



**SLOVENSKI STANDARD**  
**oSIST ISO/DIS 18091:2018**  
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**Sistemi vodenja kakovosti - Smernice za uporabo standarda ISO 9001 v lokalni oblasti**

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

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

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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*

ICS: 03.160; 03.100.70

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**ISO DIS 18091:2018(E)****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](http://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](http://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 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 the following URL: [www.iso.org/iso/foreword.html](http://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.

## Introduction

### 0.1 General

One of the great challenges that societies are facing today is the need to develop and maintain citizens' confidence in their governments and their institutions. In this respect, local governments have a mission to make possible the development of a socially responsible and sustainable local community.

Management of quality in local governments can result in sustainable economic prosperity and social development at local levels including the deployment of an interaction with national and regional policies incoherent, consistent and compatible ways.

Citizens expect to have a community provide all public product and service with quality, like safety and security, roads in good conditions, public transportation availability, ease and speed in processing of documents, transparency and accessibility of public information, health and education systems available, or infrastructure, among others. Citizens expect to feel local government represents them and that their environment is well protected.

It is possible to build stronger regional, national and even global government working from the local level based on quality management of the public products and services and the increase of trust of the citizens in their government on the local, regional and national level.

Performance improvement of local government can stimulate that the whole system of governments will provide better results. The coherence of such approaches can help to create reliable and sustainable governments at local, regional and national level.

This International Standard has been prepared to provide guidelines to local governments in the whole world to understand and implement a quality management system that meets the requirements of ISO 9001:2015, to meet the needs and expectations of its citizens and all other relevant interested parties.

It should contribute to making politically viable those things technically indispensable in local governments and in their territories, orienting the other levels of government related in a bottom-up articulation facing citizens needs in a comprehensive way.

Annex A gives a description of a diagnostic model that can be used as a starting point for the implementation of a comprehensive quality management system aiming for a reliable local government. Annex B provides information about some typical local government processes. Annex C describes the functioning and conditions for the creation of an Integral Citizens Observatory with ISO 18091 as a tool for citizen participation and the accountability of a local government. Annex D describes how ISO 18091 could help to "translate" (Rosetta Stone Function) different assessment systems, contents or subject matters (like the Sustainable Development Goals) into the indicators of public policy networks hold in the diagnostic model of Annex A.

NOTE For more examples of the use and implementation of Annexes, can be found on [www.iso18091.org](http://www.iso18091.org)

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

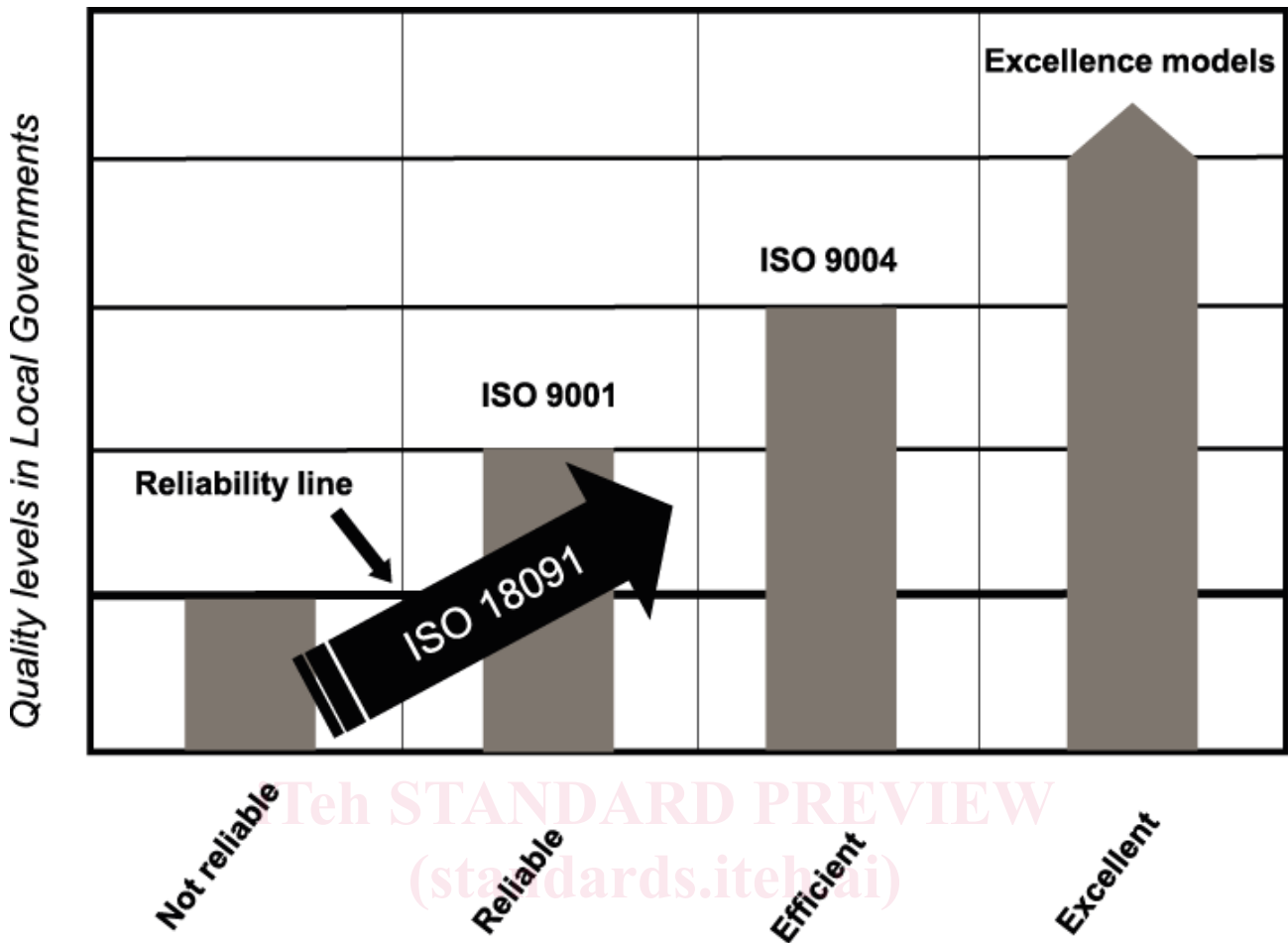


Figure 1 — Diagram shows the positioning of ISO 18091 standard

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

**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.

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**ISO DIS 18091:2018(E)**

The guidelines in this International Standard are intended to help local government organizations 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 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. See Bibliography.

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, if the processes needed for the effective implementation of such plans or programmes are deficient or non-existent. The need to avoid these deficiencies has motivated the elaboration of this International Standard to help local governments in the implementation of an effective quality management system.

Certification of the quality management system by external parties is not a requirement of this International Standard, although local governments might choose to seek certification to ISO 9001 if they wish. Internal 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 can be expected that the details of each quality management system 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 the quality management system yields effective, consistent and reliable results. It is important that the quality management system is as simple as possible to function properly, and it needs to be sufficiently understandable to meet the policies and quality objectives of local government.

To achieve the objective of a reliable, responsive and transparent local government, it is not necessary to seek certification to ISO 9001, although this might be encouraged by regional or national government initiatives. Nor is it 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, 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 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

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 International Standard supports the application of the seven quality management principles as described in ISO 9000 in local government. Descriptions include a statement of each principle; a rational basis of why the principle is important for the local government; some examples of benefits associated with the principle, and examples of typical actions to improve local government performance when applying the principle.

The meaning of seven quality management principles in local government:

- customer/Citizen focus: The local government exists to serve its customers/citizens. Therefore, the needs and expectations of the citizens should be priorities of the plans and programs of the local government;
- leadership: The top management is the head of local government and should establish a leadership mechanism in order to commit all public servants with the needs of their customers/citizens.
- engagement of people: Application of this principle means taking into account all people being involved in the processes that local government is applying, including voluntary participation and citizens taking part in the activities of local government.
- process approach: The logical framework and the approach to results in a local government should be based on processes that describe elements such as the vision and long-term plans, and even the daily activities of local government areas.
- improvement: It is essential for local government to maintain the performance and search for new opportunities to improve its processes and enhance satisfaction of its customers/citizens.
- evidence based decision making: Use of evidence and data analysis should provide the base for improvement of the quality management system and its processes.
- relationship management: The local government should pay attention to the management of relations with customers/citizens, external providers and partners and horizontal and vertical relationships.

## 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 (ISO 9001:2015).

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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:

- understanding and consistency in meeting requirements;
- the consideration of processes in terms of added value;
- the achievement of effective process performance;
- improvement of processes based on evaluation of data and information.

Figure 1 (ISO 9001:2015) 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.

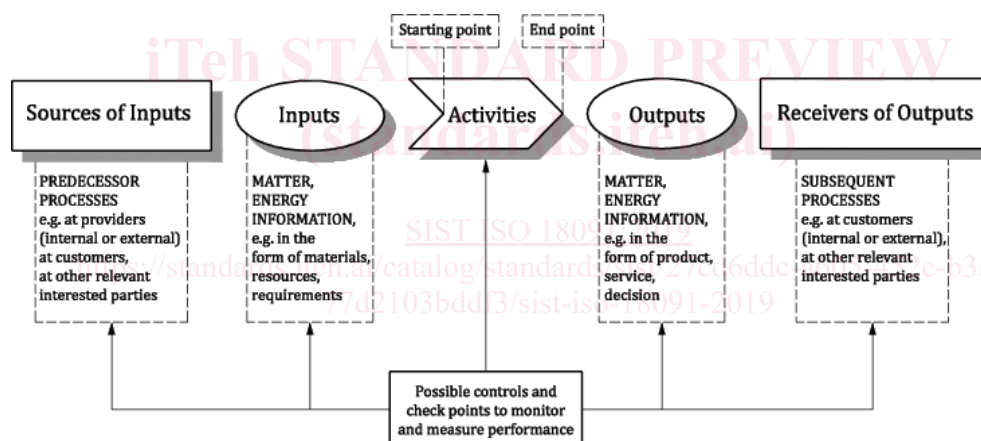


Figure 1 — Schematic representation of the elements of a single process

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 product and service to their customer/citizen, 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 product 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 the local government products and services to its customers/ citizens,
- Improvement the quality management system processes,

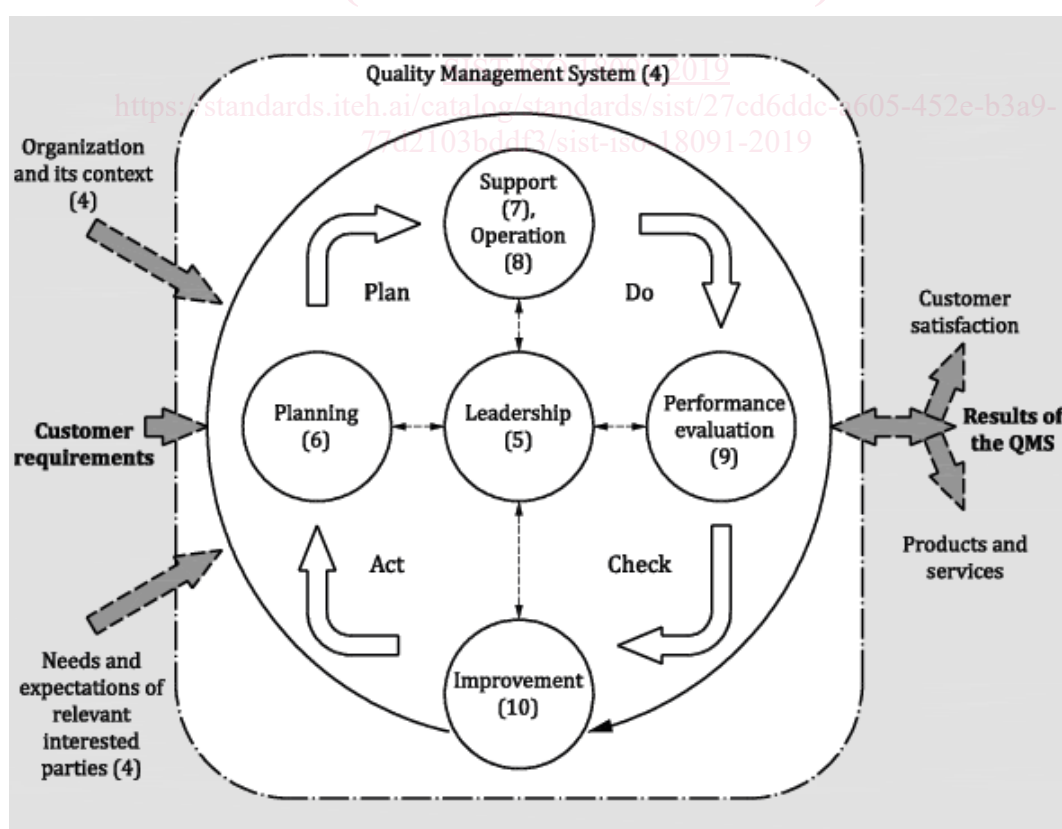
d) Transparent internal and external communication processes, and others.

For each process, the local government should 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 product and 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

The PDCA cycle can be applied to all processes and to the quality management system as a whole. Figure 2 (ISO 9001:2015) illustrates how Clauses 4 to 10 (ISO 9001:2015) can be grouped in relation to the PDCA cycle.



NOTE Numbers in brackets refer to the clauses in this International Standard.

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**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 Plan-Do-Check-Act cycle shown in Figure 2, defines how each part of the cycle relates to the clauses of this International Standard (numbers in brackets). 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 local government that implements a QMS for the first time or is in the process of upgrading its system can initiate the process by assessing its current performance (Check) using the requirements of Clause 9 – Performance evaluation. The results of performance evaluation are fed into the PDCA cycle's Act stage (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 does not only plan the actions agreed at the previous stage but most importantly by assessing the needs and expectations of its customers/ citizens as well as its other relevant interested parties it develops the necessary objectives, targets and actions to address the risks and opportunities identified as per Clause 6 – Planning. At the PCDA 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 “Plan, Do, Check, Act” cycle with an 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 and to achieve continual improvement, taking advantage of opportunities and preventing undesirable results. Usually, local governments make long, medium and short-term planning, adopting the “Plan, Do, Check, Act” cycle.

**0.3.3 Risk-based thinking**

Risk-based thinking (see Clause A.4, ISO 9001:2015) 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 in general the expectations of the relevant interested parties could be a source of uncertainty and a deviation of performance.

Risk based thinking is not new and may be inherent in the way the local government operates. This standard requires 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 also the performance of the QMS. 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 comprehensive citizen observatories can be an opportunity for the development of organization of local government and improvement of its products, services and processes. However, it could also constitute a risk if citizen participation, instead of promoting improvement of products and activities, becomes the institutionalization of complaints.

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#### **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 of ISO 9001).

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 of ISO 9001 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 web site at: [www.iso.org/tc176/sc02/public](http://www.iso.org/tc176/sc02/public).