

ISO 9001

Summary

At a previous meeting of this Committee, the ISO 9001 standard was raised, and officers undertook to review the implementation of this standard in Local Government and report back.

Portfolio: Leader and Business & Transformation

Wards Affected: All

Recommendation

The Performance and Finance Scrutiny Committee is advised to:

- i) Note the work of the Building Control team to secure accreditation against the ISO 9001 standard and that a further update will be provided to Committee Members outside this meeting;
- ii) Note other improvement activities underway and/or planned which align to the quality management principles set out in the ISO 9001 standard described in 3.4 and 3.5.
- iii) Note that officers plan to undertake a self-assessment of the Council against the '*Local Government Assessment Tool for Integral Quality Management*' contained in the ISO 18091 Standard and use this to inform the review of Performance Management in 2021/22 (which will be reported to a future meeting of this Committee).

1. Background

- 1.1 At a previous meeting of this Committee, the ISO 9001 standard was raised, and officers undertook to review the implementation of this standard in Local Government and report back.

2. About the ISO 9001 Standard

- 2.1 ISO (International Organization for Standardization) is an independent, non-governmental organisation with a membership of 165 national standards bodies. ISO 9001 is the international standard which relates to quality management systems ("QMS"). The standard is used by organisations to demonstrate their ability to consistently provide products and services that meet customer and regulatory requirements and to demonstrate continuous improvement.
- 2.2 This International Standard is based on the following quality management principles:
 - customer focus;
 - leadership;
 - engagement of people;
 - process approach;
 - improvement;
 - evidence-based decision making;
 - relationship management.

2.3 The current standard guidelines (ISO 9001:2015) sets out the requirements of a Quality Management System under the headlines below:

<p>Context of the organisation</p> <ul style="list-style-type: none"> • Understanding the organisation and its context • Understanding the needs and expectations of interested parties • Determining the scope of the quality management system • Quality management system and its processes
<p>Leadership</p> <ul style="list-style-type: none"> • Leadership and commitment • Policy • Organisational roles, responsibilities and authorities
<p>Planning</p> <ul style="list-style-type: none"> • Actions to address risks and opportunities • Quality objectives and planning to achieve them • Planning of changes
<p>Support</p> <ul style="list-style-type: none"> • Resources • Competence • Awareness • Communication • Documented Information
<p>Operation</p> <ul style="list-style-type: none"> • Operational planning and control • Requirements for products and services • Design and development of products and services • Control of externally provided processes, products and services • Production and service provision • Release of products and services • Control of nonconforming outputs
<p>Performance evaluation</p> <ul style="list-style-type: none"> • Monitoring, measurement, analysis and evaluation • Internal audit • Management Review
<p>Improvement</p> <ul style="list-style-type: none"> • General • Nonconformity and corrective action • Continual improvement

2.4 ISO publish a specific standard: *International Standard ISO 18091 - Quality management systems — Guidelines for the application of ISO 9001 in local government*, which officers have reviewed. This document contains all of the ISO 9001 requirements and explores them in the context of Local Governments.

2.5 The ISO 18091 standard includes a ‘Local Government Assessment Tool for Integral Quality Management’ with four main topics:

- a) institutional development for good government;
- b) sustainable economic development;
- c) inclusive social development;
- d) sustainable environmental development.

The standard recommends that this self-assessment tool is used as a first step for the effective application of the document in local government.

2.6 Officers have also carried out some research into other Local Authorities that are certified under the ISO 9001 standard, by reviewing other Council websites. No examples of Councils being certified across all service were found. The most commonly certified service appeared to be Building Control. A number of the other certifications found (although not all) were Council services with a commercial element, examples including:

- Hartlepool Borough Council School Catering Services
- Hull Borough Council Commercial Cleaning Services
- Torbay Borough Council Print Services
- London Borough of Redbridge Passenger Transport Services
- Coventry City Council Communications Centre providing security solutions

3. Key Issues

3.1 Surrey Heath Borough Council Building Control service is currently going through the accreditation process for ISO 9001 certification. Following an implementation audit with representatives from LABC (Local Authority Building Control), the service is being put forward for accreditation in March. An update on this will be provided to Committee Members outside the meeting.

3.2 The LABC provides significant support for Building Control teams to achieve the standard, including guidance, templates and audits. This is all covered as part of Surrey Heath's membership subscription with LABC.

3.3 The Building Control manager reports that the process of working towards the standard has been a useful and positive one. New secondary legislation relating to the Building Safety Bill will require Building Control services to provide 'proof of competencies' which will be greatly supported by the work to achieve the standard. There will also be new requirements for standard working in to support cross-boundary working alongside the Health & Safety Executive in relation to buildings identified with significant fire risks, following the Grenfell Tower disaster. In addition, the fact that the team has recently reviewed their processes through the implementation of the new 'Uniform' system has made the work towards the standard more straightforward. Finally, the Building Control manager stated that the work towards the standard and the use of the new Uniform system have assisted her team to work more effectively and share information while working remotely during the Covid-19 pandemic.

3.4 Officers are not aware of any other professional body that offers the same support as the LABC. In order for the standard to be achieved in other areas of the Council, internal officers would either need to undergo training on how to implement and internally audit the standard, or the use of consultants would need to be considered. An UKAS (the National Accreditation Body for the United Kingdom) registered company would then need to be procured to carry out the formal audit process needed for certification. An annual assessment audit is also required.

3.5 Aside from the Building Control service, there are a number of projects and targets outlined in the draft Annual Plan for 2021/22 (as reported to this Committee at its meeting on 27 January) that focus on improvement and align with the quality management principles set out in the Standard, including:

- Update of the Council's Five Year Strategy including public and partner engagement and consultation
- Post-Covid Customer Service – review of how we deliver front-facing services
- Improve engagement and consultation with residents on and offline to ensure effective consultation with all residents is achieved.
- Improved project and performance management - implement an improved process, toolkit and system for project and performance management across the organisation including relevant training and support for staff.
- Implement a new workforce plan which is fit for purpose to deliver SHBC's future objectives

Progress on all of these projects will be reported regularly to this Committee.

- 3.6 There are also existing on-going relevant processes, including the internal audit plan (which includes both back office services and front-facing customer services), Corporate risk register/risk management group and regular performance reporting via the Council's Annual Plan. A number of statutory services report performance information to Government bodies for review, e.g. Environmental Health & Planning.
- 3.7 It is suggested, that the additional resource provided by the Council's summer internship programme is used to carry out a self-assessment of the Council's performance against the '*Local Government Assessment Tool for Integral Quality Management*' contained in the ISO 18091 Standard – and recommended as the first step for organisations in using the standard - and use this to inform the review of performance management in 2021/22 (which will be reported to a future meeting of this Committee).
- 3.8 Officers consider that there does not currently exist the corporate capacity to implement ISO 9001 fully across additional services or teams. As officers are not aware of any other professional/ membership body that provides the same support to meet the standard as the LABC, so any new teams undertaking the standard would need significantly more internal resource and would require funding to procure external support/training and a company to carry out the accreditation audit.
- 3.9 Officers recommend that at this time the Council focuses on delivering the improvement priorities set out in its Annual Plan for 2021/22 (including the projects listed in paragraph 3.4) and particularly the activities relating to supporting Covid-19 recovery across the Borough – both social and economic.

4. Resource Implications

- 4.1 The implementation of the ISO 9001 standard for the Building Control service is covered within existing budgets as part of the Council's membership of the LABC. The implementation of the standard in any further areas would likely require funding for external support/training/audit and significant officer time.

5. Proposals

- 5.1 The Performance and Finance Scrutiny Committee is advised to:

- a) Note the work of the Building Control team to secure accreditation against the ISO 9001 standard and that a further update will be provided to Committee Members outside this meeting;

- b) Note other improvement activities underway and/or planned which align to the quality management principles set out in the ISO 9001 standard described in 3.4 and 3.5.
- c) Note that officers plan to undertake a self-assessment of the Council against the '*Local Government Assessment Tool for Integral Quality Management*' contained in the ISO 18091 Standard and use this to inform the review of performance management in 2021/22 (which will be reported to a future meeting of this Committee).

6. Supporting Information

- 6.1 International Standard ISO 18091 - Quality management systems — Guidelines for the application of ISO 9001 in local government.

7. Corporate Objectives And Key Priorities

- 7.1 This report makes reference to key projects identified in the Council's Annual Plan 2021/22.

Annexes	None.
Background Papers	International Standard ISO 18091 - Quality management systems — Guidelines for the application of ISO 9001 in local government
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