INTERNATIONAL WORKSHOP AGREEMENT

IWA 12

Guidelines on the application of ISO 9001:2008 in policing organizations

Lignes directrices relatives à l'application de l'ISO 9001:2008 dans les organismes de contrôle

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Contents

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 on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information

International Workshop Agreement IWA 12 was approved at a workshop held in Abu Dhabi, United Arab Emirates, in September 2013, which was hosted and organized by Abu Dhabi Police GHQ, in association with the Emirates Authority for Standardization and Metrology (ESMA).

Introduction

0.1 General

The task of maintaining citizens' confidence in their policing organizations is of major importance in all societies, due to the vital role of these organizations in maintaining societal stability and in creating a healthy environment for development and investment.

The decision of a policing organization to adopt and implement a quality management system is a strategic choice, where quality is emphasized through the delivery of policing services. Consistent and harmonized services will be delivered to the society to support basic elements of development and investment, fulfilment of customer (citizen) needs and achieving strategies and desired objectives.

Irrespective of the differing needs of citizens around the world, it is essential that policing organizations demonstrate their ability to consistently satisfy the needs of their customers (citizens).

A quality management system can help to direct and control the activities, processes and resources of a policing organization, in order to satisfy its internal and external customers. A quality management system can provide the structure, resources and documentation needed by the policing organization, as well as the processes that the organization follows.

This International Workshop Agreement is based on guidelines developed by the Abu Dhabi police force. It is intended to clarify and explain the requirements of ISO 9001:2008 in the context of policing organizations, in order to establish a unified approach for the implementation of ISO 9001:2008 in policing organizations.

In this International Workshop Agreement, the text reproduced from ISO 9001:2008 is placed in boxes, in order to distinguish it from the sector-specific guidance given for each clause.

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **Introduction**
>
> **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
>
> a) its organizational environment, changes in that environment, and the risks associated with that environment,
>
> b) its varying needs,
>
> c) its particular objectives,
>
> d) the products it provides,
>
> e) the processes it employs,
>
> f) 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.

This International Workshop Agreement provides guidelines on the application of ISO 9001:2008 in policing organizations. These guidelines do not constitute additional requirements to ISO 9001:2008;

instead, they are intended to help policing organizations implement ISO 9001:2008 effectively, by complementing its clauses with clarifications and providing examples of effective practices used by policing organizations. There are also annexes containing additional information.

In view of the importance of security and its role in preserving the stability of communities, it has become a strategic decision for policing organizations seeking to provide high quality services to adopt a quality management system, in order to achieve their strategies and objectives, to continually consolidate the feeling of being safe and secure, to prevent and reduce crime and to provide a secure environment for all.

The design and application of a policing organization quality management system is affected by:

a) the work environment, with the changes that might affect it and the associated security and non-security risks;

b) changes in its needs for resources, thus affecting policing operations, which might necessitate redesigning the quality management system to ensure alignment with these changes;

c) specific objectives, which can be short-, medium- or long-term, derived from the vision and security priorities;

d) the nature of the security and non-security services and products;

e) the nature, type and linkage of policing operations and the resources required to operate them;

f) the structure and size of the policing organization compared with the type of services, products, jurisdiction areas or number of personnel.

The application of the quality management system in a policing organization is also affected by changes that occur locally, regionally and internationally.

0.2 Process approach

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ISO 9001:2008, Quality management systems — Requirements

Introduction

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 inter-actions 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 follows.

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.

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In policing organizations, the adoption of a process approach is intended to assist in the realization of the required outputs. The key elements in the process can be defined as follows:

a) the customer (the beneficiary of a service/product): any person or party receiving, either directly or indirectly, a service or product, in accordance with laws, regulations and legislations, e.g.

    1) citizens, residents, visitors, victims, or persons who have come under the adverse notice of the police;

    2) public or private organizations;

    3) regional or international policing organizations;

b) process inputs: information, data, output of other processes, or persons, e.g.

    1) information, such as reports received from the control room;

    2) data, such as data (pertaining to individuals or entities) required to issue cards and documents;

3) output of other processes, such as the evidential report (the output of an inquiry process), which is the input of the criminal investigation process;

4) persons, such as inmates of corrective and rehabilitation establishments, or casualties of accidents;

c) procedures/activities: the sequential phases and steps required to transform inputs into required outputs, e.g. procedures of the report taking process, in which they start by filling a report of somebody's account, transferring relevant information and data to the appropriate authority, then moving to the incident scene;

d) process outputs: the required service or product, which can become an input at the following stages;

e) process controls: the standards which govern and control how activities are undertaken, e.g. regulations, laws and legislations; local, regional and international policies; traditions and customs.

The effectiveness and success of the quality management system in a policing organization depends on how much its individual processes are clear, linked, interacting and integrated. Such processes can belong to a party other than the policing organization applying this system.

The model of a process-based quality management system in Figure 1 illustrates the process linkages presented in Clauses 4 to 8. It shows that customers play a significant role in defining requirements as inputs. Laws and regulations also play a major role in regulating and governing these requirements. Consequently, the policing organization can face difficulties in measuring its customers' satisfaction if it does not focus on its process outputs and indicators, and on enforcing laws and legislations.
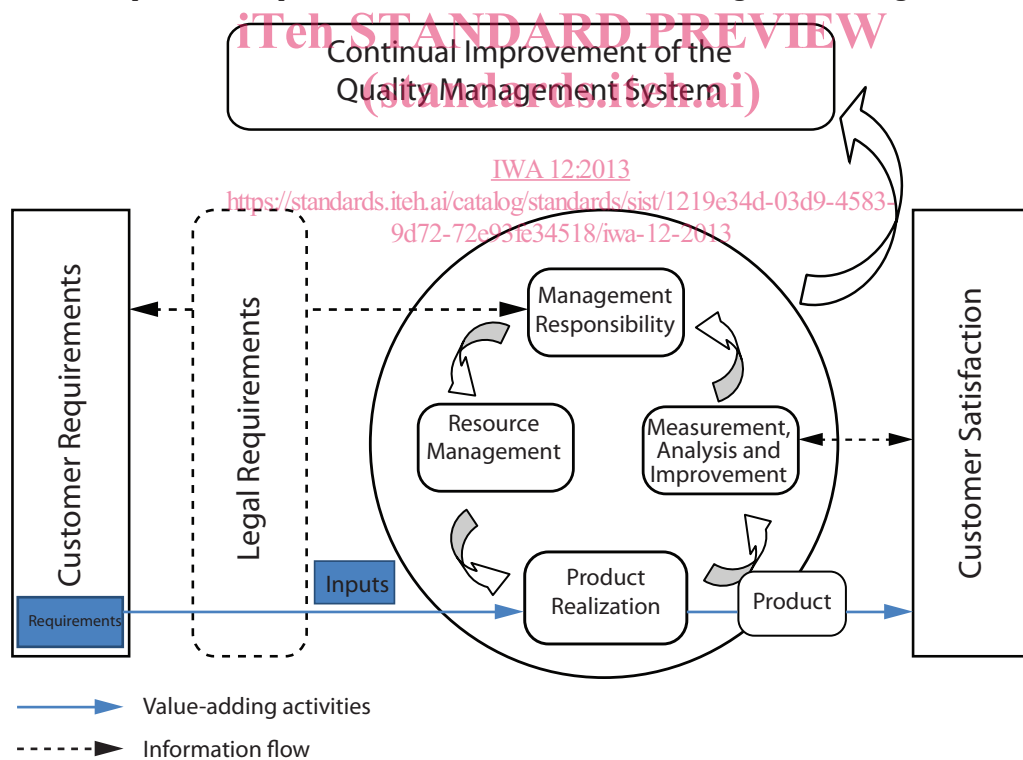

Figure 1 — Model of a process-based quality management system in policing organizations

0.3 Relationship with ISO 9004

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **Introduction**
>
> **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 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   Since the publication of ISO 9001:2008, and at the time of publication of this International Workshop Agreement, the revision of ISO 9004 has been completed and ISO 9004:2009 has been published.

There is no sector-specific guidance.

0.4 Compatibility with other management systems

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **Introduction**
>
> **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.
>
> Annex A shows the correspondence between ISO 9001:2008 and ISO 14001:2004.
>
> 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.

There is no sector-specific guidance.

Guidelines on the application of ISO 9001:2008 in policing organizations

1 Scope

1.1 General

> **ISO 9001:2008, 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 can be expressed as legal requirements.

This International Workshop Agreement provides guidelines to help policing organizations apply the requirements of ISO 9001:2008.

This International Workshop Agreement explains how ISO 9001:2008 applies to policing organizations, and how it supports the objectives of enhancing customer satisfaction and maintaining security and safety, by providing products and services that are consistent with the needs of customers, as well as with applicable regulatory requirements.

NOTE 1 Examples of statutory and regulatory requirements include local laws, regulations, compulsory human rights declarations, and regional and international conventions.

NOTE 2 With respect to ISO 9001:2008, 1.1, Note 1, in this International Workshop Agreement, the term "product" also applies in policing organizations in the context where the police carry out their key activity of making their customers feel safe and secure, through the provision of many products and services which can differ from one policing organization to another.

1.2 Application

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **1 Scope**
>
> **1.2 Application**
>
> All requirements of this International Standard are generic and are intended to be applicable to all organizations, regardless of type, size and product provided.
>
> Where any requirement(s) of this International Standard cannot be applied due to the nature of an organization and its product, this can be considered for exclusion.
>
> Where exclusions are made, claims of conformity to this International Standard are not acceptable unless these exclusions are limited to requirements within Clause 7, and such exclusions do not affect the organization's ability, or responsibility, to provide product that meets customer and applicable statutory and regulatory requirements.

All guidelines of this International Workshop Agreement are generic and are intended to be applicable to all policing organizations, regardless of their type (e.g. police stations, border crossings, correctional establishments, civil defence) size, nature, diversity of services, or range of security or non-security products.

2 Normative references

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **2 Normative references**
>
> The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.
>
> ISO 9000:2005, *Quality management systems — Fundamentals and vocabulary*

There is no sector-specific guidance.

3 Terms and definitions

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **3 Terms and definitions**
>
> For the purposes of this document, the terms and definitions given in ISO 9000 apply.
>
> Throughout the text of this International Standard, wherever the term "product" occurs, it can also mean "service".

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

3.1
policing
activities carried out for the preservation of law and order

Note 1 to entry: Preservation of law and order can include safety and security services, traffic services, social services, victim-assistance services, first-responder services, investigative services, support services and community policing services.

3.2
policing organization
organization for the provision of *policing* ([3.1](#))

Note 1 to entry: The term "organization" is defined in ISO 9000:2005, 3.3.1.

3.3
police process
process performed by *police personnel* ([3.5](#)) that defines the core *policing services* ([3.4](#)) of a *policing organization* ([3.2](#)) or unit of a policing organization

Note 1 to entry: The term "process" is defined in ISO 9000:2005, 3.4.1.

3.4
policing services
services provided by a *policing organization* ([3.2](#))

Note 1 to entry: Policing services can include safety and security services, traffic services, social services, victim-assistance services, first-responder services, investigative services, support services and community policing services.

3.5
police personnel
people employed by a *policing organization* ([3.2](#))

Note 1 to entry: A policing organization generally employs a variety of people who are responsible for the performance of all *policing services* ([3.4](#)).

3.6
police officer
member of the *police personnel* ([3.5](#)) who is legally empowered to enforce and uphold the law

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4   Quality management system

4.1   General requirements

ISO 9001:2008, Quality management systems — Requirements

4   Quality management system

4.1   General requirements

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

The organization shall

a)   determine the processes needed for quality management system and their application throughout the organization (see 1.2),

b)   determine the sequence and interaction of these processes,

c)   determine criteria and methods needed to ensure that both the operation and control of these processes are effective,

d)   ensure the availability of resources and information necessary to support the operation and monitoring of these processes,

e)   monitor, measure where applicable, and analyse these processes, and

f)   implement actions necessary to achieve planned results and continual improvement of these processes.

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

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

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

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

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

a)   the potential impact of the outsourced process on the organization's capability to provide product that conforms to requirements,

b)   the degree to which the control for the process is shared,

c)   the capability of achieving the necessary control through the application of 7.4.

Annex B provides a schematic representation of a quality management system based on ISO 9001.

The policing organization should establish and document its quality management system using any recognized means of documentation. This system should be maintained and continuously improved.

The policing organization should establish the structure of the quality management system, which can include a quality policy, quality objectives, work governing policies, work standard manuals, workbooks, work instructions, electronic programmes and all associated templates, forms and records.

The policing organization should:

a)   define and document these processes in the quality management system in association with police policy;

b)   determine the integrity and interconnectivity of all police processes inside and outside the policing organization;

NOTE 1   Examples of other entities include other public bodies and international bodies.

c)   determine the approval and rejection criteria, as well as methods and means required to implement the processes, to ensure that they are:

1)   effectively operated and achieving required outputs;

2)   monitored against plans to ensure adequate process control;

d)   determine required inputs and outputs and approval criteria;

e)   monitor, measure and analyse the police process and system performance;

f)   take necessary actions (corrective and preventive) to ensure the achievement of planned outcomes and the accomplishment of policing organization mission objectives;

g)   continually improve the system.

The policing organization can choose to outsource the application of one or more processes.

NOTE 2   Examples of processes that can be outsourced include vehicle checking, examining and licensing, rescue and ambulance, and protection of critical infrastructure.

In such cases, the policing organization should be responsible for:

—   establishing the requirements for the policing service;

—   designing the policing service and establishing how it will be provided;

—   defining and documenting these processes in the quality management system;

—   determining required outputs and their approval criteria;

—   monitoring and measuring the performance of external parties providing the agreed service(s);

—   ensuring the quality of policing services.