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

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

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

The committee responsible for this document is Technical Committee ISO/TC 176, *Quality management and quality assurance.*

This first edition of ISO 18901 cancels and replaces IWA 4:2009, 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 sustainable local communities. Management of quality in local governments can result in sustainable economic prosperity and social development at local level, including deployment of, and interaction with, national and regional policies in a coherent and compatible way.

Citizens expect to have a community providing all public products/services with quality, such as safety and security, roads in good conditions, availability of public transportation, ease and speed in processing of documents, transparency and public information, availability of health and education systems, infrastructure; they expect all their needs to be satisfied.

Citizens expect to feel the local government represents them and that their community is well protected.

It is possible to build stronger regional, national and even global government working from the local level, based on managing the quality of the public products/services and increasing the confidence of the citizens in their government at local, regional and national level.

Achieving a high quality of local government enables the whole system of government to become stronger. 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 throughout the world for understanding and implementing 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 typical local government processes. 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 aimed at achieving reliable local government.

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.
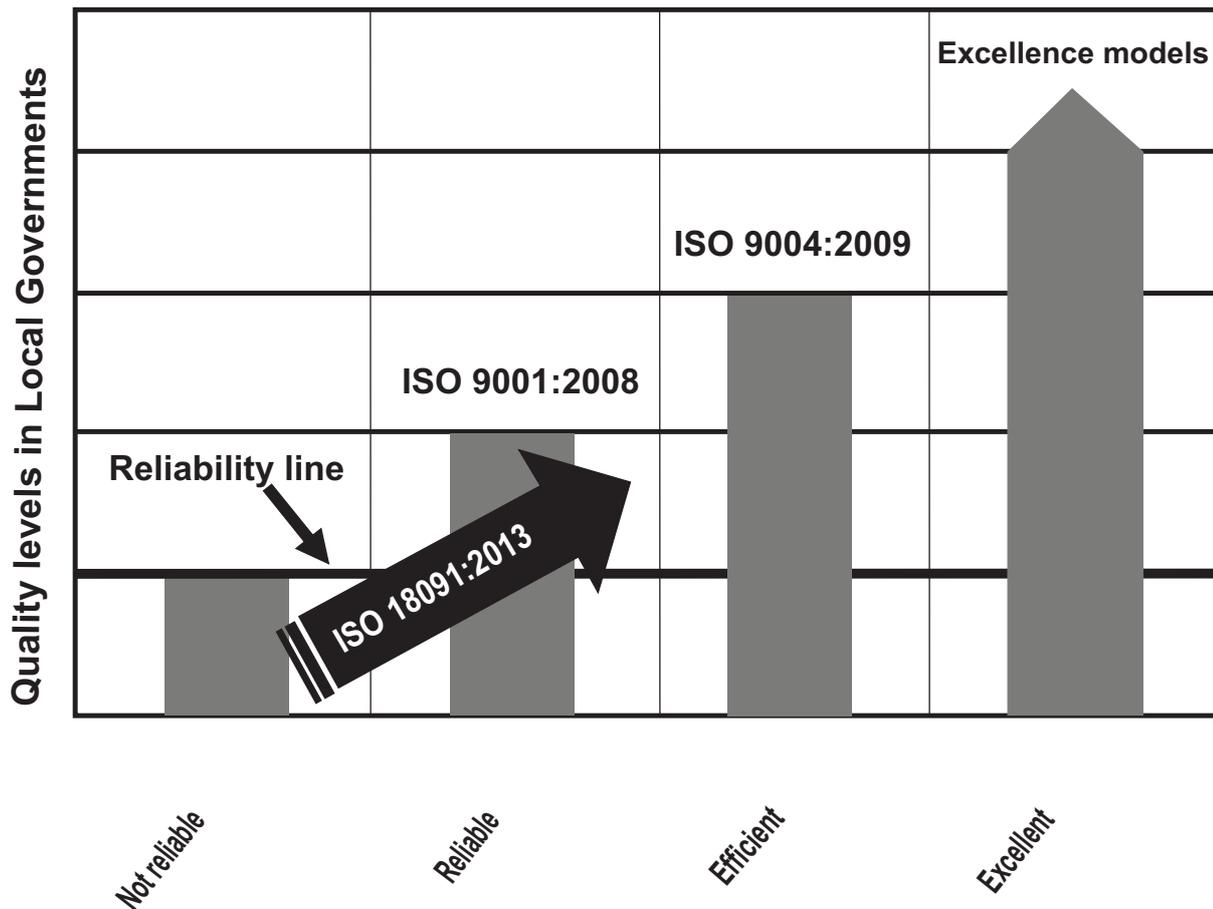
Figure 1 — Schematic diagram to show the positioning of this International Standard

In this International Standard, the text reproduced from ISO 9001:2008 is placed in boxes, in order to distinguish it from the specific guidance for local government 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.

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 1   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 also the guidance on terminology found in Reference [18].

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 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.

This International Standard does not assume that local governments will seek certification of their quality management system, although they might 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 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 in order to function

properly, and it needs to be sufficiently understandable to meet the policies and quality objectives of local government.

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 is it intended that 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 products/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.

NOTE 2   For a better understanding of excellence models, see ISO 9004:2009, Annex A (Self-assessment tool), and the models of quality prizes.

According to ISO 9000:2005, 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 customers/citizens are vital in order to gain their trust and confidence. Sustained success will only result from the implementation of an integral 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 needs and expectations of its customers/citizens, the statutory and regulatory requirements applicable to the product, and the local government's own requirements, as well as those of other interested parties, such as regional or national governments.

0.2 Process approach

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 link-ages 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.

Model of a process-based quality management system (ISO 9001:2008, Figure 1)
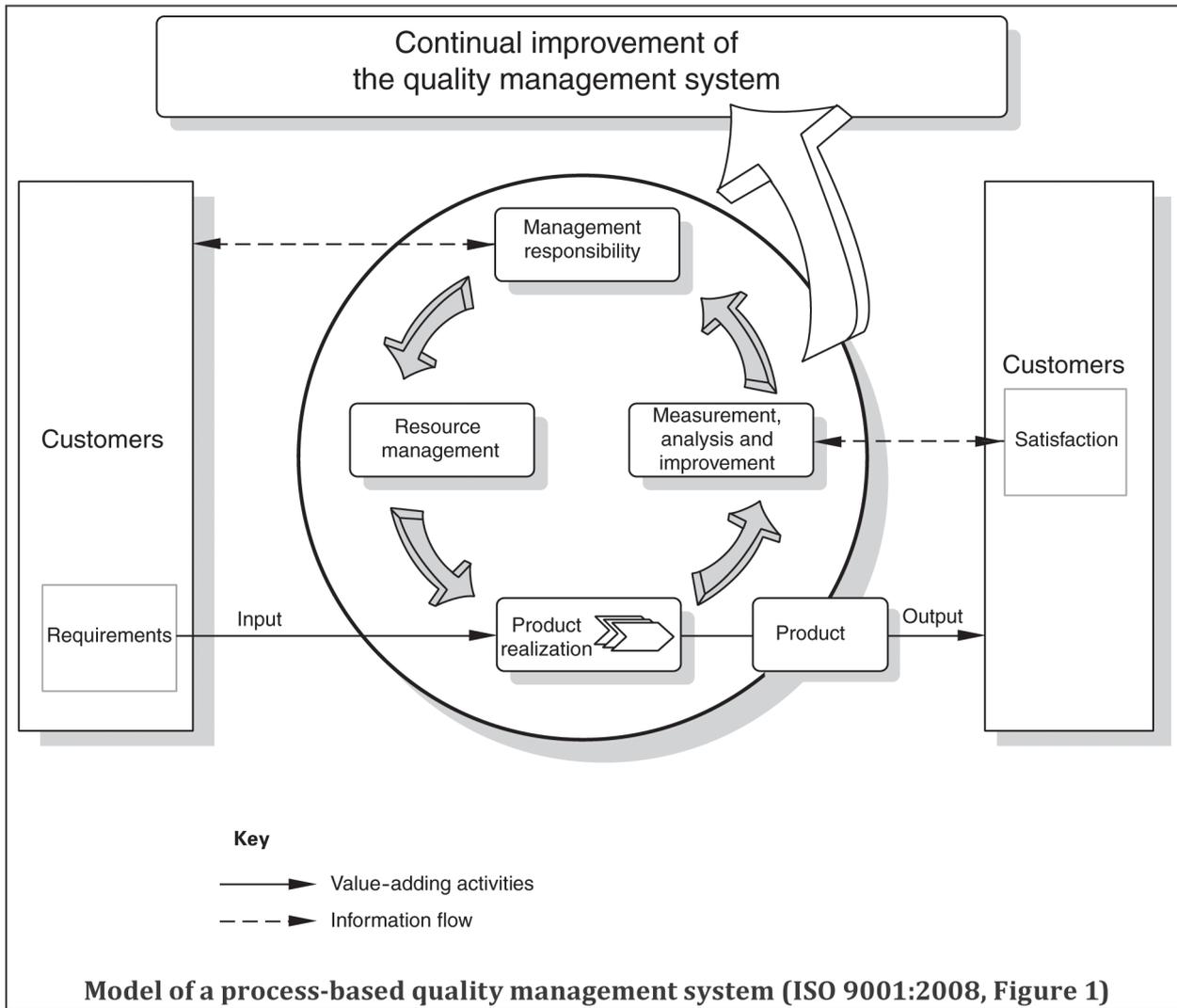
For local governments to be able to adopt a process approach, it is important to recognize the different types of processes that are needed to provide reliable products/services to their customers/citizens, as well as their management capacity to produce the desired outcome. These include processes for management of an organization, operational processes and support processes (see Annex A). The processes needed to provide the products/services of the local government are the core of the operational processes.

Typical examples of local government processes are:

a) strategic management processes to determine the role of the local government in the socio-economic environment;

b) provision of resources and the capacity to provide the product/service of local government;

c) processes needed to maintain the work environment;

d) preparation, revision and updating of development plans and work programmes;

e) monitoring and measurement of the product/service provision process;

f) transparent internal and external communication processes;

g) processes to address emergency preparedness and response to crises.

For each process, the local government needs to 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/service.

— What are the main inputs to the process? (e.g. information, legal requirements, national and/or regional government policies, materials, energy, human and financial resources)

— What are the desired outputs? (e.g. 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?

NOTE   Reference [16] provides further guidance on the process approach.

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 Standard, the revision of ISO 9004 has been completed and ISO 9004:2009 has been published.

ISO 9004:2009 provides guidance on how to improve the quality management system by focusing on achieving sustained success. In the context of local government, it is important to recognize that the ability to provide consistent, conforming products/services can depend on the provision of resources that are outside the direct control of local government.

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.

(...)

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.

To ensure the quality of the products/services it provides, it might be necessary for a local government to address in its quality management system some aspects related to other management systems, such as environmental, occupational health and safety, financial, or risk management. However, if a local government makes such additions to its quality management system, this does not in itself imply that it has implemented an integrated management system. Depending on the situation, it can be necessary for the local government to either coordinate, or integrate, its quality management system with other such systems.

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

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.

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

Citizens consider a local government to be reliable if it can consistently guarantee a minimum level of reliability for all key processes and products/services. It is important that all the local government's processes, including management, operational and support processes, constitute a single, integral, quality management system, and that the focus of use and further development of the quality management system is on achieving results. The integral character of this system is important because, otherwise, although a local government might be reliable in some areas of activity, it might be unreliable in others.

In determining the quality management system processes, it is important that the local government considers the processes necessary to provide reliable products/services to its customers/citizens (see Annex A). The processes involved are managerial, operational and supporting processes, and they include management processes, product/service delivery processes and any other processes needed for the effective operation of the quality management system. Annex B provides the diagnostic methodology for local governments to evaluate the scope and maturity of their processes and products/services. Using Annex B for integral diagnostics is a preferred starting point for users of this International Standard.

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 the guidelines indicated in this International Standard are generic and applicable to all local governments, regardless of their type, size and product/service provided.

The user can apply the guidance contained in this International Standard as a whole or, in part, as necessary, to their maximum benefit.

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*

No additional guidance necessary.

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.

Wherever the term "the organization" is used in ISO 9001:2008, it means "the local government" in this International Standard.

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

Note 1 to entry: For the purposes of this International Standard, the organization is the *local government* (3.5).

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

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 by the local mayor, councillors, officials and trustees. It can also be the local public corporation in charge of managing the interests of a territory and its population.

3.2
customer/citizen
organization or person that receives a product/service

Note 1 to entry: For purposes of this International Standard, customer/citizen refers to an organization, community or person that receives a *product/service* (3.7) from the *local government* (3.5), whether in return for payment or not.

Note 2 to entry: It is important for local governments to recognize the various customers and to achieve a balanced response to all of their needs and expectations. For example, some citizens who are taxpayers, and whose contributions serve to finance the products/services of the local government, might not be the same citizens as those who actually benefit most from the products/services provided.

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 International Standard, and is used in combination with "citizen".

3.3
specification for local government
minimum requirements to be fulfilled by the *local government* (3.5) in order to provide products/services that meet the needs and expectations of its customers consistently and effectively

Note 1 to entry: This is sometimes expressed in a document such as a "local government charter" or "service pledge".

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

Note 3 to entry: See Tables B.1 to B.4 for possible indicators of the performance specifications for local government.

3.4
citizen's charter
document declaring the intentions and the commitment of an organization for providing effective and efficient *products/services* (3.7), taking into account customer's expectations and minimum acceptable levels of product/service, thereby providing assurance that the organization complies with the product/service quality standards

Note 1 to entry: These documents can also be called product/service letters, citizen letters, and commitment letters.

Note 2 to entry: These documents normally include the list of the products/services provided by the *local government* (3.5) and the relevant specifications, indicators and standards. They also usually include general information concerning the community, such as facts of historical interest about the municipality, buildings and infrastructures of public interest, tourist attractions, the local government organization, citizens' rights, a complaints form with instructions, reference addresses (postal, telephone, e-mail), the location and opening hours of municipal offices, an area and town map, public relation offices and interfacing tools.

3.5
local government
part of government in a country or nation that is typically closest to the population, is in charge of managing, governing and promoting development of a local area, and is responsible for the definition, design, development and institutionalization of its public policies expressed in the provision of *products/services* (3.7) 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.

3.6
local government process
set of interrelated or interacting activities of the *local government* (3.5) which transform input (e.g. public policies, resources, *customer/citizen* (3.2) needs and expectations) into outputs/results (i.e. the products/services provided to the citizens)

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

Note 2 to entry: ISO 9004 provides guidance on an improvement process towards sustained success.

3.7
product/service
result of a process

Note 1 to entry: For the purposes of this International Standard, product/service is considered to be the predominant product category for *local governments* (3.5). Although intangible in nature, products/services may include some tangible components (e.g. advisory brochures, waste receptacles, shelters). Examples of products/services may relate to the provision of drinking water, sewage and drainage, lighting, waste collection and civil protection.

Note 2 to entry: One major product/service that is often provided by the local government is that of development projects, which may need specific quality plans (see ISO 10005 and ISO 10006 for the development of quality plans and project management, respectively).

Note 3 to entry: There are four generic product/service categories, as follows:

— services (e.g. transport, education, police security);

— software (e.g. access to information);

— hardware (e.g. passport, birth certification, driver licence);

— processed materials (e.g. waste receptacle).

Note 4 to entry: Product/service is the result of at least one activity necessarily performed at the interface between the supplier and *customer/citizen* (3.2) and is generally intangible. Provision of a product/service can involve, the following:

— an activity performed on a customer-supplied tangible product (e.g. automobile to be repaired);

— an activity performed on a customer-supplied intangible product (e.g. the income statement needed to prepare a tax return);

— the delivery of an intangible product (e.g. the delivery of information in the context of knowledge transmission); and

— the creation of ambience for the customer (e.g. in hotels and restaurants).

Software consists of information and is generally intangible and can be in the form of approaches, transactions or procedures.

Hardware is generally tangible and its amount is a countable characteristic.

Processed materials are generally tangible and their amount is a continuous characteristic. Hardware and processed materials often are referred to as goods.

Note 5 to entry: Quality assurance is mainly focused on intended product.

Note 6 to entry: *Public policies* (3.15), the essential course of actions of any local government, are usually expressed in products/services.

[SOURCE: ISO 9000:2005, 3.4.2, modified]

3.8
quality management system of the local government
set of interrelated or interacting elements of an organization to establish policies, objectives and processes to achieve those objectives

[SOURCE: ISO 9000:2005, 3.2.1, 3.2.2 and 3.2.3, modified]

3.9
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* (3.5) that ensure appropriate information is made available to all customers and other interested parties.

[SOURCE: ISO 26000:2010, 2.24, modified]

3.10
responsible
having an obligation to do something, or having control over or care for someone

Note 1 to entry: In context of this International Standard, "responsible" means trustworthy, reliable, capable, able, competent, qualified about decisions and activities that affect society, institutions, the economy and the environment. The responsible activities of the *local government* (3.5) are those which it has the duty to perform in order to take care of the *customers/citizens* (3.2) as persons, their things 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 satisfaction and confidence.

3.11
accountable
state of a *local government* (3.5) 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 stakeholder

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]

3.12
interested party
individual or other entity that adds value to the organization, or is otherwise interested in, or affected by, the activities of the organization

Note 1 to entry: Meeting the needs and expectations of interested parties contributes to the achievement of sustained success by the *local government* (3.5).

3.13
governance
legitimate, *responsible* (3.10), *accountable* (3.11) and efficient activity of governing a society by itself and through its own government

3.14
systematically
way of doing an action integrally or taking into account all its components, according to a fixed and explicit plan or system

Note 1 to entry: The plan or system needs to be carried out in an organized way, with methodical consistency, regularity, permanency and continuity (see Annex B).

3.15
public policy
principled guide to a course of actions taken by the *local government* (3.5) as a response to a perceived need, formulated by a specific political process, and adopted, implemented, and enforced by a specific public agency, expecting results

Note 1 to entry: The principles embedded in the public policies give them their own scope.

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, expecting results.

Note 3 to entry: An example of public policy expressed in a *product/service* (3.7) is the local government responsibility for water, i.e. the provision of water to citizens through pipelines. However, 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.

It led to a specific characteristic of the product/service: 100 % drinkable for health reasons.

Note 4 to entry: Another example of public policy which is not clearly a product/service is the promotion of *gender equality* (3.16) (see Table B.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/service.

3.16
gender equality
equal rights, opportunities and obligations for women and men

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.

These guidelines should help to define the elements that enable a local government to develop, document, implement, and maintain a quality management system, with the aim of achieving effective and reliable performance in an adequate and transparent way.

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

The local government should

a)   determine the processes needed for the preparation of specifications, identification of relevant standards, provision of its products/services, and evaluation of the results,

b)   determine the processes needed for a quality management system that will promote an integral, reliable and effective performance, and

c)   ensure administrative continuity when moving to the next administration, passing neatly all information about projects and plans underway, as well as the 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 could be where some products/services are provided by outside, non-governmental organizations, such as public/private partnerships.

NOTE 1   Annex A gives examples of typical local government processes.

NOTE 2   Where processes are outsourced, it is important that local governments take into account regulations applicable to contracting.

NOTE 3   Further guidance on outsourced processes is given in Reference [17].

4.2   Documentation requirements

4.2.1   General

ISO 9001:2008, Quality management systems — Requirements

4 Quality management system

4.2 Documentation requirements

4.2.1 General

The quality management system documentation shall include

a) documented statements of a quality policy and quality objectives,

b) a quality manual,

c) documented procedures and records required by this International Standard, and

d) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of its processes.

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

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

a) the size of organization and type of activities,

b) the complexity of processes and their interactions, and

c) the competence of personnel.

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

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

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

b)   projects and products/services provided;

c)   applicable laws, regulations and standards;

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

e)   the structure of the organization (key positions, key professions, optimal number of key professionals);

f) the competence and commitment of government employees;

g) terminology and definitions required and commonly used by the local government.

NOTE   Reference [15] provides further guidance on the documentation requirements of ISO 9001:2008.

4.2.2   Quality manual

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **4 Quality management system**
>
> **4.2 Documentation requirements**
>
> **4.2.2 Quality manual**
>
> The organization shall establish and maintain a quality manual that includes
>
> a) the scope of the quality management system, including details of and justification for any exclusions (see 1.2),
>
> b) the documented procedures established for the quality management system, or reference to them, and
>
> c) a description of the interaction between the processes of the quality management system.

The quality manual is the essential top-level document for the quality management system. It describes how the requirements of ISO 9001:2008 have been interpreted, translated and implemented in the quality management system suitable for each local government.

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

4.2.3   Control of documents

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **4 Quality management system**
>
> **4.2 Documentation requirements**
>
> **4.2.3 Control of documents**
>
> Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in 4.2.4.
>
> A documented procedure shall be established to define the controls needed
>
> a) to approve documents for adequacy prior to issue,
>
> b) to review and update as necessary and re-approve documents,
>
> c) to ensure that changes and the current revision status of documents are identified,
>
> d) to ensure that relevant versions of applicable documents are available at points of use,
>
> e) to ensure that documents remain legible and readily identifiable,
>
> f) to ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the quality management system are identified and their distribution controlled, and
>
> g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

The purpose of documentation control is to ensure that all documents needed for the quality management system are kept up-to-date and are readily available for use by those who need them. In complying with the requirements, the local government should include:

a) control of external documents such as public policies, applicable legal documents, emergency procedures and others: these should be made available to the public as appropriate;

b) ready access to the documents for use by local government personnel, contractors and other interested parties, as necessary.

Most documents issued by local governments are public documents that increase the need for reliable document control for their own security. This can be done electronically, and should not generate undue bureaucracy. The documents can be provided in different media, such as paper, videos, pictures, electronic and electromagnetic media.

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

4.2.4 Control of records

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **4 Quality management system**
>
> **4.2 Documentation requirements**
>
> **4.2.4 Control of records**
>
> Records established to provide evidence of conformity to requirements and of the effective operation of the quality management system shall be controlled.
>
> The organization shall establish a documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention and disposition of records.
>
> Records shall remain legible, readily identifiable and retrievable.

A record is a special kind of document that provides information regarding the activities performed by the local government, and it is normally kept as evidence of the results obtained at each stage of the local government processes, where appropriate. This is particularly important for a local government, in order to be able to demonstrate evidence of completeness and transparency in its activities and to provide adequate accountability to its customers/citizens. In addition, the records are needed as evidence of the working of the whole quality management system.

The local government should pay attention to the retention times and the availability of the records, which is why the applicable record management regulation and legislation in each country should be reviewed.

It can be necessary for the local government to define specific guidelines aimed at providing the confidentiality and security of some customers/citizens and/or their records (e.g. permits, liens, payment exemptions, penalties) (see 7.5.4). Reference [15] provides further guidance on the records required by ISO 9001:2008.

The following are examples of records that could be part of a local government's quality management system:

a) population needs outputs,

b) process development and design outputs,

c) completed checklists of:

— progress and final reports of plans, programmes and projects,

— granted permits,

— any payment exemptions,

— personnel assessment,

— supplier assessments,

— infrastructure assessment,

— work progress,

d) assessments of the impact of the local government actions,

e) loss, damage or inadequate use of documentation, and

f) claims or complaints.

5 Management responsibility

5.1 Management commitment

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.1 Management commitment**
>
> Top management shall provide evidence of its commitment to the development and implementation of the quality management system and continually improving its effectiveness by
>
> a) communicating to the organization the importance of meeting customer as well as statutory and regulatory requirements,
>
> b) establishing the quality policy,
>
> c) ensuring that quality objectives are established,
>
> d) conducting management reviews, and
>
> e) ensuring the availability of resources.

Top management should show its commitment to the quality management system by continuously identifying and fulfilling the needs and expectations of its customers/citizens, as well as by ensuring that local government's processes and programmes meet the applicable statutory and regulatory requirements.

Strategies and actions that should be used by top management of a local government to demonstrate the above can include:

— establishing vision, values and unity of purpose within all the entities of the local government towards achieving quality in their products/services, including the importance of meeting the customer/citizen requirements as well as the standards and the legal framework applicable to the products/services provided,

— establishing, communicating and explaining the quality policy to all the personnel of the local government, so that all personnel are aware of it and understand it, and are consistent with the customer/citizen requirements,

— ensuring that quality objectives are established,

— promoting ethical behaviour and leadership by example,

— conducting periodic performance reviews to ensure continual improvement, and

— ensuring the adequate and timely availability of the resources necessary to meet the objectives.

NOTE   The quality management principles given in ISO 9000 can assist top management to understand better the need for management responsibility.

5.2   Customer/citizen focus

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.2 Customer focus**
>
> Top management shall ensure that customer requirements are determined and are met with the aim of enhancing customer satisfaction (see 7.2.1 and 8.2.1).

The needs and expectations of the customers/citizens should be defined and documented. The needs and expectations of customers/citizens (e.g. complaints or recommendations from customers/citizens and surveys) should be reviewed periodically to ensure customer/citizen needs are addressed.

Top management of the local government should ensure processes for community involvement to achieve customer/citizen satisfaction (e.g. requirements set by a citizen observatory). It should identify the current and, where possible, future needs and expectations of its customers/citizens, with the aim of meeting them and achieving their satisfaction within the framework of the legal powers and resources that are available to it.

5.3   Quality policy

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.3 Quality policy**
>
> Top management shall ensure that the quality policy
>
> a) is appropriate to the purpose of the organization,
>
> b) includes a commitment to comply with requirements and continually improve the effectiveness of the quality management system,
>
> c) provides a framework for establishing and reviewing quality objectives,
>
> d) is communicated and understood within the organization, and
>
> e) is reviewed for continuing suitability.

The quality policy is a declaration of commitment to quality management by the local government to its customers/citizens. It should be documented and be consistent with applicable statutory and regulatory requirements and other policies of the local and national government (e.g. policies related to anti-corruption, gender equality, environmental and social responsibility, security, and transparency concerns).

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

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

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

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

5.4 Planning

5.4.1 Quality objectives

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.4 Planning**
>
> **5.4.1 Quality objectives**
>
> Top management shall ensure that quality objectives, including those needed to meet requirements for product [see 7.1 a)], are established at relevant functions and levels within the organization. The quality objectives shall be measurable and consistent with the quality policy.

In addressing this requirement, top management of the local government should ensure that the quality objectives

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

— are consistent with statutory and regulatory requirements,

— are derived from the quality policy of the local government,

— are revised periodically and systematically,

— are communicated within the relevant functions and levels of the local government,

— are measurable and assessable, and

— focus on continual improvement within the global performance of the local government.

Top management should establish monitoring, measurement and assessment processes to provide information and data on the extent to which the quality objectives are fulfilled. Local governments should also consider external information available to their customers/citizens on the fulfilment of quality objectives.

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.

NOTE   Given the expectations of customers/citizens for long-term infrastructure projects, it is important that successive administrations in local governments are careful when changing quality objectives that influence such projects.

5.4.2 Quality management system planning

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.4 Planning**
>
> **5.4.2 Quality management system planning**
>
> Top management shall ensure that
>
> a) the planning of the quality management system is carried out in order to meet the requirements given in 4.1, as well as the quality objectives, and
>
> b) the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.

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

— short-term, medium-term and long-term objectives,

— an integral diagnostic, check-up, evaluation and follow-up system for the development of reliable local government results (see Annex B),

— identification of potential development areas,

— prioritization of programmes, projects and actions, availability of resources (including the optimal number of professionals with adequate capacity for planning and management of the development process),

— organizational diagnostics (strengths/weaknesses and threats/opportunities), and

— risk identification, evaluation, assessment and mitigation.

NOTE   See Annex B for further information.

5.5   Responsibility, authority and communication

5.5.1   Responsibility and authority

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.5 Responsibility, authority and communication**
>
> **5.5.1 Responsibility and authority**
>
> Top management shall ensure that responsibilities and authorities are defined and communicated within the organization.

Top management should consider the preparation of an organization chart indicating the structure of organization and the chain of command. The responsibility and the authority could be given in job descriptions and/or in related procedures. This could include responsibilities that are specific to the quality management system, such as process managers (sometimes referred to as process owners).

The organization of the local government should facilitate empowerment and decision making at appropriate levels.

5.5.2   Management representative

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.5 Responsibility, authority and communication**
>
> **5.5.2 Management representative**
>
> Top management shall appoint a member of the organization's management who, irrespective of other responsibilities, shall have responsibility and authority that includes
>
> a) ensuring that processes needed for the quality management system are established, implemented and maintained,
>
> b) reporting to top management on the performance of the quality management system and any need for improvement, and
>
> c) ensuring the promotion of awareness of customer requirements throughout the organization.
>
> NOTE The responsibility of a management representative can include liaison with external parties on matters relating to the quality management system.

Responsibility for the effective implementation of the system lies throughout the entire local government, and should not be seen as the sole responsibility of the management representative. The management representative may need to be supported by a group of colleagues to ensure the effective implementation of the quality management system throughout the local government.

5.5.3   Internal communication

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.5 Responsibility, authority and communication**
>
> **5.5.3 Internal communication**
>
> Top management shall ensure that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the quality management system.

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

The effectiveness of communication processes should be reviewed periodically.

5.6   Management review

5.6.1   General

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.6 Management review**
>
> **5.6.1 General**
>
> Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives.
>
> Records from management reviews shall be maintained (see 4.2.4).

The local government should conduct regular reviews of its performance for a wide range of processes involved. These include processes for institutional development and good government, for sustainable economic development, sustainable environmental development, and social development (see Annex B). As part of this activity, top management needs to conduct a review of the performance of the quality management system, in accordance with the input parameters defined in 5.6.2.

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

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

5.6.2 Review input

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.6 Management review**
>
> **5.6.2 Review input**
>
> The input to management review shall include information on
>
> a) results of audits,
>
> b) customer feedback,
>
> c) process performance and product conformity,
>
> d) status of preventive and corrective actions,
>
> e) follow-up actions from previous management reviews,
>
> f) changes that could affect the quality management system, and
>
> g) recommendations for improvement.

The input information to assess the effectiveness of the quality management system and the performance of the organization based on data and its analysis could include

— complaints and suggestions from customers/citizens and local government personnel,

— outcomes of the integral diagnostic, as is proposed in Annex B,

— comparative studies in the implementation of systems of other local governments with this International Standard or other reference models,

— the budget available for the system implementation and operation,

— monitoring progress of previously decided actions relevant to the quality management system,

— changes in national or regional government policies,

— changes in national or regional government resource provision to the local government,

— changes in statutory and regulatory requirements,

— changes in local demographics,

— statistical and trend analysis outcomes from local government activities,

— performance of key suppliers and/or partners,

— outputs of risk assessment, and

— any other changes that could affect quality management system.

5.6.3   Review output

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **5 Management responsibility**
>
> **5.6 Management review**
>
> **5.6.3   Review output**
>
> The output from the management review shall include any decisions and actions related to
>
> a) improvement of the effectiveness of the quality management system and its processes,
>
> b) improvement of product related to customer requirements, and
>
> c) resource needs.

As a result of the quality management system review, top management of the local government should

— confirm if the activities and processes of the quality management system adhere to the quality policy and allow the achievement of the quality objectives,

— define any necessary corrective and/or preventive actions,

— establish improvement parameters for the local government products/services, infrastructure and processes,

— update or perform a review of the measurement indicators of the local government processes,

— define actions to take into account changes in national or regional government policies and resource provisions,

— define actions to account for changes in statutory and regulatory requirements,

— define actions to improve the level of customer/citizen satisfaction and to reduce complaints,

— define actions to improve communications with customers/citizens,

— develop loss prevention and mitigation plans (including emergency plans) for identified risks, and

— keep updated the citizen's charter (see 3.4) or similar document describing the obligations of local governments towards its customers/citizens.

6   Resource management

6.1   Provision of resources

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **6 Resource management**
>
> **6.1 Provision for resources**
>
> The organization shall determine and provide the resources needed
>
> a) to implement and maintain the quality management system and continually improve its effectiveness, and
>
> b) to enhance customer satisfaction by meeting customer requirements.

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

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

The local government should

a) establish the input information to determine the resources needed based on the service commitment made,

b) perform short-term, medium-term and long-term planning of resources,

c) provide adequate resources for monitoring, verification and assessment tasks,

d) provide resources to establish effective communications within the local government organization and with customers/citizens, and

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

6.2   Human resources

6.2.1   General

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **6 Resource management**
>
> **6.2 Human resources**
>
> **6.2.1 General**
>
> Personnel performing work affecting conformity to product requirements shall be competent on the basis of appropriate education, training, skills and experience.
>
> NOTE   Conformity to product requirements can be affected directly or indirectly by personnel performing any task within the quality management system.

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

The local government should provide its personnel with information 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 have a system for managing personnel that

a) defines their required competence,

b) specifies the contractual conditions of employment,

c) specifies job profiles and professional profiles, including any required professional qualifications and their update,

d) records the performance and evaluation of all officials, both elected and designated, and

e) provides evidence used to define recruitment and dismissal procedures that include transparency in the hiring of personnel for all designated official positions.

The processes for managing human resources should include elements such as

— training programmes,

— awareness programmes covering issues such as mission, vision, values, commitment, ethics and integrity,

— appropriate professional and human development,

— adequate supervision until personnel become sufficiently competent,

— assessment of personnel performance (e.g. through customer/citizen surveys for designated officials),

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

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

6.2.2 Competence, training and awareness

ISO 9001:2008, Quality management systems — Requirements

6 Resource management

6.2 Human resources

6.2.2 Competence, training and awareness

The organization shall

a) determine the necessary competence for personnel performing work affecting conformity to product requirements,

b) where applicable, provide training or take other actions to achieve the necessary competence,

c) evaluate the effectiveness of the actions taken,

d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives, and

e) maintain appropriate records of education, training, skills and experience (see 4.2.4).

The local government should

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

b) implement 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,

c) plan the training programmes or other activities needed to ensure the use of competent personnel, such as the re-allocation of responsibilities, the use of new technologies, or the incorporation of new personnel,

d) measure the effectiveness of the training programme,

e) assess within planned intervals the results of the actions performed and provide feedback on the process, and

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

6.3   Infrastructure

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **6 Resource management**
>
> **6.3 Infrastructure**
>
> The organization shall determine, provide and maintain the infrastructure needed to achieve conformity to product requirements. Infrastructure includes, as applicable,
>
> a) buildings, workspace and associated utilities,
>
> b) process equipment (both hardware and software), and
>
> c) supporting services (such as transport, communication or information systems).

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

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

6.4   Work environment

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **6 Resource management**
>
> **6.4   Work environment**
>
> The organization shall determine and manage the work environment needed to achieve conformity to product requirements.
>
> NOTE The term "work environment" relates to those conditions under which work is performed including physical, environmental and other factors (such as noise, temperature, humidity, lighting or weather).

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

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

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

7   Product/service realization

7.1   Planning of product/service realization

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.1 Planning of product realization

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

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

a) quality objectives and requirements for the product;

b) the need to establish processes and documents, and to provide resources specific to the product;

c) required verification, validation, monitoring, measurement inspection and test activities specific to the product and the criteria for product acceptance;

d) records needed to provide evidence that the realization processes and resulting product meet requirements (see 4.2.4).

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

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

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

In order to provide products/services, the local government should develop processes that include

a)   identification and analysis of customer/citizen requirements, statutory and regulatory requirements applicable to the product, and the organization's own requirements;

b)   design and development of the products/services in order to meet these requirements;

c)   support processes, such as competence management, financial management, resource provision and infrastructure management;

d)   management processes, such as management review, and development strategy and policy review, accounting process and anti-corruption process.

Some of these processes can be outsourced (see 4.1 for the control of outsourced processes).

As part of planning for product/service realization, the local government should determine requirements for each product/service, which can be used as criteria for accepting that product/service.

Planning should include, for example,

—   allocating responsibilities for carrying out product/service realization in a participative manner,

—   determining monitoring and measurement activities, and indicators for them,

—   designing templates needed to provide evidence of conformity, and initiating improvement, and

—   identifying potential emergency situations and potential accidents that may have an impact on the local community and how it will respond to them: this should include provision for communication and interaction with regional and national governments, as necessary.

7.2 Customer/citizen-related processes

7.2.1 Determination of requirements related to the product/service

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.2 Customer-related processes**
>
> **7.2.1 Determination of requirements related to the product**
>
> The organization shall determine
>
> a) requirements specified by the customer, including the requirements for delivery and post-delivery activities,
>
> b) requirements not stated by the customer but necessary for specified or intended use, where known,
>
> c) statutory and regulatory requirements applicable to the product, and
>
> d) any additional requirements considered necessary by the organization.
>
> NOTE Post-delivery activities include, for example, actions under warranty provisions, contractual obligations such as maintenance services, and supplementary services such as recycling or final disposal.

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

Product/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 of the products/services provided by the local government should be determined considering the equal rights and the dignity of the customers/citizens, and should include, but not be limited to, the following:

— safe, accessible and hygienic facilities,

— professional, human, honest and respectful behaviour of local government personnel,

— acceptable waiting and/or response times,

— an acceptable price for the product/service provision;

— convenient product/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/services provided by the local government should have clear, concrete and consistent specifications, depending on their scope and nature.

A citizen's charter (see 3.4) is a typical document commonly adopted to specify the commitments of the local governments toward the customers/citizens and their rights.

7.2.2 Review of requirements related to the product/service

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.2 Customer-related processes

7.2.2 Review of requirements related to the product

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

a) product requirements are defined,

b) contract or order requirements differing from those previously expressed are resolved, and

c) the organization has the ability to meet the defined requirements.

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

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

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

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

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

Whenever a written request from the customer/citizen is not expected, the local government should make sure that it understands the demand before accepting it. This might be the case, for example, in the product/service of waste collection, public lighting or building of roads, where the customer/citizen does not specifically request the product/service, but the local government foresees the need for it. The requirements should be documented.

7.2.3 Customer/citizen communication

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.2 Customer-related processes

7.2.3 Customer communication

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

a) product information,

b) enquiries, contracts or order handling, including amendments, and

c) customer feedback, including customer complaints.

The local government should strengthen customer/citizen participation in its product/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/service, based on the requirements, characteristics, availability, price and related procedures. Communication and feedback processes through the engagement of interested parties could include information modules, a phone service, a website, e-mail, 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 customer/citizen and other interested parties. This constitutes a source of reliable information for

improvement, beyond the need to perform corrective actions to prevent the repetition of problems. This activity is directly related to the concept of improvement (see 8.5).

7.3   Design and development

7.3.1   Design and development planning

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.3 Design and development

7.3.1 Design and development planning

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

During the design and development planning, the organization shall determine

a) the design and development stages,

b) the review, verification and validation that are appropriate to each design and development stage, and

c) the responsibilities and authorities for design and development.

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

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

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

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/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.

```
                        ┌─────────────────┐
                        │  Design review  │
                        └─────────────────┘
```
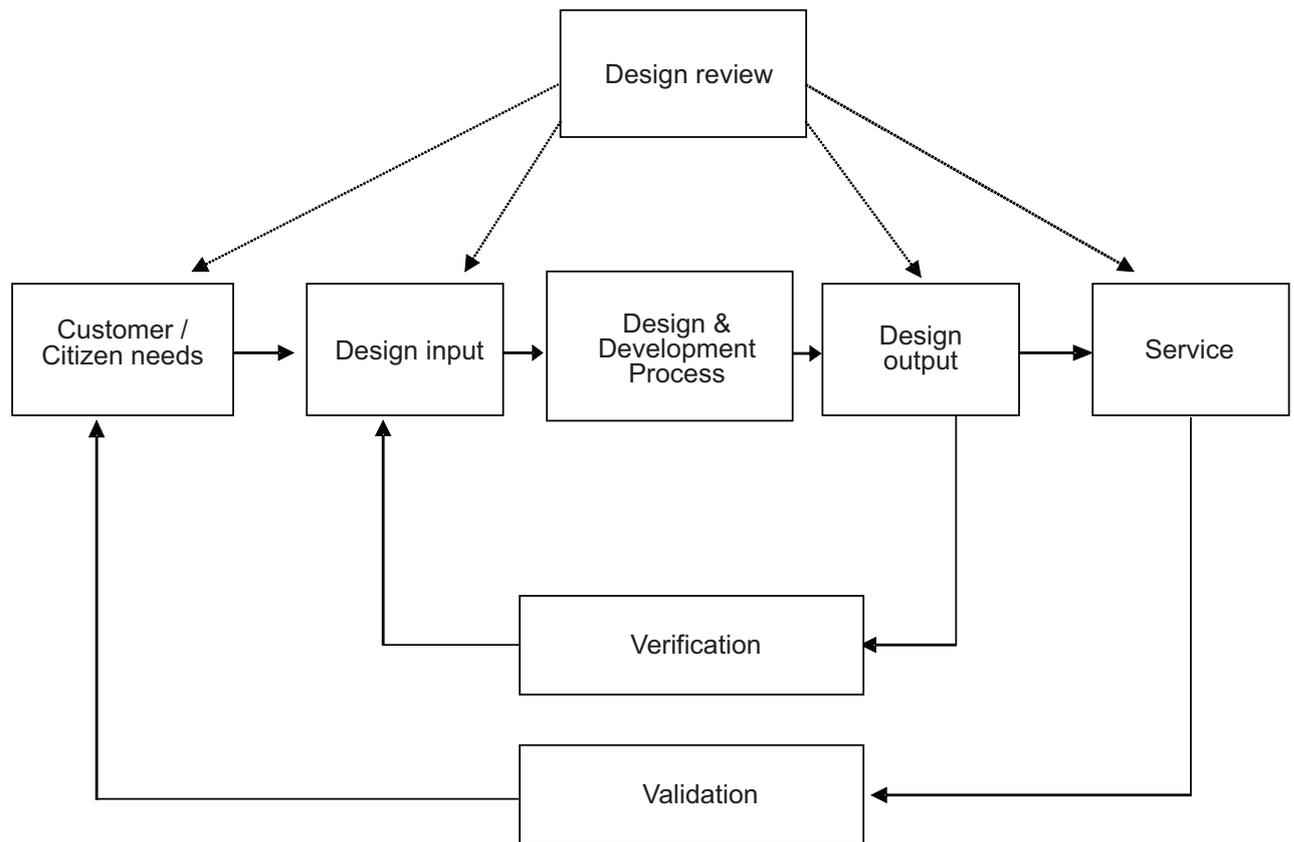
Figure 2 — Design and development process

As part of the design and development planning activities, the local government should consider established objectives, customer/citizen requirements, 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 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/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 records of the design and development planning activities when required by statutory and regulatory requirements and for lesson learned activities.

7.3.2 Design and development inputs

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.3 Design and development**
>
> **7.3.2 Design and development inputs**
>
> Inputs relating to product requirements shall be determined and records maintained (see 4.2.4). These inputs shall include
>
> a) functional and performance requirements,
>
> b) applicable statutory and regulatory requirements,
>
> c) where applicable, information derived from previous similar designs, and
>
> d) other requirements essential for design and development.
>
> The inputs shall be reviewed for adequacy. Requirements shall be complete, unambiguous and not in conflict with each other.

In determining these inputs, the local government should consider

— conducting a detailed analysis of all the requirements determined during the planning stage for defining those characteristics that will specify the product/service,

— all the human, material and financial resources needed, including infrastructure,

— requirements related to suppliers,

— reviewing previous similar designs for obtaining information that can show potential risks for the success of the project, such as excessive costs, environmental impacts, deviations related to statutory and regulatory requirements, and project feasibility.

Once the inputs are determined, a review should be performed to ensure these are adequate for the rest of the design and development activities.

7.3.3 Design and development outputs

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.3 Design and development**
>
> **7.3.3 Design and development outputs**
>
> The outputs of design and development shall be in a form suitable for verification against the design and development input and shall be approved prior to release.
>
> Design and development outputs shall
>
> a) meet the input requirements for design and development,
>
> b) provide appropriate information for purchasing, production and for service provision,
>
> c) contain or reference product acceptance criteria, and
>
> d) specify the characteristics of the product that are essential for its safe and proper use.
>
> NOTE Information for production and service provision can include details for the preservation of product.

The outputs of the design and development

— should describe the specified characteristics of the product/service to be provided to the customer/citizen,

— should clearly indicate any applicable criteria for product/service acceptance: this criteria should consider how the customer/citizen can interact with the local government in determining its level of performance,

— should be documented considering applicable statutory and regulatory requirements,

— can lead to changes, or to the development of statutory and regulatory requirements, including public policies.

7.3.4 Design and development review

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.3 Design and development**
>
> **7.3.4 Design and development review**
>
> At suitable stages, systematic reviews of design and development shall be performed in accordance with planned arrangements (see 7.3.1)
>
> a) to evaluate the ability of the results of design and development to meet requirements, and
>
> b) to identify any problems and propose necessary actions.
>
> Participants in such reviews shall include representatives of functions concerned with the design and development stages(s) being reviewed. Records of the results of the reviews and any necessary actions shall be maintained (see 4.2.4).

Review implies one or several 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 their planned design and development reviews, including any situation that may impact the achievement of the planned arrangements.

Criteria for conducting the design and development review activities should be determined, as well as the need to consider the defined design and development inputs and outputs, as appropriate. These criteria 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 need to be taken for adjusting the planned arrangements to new conditions or situations that affect the design and development project. These decisions should be taken by members of management that have an adequate level of authority.

Records of the design and development reviews should be documented, giving due consideration to applicable statutory and regulatory requirements.

7.3.5 Design and development verification

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.3 Design and development**
>
> **7.3.5 Design and development verification**
>
> Verification shall be performed in accordance with planned arrangements (see 7.3.1) to ensure that the design and development outputs have met the design and development input requirements. Records of the results of the verification and any necessary actions shall be maintained (see 4.2.4).

The 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.

The records of the design and development verification should be documented, giving due consideration to applicable statutory and regulatory requirements.

7.3.6 Design and development validation

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.3 Design and development**
>
> **7.3.6 Design and development validation**
>
> Design and development validation shall be performed in accordance with planned arrangements (see 7.3.1) to ensure that the resulting product is capable of meeting the requirements for the specified application or intended use, where known. Wherever practicable, validation shall be completed prior to the delivery or implementation of the product. Records of the results of validation and any necessary actions shall be maintained (see 4.2.4).

Validation should always provide objective evidence that the product/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.

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

In some instances, the design and development validation should be performed with the participation of a representative group of the customers/citizens.

The records of the design and development validation should be documented, giving due consideration to applicable statutory and regulatory requirements.

7.3.7 Control of design and development changes

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.3 Design and development**
>
> **7.3.7 Control of design and development changes**
>
> Design and development changes shall be identified and records maintained. The changes shall be reviewed, verified and validated, as appropriate, and approved before implementation. The review of design and development changes shall include evaluation of the effect of the changes on constituent parts and product already delivered. Records of the results of the review of changes and any necessary actions shall be maintained (see 4.2.4).

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

Design and development changes can come from

— the corrective action process,

— the preventive action process

— suggestions,

— adjustments to, or new, statutory and regulatory requirements,

— the management review process,

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

Before accepting design and development changes, these should be validated, considering their potential effect on the local government's processes, compliance with applicable statutory and regulatory requirements, and the satisfaction of the customer/citizen.

In some instances, design and development changes can affect products/services that are currently being provided. The local government process for implementing changes should include provisions for implementing the approved changes to these products/services.

The records of the design and development changes process should be documented, giving due consideration to applicable statutory and regulatory requirements.

7.4   Purchasing

7.4.1   Purchasing process

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.4 Purchasing**
>
> **7.4.1 Purchasing process**
>
> The organization shall ensure that purchased product conforms to specified purchase requirements. The type and extent of control applied to the supplier and the purchased product shall be dependent upon the effect of the purchased product on subsequent realization or the final product.
>
> The organization shall evaluate and select suppliers based on their ability to supply product in accordance with the organization's requirements. Criteria for selection, evaluation and re-evaluation shall be established. Records of the results of evaluations and any necessary actions arising from the evaluation shall be maintained (see 4.2.4).

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

The local government should clearly identify its requirements for the product/service to be purchased. For new suppliers, it may be convenient to include a test period or pilot scheme before final supplier approval is granted.

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

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

The information about approved suppliers may include

— compliance with the applicable regulations (legal and fiscal aspects),

— technical and administrative capacity,

— economic capability,

— whether the supplier has evaluations from third parties or if it has a quality management system that meets the requirements of ISO 9001:2008,

— the supplier's past performance record.

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

7.4.2   Purchasing information

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.4 Purchasing

7.4.2 Purchasing information

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

a) requirements for approval of product, procedures, processes and equipment,

b) requirements for qualification of personnel, and

c) quality management system requirements.

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

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, including applicable statutory and regulatory requirements.

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

The specifications of products/services to be purchased need to contain at least the 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 supplier and their delivery moment.

7.4.3   Verification of purchased product/service

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.4 Purchasing

7.4.3 Verification of purchased product

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

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

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

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

7.5   Production and service provision

7.5.1   Control of production and service provision

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.5 Production and service provision**
>
> **7.5.1 Control of production and service provision**
>
> The organization shall plan and carry out production and service provision under controlled conditions. Controlled conditions shall include, as applicable,
>
> a) the availability of information that describes the characteristics of the product,
>
> b) the availability of work instructions, as necessary,
>
> c) the use of suitable equipment,
>
> d) the availability and use of monitoring and measuring equipment,
>
> e) the implementation of monitoring and measuring, and
>
> f) the implementation of product release, delivery and post-delivery activities.

Controlled conditions should include, as applicable

a)   documents that describe the specified characteristics of the product/service and the controls required, such as documented procedures, work instructions, quality plans, visual aids, manuals, signs and banners,

b)   activities that are needed before starting the product/service provision, such as verification of the functionality of equipment, the use of personal protective equipment,

c)   establishing specific controls in the product/service provision processes in order to ensure meeting the product/service requirements.

In local governments, depending on the nature of the product/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 B provides elements that can be considered in establishing controlled conditions.

The local government should have processes in place to respond to actual 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 (see 7.5.2) and, where necessary, revise its emergency preparedness and response procedures, in particular after the occurrence of accidents or emergency situations.

7.5.2 Validation of processes for production and service provision

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.5 Production and service provision**
>
> **7.5.2 Validation of processes for production and service provision**
>
> The organization shall validate any processes for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement and, as a consequence, deficiencies become apparent only after the product is in use or the service has been delivered.
>
> Validation shall demonstrate the ability of these processes to achieve planned results.
>
> The organization shall establish arrangements for these processes including, as applicable,
>
> a) defined criteria for review and approval of the processes,
>
> b) approval of equipment and qualifications of personnel,
>
> c) use of specific methods and procedures,
>
> d) requirements for records (see 4.2.4), and
>
> e) revalidation.

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

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

Another example is when a customer/citizen is consulting for some information, or paying a duty with 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 to ensure the online application will run in the specified times.

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, qualification and/or experience,

— have records that allow feedback based on the actual process results.

7.5.3 Identification and traceability

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.5 Production and service provision**
>
> **7.5.3 Identification and traceability**
>
> Where appropriate, the organization shall identify the product by suitable means throughout product realization.
>
> The organization shall identify the product status with respect to monitoring and measurement requirements throughout product realization.
>
> Where traceability is a requirement, the organization shall control the unique identification of the product and maintain records (see 4.2.4).
>
> NOTE In some industry sectors, configuration management is a means by which identification and traceability are maintained.

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

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

b) requirements, 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 and circulation permits,

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

e) investigation and handling of complaints.

Product/service provision processes should include a means of identification and traceability, in order to achieve the identification and traceability needed to ensure customer/citizen satisfaction, accountability, transparency and compliance with statutory and regulatory requirements, as well as with public policies.

Records needed to ensure adequate identification and traceability may include

— information giving the relation between the products/services provided and applicable requirements,

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

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

7.5.4 Customer/citizen property

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

If any outsourced process handles any customer/citizen property, the local government should define specific controls for ensuring that this property is managed according to all the applicable requirements, e.g.

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

— when a customer/citizen wishes to obtain a document, such as 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, once 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, history, files and cultural assets. It is one of the responsibilities of the local government to protection these assets as common goods, and to preserve them on behalf of the customers/citizens belonging to future generations.

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

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 needs to be assumed according to the relevant regulations.

7.5.5 Preservation of product

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

7.6 Control of monitoring and measuring equipment

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **7 Product realization**
>
> **7.6 Control of monitoring and measuring equipment**
>
> The organization shall determine the monitoring and measurement to be undertaken and the monitoring and measuring equipment needed to provide evidence of conformity of product to determined requirements.
>
> The organization shall establish processes to ensure that monitoring and measurement can be carried out and are carried out in a manner that is consistent with the monitoring and measurement requirements.
>
> Where necessary to ensure valid results, measuring equipment shall
>
> a) be calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exist, the basis used for calibration or verification shall be recorded (see 4.2.4);
>
> b) be adjusted or re-adjusted as necessary;
>
> c) have identification in order to determine its calibration status;
>
> d) be safeguarded from adjustments that would invalidate the measurement result;
>
> e) be protected from damage and deterioration during handling, maintenance and storage.
>
> In addition, the organization shall assess and record the validity of the previous measuring results when the equipment is found not to conform to requirements. The organization shall take appropriate action on the equipment and any product affected.
>
> Records of the results of calibration and verification shall be maintained (see 4.2.4).
>
> When used in the monitoring and measurement of specified requirements, the ability of computer software to satisfy the intended application shall be confirmed. This shall be undertaken prior to initial use and reconfirmed as necessary.
>
> NOTE Confirmation of the ability of computer software to satisfy the intended application would typically include its verification and configuration management to maintain its suitability for use.

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

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

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

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

8 Measurement, analysis and improvement

8.1 General

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **8 Measurement, analysis and improvement**
>
> **8.1 General**
>
> The organization shall plan and implement the monitoring, measurement, analysis and improvement processes needed
>
> a) to demonstrate conformity to product requirements,
>
> b) to ensure conformity of the quality management system, and
>
> c) to continually improve the effectiveness of the quality management system.
>
> This shall include determination of applicable methods, including statistical techniques, and the extent of their use.

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

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

Annex A provides examples of a structure of local government processes for consideration in establishing appropriate monitoring and measurement.

Annex B provides the methodology for performing an assessment/diagnosis of local governments to evaluate their operating conditions, processes used and results achieved.

8.2 Monitoring and measurement

8.2.1 Customer/citizen satisfaction

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **8 Measurement, analysis and improvement**
>
> **8.2 Monitoring and measurement**
>
> **8.2.1 Customer satisfaction**
>
> As one of the measurements of the performance of the quality management system, the organization shall monitor information relating to customer perception as to whether the organization has met customer requirements. The methods for obtaining and using this information shall be determined.
>
> NOTE Monitoring customer perception can include obtaining input from sources such as customer satisfaction surveys, customer data on delivered product quality, user opinion surveys, lost business analysis, compliments, warranty claims and dealer reports.

The methods used for the monitoring of customer/citizen satisfaction should be selected to provide meaningful information regarding customer/citizen satisfaction, as well as their priorities related to product/service requirements. 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 these results to interested parties.

Examples of monitoring and measurement of customer/citizen satisfaction include

— surveys of customers/citizens,

— customer/citizen observations suggestions, comments and complaints

— surveys and feedback from internal customers,

— focus group meetings,

— customer/citizen emergency records,

— independent opinion polls.

NOTE 1   See Annex B for guidance.

NOTE 2   When appropriate, statistics differentiated according to sex are used to identify differences between women and men.

NOTE 3   See ISO I0001, ISO 10002, ISO 10003 and ISO 10004.

8.2.2   Internal audit

ISO 9001:2008, Quality management systems — Requirements

8 Measurement, analysis and improvement

8.2 Monitoring and measurement

8.2.2 Internal audit

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

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

b) is effectively implemented and maintained.

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

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

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

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

NOTE See ISO 19011 for guidance.

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

It is responsibility of top management to establish and support the realization of an internal audit programme by appointing an audit programme manager and auditors.

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

Guidelines should exist for the selection and training of the auditors, and to ensure the maintenance and continual improvement of their competence (see ISO 19011).

The local government should establish procedure that includes

— how the audit report will be used, including the distribution and follow-up of findings, and

— monitoring and improvement of the audit process.

NOTE   See Annex B for guidance.

8.2.3   Monitoring and measurement of processes

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **8 Measurement, analysis and improvement**
>
> **8.2 Monitoring and measurement**
>
> **8.2.3 Monitoring and measurement of processes**
>
> The organization shall apply suitable methods for monitoring and, where applicable, measurement of the quality management system processes. These methods shall demonstrate the ability of the processes to achieve planned results. When planned results are not achieved, correction and corrective action shall be taken, as appropriate.
>
> NOTE When determining suitable methods, it is important that the organization considers the type and extent of monitoring or measurement appropriate to each of its processes, in relation to their impact on the conformity to product requirements and on the effectiveness of the quality management system.

The management indicators shown in the system presented in Annex B can be useful in establishing process measurements.

Examples of processes that should be monitored include, but are not limited to,

— public procurement processes,

— strategic programmers and projects, such as public awareness,

— personnel development, and

— other processes as given in Annex A.

The local government should align monitoring and measurement activities with the policies and objectives. Monitoring and measuring activities should be performed in a way that does not cause adverse reactions.

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

Where available, process benchmarks should be considered, both within and outside the local government, as a part of the improvement and learning process.

8.2.4 Monitoring and measurement of product/service

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **8 Measurement, analysis and improvement**
>
> **8.2 Monitoring and measurement**
>
> **8.2.4 Monitoring and measurement of product**
>
> The organization shall monitor and measure the characteristics of the product to verify that product requirements have been met. This shall be carried out at appropriate stages of the product realization process in accordance with the planned arrangements (see 7.1). Evidence of conformity with the acceptance criteria shall be maintained.
>
> Records shall indicate the person(s) authorizing release of product for delivery to the customer (see 4.2.4).
>
> The release of product and delivery of service to the customer shall not proceed until the planned arrangements (see 7.1) have been satisfactorily completed, unless otherwise approved by a relevant authority and, where applicable, by the customer.

Monitoring and measurement indicators for products/services should be based, for example, on parameters of adequacy, accuracy and timelines (see Annex B).

These indicators should be aligned with public product/service pledges, commitments and charters, policies and objectives.

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

8.3 Control of nonconforming product/service

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **8 Measurement, analysis and improvement**
>
> **8.3 Control of nonconforming product**
>
> The organization shall ensure that product which does not conform to product requirements is identified and controlled to prevent its unintended use or delivery. A documented procedure shall be established to define the controls and related responsibilities and authorities for dealing with nonconforming product.
>
> Where practicable, the organization shall deal with nonconforming product by one or more of the following ways;
>
> a) by taking action to eliminate the detected nonconformity;
>
> b) by authorizing its use, release or acceptance under concession by a relevant authority and, where applicable, by the customer;
>
> c) by taking action to preclude its original intended use or application.
>
> d) by taking action appropriate to the effects, or potential effects, of the nonconformity when nonconforming product is detected after delivery or use has started.
>
> When nonconforming product is corrected it shall be subject to re-verification to demonstrate conformity to the requirements.
>
> Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained, shall be maintained (see 4.2.4).

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 may come from the customers/citizens, from statutory and regulatory requirements, or they may be internal requirements defined by the local government itself.

The local government should establish a documented procedure indicating

a)   appropriate actions to detect a nonconforming product/service,

b)   the means to identify the nonconforming product/service,

c)   controls to prevent the non-intentional use or provision of the nonconforming product/service, and

d)   appropriate actions to avoid the nonconforming product/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,

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

—   appropriate actions to handle any conflict.

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

8.4   Analysis of data

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **8 Measurement, analysis and improvement**
>
> **8.4 Analysis of data**
>
> The organization shall determine, collect and analyse appropriate data to demonstrate the suitability and effectiveness of the quality management system and to evaluate where continual improvement of the effectiveness of the quality management system can be made. This shall include data generated as a result of monitoring and measurement and from other relevant sources.
>
> The analysis of data shall provide information relating to
>
> a) customer satisfaction (see 8.2.1),
>
> b) conformity to product requirements (see 8.2.4),
>
> c) characteristics and trends of processes and products, including opportunities for preventive action (see 8.2.3 and 8.2.4), and
>
> d) suppliers (see 7.4).

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

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

a)   management review data,

b)   information received from administrative personnel and the customers/citizens,

c)   review of the product/service requirements,

d)   product/service performance data, including the difference between product/service commitment and actual delivery,

e)   supplier evaluations,

f)   satisfaction surveys of customers/citizens and other interested parties,

g)   results of audits,

h)   monitoring and measurement at the beginning, during and at the end of processes,

i)   product/service identification,

j)   verification and validation of the methods used for the monitoring and measurement, and

k)   information on nonconforming products/services.

The data gathered and the analysis techniques used should be consistent with the purpose of the process and should reflect the performance of the process in meeting objectives. It should be 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.

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, and

—   failure mode and effect analysis (FMEA).

Once the analysis of data has been performed, it should be used to support the continual improvement process through the definition of corrective and preventive actions. Records should be maintained in order to ensure continuity of the measurement and data collection system. The resulting conclusions from data analysis, performance assessment, customer/citizen satisfaction analysis and analysis of trends should be used to improve the quality management system.

8.5   Improvement

8.5.1   Continual improvement

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **8 Measurement, analysis and improvement**
>
> **8.5 Improvement**
>
> **8.5.1 Continual improvement**
>
> The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review.

This usually implies systematic process improvement through the involvement of all personnel to identify the need for change and to establish improvement projects within their scope of activity.

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

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,

— process performance results,

— inputs from customers/citizens and from other interested parties, such as industry, government and society, and

— 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 (see Clause 6).

8.5.2   Corrective action

> **ISO 9001:2008, Quality management systems — Requirements**
>
> **8 Measurement, analysis and improvement**
>
> **8.5 Improvement**
>
> **8.5.2 Corrective action**
>
> The organization shall take action to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the effects of the nonconformities encountered.
>
> A documented procedure shall be established to define requirements for
>
> a) reviewing nonconformities (including customer complaints),
>
> b) determining the causes of nonconformities,
>
> c) evaluating the need for action to ensure that nonconformities do not recur,
>
> d) determining and implementing action needed,
>
> e) records of the results of action taken (see 4.2.4), and
>
> f) reviewing the effectiveness of the corrective action taken.

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

Examples of nonconformity include, but are not limited to

— nonconforming products/services,

— objectives not met,

— deviations from the local government programmes and plans,

— unacceptable results from the design and development of local government products/services,

— poor performance rates, nonconformity identified in the monitoring and measurement of processes and products/services of the local government,

— complaints of the customers/citizens and/or other identified interested parties, and

— nonconformity from internal and external audits.

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

8.5.3   Preventive action

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ISO 9001:2008, Quality management systems — Requirements

8 Measurement, analysis and improvement

8.5 Improvement

8.5.3 Preventive action

The organization shall determine action to eliminate the causes of potential nonconformities in order to prevent their occurrence. Preventive actions shall be appropriate to the effects of the potential problems.

A documented procedure shall be established to define requirements for

a) determining potential nonconformities and their causes,

b) evaluating the need for action to prevent occurrence of nonconformities,

c) determining and implementing action needed,

d) records of results of action taken (see 4.2.4), and

e) reviewing the effectiveness preventive action taken.

</div>

The local government should have a documented procedure and a process (see 8.5.2) that prevents occurrence of potential nonconformity to the customer's/citizen's requirements. The procedure and process usually result from the identification of a potential nonconformity that has not yet occurred, as well as an analysis of the causes and risks associated with it. Preventive actions can lead to continual improvements of the quality management system and the local government processes.

Typical input information could include

— analysis of data (see 8.4) and its trends,

— administrative personnel performance indicators,

— levels of achievement of the quality objectives,

— analysis of costs related to the achievement of the quality objectives,

— satisfaction surveys of the customers/citizens and other interested parties,

— interactions (including benchmarking) with other local governments, and

— results of audits and management reviews.

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

The lessons learned from the preventive action process should be reviewed, and the appropriate functions and levels throughout the entire local government should be informed.
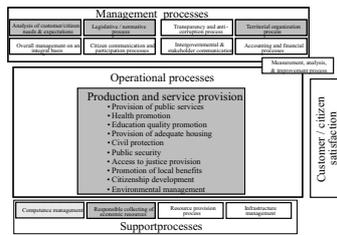
Annex A
(informative)

Processes for the integral quality management of local government

A local government oriented towards the implementation of a quality management system and aiming to secure compliance with the existing legal framework, as well as with the requirements of customers/citizens and of government products/services and strategies, should identify and define its processes and their interrelations. These activities should be supported by the 39 indicators established in Tables B.1 to B.4.

Consultation and application of these guidelines during the definitions of these processes (see 0.2) facilitates the implemention of ISO 9001:2008 by the local management government in a comprehensive manner. Figures A.1 and A.2 offer a graphic presentation of a model of a quality management system based on processes for the local government.

Processes
(Annex A)

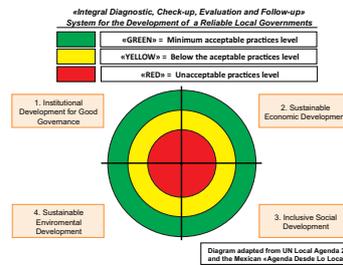Following local government outputs
(Annex B)

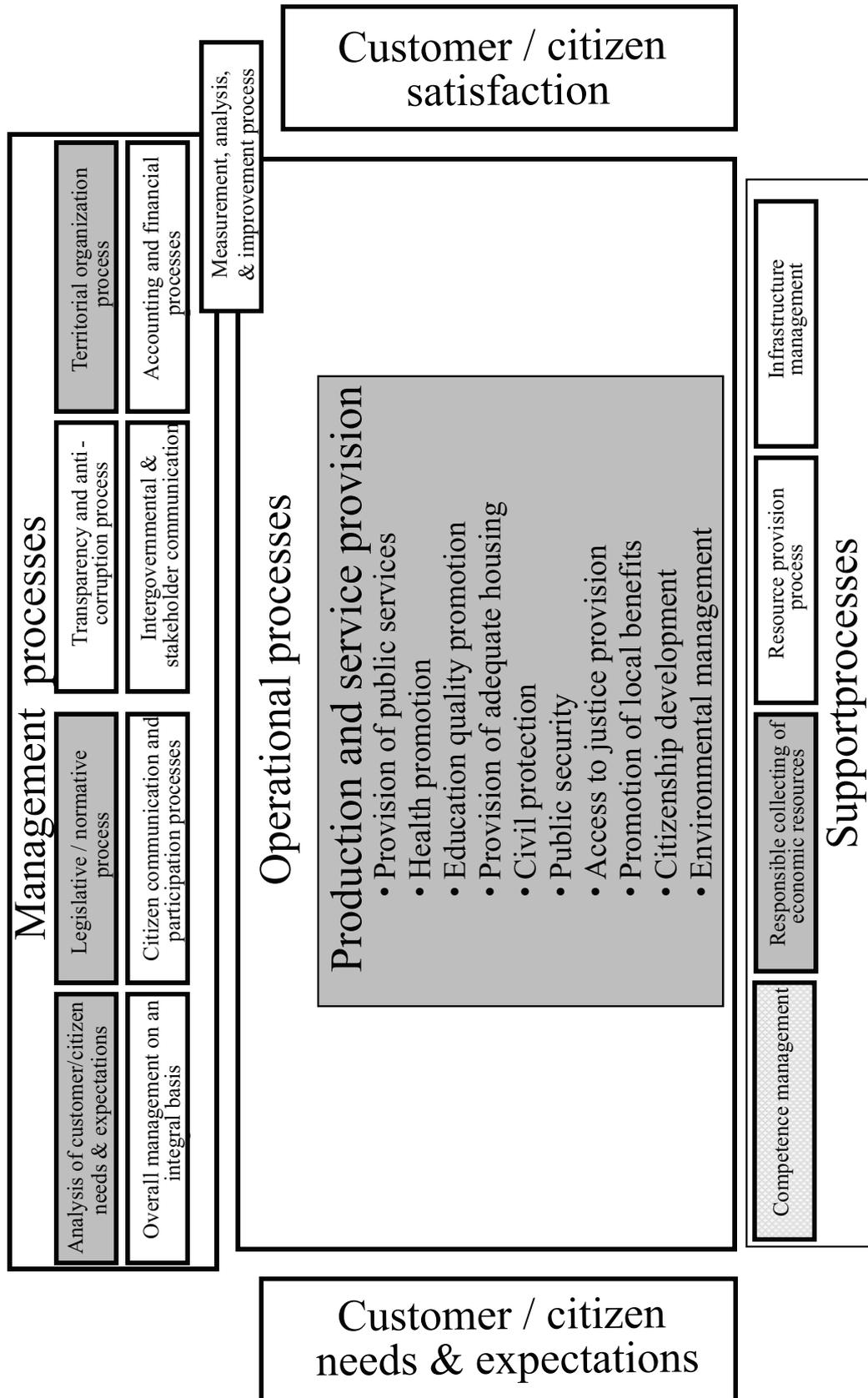Figure A.1 — Processes following local goverments outputs

Figure A.2 — Typical processes for integral quality of management of local goverment

Annex B
(informative)

Integral diagnostic, check-up, evaluation and follow-up system for development of reliable local governments

This system described in this annex contains the methodology for performing an assessment/diagnosis of local governments to evaluate their operating conditions, processes used and results achieved, and to enhance their administrative structures and implement actions to improve their products/services to their customers/citizens as "reliable local governments".

This annex provides an integral diagnostic, check-up, evaluation and follow-up tool for the management of local government. This tool contains a methodology for addressing the four aspects of measurements:

— 8.2.1: monitoring customer/citizen satisfaction, as it provides indicators for topics affecting citizen/customer satisfaction, that can be used in opinion surveys;

— 8.2.2: audits, as it provides a check-up system, which can be used for internal audit or by third party auditing organization;

— 8.2.3: monitoring and measurement of local government processes, as it provides key performance indicators (KPIs) for local government processes;

— 8.2.4: monitoring and measurement of products/services provided by local government.

The check-up tool provides examples of typical products/services offered by local government, as well as criteria for measurement. It also contains the necessary elements that could be used by customers/citizens to follow up government actions in an orderly, verifiable and systematic way.

These guidelines strongly recommend using this annex as a first step for an effective application of ISO 9001:2008 in local government. This implies starting with an initial self-assessment with the aim of fostering deeper and fuller engagement of top management (see Clause 5).

The purpose of the integral diagnostic, check-up, evaluation and follow-up system for reliable local government is to provide assistance to top management of the local government in defining the necessary elements for minimum local government operations, and to identify areas for improvements in line with their responsibilities towards the customers/citizens, in an efficient and transparent way.

The system contains a self-assessment framework based on 39 minimum management indicators, distributed in four major categories (see Tables B.1 to B.4). These define the products/services that a typical local government should have in order to be "reliable" in its overall products/services to its customers/citizens.

The four topics are:

a)   institutional development for good governance (see Table B.1);

b)   sustainable economic development (see Table B.2);

c)   inclusive social development (see Table B.3);

d)   sustainable environmental development (see Table B.4).

The purpose of self-assessment is that the top level of local government identifies in a responsible and voluntary way the performance level of each of the relevant indicators.

Three levels are indicated:

— "red": the matrix cells belonging to this level indicate the essential practices which could be missing or not performed in an adequate manner by a local government, in order to be considered as reliable;

— "yellow": this level indicates that the local government has made some efforts to implement the essential elements and is able to provide the product/service as required;

— "green": this level indicates that minimum acceptable conditions are achieved under which the operations and the local government should operate, in order to be considered as reliable.

This process should be initiated with a meeting where all top management government members participate so that, as a first step, they could make an individual self-assessment that can immediately be transformed into a collective assessment of the overall local government performance in those substantive aspects as seen by participants at this moment. The result of this process should be that the participants realize how the results of individual self-assessments could deliver an outcome of this assessment shared by all of them. The outcome should lead towards a more detailed verification by the representatives of top management based on facts and figures, deploying all 39 indicators to the relevant administrative areas of local government.

This verification made on hard facts and figures should be preceded by a document displaying all 39 indicators of this annex in as many sub-indicators for the local, regional and national needs and characteristics. The resulting information of this verification process could 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 a yellow level, to a green level. For internal purposes, representatives of top management would need to identify processes affecting directly or indirectly the results attained. For this purpose, it is recommended to refer to Annex A and to start using the complete text contents in this guide.

After collecting all relevant data, the results obtained should go back to a top management meeting. The resulting information will become the basic input for decision making within the quality management system in the local government. Subsequent meetings of top management should be programmed to follow up improvement activities and its verifications with hard facts and figures. This will make it possible for technical and operational areas of the local government to communicate in an effective and understandable way with politicians and top managers who are responsible for government.

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 addressing its responsibilities and obligations, as well as its incumbencies and competences to its customers/citizens.

The tool is presented Figures B.1 and B.2, including the definition of the levels of the 39 indicators.
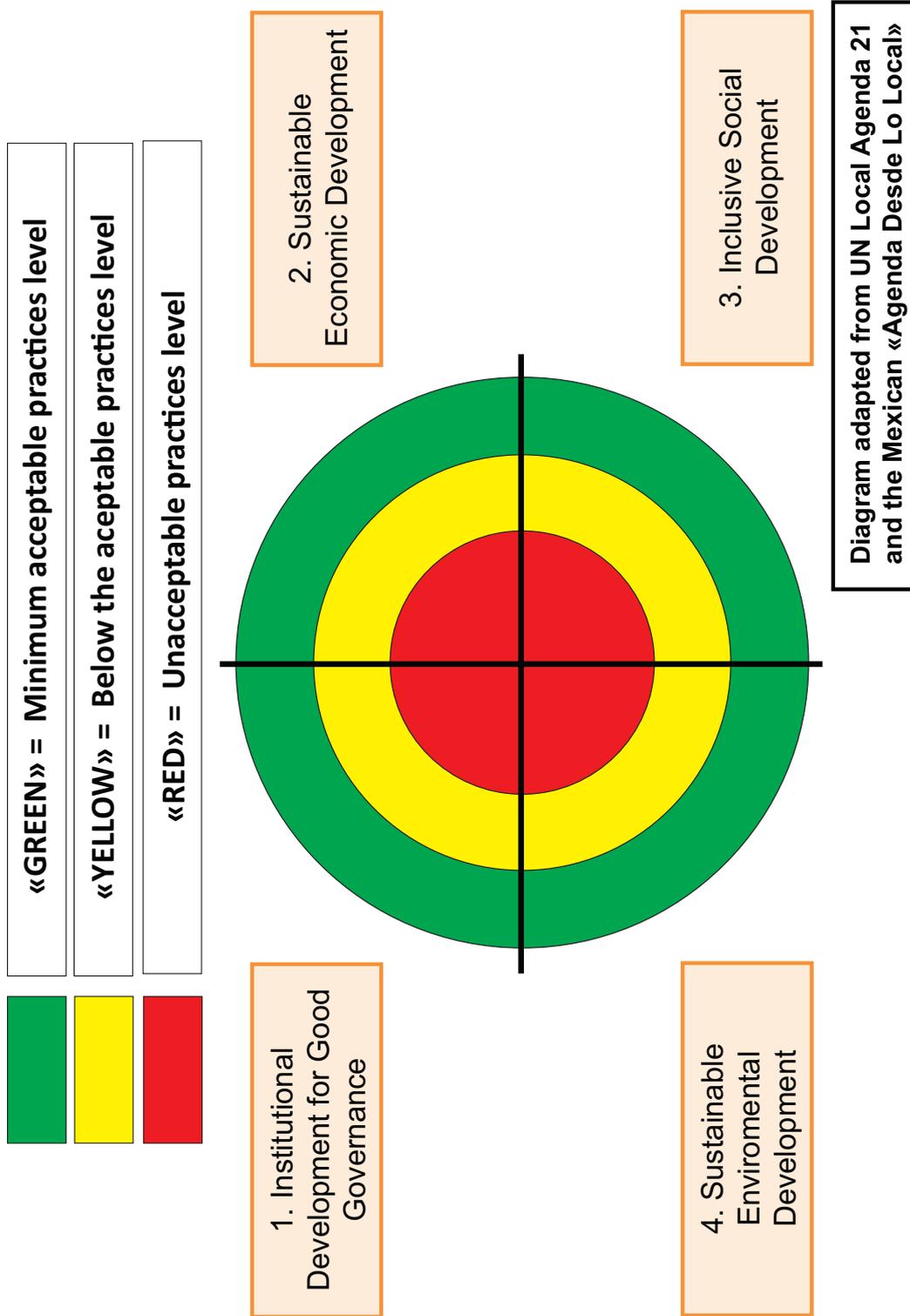
Figure B.1 — "Integral diagnostic, check-up, evaluation and follow-up" system for the development of a reliable government
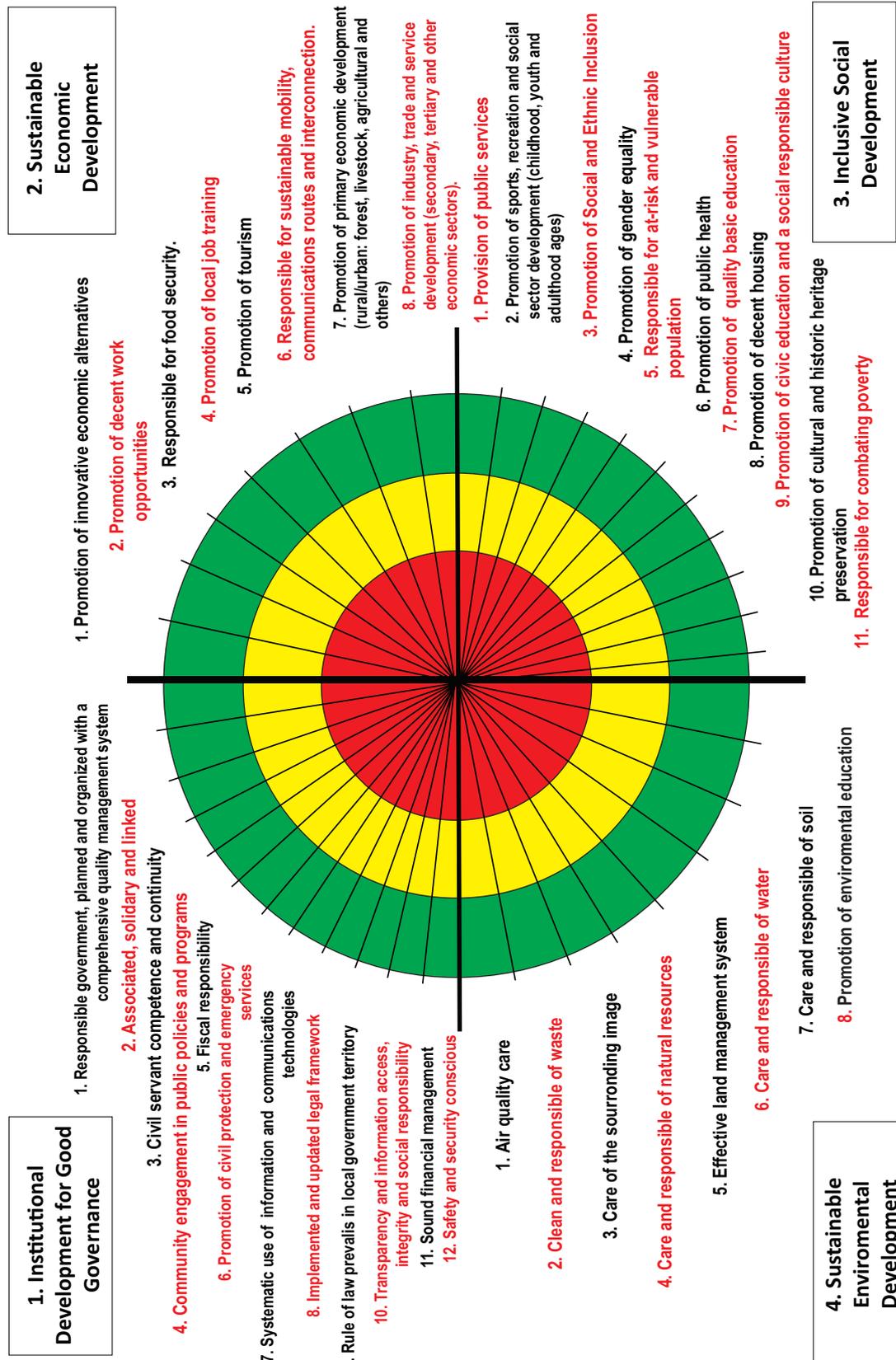
Figure B.2 — "Integral diagnostic, check-up, evaluation and follow-up" system for the development of a reliable government — Local government at an acceptable level (using 39 indicators)

Table B.1 — "Integral diagnostic, check-up, evaluation and follow-up" system for the development of a reliable local government — Indicators of institutional development for good governance

Indicators	Red	Yellow	Green
1. Responsible government, planned and organized with a comprehensive quality management system	Local government activities are not implemented responsibly and have no planning, programming, control and assessment procedures.	Some local government activities are not implemented responsibly nor are they systematically regulated by planning, programming, and assessment procedures.	Local government activities are implemented responsibly and they are systematically regulated through planning, programming, control and assessment using explicit procedures. There is a comprehensive quality management system.
2. Associated, solidary and linked	There are no activities developed to handle matters of public interest and in solidarity with other government levels, other local governments, or with public, social or private entities.	There are some isolated cooperative and solidarity activities to handle matters of public interest and in solidarity with other levels of government, other local governments and with public, social or private entities.	There are sound and consistent cooperation strategies, solidarity policies and activities with other levels of government, other local governments and also with public, social or private entities to handle matters of public interest that have achieved a regional impact.
3. Civil servant competence and continuity	The local government does not have any procedures for the professionalization for professional training for its civil servants or any specific criteria for recruitment.	The local government has some procedures for the professionalization for its civil servants. The personnel hired need to conform to a job profile.	The local government has competent personnel and policies promoting continuity and professionalization for the civil servants. There are regulations specifying job profiles and evidence of their accomplishment with the whole personnel.
4. Community engagement in public policies and programmes.	The local government has no procedures for promoting citizen participation in the management of public policies and programmes.	The local government has certain procedures for promoting citizen participation in some public policies and programmes.	The local government has explicit procedures for promoting citizen participation and their engagement in the design, implementation, follow-up on and assessment of its key public policies and programmes.
5. Fiscal responsibility	The local government does not have a fiscally responsible administration. It is almost totally dependent on transfers from other government levels to finance its activities.	The local government has activities with a tax collection and general revenue system. There is property taxation with a land registration system but it is not current with real unit values.	The local government has minimum acceptable autonomy in financing its activities with an efficient tax collection and general revenue system. There is sound property taxation with an up-to-date land registration system, with real unit values.
6. Promotion of civil protection and emergency services	The local government has not included civil protection on its agenda.	The local government has included this item on its agenda, and carries out some activities and services in this area.	The local government has a chart of risks, procedures for citizen protection and provision of emergency services and periodically carries out inspections and preventive activities.
7. Systematic use of information and communication technologies (ICT)	The local government does not use any or only uses very basic information and communication technologies for internal processes and the provision of services.	The local government implements certain actions oriented to use updated information and communication technologies for internal processes and the provision of services. They have some internal policies for ICT.	The local government systematically uses enough updated information and communication technologies for internal processes, bidirectional communication with citizens and in providing its services. There is an implemented planned strategy and policies for ICT improvement and there are significant documented results.
8. Implemented and updated legal framework	The local government does not have an implemented and updated legal system and the existing system is correctly aligned with regional and national legal frameworks.	The local government has an implemented and updated legal system in some core processes and public actions that are partially aligned with regional and national legal frameworks.	The local government has an implemented and updated legal system in all the core processes and public actions that is properly aligned with regional and national legal frameworks.

Table B.1 (continued)

Indicators	Red	Yellow	Green
9. Rule of law prevails in local government territory	The local government lacks any institutions and procedures able to comply with and to enforce the rule of law for it to prevail in its territory.	Local government has institutions and procedures able to comply with and to enforce the rule of law in certain areas but it does not prevail in the whole territory in a timely, accessible and efficient manner.	The local government has institutions and procedures that comply with and enforce the law thus it prevails throughout the whole territory in an efficient, accessible and opportune manner. It possesses enough evidence and reliable information to support the latter.
10. Transparency and information access, integrity and social responsibility	The local government does not ensure transparency, integrity and social responsibility nor does it allow and promote effective public oversight. Customers/citizens do not have access to documents, proceedings or details related to the budget programmes and how money is spent.	The local government implements certain actions to ensure transparency, integrity and social responsibility to allow and promote effective public oversight. Customers/citizens have limited access to documents, proceedings and details related to the budget programmes and how money is spent.	The local government has policies ensuring full transparency, integrity and social responsibility to allow and promote effective public oversight. Customers/citizens actually have the right to access documents, proceedings and details related to the budget programmes and how money is spent.
11. Sound financial management	The local government does not have a sustainable financial balance considering its general revenues, public expenditures and public debt. The local government does not have any real control over its public debt.	The local government does not have a minimum acceptable financial balance when considering its general revenues, public expenditures and public debt. Its financial information is either incomplete or not updated or not aligned with the national financial regulations. It only has partially controlled public debt management.	The local government has a minimum acceptable financial balance considering its general revenues, public expenditures and public debt. Its financial information is complete, updated and aligned with the regional and national financial regulations Public debt management is controlled and effective.
12. Safety and security conscious	The local government does not have any access to the necessary resources, equipment, procedures, or information to ensure safety. There is no institutional coordination to prevent violence and crime among citizens and other levels of governments. There is a high violent crime rate and the local government is not acting seriously to prevent the crime.	The local government has limited access to the necessary resources, equipment, procedures, and information. There is no efficient institutional coordination to prevent violence and crime among citizens and other levels of the governments. Citizens perceive insecurity in many places.	There is a low incidence of violence and crime in the local government territory and citizens are aware of it. The local government has access to the necessary resources, equipment, procedures, and information and maintains efficient institutional coordination with citizens and other levels of government to prevent violence and crime.

Table B.2 — "Integral diagnostic, check-up, evaluation and follow-up" system for the development of a reliable local government — Indicators of sustainable economic development

Indicators	Red	Yellow	Green
1. Promotion of innovative economic alternatives	The local government keeps its focus on existing economic activities. There are no programmes for exploring innovative economic alternatives.	Certain potentially innovative economic alternatives have been identified, but they have not been developed or implemented.	There are programmes producing significant documented results in relation to the promotion and implementation of innovative economic alternatives.
2. Promotion of decent work opportunities	The local government's productive job potential is unknown. It has not developed programmes to promote and expand decent work opportunities.	There are some activities to promote decent work opportunities, but they have not been consistently developed.	There is a sound strategy to strengthen local economic development and job creation. The strategy includes integrated policies for new business creation, decent work opportunities and capacity building projects. These policies are translated into specific programmes and well documented outcomes regarding decent work opportunities.

Table B.2 *(continued)*

Indicators	Red	Yellow	Green
3. Responsible for food security.	The local government does not have any supervision or records related to food security matters. There is a very limited supply and there is limited physical access in all the local government communities to safe and nutritious food to meet the basic dietary needs and food preferences for an active and healthy life for all people.	The local government does not exert regular and efficient supervision regarding food security matters. Most of the local communities face a limited and difficult-to-access supply of nutritious food to meet basic dietary needs.	The local government has real supervision and comprehensive records related to food security matters. There is sufficient supply and physical access in all the local government communities to safe and nutritious food to meet the basic dietary needs and food preferences for an active and healthy life for all people at all times in all the local government communities. There is consistent information and evidence related to food security.
4. Promotion of local job training	There are no training programmes or skilled labour to meet demand. The local government does not have any information and activities promoting them.	There are capacity building programmes, but not enough to meet the demand. The local government possesses information on the subject and fosters some activities to tackle the problem, but falls short in terms of complexity.	There are ongoing training programmes for local employment to meet demand. There are significant and documented results about the programmes in the local government. There is adequate information supervision and monitoring about these programmes.
5. Promotion of tourism	There are no tourism development plans. Tourism does not seriously appear on the local government's agenda.	There are tourism development plans but they cannot rely on sufficient infrastructure or reliable information.	The local government has a comprehensive diagnosis based on reliable information, with accurate sectorial programmes and a responsible agency to implement the programmes. It also has significant and documented results that refer to specific goals and thus allow it to take advantage of the tourism potential.
6. Responsible for sustainable mobility, communications routes and interconnection.	There are not enough urban, interurban and external interconnections structures and the local government territory does not have sufficient roads connecting it with other local government territories.	There are enough urban, interurban and external interconnections with the necessary basic structures. However, they are not sufficiently suitable, accessible and equitable for every citizen. The local government territory has roads connecting it with other local government territories but they are not accessible or safe.	There is an urban, interurban and external interconnection with the necessary basic structures for suitable and equitable internal mobility for every citizen. The local government territory has sufficient roads that are accessible and safe connecting it with other local government territories.
7. Promotion of primary economic development (rural/urban: forest, livestock, agricultural and others)	The local government does not have a diagnosis of producer associations or the sector's potential, either.	The local government has a partial diagnosis of producers, products, and their local potential, but there are no strategies to properly develop the primary economic sector.	The local government has a diagnosis of producers, products and the local potential, and it has programmes with significant, documented results and agencies responsible for the development policies for the primary economic sector.
8. Promotion of industry, trade and service development (secondary, tertiary and other economic sectors).	The local government does not have a diagnosis of producer associations or the sector's potential either.	The local government has a partial diagnosis of producers, products, and their local potential, but there are no strategies to properly develop industry, trade and services.	The local government has a diagnosis of producers, products and the local potential, and it has programmes with significant, documented results and agencies responsible for the development policies related to industry, trade and services.

Table B.3 — "Integral diagnostic, check-up, evaluation and follow-up" system for the development of a reliable local government — Indicators of inclusive social development

Indicators	Red	Yellow	Green
1. Provision of public services	Most of the housing and the communities in the local government do not have basic public services.	Most of the housing and the communities in the local government territory have basic public services, but they are insufficient.	Almost all the communities and housing are provided with good quality, permanent basic services that operate continuously.

Table B.3 *(continued)*

Indicators	Red	Yellow	Green
2. Promotion of sports, recreation and social sector development (childhood, youth and adulthood ages)	There are no facilities or programmes to foster recreation, sports and social sector development (childhood, youth and adulthood ages).	There is a recreational and sports infrastructure, but it is not in good condition. There are some programmes for social sector development (childhood, youth and adulthood ages), but there are no documented results.	The sports and recreational infrastructure is maintained. The government has programmes to promote sports, recreation and social sector development (childhood, youth and adulthood ages) with significant documented results.
3. Promotion of social and ethnic inclusion	There is no action to incorporate traditionally excluded groups in the public decision-making process.	The local government occasionally organizes consultations and forums and launches activities to include these groups.	There is a permanent institutional space in which citizens from all ethnic and social groups can participate to know and discuss in the affairs of the government. The local government has programmes with significant documented results on them.
4. Promotion of gender equality	There is gender discrimination in the local government activities (economic, political, and social). The local government does not have policies to combat gender discrimination.	The local government has an interest in combating gender discrimination but isolated steps have been taken to promote gender equality.	The local government has programmes to promote gender equality that are producing significant and, documented results. There is a government agency responsible for implementing programmes and activities related to this public policy.
5. Responsible for the at-risk and vulnerable population	The local government does not have any programmes or services geared toward the at-risk and vulnerable population.	There are some isolated activities to attend the at-risk and vulnerable population.	The local government has institutions and programmes that produce significant and documented results to provide social services to the at-risk and vulnerable population.
6. Promotion of public health.	50 % of the communities with over 500 inhabitants do not have participatory health programmes. The local government does not have its own programmes in this area, and it is not part of a national or regional program.	At least 50 % of the communities in the municipality with more than 500 inhabitants have an active local health committee.	Over 80 % of the communities with more than 500 inhabitants have an active local health committee. There is a variety of local health promotion programmes with significant documented results.
7. Promotion of quality basic education.	There are not enough schools and the quality of education is deficient.	There are enough schools, but the local government does not promote improvements to quality in education	There are enough schools for basic education and the local government promotes improvements quality in education.
8. Promotion of decent housing	The local government does not keep track of the housing conditions in the communities which, in most cases, are inadequate. There are no programmes to deal with squatter settlements or to improve land tenure.	Less than 50 % of the inhabitants have decent housing, and there is a local programme producing significant, documented results to handle this problem. There is an interest in promoting the legalization of squatter settlements and security of tenure but they do not have programmes with effective results.	Most of the inhabitants have decent housing and there are programmes to deal with the housing problem, producing significant, documented results. There is a consistent programme with significant and documented results to legalize and integrate squatter settlements with security of tenure.
9. Promotion of civic education and a social responsible culture	There are no activities to promote civic education and a social responsible culture.	There are some activities to heighten citizen awareness and promote civic education, but there is not a social responsible culture.	There are regular activities to promote civic education, citizen participation and a social responsible culture. There is a variety of programmes with significant documented results and an institution responsible for promoting them.

Table B.3 *(continued)*

Indicators	Red	Yellow	Green
10. Promotion of cultural and historic heritage preservation	There is no infrastructure and there are no activities to promote local identity and community historic heritage.	There is a cultural infrastructure but it is in poor condition. There are no systematic promotion and preservation programmes.	The cultural infrastructure is maintained. The government has programmes to promote the historical and cultural heritage, with significant, documented results.
11. Responsible for combating poverty	The local government does not have any programmes to combat poverty, nor is it linked to public or private institutions involved in this effort.	There are some isolated activities to combat poverty, but they are not linked with other public and private institutions. The local government does not have any specific anti-poverty programme with documented results.	The local government has a variety of programmes with documented results. The local government has links to and projects with other government levels and public entities with other public and private institutions

Table B.4 — "Integral diagnostic, check-up, evaluation and follow-up" system for the development of a reliable local government — Indicators of sustainable environmental development

Indicators	Red	Yellow	Green
1. Air quality care	There is no local government authority taking any control over activities that pollute the air, such as burning grasslands and waste materials.	There are officially stated procedures to prevent the burning of grasslands and waste materials, and there is periodic inspection of pollution emissions.	There are regulations and programmes for mobile and fixed pollutant emission inspections. Its results are reliably assessed and made public.
2. Clean and responsible of waste	There are several permanent uncontrolled waste disposal areas open to the environmental elements. There is no waste collection service or it is insufficient.	There is only one open landfill where waste disposal is deposited and controlled. It is surrounded by a perimeter fence. The entry of waste materials is supervised, and there are some guards. There are some waste collection service routes.	There is a sanitary landfill fulfilling official standards and regulations required. It is covered and there is protection for the air, soil and ground water. There is a waste collection system covering most of the local government territory. There are incipient well prepared pilot experiences on waste separation and recycling.
3. Care of the surrounding image	There are no activities to care on the image of the local government territory surroundings.	There are periodic activities that take place every 6 months or every year to enhance the image of the local government's surroundings.	There are programmes to enhance the local government's territorial surrounding image with significant and documented results, including a budget for the programmes.
4. Care and responsible of natural resources	There is no diagnosis related to the natural resources nor are there any protective activities.	There is a documented diagnosis that is updated at least every 3 years based on matters related to the local government's natural resources.	There is a programme for the conservation and use of natural resources, with significant results and personnel responsible for the program's implementation.
5. Effective land management system	The local government is growing without any urban planning or regulations.	There is a land management plan, however, it may be inoperative, obsolete, and/or unapproved.	There is a consistent land management plan that is updated at least every 5 years, and the local government authorities supervise its implementation with well-organized citizen participation.
6. Care and responsible of water	The sources of the water supply are unprotected; there are no consumption and supply forecasts, and waste waters are discharged untreated and uncontrolled.	There are some programmes for the conservation or maintenance of water supply sources. There are local regulations related to water.	There is a programme for the conservation and maintenance of water supply sources, both underground and surface water, as well as for sewage treatment. There are also regulations and a functional water operation agency.

Table B.4 *(continued)*

Indicators	Red	Yellow	Green
7. Care and responsible of soil	There is no diagnosis for erosion problems, loss of plant cover or soil acidification.	There is a documented diagnosis carried out at least every 3 years. There are periodic activities for erosion control, deforestation and the use of fertilizers destructive to the soil.	There are programmes, with significant, documented results, for erosion control, deforestation, conservation, soil recovery, and reforestation.
8. Promotion of environmental education	There are no local government programmes related to environmental education.	Only a few community programmes related to environmental education have been developed in specific areas of the local government (cleaning up river basins with community participation, World Environment Day).	There is an official environmental education programme in force in the schools and the community, including activities contributing to the improvement and conservation of the environment.

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