system requirements into the organization's business processes;

d) promoting the use of the process approach and risk-based thinking;

e) ensuring that the resources needed for the quality management system are available;

f) communicating the importance of effective quality management and of conforming to the quality management system requirements;

g) ensuring that the quality management system achieves its intended results;

h) engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;

i) promoting improvement;

j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

NOTE   Reference to "business" in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence, whether the organization is public, private, for profit or not for profit.

Top management should demonstrate its leadership and commitment to the quality management system by continually identifying the needs and expectations of its customers/citizens.

A local government assessment tool for integral quality management (as given in Annex A) can be used for evaluation and enhancement of performance. Using it as a self-assessment can support the engagement of top management and public servants involved in processes.

The strategies and actions of the top management of the local government should include the following activities.

— Assume and demonstrate their responsibility and accountability regarding the effectiveness of the quality management system in order to satisfy:

  — the requirements of customers/citizens;

  — relevant international or national standards related to specific products and services;

— statutory and regulatory requirements.

— Establish the vision, mission and values of local government in all entities focused on the achievement of quality in their products and services.

— Demonstrate leadership, including promoting a cooperative approach to the different areas of local government and with the different levels of governments (state, national) in order to fulfil the diversity of the needs and expectations of customers/citizens. This cooperation should be extended to relevant interested parties, including the private sector.

— Ensure that the quality policy and quality objectives are established for all areas, departments and functions of the local government and they are compatible with the context (see 4.1 and 4.2) and strategic direction (e.g. mission, vision, values).

— Ensure that the requirements of the quality management system are integrated into the local government's communication processes with the customers/citizens and the relevant interested parties.

— Promote the process approach within the local government, using the PDCA cycle and allocating the accountability and responsibility to public servants with the aim to consistently produce the desired results.

— Promote the adoption of risk-based thinking, i.e. the capability of addressing risks and opportunities for the processes inside local government.

— Ensure adequate and timely availability of the necessary resources for the quality management system.

— Communicate and explain to all staff the quality policy and objectives, as well as the importance of the effectiveness of the quality management system, so that each member of the local government knows and understands these elements.

— Periodically verify the effectiveness of the quality management system and implement the necessary actions to ensure that the expected results are achieved. Promote the continual improvement of the quality management system and its processes.

— Maintain strong leadership through an exemplary attitude that promotes ethical behaviour and commitment to the effectiveness of the quality management system.

5.1.2 Customer focus

> **ISO 9001:2015, *Quality management systems — Requirements***
>
> **5.1.2 Customer focus**
>
> Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that:
>
> a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met;
>
> b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed;
>
> c) the focus on enhancing customer satisfaction is maintained.

The needs and expectations of customers/citizens should be determined and periodically reviewed for adequacy and actuality. Therefore, top management could, among others, use feedback and recommendations of customers/citizens, analysis of complaints and surveys, or verification reports of the ICOs (see Annex C).

The local government should address the needs and expectations based on the available resources for the products and services provided.

Particularly in multicultural societies, top management should demonstrate leadership and commitment by enabling customers/citizens to participate in accordance with their needs, including diversity of languages and culturally appropriate practices.

Top management should ensure the involvement of its customers/citizens and relevant interested parties in its processes in order to determine the requirements for its products and services (see Annex C).

Top management should identify current requirements and, if possible, the future needs and expectations of customers/citizens, considering the possible risks and opportunities in the provision of products and services.

The commitment to continual improvement should be maintained, verifying the functioning of the quality management system and implementing the necessary improvements to increase customer/citizen satisfaction.

In order to increase customer/citizen satisfaction, innovation and best practices can be introduced into the local government management. However, before entering a path towards innovation and introduction of best practices, the local government should ensure the fulfilment at a green level of the 39 Annex A indicators.

5.2 Policy

5.2.1 Establishing the quality policy

ISO 9001:2015, *Quality management systems — Requirements*

5.2.1 Establishing the quality policy

Top management shall establish, implement and maintain a quality policy that:

a)   is appropriate to the purpose and context of the organization and supports its strategic direction;

b)   provides a framework for setting quality objectives;

c)   includes a commitment to satisfy applicable requirements;

d)   includes a commitment to continual improvement of the quality management system.

The quality policy should be a principled guide and commitment in favour of the quality management system and its continual improvement by the local government, for the benefit of its customers/citizens and relevant interested parties.

Top management should ensure that the quality policy of the local government identifies and determines the applicable statutory and regulatory requirements for its public policies, all other relevant local and national government policies (e.g. anti-corruption, anti-bribery, environmental, gender equality, social responsibility, security and transparency policies) and with its context (see 4.1 and 4.2).

The quality policy should serve as a frame of reference for developing, implementing and updating, when necessary, local government quality objectives. Therefore, it should provide high-level criteria for the decision-making processes of the local government. Likewise, the quality policy should be reviewed periodically in order to maintain its consistency with the continual improvement of the quality management system.

NOTE   Examples of International Standards are ISO 37001, ISO 14001 and ISO 26000.

5.2.2 Communicating the quality policy

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **5.2.2 Communicating the quality policy**
>
> The quality policy shall:
>
> a) be available and be maintained as documented information;
>
> b) be communicated, understood and applied within the organization;
>
> c) be available to relevant interested parties, as appropriate.

The local government should ensure that its quality policy is communicated, made available, understood and accepted within all departments of local government and the other relevant interested parties.

Local government could use channels such as the internet, an intranet, meetings, panels, training and publications in order to communicate its quality policy.

5.3 Organizational roles, responsibilities and authorities

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **5.3 Organizational roles, responsibilities and authorities**
>
> Top management shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.
>
> Top management shall assign the responsibility and authority for:
>
> a) ensuring that the quality management system conforms to the requirements of this International Standard;
>
> b) ensuring that the processes are delivering their intended outputs;
>
> c) reporting on the performance of the quality management system and on opportunities for improvement (see 10.1), in particular to top management;
>
> d) ensuring the promotion of customer focus throughout the organization;
>
> e) ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.

Top management should assign and communicate responsibilities and authorities to public servants and departments, as well as verify their understanding.

Assigned responsibilities and authorities should:

— ensure that the quality management system follows the guidelines and indicators of this document (see Annex A);

— control the quality of process outputs provided by the local government and verify that they conform to the plans; in cases of nonconformity, corrections and corrective actions should be initiated;

— establish adequate communication channels between local government departments and top management in order to report on the performance of the quality management system;

— promote the focus on the customer/citizen in all areas and processes of local government;

— verify the integrity of the local government quality management system (e.g. when institutional restructurings have been carried out, conducting regular reviews to identify risks and opportunities for improvement and implementing appropriate actions), see 6.1.

For the implementation of this document in a consistent manner in all areas and processes of local government, the responsibilities and authorities can be delegated to relevant people in charge to promote conformity with the requirements of the quality management system.

Top management should consider establishing a quality committee composed of public servants assigned to each of the departments of the local government. Its purpose is to ensure horizontal integration for establishing, implementing and maintaining the quality management system throughout the local government.

6 Planning

6.1 Actions to address risks and opportunities

ISO 9001:2015, *Quality management systems — Requirements*

6.1 Actions to address risks and opportunities

6.1.1 When planning for the quality management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to:

a) give assurance that the quality management system can achieve its intended result(s);

b) enhance desirable effects;

c) prevent, or reduce, undesired effects;

d) achieve improvement.

The local government should consider the use of a strategic development planning process with the following elements.

— Development of short-, medium- and long-term objectives with periodic evaluations.

— Search for funding or collaboration opportunities with international agencies, social organizations, other local governments, or other levels of government to expand the portfolio of services.

— Analysis of the risks and areas of opportunity of the local government according to its context and its interactions with the relevant interested parties referred to in 4.1 and 4.2.

— The integral diagnostic system for the verification, evaluation and monitoring of the development of the results of reliable local governments (see Annex A).

— Identification of potential areas for development.

NOTE   See Annexes A and B for more information.

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **6.1.2** The organization shall plan:
>
> a) actions to address these risks and opportunities;
>
> b) how to:
>
> 1) integrate and implement the actions into its quality management system processes (see 4.4);
>
> 2) evaluate the effectiveness of these actions.
>
> Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services.
>
> NOTE 1   Options to address risks can include avoiding risk, taking risk in order to pursue an opportunity, eliminating the risk source, changing the likelihood or consequences, sharing the risk, or retaining risk by informed decision.
>
> NOTE 2   Opportunities can lead to the adoption of new practices, launching new products, opening new markets, addressing new customers, building partnerships, using new technology and other desirable and viable possibilities to address the organization's or its customers' needs.

When the local government plans the quality management system, it should identify possible risks and opportunities and plan appropriate actions. Such actions should be proportional to the potential impact they could have on the consistent provision of products and services.

Different types of risks can be found in local government activities, such as budgetary matters. For this, the local government should adopt planning mechanisms that support the use of its resources in an effective, efficient and controlled way. Performance indicators providing information on spending could be used to obtain information about the optimal use of the resources involved.

Local governments could develop activities such as:

— prioritization of programmes, projects and actions; availability of resources (including the optimal number of professionals with adequate capacity to plan and manage the development process);

— risk evaluations and actions to mitigate them.

6.2   Quality objectives and planning to achieve them

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **6.2   Quality objectives and planning to achieve them**
>
> **6.2.1**   The organization shall establish quality objectives at relevant functions, levels and processes needed for the quality management system.
>
> The quality objectives shall:
>
> a) be consistent with the quality policy;
>
> b) be measurable;
>
> c) take into account applicable requirements;
>
> d) be relevant to conformity of products and services and to enhancement of customer satisfaction;
>
> e) be monitored;
>
> f) be communicated;
>
> g) be updated as appropriate.
>
> The organization shall maintain documented information on the quality objectives.

The local government should ensure that, for each function, level or process, its quality objectives:

— aim to satisfy the current and future needs and expectations of the customers/citizens;

— are in line with the scope of activities of the local government;

— are oriented to customer/citizen satisfaction and are aligned with the products and services provided by the local government;

— are coherent with the quality policy of the local government;

— are measurable and assessable;

— are reviewed periodically and revised when appropriate;

— are communicated with relevant functions of local government, other levels of governments and also relevant interested parties.

The local government should establish a permanent system of control and evaluation to provide information and data on the extent to which the quality objectives are fulfilled.

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

Given the expectations of customers/citizens for long-term infrastructure projects, local government should ensure continuity of such projects (e.g. by involvement of an ICO, see Annex C).

ISO 9001:2015, *Quality management systems — Requirements*

6.2.2 When planning how to achieve its quality objectives, the organization shall determine:

a) what will be done;

b) what resources will be required;

c) who will be responsible;

d) when it will be completed;

e) how the results will be evaluated.

When planning the achievement of quality objectives, the local government should:

— determine what will be done in reference to the government plan and applicable statutory and regulatory requirements;

— determine what resources will be needed and make a budget plan, considering goals and indicators;

— establish responsibilities and authorities for its implementation;

— establish deadlines that consider the management period and budget dates;

— determine the elements to evaluate the results that consider goals and indicators (see Annex A).

6.3 Planning of changes

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **6.3 Planning of changes**
>
> When the organization determines the need for changes to the quality management system, the changes shall be carried out in a planned manner (see 4.4).
>
> The organization shall consider:
>
> a)   the purpose of the changes and their potential consequences;
>
> b)   the integrity of the quality management system;
>
> c)   the availability of resources;
>
> d)   the allocation or reallocation of responsibilities and authorities.

Local governments should plan and implement changes in their quality management system to reflect any changes to inputs or risks, such as:

— change of administration;

— changes in technology;

— a fusion of areas in the local government;

— the need for creation of new areas and/or new products and services in the local government;

— changes in the context of the local government;

— changes in the needs and expectations of relevant interested parties;

— changes in applicable statutory and regulatory requirements;

— changes in the quality objectives;

— changes in externally provided processes, products and services;

— desire and ambition to increase customers/citizens satisfaction;

— results of internal audits;

— results of external audits.

When the need for change is evident, a plan should be made for implementing the changes and for identifying the potential implications for the quality management system. They should ensure that:

— the changes do not put at risk the integrity of the system;

— the necessary resources exist to make the planned changes;

— the new responsibilities are clear, communicated and accepted.

7 Support

7.1 Resources

7.1.1 General

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.1.1 General**
>
> The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system.
>
> The organization shall consider:
>
> a)   the capabilities of, and constraints on, existing internal resources;
>
> b)   what needs to be obtained from external providers.

The local government should:

— determine the resources that are needed according to the product and service commitments made and that are within the financial constraints;

— perform short-, medium- and long-term planning of resources;

— provide resources to establish effective internal communication within the local government, and external communication with customers/citizens and relevant interested parties;

— provide adequate resources for monitoring, verification and assessment tasks;

— provide resources for the continual improvement of performance and of the quality management system.

7.1.2 People

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.1.2 People**
>
> The organization shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.

The process for effective management of human resources should include elements such as:

— planning recruitment activities in relation to the developments and changes of the local government organization;

— the selection of candidates;

— induction, training programmes, and programmes covering issues such as mission, vision, values and commitment integrity;

— adequate supervision until personnel become sufficiently competent;

— appropriate professional and human development;

— assessment of personnel performance (e.g. through customer/citizen surveys for designated public servants) and behaviour (e.g. ethical conduct, honesty, attitude, collaborative and respectful approach towards customers/citizens);

— assessment of personnel satisfaction and/or the local government organizational climate;

— control of the use of temporary staff and/or outsourcing of local government products and services.

7.1.3 Infrastructure

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.1.3 Infrastructure**
>
> The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services.
>
> NOTE   Infrastructure can include:
>
> a) buildings and associated utilities;
>
> b) equipment, including hardware and software;
>
> c) transportation resources;
>
> d) information and communication technology.

Local governments should determine the necessary infrastructure to provide current and future products and services as defined in the scope of its quality management system with the purpose of achieving its vision and objectives.

Usually, local governments have, as part of their infrastructure, facilities for water supply, waste collection and disposal, schools, public lighting, sport areas, recreation parks and cemeteries. Another important part of the infrastructure is the resources necessary for the operation of the quality management system, including government offices, communication facilities, IT equipment and relevant software, networks, transportation means and office furniture.

The local government should plan the provision and maintenance of infrastructure to conform to the requirements of customers/citizens and relevant interested parties. Plans for infrastructure should consider the identification and mitigation of associated risks, where possible.

7.1.4 Environment for the operation of processes

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.1.4 Environment for the operation of processes**
>
> The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services.
>
> NOTE   A suitable environment can be a combination of human and physical factors, such as:
>
> a) social (e.g. non-discriminatory, calm, non-confrontational);
>
> b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective);
>
> c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise).
>
> These factors can differ substantially depending on the products and services provided.

The local government should determine, control, maintain and improve environmental factors that affect products and services, public spaces and work environments.

Products and services may include tourism, waste disposal, street cleaning and the public use of facilities.

Facilities and equipment used by the public and public servants may require consideration of area, distribution and functionality of the spaces, adequacy of the furniture and equipment, access, signalling and visual support, adequate lighting, heating/cooling systems and ventilation.

Apart from physical aspects, psychological issues should also be considered.

The local government should implement feedback mechanisms to collect information and proposals from public servants and customers/citizens to improve the work environment.

7.1.5 Monitoring and measuring resources

7.1.5.1 General

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.1.5.1 General**
>
> The organization shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements.
>
> The organization shall ensure that the resources provided:
>
> a) are suitable for the specific type of monitoring and measurement activities being undertaken;
>
> b) are maintained to ensure their continuing fitness for their purpose.
>
> The organization shall retain appropriate documented information as evidence of fitness for purpose of the monitoring and measurement resources.

The local government should determine that monitoring and measurement resources work according to the needs and expectations as provided by customers/citizens in relation to the conformity of products and services.

The local government should have processes to evaluate and record the validity and reliability of the monitoring and measurement results.

Some examples of monitoring and measurement in local government include:

— measurement of air quality, water quality and noise level;

— degree of correlation between illumination of streets and crimes committed in an area;

— measurements of the perceptions of customers/citizens;

— external provision of monitoring and measurement processes.

NOTE   An example of measurements and monitoring can be found in <u>Annex A</u>.

7.1.5.2 Measurement traceability

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.1.5.2 Measurement traceability**
>
> When measurement traceability is a requirement, or is considered by the organization to be an essential part of providing confidence in the validity of measurement results, measuring equipment shall be:
>
> a) calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be retained as documented information;
>
> b) identified in order to determine their status;
>
> c) safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results.
>
> The organization shall determine if the validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, and shall take appropriate action as necessary.

As per usual practice, local governments should measure their use and management of public resources and use the results as a base for reports to other levels of government. As is also usual, the local government should take measures to improve its performance and accountability.

If the local government develops and/or performs measurements where measurement traceability is important (e.g. for a specific area or department), ISO 9001:2015, 7.1.5.2 a), b) and c), should apply. The same requirements should apply if the local government uses external measurement services.

The local government should have processes in place to evaluate and keep documented information as evidence of the validity of monitoring and measurements results. Where it is detected that the measuring equipment is not fit for its intended purpose, appropriate action should be taken.

The local government should ensure that any measuring equipment it uses to check or measure its products and services is adequate to conform to the requirements for the intended use. This includes all elements within the measurement chain (e.g. validation of computer program).

NOTE   ISO 10012 provides guidelines for metrological confirmation and for implementing a measurement management system.

7.1.6   Organizational knowledge

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.1.6   Organizational knowledge**
>
> The organization shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services.
>
> This knowledge shall be maintained and be made available to the extent necessary.
>
> When addressing changing needs and trends, the organization shall consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates.
>
> NOTE 1   Organizational knowledge is knowledge specific to the organization; it is generally gained by experience. It is information that is used and shared to achieve the organization's objectives.
>
> NOTE 2   Organizational knowledge can be based on:
>
> a)   internal sources (e.g. intellectual property; knowledge gained from experience; lessons learned from failures and successful projects; capturing and sharing undocumented knowledge and experience; the results of improvements in processes, products and services);
>
> b)   external sources (e.g. standards; academia; conferences; gathering knowledge from customers or external providers).

The local government should determine the knowledge necessary to operate its processes and the provision of its current and future products and services.

The experience and knowledge of public servants should be collected and shared to generate synergies that help to produce new and useful knowledge for the local government.

A complex organization might consider implementing a formal knowledge management system, while a less complex organization might consider using simpler methods, such as keeping logbooks on management decisions.

In determining, maintaining and making available organizational knowledge, the local government should consider:

— learning from failures, near misses and successes;

— incorporating external knowledge from customers/citizens, external suppliers and partners;

— capturing the knowledge existing inside the organization, for example, through mentor programmes or succession plans;

— benchmarking best practices;

— using resources such as the internet, an intranet, libraries, newsletters, etc.

7.2 Competence

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.2 Competence**
>
> The organization shall:
>
> a) determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system;
>
> b) ensure that these persons are competent on the basis of appropriate education, training, or experience;
>
> c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;
>
> d) retain appropriate documented information as evidence of competence.
>
> NOTE   Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.

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

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

The local government should:

— systematize the actions to determine training or other needs by comparison of the job requirements with the current competence levels of its personnel;

— implement training and awareness programmes to ensure that all personnel, regardless the type of programme, have knowledge of the quality policy and quality objectives, and the methods used to achieve them, including importance of the transparency related to activities of the organization;

— plan the training programmes or other activities needed to ensure the use of competent personnel, such as the reallocation of responsibilities, the use of new technologies, or the incorporation of new personnel;

— measure the effectiveness of the training programmes (e.g. assessment of personnel performance, evaluation of desired professional behaviour);

— assess within planned intervals the results of the actions performed and provide feedback on the process;

— review the training needs and determine further action, as necessary.

When the product or service requires competent personnel, training, mentoring or reassignment of the persons currently employed may be included. It is also possible to hire or to subcontract competent people.

7.3 Awareness

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.3 Awareness**
>
> The organization shall ensure that persons doing work under the organization's control are aware of:
>
> a) the quality policy;
>
> b) relevant quality objectives;
>
> c) their contribution to the effectiveness of the quality management system, including the benefits of improved performance;
>
> d) the implications of not conforming with the quality management system requirements.

The local government should:

— promote among its personnel and public servants the vocation of the public service and the commitment to the citizenship;

— implement activities or programmes of control and feedback to inform personnel and public servants about the implications of not fulfilling requirements of the quality policy, quality objectives and quality management system;

— promote the contribution of the individual public servants on achieving the objectives of the quality management system.

7.4 Communication

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **7.4 Communication**
>
> The organization shall determine the internal and external communications relevant to the quality management system, including:
>
> a) on what it will communicate;
>
> b) when to communicate;
>
> c) with whom to communicate;
>
> d) how to communicate;
>
> e) who communicates.

Internal and external communication of the local government will contribute significantly to its success. Communicating the identity of the local government will generate legitimacy, build long-term relationships with their customers/citizens, impact on the public agenda, and build a desired reputation to deal with possible media crises.

The local government should develop a communication strategy with the following elements: identity, diagnosis, SWOT analysis, strategic lines, target audience, desired positioning, objectives, goals, key messages, resources, content processes, channels, responsibilities, budgets and tactical mechanisms. Based on this planning, all areas of local government should build, align and communicate all of their messages.

Local government should consider whether communication processes need to take account of diversity of languages and cultural practices. Respect for diversity among both people within the local government and customers/citizens should be promoted in communication activities.

Local government can use social media to provide immediate responses and to interact more easily with customers/citizens. It is important to be aware that the use of these new routes of communication carry risks, as the control of the internal information of the local government becomes more vulnerable. The local government should use social media in accordance with its communication strategy.

The local government should determine internal communication channels between all its areas and levels, such as intranet systems, cabinet meetings, training and bulletins. Local governments should also determine external communication channels to make contact with customers/citizens and other interested parties.

The local government should determine the communications contents of the quality management system, specifying its temporality, target audience, format or media, and should identify the personnel to be in charge of these activities.

The local government should monitor if the communication strategy and the messages issued achieve the desired impact on public opinion. If necessary, the organization should make corrections. For both purposes, tracking polls, focus groups, network analysis and other research resources can be used.

Local governments should be aware that communication is not a substitute of public management. Instead, it serves to make government actions visible in a desired way for the customers/citizens and the mass media.

7.5 Documented information

7.5.1 General

ISO 9001:2015, *Quality management systems — Requirements*

7.5.1 General

The organization's quality management system shall include:

a) documented information required by this International Standard;

b) documented information determined by the organization as being necessary for the effectiveness of the quality management system.

NOTE   The extent of documented information for a quality management system can differ from one organization to another due to:

— the size of organization and its type of activities, processes, products and services;

— the complexity of processes and their interactions;

— the competence of persons.

When planning the documented information needed for the quality management system, the local government should consider aspects such as:

— public policies (including local, regional and national policies);

— how applicable laws, standards and regulations are addressed;

— the policies and structure of the organization (key positions, key professions, optimal number of key professionals);

— programmes, plans, projects, products and services provided;

— the competence of public servants (describing the public servant and his/her knowledge);

— the commitment (information to support the maintenance and increase of the commitment);

— the risks involved (e.g. barriers and obstacles related to clear communication, such as language barriers and literacy barriers);

— terminology and definitions required and commonly used by the local government;

— documented information about the responsibilities, accountabilities and functions inside the local government.

7.5.2 Creating and updating

ISO 9001:2015, *Quality management systems — Requirements*

7.5.2 Creating and updating

When creating and updating documented information, the organization shall ensure appropriate:

a) identification and description (e.g. a title, date, author, or reference number);

b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic);

c) review and approval for suitability and adequacy.

The local government should have a structured process to create or update documented information. It should also determine the personnel in charge of reviews and approvals.

The local government should ensure that every piece of documented information related to its quality management system is identified and registered. This register can contain the kind of document in question (e.g. official paper, receipt, personal communication, complaint, inventory, invoice), a description of its content, the author, the date, the number of pages, the format and a code for its later localization.

7.5.3 Control of documented information

ISO 9001:2015, *Quality management systems — Requirements*

7.5.3 Control of documented information

7.5.3.1 Documented information required by the quality management system and by this International Standard shall be controlled to ensure:

a) it is available and suitable for use, where and when it is needed;

b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

The local government should ensure the availability of documented information when required by the quality management system. It should ensure that documented information is:

— available and in good condition for its use anytime and anywhere;

— available to the public, as appropriate (e.g. public policies, applicable legal documents, emergency procedures);

— protected to ensure its confidentiality, integrity and prevention of possible misuse or loss;

— protected during the period of the current local government and is preserved as an input element for future administrations of the local government.

As per usual practice, local governments already have a classification in their documentation and it is not necessary to add new codifications.

ISO 9001:2015, *Quality management systems — Requirements*

7.5.3.2 For the control of documented information, the organization shall address the following activities, as applicable:

a)   distribution, access, retrieval and use;

b)   storage and preservation, including preservation of legibility;

c)   control of changes (e.g. version control);

d)   retention and disposition.

Documented information of external origin determined by the organization to be necessary for the planning and operation of the quality management system shall be identified as appropriate and be controlled.

Documented information retained as evidence of conformity shall be protected from unintended alterations.

NOTE   Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

The purpose of controlling documented information 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. Most of the documented information issued by local governments are public documents, which require an adequate level of control.

Documented information can be provided in different media, such as papers, videos, pictures, electronic and electromagnetic media.

Internal and external information necessary for the operation of the quality management system should be identified, protected and controlled.

Some documented information held by local governments is an essential part of the knowledge and history of their communities. Provision for long-term storage and preservation of such documented information is an important service.

8 Operation

8.1 Operational planning and control

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.1 Operational planning and control**
>
> The organization shall plan, implement and control the processes (see 4.4) needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6, by:
>
> a) determining the requirements for the products and services;
>
> b) establishing criteria for:
>
> 1) the processes;
>
> 2) the acceptance of products and services;
>
> c) determining the resources needed to achieve conformity to the product and service requirements;
>
> d) implementing control of the processes in accordance with the criteria;
>
> e) determining, maintaining and retaining documented information to the extent necessary:
>
> 1) to have confidence that the processes have been carried out as planned;
>
> 2) to demonstrate the conformity of products and services to their requirements.
>
> The output of this planning shall be suitable for the organization's operations.
>
> The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.
>
> The organization shall ensure that outsourced processes are controlled (see 8.4).

The local government should consider developing a strategic plan, and implementing and controlling the processes to meet the requirements for the provision of products and services, including:

— determining the priority needs of customers/citizens through public consultations or suggestion boxes; this determination will help to establish how products and services should be provided;

— determining the requirements of products and services, specifying elements of government proposals or national development plans;

— establishing specific criteria for the processes of the quality management system, according to the strategic plan of government, the requirements of the customers/citizens and the analysis of the context of the organization;

— designing and developing the products and services in order to meet these requirements;

— establishing support processes, such as competence management, financial management, resource provision and infrastructure management;

— establishing management processes, such as management review, and development strategy and policy review, accounting process and anticorruption process.

To determine the necessary requirements for products and services, local governments should consider the opportunities, the available resources, the budget and the infrastructure of the local government.

If the local government needs to subcontract the provision of its products and services to an external provider, it should verify its capacity to control its processes.

8.2   Requirements for products and services

8.2.1   Customer communication

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.2.1   Customer communication**
>
> Communication with customers shall include:
>
> a)   providing information relating to products and services;
>
> b)   handling enquiries, contracts or orders, including changes;
>
> c)   obtaining customer feedback relating to products and services, including customer complaints;
>
> d)   handling or controlling customer property;
>
> e)   establishing specific requirements for contingency actions, when relevant.

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

The local government should establish effective processes that ensure communication and promotion of the product or service, based on the requirements, characteristics, availability, price and other related aspects. Communication and feedback processes through the engagement of customer/citizen and other relevant interested parties could include surveys, a phone service, a website, email, a citizen service desk, a complaints and suggestion mailbox, official social networks and the use of mass media.

The local government should establish an evaluation process of the communication with the customer/citizen and other relevant interested parties. It should also ensure adequate control of the customer's/citizen's property (e.g. copies of identity documents, drawings and plans for buildings, affidavits, birth, death, marriage or divorce certificates, bank details).

8.2.2   Determining the requirements related to products and services

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.2.2   Determining the requirements related to products and services**
>
> When determining the requirements for the products and services to be offered to customers, the organization shall ensure that:
>
> a)   the requirements for the products and services are defined, including:
>
>   1)   any applicable statutory and regulatory requirements;
>
>   2)   those considered necessary by the organization;
>
> b)   the organization can meet the claims for the products and services it offers.

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

Product or 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 customers/citizens, but that are necessary to meet local government statutory and regulatory requirements and public policies.

The general requirements for the products or services provided by the local government should promote the equal rights and the dignity of the customers/citizens, and include, but not be limited to, the following:

—   safe, accessible and hygienic facilities;

— professional, humane, honest and respectful behaviour of local government personnel;

— acceptable waiting and/or response times;

— acceptable prices for product or service provision;

— convenient product delivery times or service hours for customers/citizens;

— promptness in responding to emergencies and/or crises;

— availability of clear and precise information and/or instructions to customers/citizens;

— responsiveness towards customers/citizens.

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

8.2.3 Review of the requirements related to products and services

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.2.3 Review of requirements related to products and services**
>
> **8.2.3.1** The organization shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. The organization shall conduct a review before committing to supply products and services to a customer, to include:
>
> a) requirements specified by the customer, including the requirements for delivery and post-delivery activities;
>
> b) requirements not stated by the customer, but necessary for the specified or intended use, when known;
>
> c) requirements specified by the organization;
>
> d) statutory and regulatory requirements applicable to the products and services;
>
> e) contract or order requirements differing from those previously expressed.
>
> The organization shall ensure that contract or order requirements differing from those previously defined are resolved.
>
> The customer's requirements shall be confirmed by the organization before acceptance, when the customer does not provide a documented statement of their 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.

Local governments should ensure that the product or service requirements are defined in measurable terms that allow objective verification of the products or services provided.

The local government should ensure that actions are taken to prevent differences between the requirements for products or services as requested by the customer/citizen. Steps should be taken to resolve any differences before processing requests.

Even where written requests from the customer/citizen are not provided, the local government should make sure that it understands local needs. For example, in the product or service of waste collection, public lighting or roadworks, where the customer/citizen does not specifically request the product

or service, but the local government foresees the need for it. The requirements should be recorded as documented information.

ISO 9001:2015, *Quality management systems — Requirements*

8.2.3.2 The organization shall retain documented information, as applicable:

a) on the results of the review;

b) on any new requirements for the products and services.

The local government should retain evidence of the results of revisions to the requirements and any new requirements for the products and services that are provided. An example of this could be the results of evaluating public policies, as well as social studies of the customers/citizens or other interested parties.

8.2.4   Changes to requirements for products and services

ISO 9001:2015, *Quality management systems — Requirements*

8.2.4   Changes to requirements for products and services

The organization shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.

When the requirements for products and services are changed due to any reason, local government should take measures to inform all relevant interested parties.

8.3   Design and development of products and services

8.3.1   General

ISO 9001:2015, *Quality management systems — Requirements*

8.3.1   General

The organization shall establish, implement and maintain a design and development process that is appropriate to ensure the subsequent provision of products and services.

Local government has its own design and development activities, such as the formulation of new public policies, the provision of innovative products and services, and the construction of specific service programmes according to the context and the needs and expectations of its customers/citizens. Therefore, top management of the local government should assign those responsible to follow up the specific design and development activities within the local government.

NOTE   See ISO/TS 9002:2016, 8.3, for guidance on the design and development of products and services.

8.3.2 Design and development planning

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.3.2 Design and development planning**
>
> In determining the stages and controls for design and development, the organization shall consider:
>
> a) the nature, duration and complexity of the design and development activities;
>
> b) the required process stages, including applicable design and development reviews;
>
> c) the required design and development verification and validation activities;
>
> d) the responsibilities and authorities involved in the design and development process;
>
> e) the internal and external resource needs for the design and development of products and services;
>
> f) the need to control interfaces between persons involved in the design and development process;
>
> g) the need for involvement of customers and users in the design and development process;
>
> h) the requirements for subsequent provision of products and services;
>
> i) the level of control expected for the design and development process by customers and other relevant interested parties;
>
> j) the documented information needed to demonstrate that design and development requirements have been met.

In the context of local government, design and development is the process that transforms the customer/ citizen needs and expectations and/or the statutory and regulatory requirements, including applicable public policies, into specified characteristics of the product and service to be provided.

Figure 2 shows how the different stages of a design and development process interact with each other and can be used as a means to establish this process as part of the quality management system.
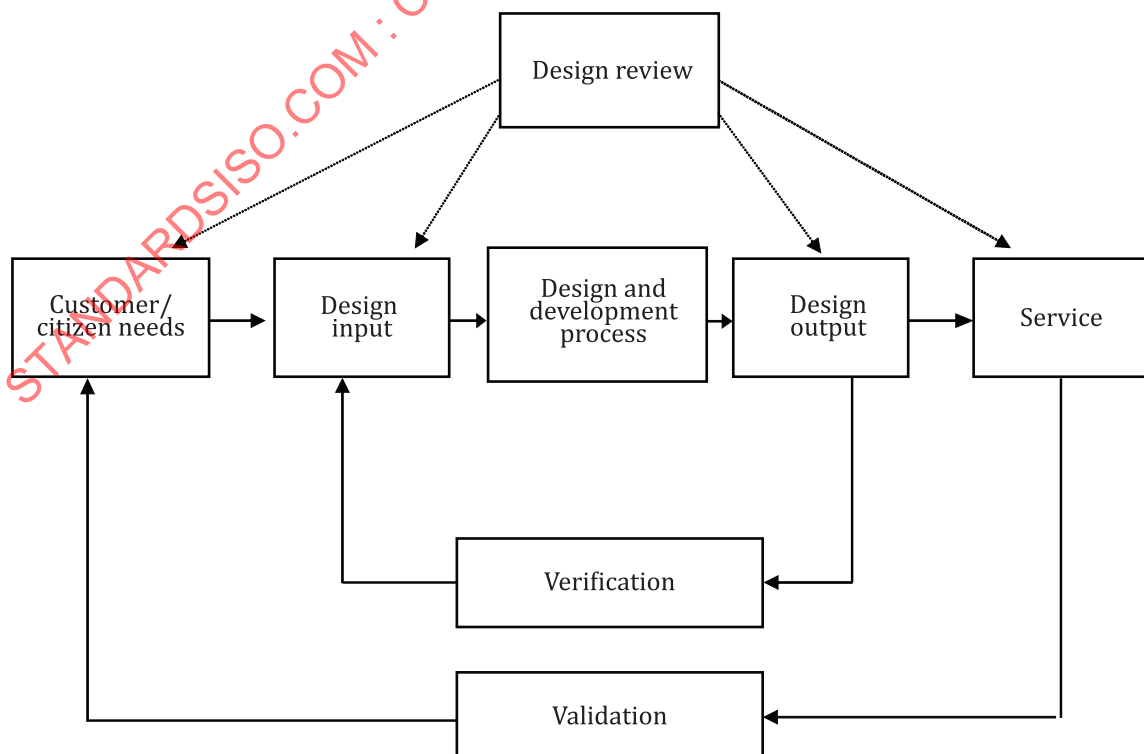

Figure 2 — Design and development process

As part of the design and development planning activities, the local government should consider established objectives, customer/citizen requirements, applicable statutory and regulatory requirements, and public policies.

The local government should designate an entity, internal or external, that will have specific responsibility and authority for the design and development process.

For those design and development projects that need several years for their implementation, the planning should consider different risks that can impact the life cycle of these projects, such as changes in local government management, new or revised applicable statutory and regulatory requirements, including public policies, budget limitations and other variations.

As part of the design and development planning, the local government should determine the stages, scheduling of activities, milestones, responsibilities and resources consistent with the planned objectives, the schedule for the product or service provision and factors related to processes linked with other government levels. In addition, in some instances, the local government should manage interfaces with internal and external entities.

The local government should keep documented information of the design and development planning activities and for lesson-learned activities.

8.3.3 Design and development inputs

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.3.3 Design and development inputs**
>
> The organization shall determine the requirements essential for the specific types of products and services to be designed and developed. The organization shall consider:
>
> a) functional and performance requirements;
>
> b) information derived from previous similar design and development activities;
>
> c) statutory and regulatory requirements;
>
> d) standards or codes of practice that the organization has committed to implement;
>
> e) potential consequences of failure due to the nature of the products and services.
>
> Inputs shall be adequate for design and development purposes, complete and unambiguous.
>
> Conflicting design and development inputs shall be resolved.
>
> The organization shall retain documented information on design and development inputs.

The inputs to the design and development should:

— describe the specified characteristics of the product and service to be provided to the customer/ citizen;

— clearly indicate any applicable criteria for the acceptance of the product and service; such criteria should define how the customer/citizen can interact with the local government in determining its level of performance related to provision of products and services.

8.3.4 Design and development controls

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.3.4 Design and development controls**
>
> The organization shall apply controls to the design and development process to ensure that:
>
> a) the results to be achieved are defined;
>
> b) reviews are conducted to evaluate the ability of the results of design and development to meet requirements;
>
> c) verification activities are conducted to ensure that the design and development outputs meet the input requirements;
>
> d) validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use;
>
> e) any necessary actions are taken on problems determined during the reviews, or verification and validation activities;
>
> f) documented information of these activities is retained.
>
> NOTE   Design and development reviews, verification and validation have distinct purposes. They can be conducted separately or in any combination, as is suitable for the products and services of the organization.

In order to achieve the expected results from the design and development process, the local government should ensure that all persons involved in the design and development process are aware of, and fully understand, the customer/citizen and other relevant requirements and expectations.

During the development and design process, reviews, verification and validation could be applied to ensure that the intended result will be achieved.

Review implies activities undertaken to determine how the design and development project is performing according to its planned arrangements.

A systematic review means that the local government should consider the entire scope of the design and development project in its planned design and development reviews, including any situation that could impact the achievement of the planned arrangements.

Criteria should be determined for conducting the design and development review activities. These criteria should consider the defined design and development inputs and outputs, as appropriate. They should clearly indicate who should participate in the review activities, such as internal customers, technical experts, suppliers and members of management.

In some instances, decisions should be taken to adjust the planned arrangements to new conditions or situations that affect the design and development project. These decisions should be taken by members of management who have an adequate level of authority.

Documented information on the design and development review, development verification and development validation should be kept.

Design and development verification can be a progressive process performed through several stages, depending on the complexity of the design and development project.

In some instances, one or more design and development verification activities can be carried out by internal persons who did not participate in the design and development activities or by external parties, such as suppliers, technical experts, federal or state entities, and international public and private organizations.

Documented information of the design and development verification should be kept.

Validation should always provide objective evidence that the product and service performance will be consistent with its specified characteristics and its intended use or application.

Depending on the complexity of the design and development project, different methods for validation can be used, such as simulations, tests and prototypes.

When the design and development validation cannot be performed before the initial product and service provision, the local government should define the appropriate methods for its realization.

The design and development validation should be performed with the participation of a representative group of customers/citizens.

Documented information of the design and development validation should be kept.

8.3.5   Design and development outputs

ISO 9001:2015, *Quality management systems — Requirements*

8.3.5   Design and development outputs

The organization shall ensure that design and development outputs:

a)   meet the input requirements;

b)   are adequate for the subsequent processes for the provision of products and services;

c)   include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria;

d)   specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision.

The organization shall retain documented information on design and development outputs.

The local government should consider the steps in its design and development processes necessary to evaluate the outputs of these processes, with the aim to satisfy its customers/citizens. Due to their public function, the outputs from the design and development of products and services provided by local governments should also be made available for evaluation by customers/citizens as well as by local government personnel.

The local government should strengthen customer/citizen participation in the evaluation of the outputs of its design and development processes as a means for fostering transparency and public accountability.

Communication and feedback processes through the engagement of interested parties could include information modules, a phone service, a website, email, a citizen service desk, a complaints and suggestion mailbox and the use of mass media.

The local government should establish an evaluation process of the communication with the customers/ citizens and other interested parties. This constitutes a source of reliable information for improvement of the design and development processes and the quality and usability of its outputs.

8.3.6 Design and development changes

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.3.6 Design and development changes**
>
> The organization shall identify, review and control changes made during, or subsequent to, the design and development of products and services, to the extent necessary to ensure that there is no adverse impact on conformity to requirements.
>
> The organization shall retain documented information on:
>
> a) design and development changes;
>
> b) the results of reviews;
>
> c) the authorization of the changes;
>
> d) the actions taken to prevent adverse impacts.

The local government should determine a process for identifying and implementing any design and development changes. This process should include the methods for review, verification and validation, as appropriate, and approval of the changes.

Design and development changes can come from:

— corrective action processes;

— risk assessments;

— suggestions;

— adjustments to or new applicable statutory and regulatory requirements;

— the management review process;

— interaction with external governmental entities and interested parties, e.g. suppliers.

Before accepting design and development changes, the changes should be validated, considering their potential effect on the local government's processes and the satisfaction of the customer/citizen.

In some instances, local governments are responsible for controlling ongoing design and development changes, including to products and services that have been delivered by external providers. Particularly for infrastructure and software, failures in control of such changes can have significant impacts on the community. The local government process for controlling changes should include provisions for approving and implementing changes to these products and services.

Documented information on the design and development changes and the results of the review as well as authorization of the changes should be kept.

8.4   Control of externally provided processes, products and services

8.4.1   General

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.4.1   General**
>
> The organization shall ensure that externally provided processes, products and services conform to requirements.
>
> The organization shall determine the controls to be applied to externally provided processes, products and services when:
>
> a)   products and services from external providers are intended for incorporation into the organization's own products and services;
>
> b)   products and services are provided directly to the customer(s) by external providers on behalf of the organization;
>
> c)   a process, or part of a process, is provided by an external provider as a result of a decision by the organization.
>
> The organization shall determine and apply criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements. The organization shall retain documented information of these activities and any necessary actions arising from the evaluations.

The invitation to take part in the selection process to become an external provider of a local government should be open, accessible, widely published and contain the necessary purchasing information (see 8.4.3).

The local government should clearly identify its requirements for the product and service to be purchased. For new external providers, it could be convenient to include a test period or pilot scheme before final external provider approval is granted.

The local government should maintain up-to-date information related to its external provider, evaluated on their ability to comply with purchasing requirements in terms of conformity of the product, service provided and delivery performance. This list could serve as a basis for external provider selection and management of relations with current external providers.

The local government should integrate, whenever possible, its procurement activities with other local governments in its region.

The information about approved external providers may include:

— determining they comply with the applicable regulations (statutory and regulatory requirements),

— technical and administrative capacity;

— financial capability;

— whether the external provider has evaluations from third parties or if it has a quality management system, based on ISO 9001:2015,

— the external provider's past performance record.

NOTE   It is important that local governments are aware of any applicable purchasing regulations.

8.4.2   Type and extent of control

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.4.2   Type and extent of control**
>
> The organization shall ensure that externally provided processes, products and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customers.
>
> The organization shall:
>
> a)   ensure that externally provided processes remain within the control of its quality management system;
>
> b)   define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;
>
> c)   take into consideration:
>
>   1)   the potential impact of the externally provided processes, products and services on the organization's ability to consistently meet customer and applicable statutory and regulatory requirements;
>
>   2)   the effectiveness of the controls applied by the external provider;
>
> d)   determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements.

The local government should ensure that external providers providing products and services have implemented adequate control measures in their processes to be able to fulfil the agreed quality requirements.

The local government should determine the appropriate controls for each outsourced service in order to fulfil the quality requirements.

8.4.3   Information for external providers

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.4.3   Information for external providers**
>
> The organization shall ensure the adequacy of requirements prior to their communication to the external provider.
>
> The organization shall communicate to external providers its requirements for:
>
> a)   the processes, products and services to be provided;
>
> b)   the approval of:
>
>   1)   products and services;
>
>   2)   methods, processes and equipment;
>
>   3)   the release of products and services;
>
> c)   competence, including any required qualification of persons;
>
> d)   the external providers' interactions with the organization;
>
> e)   control and monitoring of the external providers' performance to be applied by the organization;
>
> f)   verification or validation activities that the organization, or its customer, intends to perform at the external providers' premises.

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

The purchasing documents should be reviewed and approved by the competent authority before communication to potential external providers. It could be convenient for the local government to have forms, checklists or software to ensure that the requirements are adequately reviewed.

The specifications of products and services to be purchased should include, at least, a description of their characteristics and attributes, describing them in clear terms, including additional information such as the processes and methods by which they are produced and distributed by the external provider.

Local governments should have competent personnel, procedures and/or operating instructions for the inspection and verification of the received product and service.

Verification should include a check that the external provider has provided any necessary support documentation, such as instruction manuals, warranties and maintenance manuals.

NOTE   ISO 10005 includes guidance on the use of quality plans in relation to externally provided processes, products and services.

8.5   Production and service provision

8.5.1   Control of production and service provision

ISO 9001:2015, *Quality management systems — Requirements*

8.5.1   Control of production and service provision

The organization shall implement production and service provision under controlled conditions.

Controlled conditions shall include, as applicable:

a)   the availability of documented information that defines:

  1)   the characteristics of the products to be produced, the services to be provided, or the activities to be performed;

  2)   the results to be achieved;

b)   the availability and use of suitable monitoring and measuring resources;

c)   the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met;

d)   the use of suitable infrastructure and environment for the operation of processes;

e)   the appointment of competent persons, including any required qualification;

f)   the validation, and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement;

g)   the implementation of actions to prevent human error;

h)   the implementation of release, delivery and post-delivery activities.

Controlled conditions should include, as applicable:

—   documented information that describes the specified characteristics of the product and service and the controls required, such as procedures, work instructions, quality plans, visual aids, manuals, signs and banners;

— activities that are needed before starting the product and service provision, such as verification of the functionality of equipment and the use of personal protective equipment;

— establishment of specific controls in the product and service provision processes in order to ensure the product and service requirements are met.

In local governments, depending on the nature of the product and service provided, different types of equipment are used, such as construction machinery, cleaning equipment, computer hardware and software. This also applies to monitoring and measuring equipment, such as medical instruments, scales and monitoring cameras.

Annex A provides elements that can be considered when establishing controlled conditions.

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

In a local government, these processes (also called "special processes") are common when the product and service is provided with the customer/citizen present (face-to-face or in an online environment) and for some complex processes.

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

— review and verify the method to ensure its capacity to achieve the planned results;

— define and make available the necessary equipment and infrastructure;

— designate specific, competent personnel who have the necessary training, qualifications and/or experience;

— have documented information that allows feedback based on the actual process results.

An example of such a process might be leak detection in domestic water supplies. In this case, 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 (e.g. when expensive excavations have been made in the wrong location). It is, therefore, necessary to validate the detection process, and to ensure that only qualified, specialized personnel carry out this process, using approved acoustic equipment.

Another example is when a customer/citizen is looking for some information or is paying a duty using an online application provided and supported by the local government, and suddenly the system is no longer online. The local government should make provisions for implementing preventive maintenance activities to the system and related hardware and/or software to ensure the online application will run in the specified times.

8.5.2 Identification and traceability

ISO 9001:2015, *Quality management systems — Requirements*

8.5.2 Identification and traceability

The organization shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services.

The organization shall identify the status of outputs with respect to monitoring and measurement requirements throughout production and service provision.

The organization shall control the unique identification of the outputs when traceability is a requirement, and shall retain the documented information necessary to enable traceability.

In a local government, product and service identification and traceability are important for:

a) monitoring the status of product and service provision through the whole production/provision process, in relation to the planning and formal promises given to the customer/citizen (e.g. citizens charter, government plan, campaign promised to constituencies);

b) requirements for, and the establishment of, the appropriate connection with relevant monitoring and measurement;

c) correctly meeting statutory and regulatory requirements (e.g. in birth certificates, notary records, circulation permits);

d) analysis of the impact of the product and service provided on the parties involved, and the social or economic benefit of the product and service;

e) investigation and handling of complaints.

Product and service provision processes should include a means of identification and traceability to ensure the customer's/citizen's satisfaction, accountability, transparency and conformity with public policies. Traceability is applied when this is required by the local government's own quality policy (e.g. the follow up of a ticket assigned by the local government to the citizen).

Documented information needed to ensure adequate identification and traceability may include:

— information giving the relationship between the products and services provided and applicable requirements;

— the destination, delivery sites and dates/times of the products and services;

— identification of the local government personnel and/or customers/citizens involved.

8.5.3 Property belonging to customers or external providers

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.5.3 Property belonging to customers or external providers**
>
> The organization shall exercise care with property belonging to customers or external providers while it is under the organization's control or being used by the organization.
>
> The organization shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services.
>
> When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider and retain documented information on what has occurred.
>
> NOTE   A customer's or external provider's property can include materials, components, tools and equipment, premises, intellectual property and personal data.

The local government should exercise care with any documented information, material, equipment or other item provided by the customer/citizen that is required for the product and service provision.

The local government should take particular care of the treatment of personal data of customers/citizens.

If any outsourced process uses any property of customers/citizens, the local government should define specific controls for ensuring that this property is managed according to all the applicable requirements, for example:

— in the case of a traffic violation, when the car of the infringer is taken to a place assigned by the local government, that service should have the procedures and equipment necessary for safe transportation and protection against damage;

— when a customer/citizen wishes to obtain a document (e.g. a passport) and personal identification documents need to be submitted, these should be handled according to a specific procedure that ensures confidentiality and security from the corresponding office until they are duly returned and the process is complete.

All the assets the local government holds as property should 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 and safeguard them as a collective property of the customers/citizens. The local government is responsible for the effective care of the common goods entrusted to it, such as parks, rivers, sanitary landfills, streets, urban infrastructure, historical sites, files and cultural assets. It is one of the responsibilities of the local government to protect these assets as common goods, and to preserve them for future generations on behalf of customers/citizens.

In addition, any intellectual property produced by the local government should also be considered as the collective intellectual property of the local government's customers/citizens.

If the goods provided by the customer/citizen are damaged, lost or destroyed, the customer/citizen should be promptly informed, preferably in writing, and the liability for any damage should be assumed, as applicable.

8.5.4   Preservation

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.5.4   Preservation**
>
> The organization shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.
>
> NOTE   Preservation can include identification, handling, contamination control, packaging, storage, transmission or transportation, and protection.

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 products and services the local government could provide and can vary from merely administrative products and services to the provision of tangible goods, such as pavements, graves in graveyards, passports, driving licences and school breakfasts. When dealing with requirements related to the handling, storage, packaging preservation, shipping, care and delivery of goods, the local government should consider all applicable requirements, including hygiene and work safety requirements.

8.5.5 Post-delivery activities

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.5.5 Post-delivery activities**
>
> The organization shall meet requirements for post-delivery activities associated with the products and services.
>
> In determining the extent of post-delivery activities that are required, the organization shall consider:
>
> a) statutory and regulatory requirements;
>
> b) the potential undesired consequences associated with its products and services;
>
> c) the nature, use and intended lifetime of its products and services;
>
> d) customer requirements;
>
> e) customer feedback.
>
> NOTE Post-delivery activities can include actions under warranty provisions, contractual obligations such as maintenance services, and supplementary services such as recycling or final disposal.

The local government should consider that their responsibility is not necessarily finished when products and services have been delivered.

The local government should:

— define the scope of activities to take place after delivery according to the requirements of each product and service;

— prevent possible risks of customers/citizens not being satisfied;

— prevent possible wrong performances of the products and services provided and define activities following the delivery;

— ensure they receive feedback from customers/citizens about the received products and services (e.g. through satisfaction surveys, discussion boards, periodical assessments);

— establish and manage means of providing feedback for customers/citizens (e.g. complaints handling, customer service desk, webpages for complaints, doubts and questions).

8.5.6 Control of changes

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.5.6 Control of changes**
>
> The organization shall review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements.
>
> The organization shall retain documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review.

The local government should implement a process to ensure the review and control of changes that occur during the production of products and provision of services. Such changes should be in alignment with the provisions for implementation of changes during the planning of quality management system (see also 6.3).

The determined actions to address such changes should be focused to ensure the outputs, products and services will continue to meet the applicable requirements.

Proposed changes should be examined at all stages of the operation before being introduced.

The reason for changes can vary. For example, a need for change can be initiated by an external provider (e.g. because of delivery delays or quality issues), an internal issue (e.g. critical equipment failure, problems with infrastructure, recurrent nonconforming outputs) or an external issue (e.g. new or modified customer/citizen requirements, statutory and regulatory requirements).

In certain cases, the results of the desired change could have the consequence that some activities inside design and development process have to be redone, such as verification and/or validation steps.

Local government should determine the documented information to be retained and the format in which should be retained, for example:

a)   minutes of the review activities;

b)   verification and validation results;

c)   description of the change;

d)   details of the person(s) authorizing the change (in some cases the customer/citizen could also be involved in review and authorization).

8.6   Release of products and services

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.6   Release of products and services**
>
> The organization shall implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met.
>
> The release of products and services to the customer shall not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer.
>
> The organization shall retain documented information on the release of products and services. The documented information shall include:
>
> a)   evidence of conformity with the acceptance criteria;
>
> b)   traceability to the person(s) authorizing the release.

For each product or service that the local government provides, there are characteristics that define its conformity or acceptance by the customer/citizen and evidence that meets the requirements.

This can be done at different stages of the process, although the final results, at least, should be taken in order to ensure that the product and service is acceptable before delivering it to the customer/citizen (although this concept can be relative to the types of products or services provided).

Local governments should have competent personnel, procedures and/or operating instructions for the inspection and verification of the release of product and service.

Evidence of authority and traceability to the person(s) authorizing the release should be ensured.

8.7 Control of nonconforming outputs

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **8.7 Control of nonconforming outputs**
>
> **8.7.1** The organization shall ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.
>
> The organization shall take appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services. This shall also apply to nonconforming products and services detected after delivery of products, during or after the provision of services.
>
> The organization shall deal with nonconforming outputs in one or more of the following ways:
>
> a) correction;
>
> b) segregation, containment, return or suspension of provision of products and services;
>
> c) informing the customer;
>
> d) obtaining authorization for acceptance under concession.
>
> Conformity to the requirements shall be verified when nonconforming outputs are corrected.
>
> **8.7.2** The organization shall retain documented information that:
>
> a) describes the nonconformity;
>
> b) describes the actions taken;
>
> c) describes any concessions obtained;
>
> d) identifies the authority deciding the action in respect of the nonconformity.

8.7.3 In the context of local government, a nonconformity in the product or service provided means that one or more requirements has not been met. These requirements could come from customers/citizens, from statutory and regulatory requirements, or they could be internal requirements defined by the local government itself.

The local government should indicate:

a) appropriate actions to detect a nonconforming product or service;

b) the means to identify the nonconforming product or service;

c) controls to prevent the unintentional use or provision of the nonconforming product or service;

d) appropriate actions to avoid the nonconforming product or service being provided again.

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

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

— contingency plans;

— transfer of the customer's/citizen's needs to other programmes;

— development of improvement plans and agendas for subsequent fiscal periods;

— appropriate actions to handle any conflict.

Documented information describing the nonconformity, how it was analysed and corrected, and actions taken should be retained. It is important that the local government also takes appropriate action to control outsourced products and services.

9 Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **9.1.1 General**
>
> The organization shall determine:
>
> a)   what needs to be monitored and measured;
>
> b)   the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;
>
> c)   when the monitoring and measuring shall be performed;
>
> d)   when the results from monitoring and measurement shall be analysed and evaluated.
>
> The organization shall evaluate the performance and the effectiveness of the quality management system.
>
> The organization shall retain appropriate documented information as evidence of the results.

This clause specifies requirements for implementing monitoring and measuring to ensure the intended results of the quality management system are achieved as planned.

Local government should determine what, why, when and how to monitor and measure, followed by analysis and evaluation.

Local government should retain appropriate documented information as evidence of monitoring and measurement.

NOTE   Refer to Annex A for monitoring and measurements indicators.

9.1.2 Customer satisfaction

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **9.1.2 Customer satisfaction**
>
> The organization shall monitor customers' perceptions of the degree to which their needs and expectations have been fulfilled. The organization shall determine the methods for obtaining, monitoring and reviewing this information.
>
> NOTE Examples of monitoring customer perceptions can include customer surveys, customer feedback on delivered products and services, meetings with customers, market-share analysis, compliments, warranty claims and dealer reports.

The methods used for monitoring customer/citizen satisfaction should be selected to provide meaningful information regarding the customer's/citizen's level of satisfaction on certain products or services and to collect their feedback on how important a certain product or service is for them. This information is necessary to establish adequate priorities for improvement activities for these products or services. This information should be presented in a format that clearly demonstrates 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 the results to relevant interested parties. Examples of monitoring and measurement of customer/citizen satisfaction include:

— surveys of customers/citizens;

— mystery audits;

— customer/citizen observations, suggestions, comments and complaints;

— surveys and feedback from internal customers;

— focus group meetings;

— customer/citizen emergency records;

— independent opinion polls.

The local government should determine effective mechanisms of receiving direct feedback from customers/citizens in order to assess perceptions and the level of fulfilment of its requirements. One type of mechanism that should be used is the ICO, which provides specific data on meeting the needs and expectations of customers/citizens directly (see Annex C).

NOTE 2   See Annex A for guidance.

NOTE 3   When appropriate, statistics differentiated according to factors such as gender, ethnic background, postal/zip code, age, etc., are used to identify differences among segments of citizens.

NOTE 4   See ISO 10001, ISO 10002, ISO 10003 and ISO 10004.

9.1.3   Analysis and evaluation

ISO 9001:2015, *Quality management systems — Requirements*

9.1.3   Analysis and evaluation

The organization shall analyse and evaluate appropriate data and information arising from monitoring and measurement.

The results of analysis shall be used to evaluate:

a)   conformity of products and services;

b)   the degree of customer satisfaction;

c)   the performance and effectiveness of the quality management system;

d)   if planning has been implemented effectively;

e)   the effectiveness of actions taken to address risks and opportunities;

f)   the performance of external providers;

g)   the need for improvements to the quality management system.

 NOTE   Methods to analyse data can include statistical techniques.

The local government should analyse and evaluate data regarding the performance of the quality management system and its processes, as well as of the products and services they provide.

Wherever possible, the data should be obtained from information systems that already exist within the local government, such as:

— management review data;

— information received from administrative personnel and customers/citizens;

— review of the fulfilment of product or service requirements;

— product and service performance data, including the difference between products and services promised and those actually provided;

— evaluations of external providers;

— satisfaction surveys of customers/citizens and other relevant interested parties;

— results of internal and external audits;

— monitoring and measurement at the beginning, during and at the end of processes;

— product and service identification;

— verification and validation of the methods used for monitoring and measurement;

— information on nonconforming products and services.

The data gathered, and the analysis techniques used, should be consistent with the purpose of the process. They should reflect the performance of the process in meeting objectives. It should be recognized 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 (e.g. the budget assigned, political factors, bureaucracy) should be considered as part of the data analysis and continual improvement process, as well as for analysis and evaluation.

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

Examples of data analysis techniques can 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 of processes, products and services. The resulting conclusions from data analysis, assessments and evaluations of risks and opportunities, performance assessments, customer/citizen satisfaction analysis and analysis of trends should be used to improve the quality management system and enhance satisfaction of customers/citizens.

9.2 Internal audit

ISO 9001:2015, *Quality management systems — Requirements*

9.2 Internal audit

9.2.1 The organization shall conduct internal audits at planned intervals to provide information on whether the quality management system:

a) conforms to:

   1) the organization's own requirements for its quality management system;

   2) the requirements of this International Standard;

b) is effectively implemented and maintained.

When the local government plans internal audits, it should consider internal processes that could affect effective execution. For example, processes such as financial closures, accountability reporting periods or other similar events should be anticipated.

Internal audits of the quality management system should be distinguished from other internal audits typically performed in government bodies, such as those relating to the use of public funds.

It is important that top management fosters an open-minded culture, where quality audits are perceived to improve performance and not as a means to assign blame for any problems encountered.

The information obtained by the internal audits should be oriented to assess the conformity of the local government's operations with the requirements expressed in its quality management system and the recommendations in this document. The requirements of the quality management system are defined by analysing the local government and its context (see 4.1). The adoption of the requirements is determined when the scope of the quality management system is established (see 4.3).

The local government should conduct internal audits at planned intervals as defined by the top management with the aim to obtain information about the effectiveness of its quality management system.

ISO 9001:2015, *Quality management systems — Requirements*

9.2.2   The organization shall:

a)   plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned, changes affecting the organization, and the results of previous audits;

b)   define the audit criteria and scope for each audit;

c)   select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;

d)   ensure that the results of the audits are reported to relevant management;

e)   take appropriate correction and corrective actions without undue delay;

f)   retain documented information as evidence of the implementation of the audit programme and the audit results.

NOTE   See ISO 19011 for guidance.

The local government should plan, implement and maintain one or more audit programmes according to its internal organization. It should define those responsible for carrying out internal audit activities.

The local government should:

—   have guidelines for the selection and training of the auditors, and ensure the maintenance and continual improvement of their competence (see ISO 19011);

—   have adequate mechanisms to ensure that the results of the audits will be communicated to the corresponding staff and areas of the local government;

—   implement corrections and corrective actions (see 10.2.1) in the areas where they are needed according to the findings of the audit;

—   document and preserve the evidence of the audit execution, as well as its results (see 7.5).

9.3   Management review

9.3.1   General

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **9.3.1   General**
>
> Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization.

Top management of the local government has the responsibility to review the quality management system in all its areas. This review should be done through activities organized at planned intervals. It could include a review plan with the participation of authorities of the local government areas.

The purpose of the review carried out by top management is to ensure that the quality management system:

— is convenient to its purposes;

— is sufficient for the fulfilment of these purposes;

— is meeting the objectives previously established;

— is aligned with the strategic direction of the local government;

— is adapted to the changes and trends that have an impact on the provision of local government products and services to its customers/citizens.

The review by top management is essential for the proper functioning of the quality management system. Having the support of top management's leadership in reviewing the stages of the quality management system should be considered critical in assessing its performance.

9.3.2 Management review inputs

ISO 9001:2015, *Quality management systems — Requirements*

9.3.2 Management review inputs

The management review shall be planned and carried out taking into consideration:

a) the status of actions from previous management reviews;

b) changes in external and internal issues that are relevant to the quality management system;

c) information on the performance and effectiveness of the quality management system, including trends in:

   1) customer satisfaction and feedback from relevant interested parties;

   2) the extent to which quality objectives have been met;

   3) process performance and conformity of products and services;

   4) nonconformities and corrective actions;

   5) monitoring and measurement results;

   6) audit results;

   7) the performance of external providers;

d) the adequacy of resources;

e) the effectiveness of actions taken to address risks and opportunities (see 6.1);

f) opportunities for improvement.

The planning and development of reviews by top management should consider the following information:

— results of actions based on previous reviews;

— updated analysis of the external and internal context of local government (see 4.1);

— levels of performance and the effectiveness of the quality management system;

— customer/citizen satisfaction (see 9.1.2), considering the documented information collected during all types of interactions with customers/citizens or their representatives;

— feedback of all relevant interested parties (see 4.2);

— performance of processes (see 4.4) and results of the diagnostic system self-assessments (see Annex B);

— conformity of products and services (see 8.6);

— status of the nonconformities and the relevant corrective actions (see 10.2);

— monitoring and measurement results (see 9.1.1);

— audit results (first-party, second-party or third-party) that affect or could affect the quality management system;

— performance of external providers (see 8.4);

— adequacy of the resources (see 7.1);

— data about the effectiveness of the actions to confront risks and opportunities (see 6.1);

— changes and trends in the local government context that have impact on the provision of products and services by the local government to the customers/citizens;

— opportunities for improvement (see 10.1).

9.3.3 Management review outputs

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **9.3.3 Management review outputs**
>
> The outputs of the management review shall include decisions and actions related to:
>
> a) opportunities for improvement;
>
> b) any need for changes to the quality management system;
>
> c) resource needs.
>
> The organization shall retain documented information as evidence of the results of management reviews.

As a result of the management review, the local government should include decisions and actions regarding the following issues.

— Improvement opportunities (see 10.1). For example:

— assigning responsible staff to identify opportunities for improvement in the areas of the local government;

— establishing parameters to improve local government products or services, infrastructure and processes;

— defining actions to improve communication with customers/citizens;

— developing prevention and loss reduction plans (including contingency plans) for identified risks and opportunities.

— Any need of change (see 6.3). For example:

— reviewing and periodically updating measurement indictors for local government processes;

— identifying and determining changes in applicable legal and regulatory requirements;

— identifying and communicating the need for changes in the delivery and provision of the products or services.

— Need for resources (see 7.1). For example:

— evaluating the use of resources in relation to the processes and the provision of products and services;

— assigning responsible staff in the local government to identify resources needs;

— prioritizing the distribution of planned resources and considering risks and opportunities;

— defining actions to consider changes in the provision of policies and resources from national and regional governments.

The results of the management review outputs should be preserved as documented information (see 7.5) and communicated in an adequate way to all the involved areas of the local government and relevant interested parties.

10 Improvement

10.1 General

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **10.1 General**
>
> The organization shall determine and select opportunities for improvement and implement any necessary actions to meet customer requirements and enhance customer satisfaction.
>
> These shall include:
>
> a) improving products and services to meet requirements as well as to address future needs and expectations;
>
> b) correcting, preventing or reducing undesired effects;
>
> c) improving the performance and effectiveness of the quality management system.
>
> NOTE   Examples of improvement can include correction, corrective action, continual improvement, breakthrough change, innovation and re-organization.

The local government should determine and select opportunities for improvement by assessing how it is fulfilling the requirements of its customers/citizens and their satisfaction.

Top management of the local government should determine opportunities for improvement in all the products and services it provides. It should organize activities for improvement and distribute monitoring responsibilities in all of its areas.

These activities should include those for:

— improving the sustainability of the quality management system, including consideration of the future needs of customers/citizens;

— correcting unwanted effects, for example, corrections detected while services are being provided;

— preventing unwanted effects, for example, detection of possible risks by monitoring the activities of the system in all areas of the local government,

— reducing unwanted effects, for example, communicating corrective actions implemented with part of the staff to all the working areas,

— focusing on improving the performance of the quality management system, including the participation of all areas of local government, for example, implementation of technological innovation in the quality management system and reorganization of activities in the areas of the local government;

— improving the effectiveness of the quality management system, including the involvement of all areas of the local government.

10.2 Nonconformity and corrective action

ISO 9001:2015, *Quality management systems — Requirements*

10.2 Nonconformity and corrective action

10.2.1 When a nonconformity occurs, including any arising from complaints, the organization shall:

a) react to the nonconformity and, as applicable:

    1) take action to control and correct it;

    2) deal with the consequences;

b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:

    1) reviewing and analysing the nonconformity;

    2) determining the causes of the nonconformity;

    3) determining if similar nonconformities exist, or could potentially occur;

c) implement any action needed;

d) review the effectiveness of any corrective action taken;

e) update risks and opportunities determined during planning, if necessary;

f) make changes to the quality management system, if necessary.

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

In the context of local government, a nonconformity in the product/service provided means that one or more requirements has not been met. These requirements could come from the customers/citizens, from relevant interested parties, from statutory and regulatory requirements, or they could be internal requirements defined by the local government itself.

The local government should determine the necessary mechanisms for the detection of nonconformities that fulfil the following characteristics:

— appropriate actions to detect a nonconforming product or service;

— the means to identify the nonconforming product or service;

— controls to prevent the unintended use or provision of the nonconforming product or service;

— appropriate actions to avoid the nonconforming product or service being provided again.

The local government should define the responsibility and authority to follow up on the effective implementation of these activities.

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

— contingency plans;

— transfer of the customer's/citizen's needs to other programmes;

— the development of improvement plans and agendas for subsequent fiscal periods;

— appropriate actions to handle any conflict.

It is important that the local government also takes appropriate action to control outsourced products or services.

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **10.2.2** The organization shall retain documented information as evidence of:
>
> a) the nature of the nonconformities and any subsequent actions taken;
>
> b) the results of any corrective action.

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 recorded and communicated to ensure their effective implementation.

10.3 Continual improvement

> **ISO 9001:2015**, *Quality management systems — Requirements*
>
> **10.3 Continual improvement**
>
> The organization shall continually improve the suitability, adequacy and effectiveness of the quality management system.
>
> The organization shall consider the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.

Continual improvement in local government should include the improvement of the effectiveness and adequacy of the quality management system with respect to the strategic government plan.

Identification of potential areas for improvement can be based on information sources such as:

— internal evaluations of the understanding of the quality policy by local government personnel;

— performance in the achievement of quality objectives;

— performance of the processes;

— inputs from customers/citizens and other relevant 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 to perform the needed improvement activities.

Annex A
(informative)

Local government assessment tool for integral quality management

This annex presents a diagnostic system that local governments can use to perform self-assessment. The system contains methodology for performing an assessment/diagnosis of a local government to evaluate its operating conditions, processes used and results achieved, to enhance its administrative structures, and to implement actions to improve its products and services to its customers/citizens in order to be considered a reliable local government.

It provides examples of typical products and services offered by local government, as well as criteria for measurement.

It contains elements that can be used by customers/citizens to follow up government actions in an orderly, verifiable and systematic way.

It is strongly recommended that this annex is used as a first step for the effective application of this document in local government. The local government should start with an initial self-assessment and then aim to foster deeper and fuller engagement of top management.

This diagnostic system will help top management to define the necessary elements for local government operations and to identify areas for improvement in line with their responsibilities towards the customer/citizen in an efficient and transparent way.

The system contains a self-assessment framework based on 39 management indicators of public policies, distributed in four major categories. These indicators define the products and services that a typical local government should provide to its customers/citizens in order to be reliable.

The four topics are:

a)   institutional development for good government;

b)   sustainable economic development;

c)   inclusive social development;

d)   sustainable environmental development.

The 39 indicators of this self-assessment system are supported by nearly 130 documents of the United Nations and other worldwide organizations concerned with public affairs (e.g. the World Council for Quality internationally recognizes these 39 indicators). Each of these 39 indicators is a final expression of public policy networks that vertically connect different levels of government related to a local territory. Each of them is essentially different from all the other 38 according to the public policy definition.

The purpose of self-assessment is for top management to identify in a responsible and voluntary way the performance level of each one of the relevant indicators.

Three levels are indicated with "red", "yellow" and "green".

—   In the cells belonging to level "red", essential practices are listed that are missing or not performed in adequate manner by the local government to be considered as reliable.

—   "Yellow" means that the local government has made some efforts to implement the essential elements and is able to provide the products and services as required.

— "Green" indicates that acceptable conditions are achieved, and the local government can be considered reliable.

The process should be initiated by a meeting in which all top management members participate so that, as a first step, they can make an individual self-assessment that can be immediately transformed into a collective assessment of the overall local government performance. This step should show the participants how the results of individual self-assessments can deliver outcomes of the assessment shared by all of them. The next step is creating a document displaying all the 39 indicators presented in this annex in as many sub-indicators for the local, regional and national needs and characteristics as is needed. Then, top management should create a more detailed verification based on facts and figures, deploying all 39 indicators to the relevant administrative areas of local government.
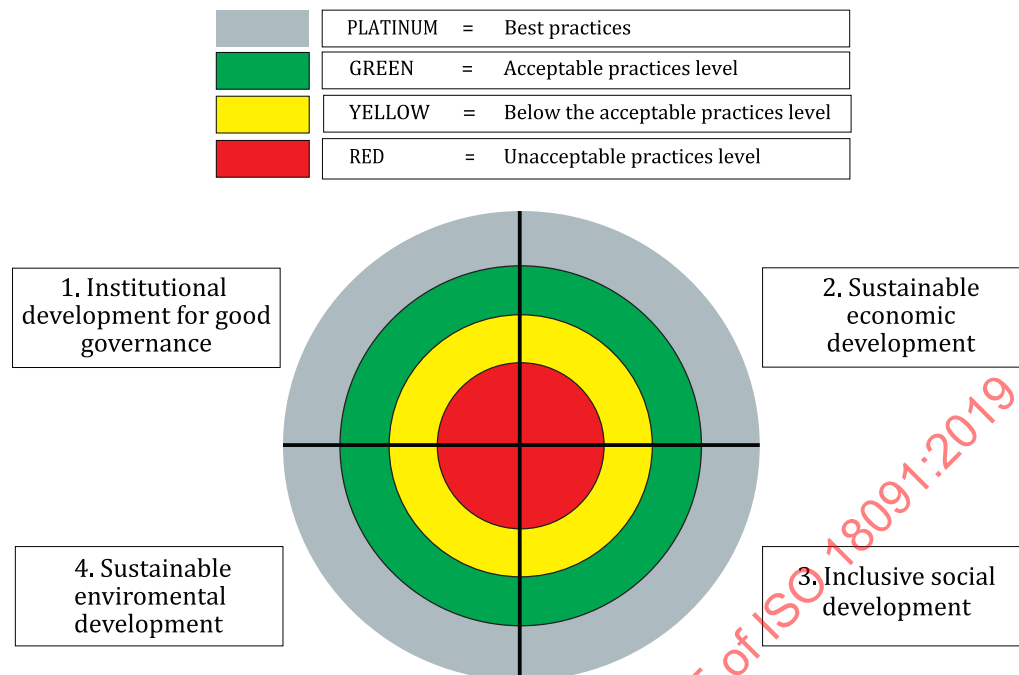
The sub-indicators can change according to the size, type, needs or interests of the local governance (e.g. local government, customers/citizens or other relevant interested parties). Each set of sub-indicators should deploy all the different elements related to its specific indicator. The different key actors should agree on them and recognize in them their own common good.

The resulting information of the verification process can be accompanied by proposals for improvement actions which, according to this methodology, should help local governments to move from a red level of rating via yellow level to a green level. In addition, for internal purposes, representatives of top management should identify processes affecting, directly or indirectly, the results attained. For this purpose, it is recommended to refer to Annex B and start using the complete content of this document.

After collecting all the relevant data, the results obtained should be presented to top management in a meeting. The resulting information will become the basic input for decision making within the quality management system for the local government. Subsequent meetings of top management should be scheduled to follow-up on improvement activities and provide verifications with hard facts and figures. This will enable technical and operational areas of local government to communicate in an effective and understandable way with politicians and top managers responsible for government issues.

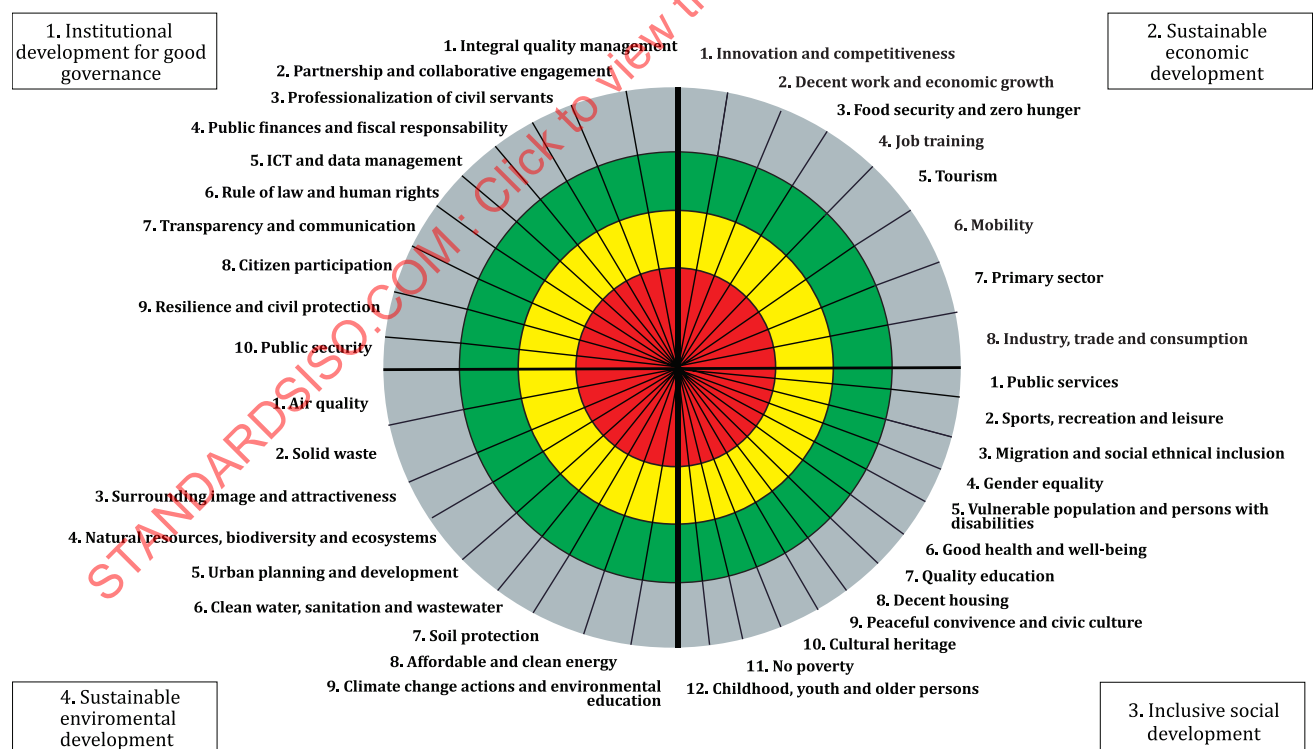Once this step is concluded, top management should define an action plan to strengthen the weak points in the activities of the local government and to initiate programmes with a view to address its responsibilities, obligations, concerns and competences to its customers/citizens.

The tool is presented in Figures A.1 and A.2 and Tables A.1, A.2, A.3 and A.4, including the definition of the levels of the 39 indicators.

	PLATINUM	=	Best practices
	GREEN	=	Acceptable practices level
	YELLOW	=	Below the acceptable practices level
	RED	=	Unacceptable practices level

1. Institutional development for good governance

2. Sustainable economic development

4. Sustainable enviromental development

3. Inclusive social development

NOTE   Diagram adapted from UN Local Agenda 21 and the Mexican "Agenda Desde Lo Local".

Figure A.1 — Local government assessment tool for integral quality management

1. Institutional development for good governance

1. Integral quality management
2. Partnership and collaborative engagement
3. Professionalization of civil servants
4. Public finances and fiscal responsability
5. ICT and data management
6. Rule of law and human rights
7. Transparency and communication
8. Citizen participation
9. Resilience and civil protection
10. Public security

1. Air quality
2. Solid waste
3. Surrounding image and attractiveness
4. Natural resources, biodiversity and ecosystems
5. Urban planning and development
6. Clean water, sanitation and wastewater
7. Soil protection
8. Affordable and clean energy
9. Climate change actions and environmental education

1. Innovation and competitiveness
2. Decent work and economic growth
3. Food security and zero hunger
4. Job training
5. Tourism
6. Mobility
7. Primary sector
8. Industry, trade and consumption

2. Sustainable economic development

1. Public services
2. Sports, recreation and leisure
3. Migration and social ethnical inclusion
4. Gender equality
5. Vulnerable population and persons with disabilities
6. Good health and well-being
7. Quality education
8. Decent housing
9. Peaceful convivence and civic culture
10. Cultural heritage
11. No poverty
12. Childhood, youth and older persons

4. Sustainable enviromental development

3. Inclusive social development

NOTE   Diagram adapted from UN Local Agenda 21 and the Mexican "Agenda Desde Lo Local".

Figure A.2 — Local government assessment tool for integral quality management (using 39 indicators)

Table A.1 — Local government assessment tool for integral quality management — Institutional development for good governance

Indicators		Red	Yellow	Green
1. Integral quality management	Government focus on sustainable development and resilience with an integral quality management system	The local government activities are not planned and budgeted. There is not a focus on sustainable development and resilience. Activities are not controlled and evaluated through a comprehensive quality management system.	The local government activities are planned and focused on sustainable development, controlled and evaluated through management systems in some specific processes or departments.	The local government has an integral quality management system with a focus on sustainable development and resilience.
2. Partnership and collaborative engagement	Partnership and collaborative engagement of the local government with relevant interested parties	The local government does not have cooperation at the national, regional or international level. There are relations, policies and activities developed with some levels of government, local governments, or public, social and private entities.	The local government has some cooperation activities at the national, regional and international level. There are relations, policies and activities developed with other levels of government, local governments, or public, social and private entities.	The local government has strategies of collaborative engagement and cooperation at the national, regional and international level. These strategies are coherent with the planning of the local government. The relations, policies and activities are developed with other governments, or public, social and private entities.
3. Professionalization of civil servants	Civil servants' competence, awareness and continuity	The local government has some training activities for its civil servants, but does not have job profiles or a diagnosis of training needs.	The local government has some procedures for the professionalization and training of its civil servants. There are job profiles and a diagnosis but they are not suitable.	The local government has competent and committed personnel. It has an adequate diagnosis of training needs and transparent policies to promote the continuity, professionalization and training of civil servants. There are regulations specifying adequate job profiles, decent work conditions and evidence of their accomplishment.
4. Public finances and fiscal responsibility	Fiscal responsibility with sound financial management	The local government depends on transfers from other government levels to finance its activities. There is property taxation with a land registration system. However, this last one is not suitable. The local government does not have an adequate control of its public debt.	The local government has an effective tax collection and own-source revenue system. There is a property taxation with a land registration system and a financial balance considering the management of public debt.	The local government has acceptable autonomy. It does not depend totally on transfers from other government levels to finance its activities. It has an effective tax collection and own-source revenue system. There is property taxation with an updated land registration system and an acceptable financial balance considering the management of public debt.