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Sistemi vodenja kakovosti - Smernice za uporabo standarda ISO 9001:2008 v lokalni oblasti

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

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

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International Workshop Agreement

IWA 4

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

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Systèmes de management de la qualité —

*Lignes directrices pour l'application de l'ISO 9001:2008
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Foreword

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

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

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to decide whether it will be confirmed for a further three years, transferred to an ISO technical body for revision, or withdrawn.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again after a further three years, at which time it must be either revised by the relevant ISO technical body or withdrawn.

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

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

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

Introduction

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

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

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

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

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

Key areas for effective operation of local governments are:

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

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

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

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

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

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

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

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

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

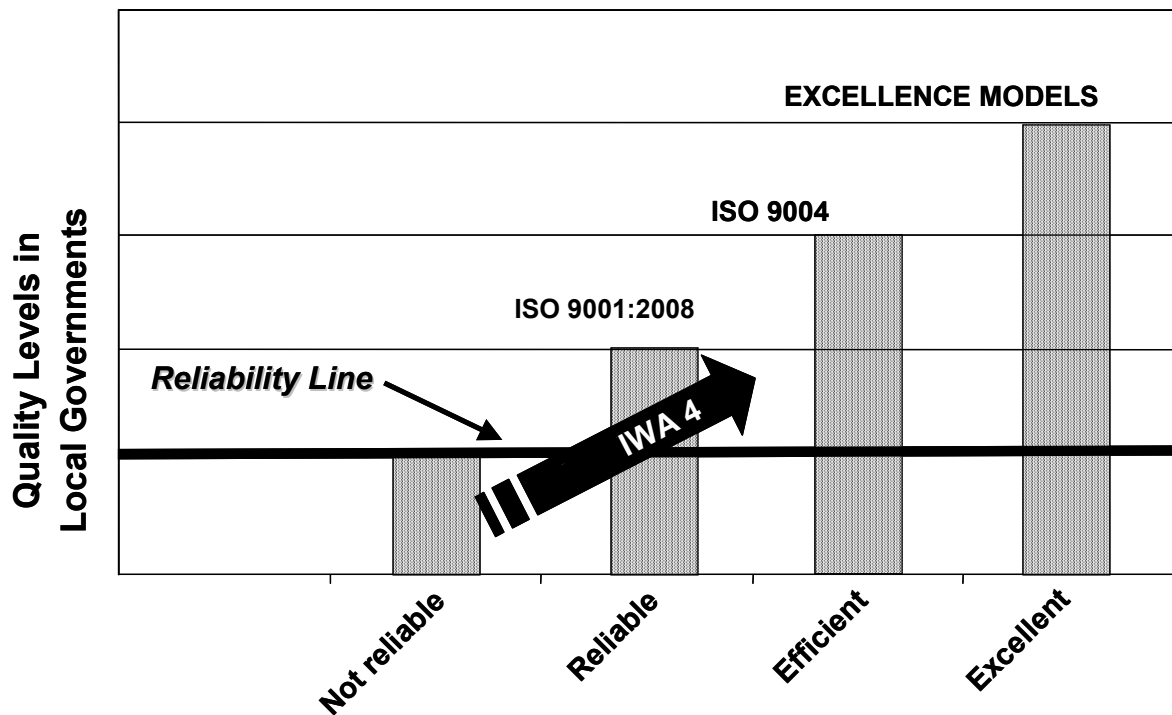


Figure 1 – Schematic diagram to show the positioning of this International Workshop Agreement

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

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

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

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

0.1 General

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

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

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

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

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

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

0.1 General

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

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

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

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

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

0.2 Process approach

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

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

The application of a system of processes within an organization, together with the identification and interactions of these processes, and their management to produce the desired outcome, can be referred to as the “process approach”.

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

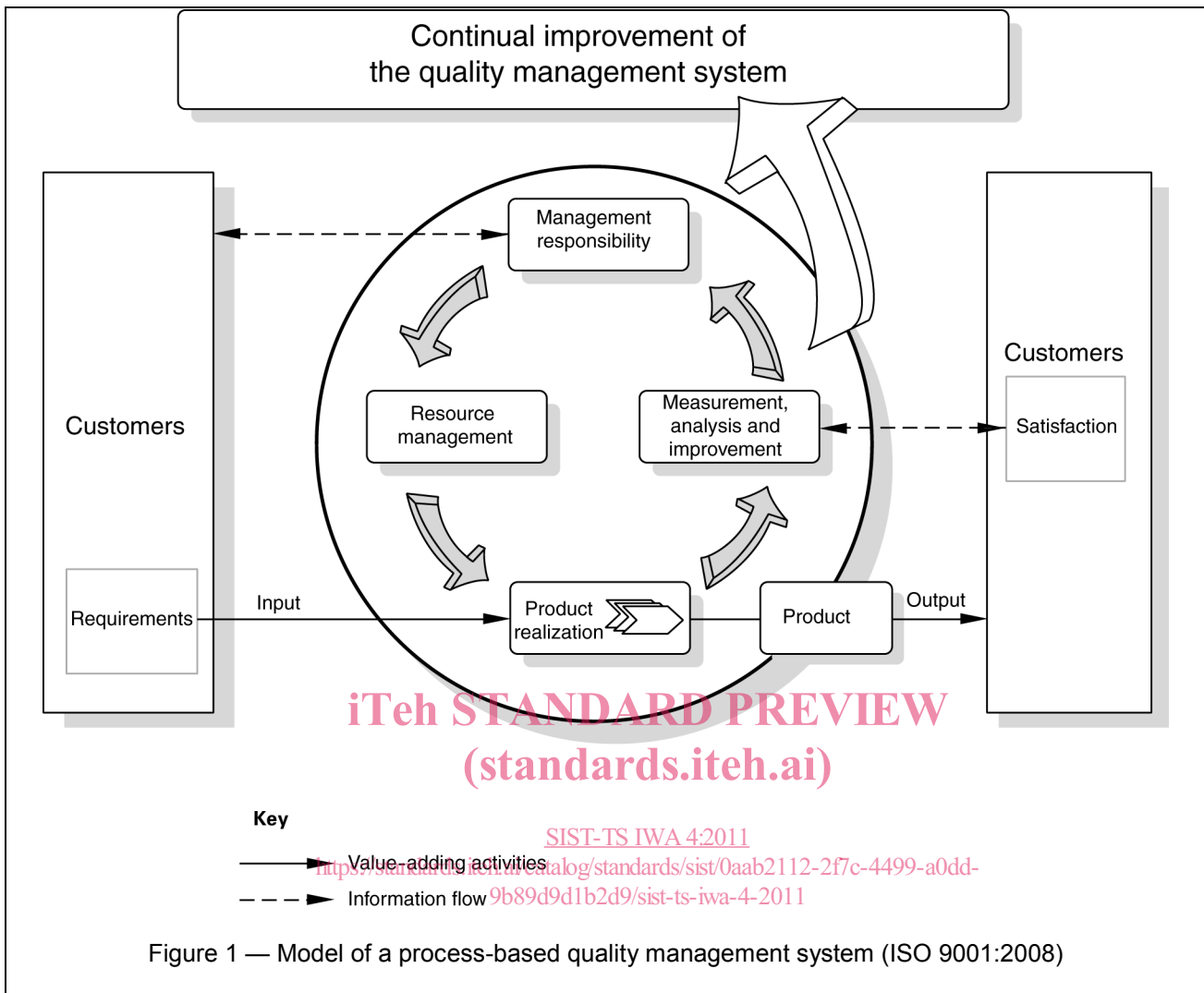
When used within a quality management system, such an approach emphasizes the importance of

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

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

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

- Plan: establish the objectives and processes necessary to deliver results in accordance with customer requirements and the organization’s policies.
- Do: implement the processes.
- Check: monitor and measure processes and product against policies, objectives and requirements for the product and report the results.
- Act: take actions to continually improve process performance.



0.2 Process approach in local government

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

For each process, it should be possible to identify:

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

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

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

Typical examples of some local government processes include:

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

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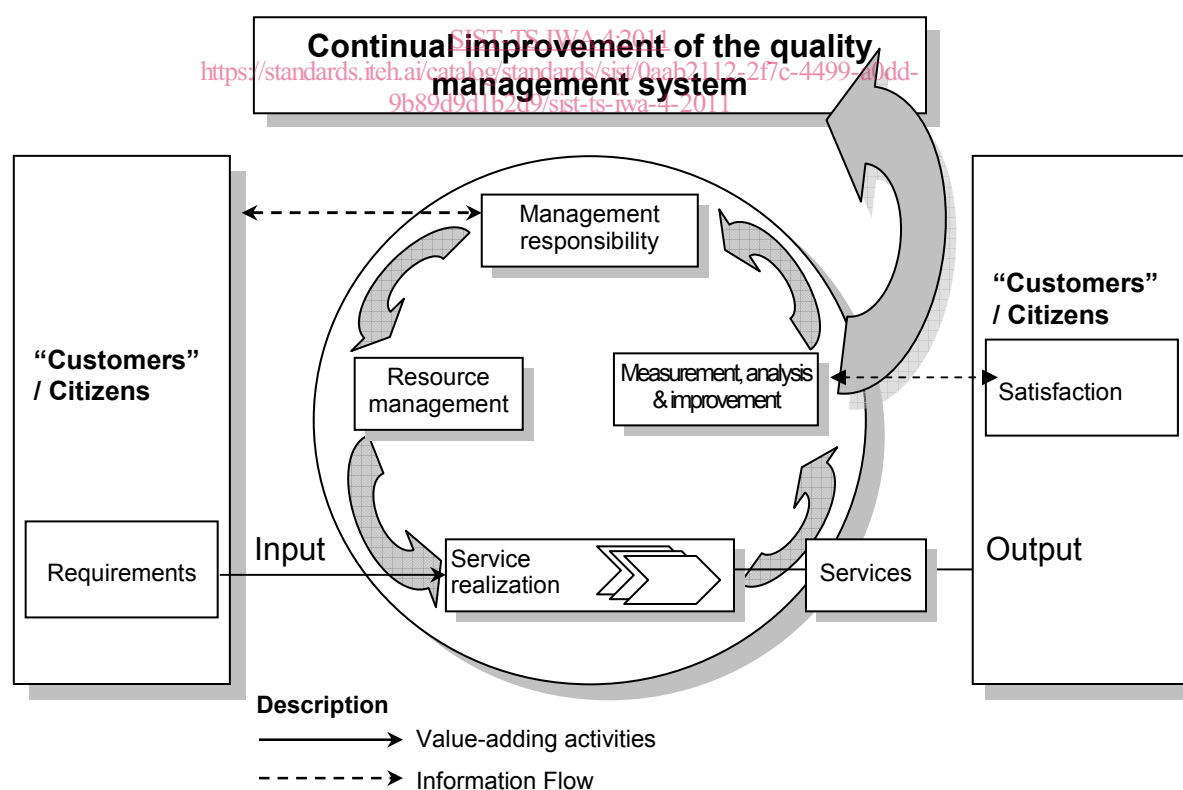


Figure 2 — Model of a process-based quality management system for local government

0.3 Relationship with ISO 9004

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

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

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

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

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

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0.4 Compatibility with other management systems

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

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

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

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

Quality management systems – Requirements

1 Scope

1.1 General

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

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

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

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

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

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1 Scope for local government

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

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

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