Principais Questões sobre Credibilidade das Certificações em Sistemas de Gestão
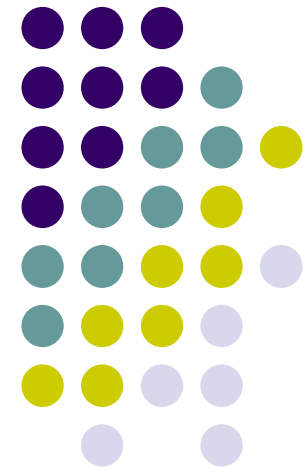
Nigel H Croft

Chairman, ISO/TC176/SC2 – Quality Systems

Member, ISO/TC176 Chairman's Strategic Advisory Group

Member, ISO/CASCO Chairman's Policy Committee

**Member, IAF/ILAC/ISO Joint Working Group**

What is the aim of certification?

- TO PROVIDE CONFIDENCE
  - Demonstrating that the organization **does** have a management system conforming to the relevant standard
  - Providing CONFIDENCE to the organization's customers and other stakeholders that the system is **effective** in achieving the desired outputs
    - *"Consistent conforming products" (ISO 9001)*
    - *"Prevention of pollution; regulatory compliance; continual improvement" (ISO 14001)*
    - *etc*

In other words........

"Output matters!"
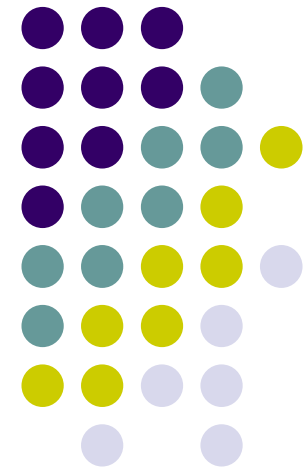
Some real and potential threats identified by the IAG

- General:
  - Vested interests (Commercial / political)
  - Unrealistic market expectations
  - "Overselling" of ISO 9000 by consultants and CB's
  - Inconsistent approaches (AB's, CB's, auditors, regions)
  - Gossip

Some real and potential threats identified by the IAG

- From AB's:
  - Poor feedback mechanisms from the market
  - Too bureaucratic
  - Generally not "tough" enough to get rid of the "bad guys"
  - Inconsistent approach between AB's
  - Commercial considerations for some AB's
  - Insufficient awareness of the role of AB's

Some real and potential threats identified by the IAG

- From CB's:
  - Competence of audit teams
    - Inconsistencies
    - Inability to look beyond "documents"
    - Poor understanding of "process approach"
    - Inadequate technical knowledge
  - Commercial considerations
  - Conflicts of interest (not only consulting!!)
  - Little or no feedback from clients' customers
  - Ethical considerations
  - Too little focus on QMS *performance*

Some real and potential threats identified by the IAG

- From consultants:
  - Lack of competence
  - Methodology
    - Too much focus on documents
    - Too little focus on results
    - "One size fits all"
  - Conflicts of interest
    - Unhealthy relationships with CB's

Some real and potential threats identified by the IAG

- From organizations:
  - Lack of quality culture
    - Only interested in "the certificate"
  - Commercial considerations
    - drive down price – "you get what you pay for"
  - Ethics
  - Lack of understanding
    - Of accreditation
    - Of ISO 9000
    - Process approach
  - Reactive approach to audits (internal and external)

Some real and potential threats identified by the IAG

- From auditors:
  - Competence:
    - Auditing outside their own competence
    - Little "Business sense"
    - Poor knowledge of the process
    - Inability to deal with top management
  - Conflicts of interest
  - No sense of professional responsibility

Some real and potential threats identified by the IAG

- Others:
  - Regulators
  - Purchasers
  - Government
  - Trainers

Some more recent concerns

- Poor adoption of IAF GD3 (Cross-frontier accreditation)
- Poor complaints handling by AB's
- Lack of openness by CB's regarding certified clients (ISO/IEC 17021 Clause 8.3)
- "Soft-grading" by CB's
- Unrealistically short implementation times
- Falsification of certificates
- "Un-reported" accredited certificates
- Lack of oversight of "non-Foreign Critical Locations"
- Low levels of confidence in performance of franchisees (UNIDO/ISO/IAF survey)

IAF GD3 ("Cross-frontier accreditation")

Clause 2.1.1:

"IAF MLA signatory ABs should record the countries in which each CRB accredited by them issues certificates under their accreditation. This includes:

- *countries into which accredited certificates are issued directly from the CRB's head or other office; and*
- *countries in which the CRB operates from local offices, whatever the legal relationship of such offices with the parent CRB."*

● UNIDO/ISO/IAF project highlighted significant deficiencies

Poor complaints handling throughout the supply chain

- 2010 ISO/CASCO pilot for complaints (on ISO website; "4 clicks from Home page")
  - Results indicate frustration among complainants that they don't know *who* to complain to
  - Pilot included total of 34 complaints about certified organizations, CB's, AB's and false certificates.
  - Complaints were forwarded to relevant parties.
  - None (0%!!) were resolved to the complainant's satisfaction
- UNIDO/ISO/IAF survey shows "complaints handling" as "number one" cause of dissatisfaction among customers of ISO 9001-certified organizations

Lack of openness from CB's

"Openness" is a key principle for ISO/IEC 17021

- *"CB needs to provide public access to, or disclosure of, appropriate and timely information about its audit process and certification process, and about the certification status (i.e. the granting, extending, maintaining, renewing, suspending, reducing the scope of, or withdrawing of certification) of any organization, in order to gain confidence in the integrity and credibility of certification. Openness is a principle of access to, or disclosure of, appropriate information"*

ISO/IEC 17021 Clause 8.3

8.3 Directory of Certified Clients

The certification body shall maintain and **make publicly accessible, or provide upon request**, *by any means it chooses, a directory of valid certifications that* **as a minimum shall show the name, relevant normative document, scope and geographical location (e.g. city and country) for each certified client** *(or the geographic location of the headquarters and any sites within the scope of a multi-site certification).*

NOTE The directory remains the sole property of the certification body"

ISO/IEC 17021 Clause 8.3 is not being followed

- Many CB's not respecting ISO/IEC 17021 Clause 8.3 ("Directory of certified clients")

- Some AB's "turning a blind eye"

- CB concern is about other CB's "poaching" their clients

- Recent formal decision by IAF Technical Committee (March 2011)

    - *"All AB members of IAF must ensure that their accredited CB's comply with the requirements of ISO/IEC 17021 Clause 8.3.*

    - *Accredited CB's must be able to demonstrate to their AB(s) how they have chosen to make this information accessible or available on request, keeping in mind the IAF Technical Committee decision 08/03/03 that providing only a means to confirm the validity of a given certification does not conform to the requirement of Clause 8.3"*

"Soft grading"

- ## Being "nice" to the certified client

  - ### Reporting major NC's as "minors"

  - ### Reporting "minor NC's" as "observations" or "opportunity for improvement"

- ## Unfair to "certified client's customers"

  - ### They base their purchasing decision on CB's "recommendation"

- ## Tendency for big increase in NC's during AB-witnessed audits!

Unrealistically short implementation times

- UNIDO/ISO/IAF project showed that
  - 38% of the certified organizations visited claimed to have implemented their QMS and achieved certification in less than 6 months
  - 9% claimed to have done so in 3 months or less!
- Confidence level in market surveillance visits significantly lower for "quick implementations" (see next slide)

Overall confidence level as a function of time taken to implement system
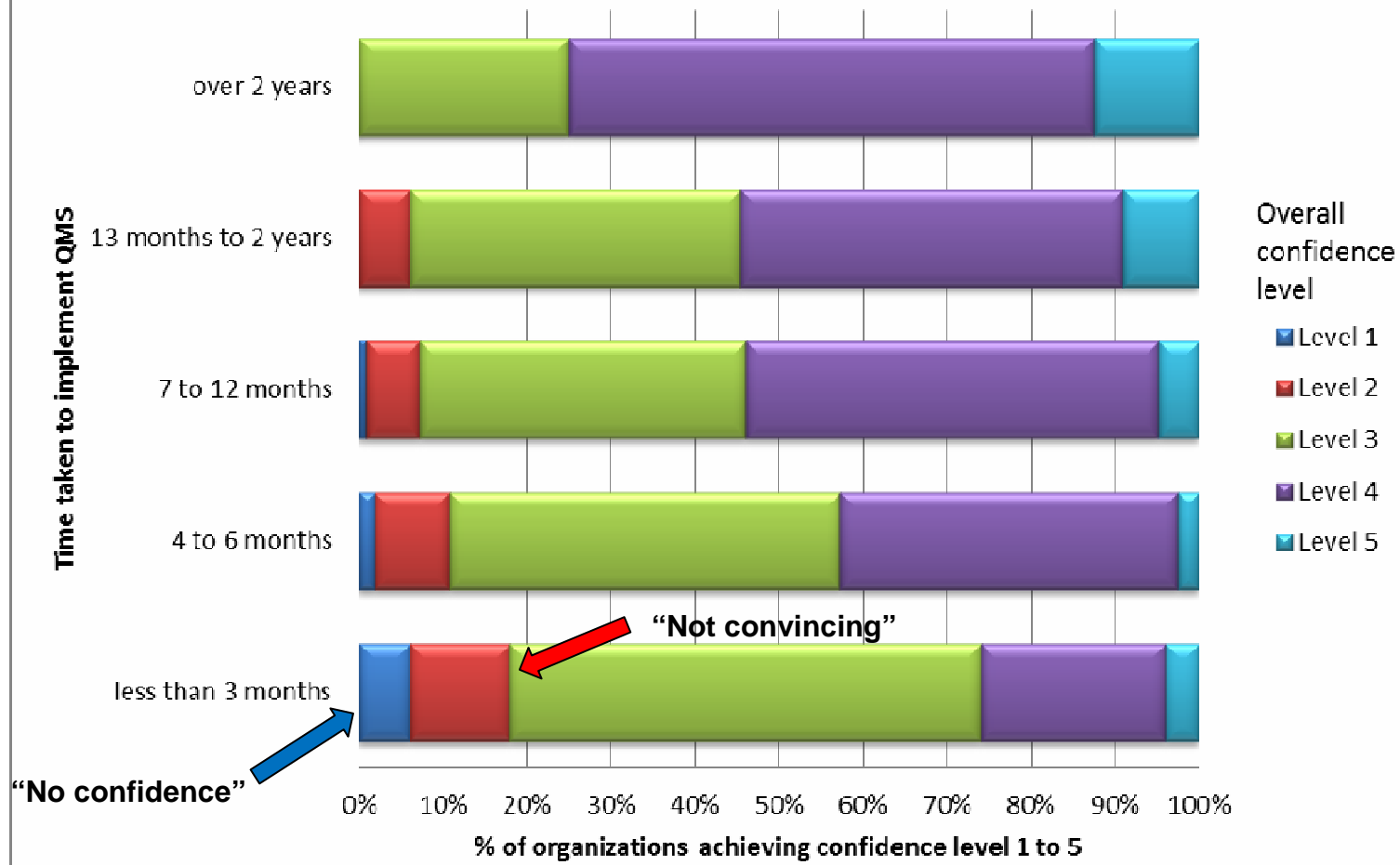
"False" certificates

- False certificates issued by consultants or others

- Tendency for customers to accept without questioning

- Lack of awareness of role of accreditation, even among major purchasers (don't look for accreditation mark or check validity)

- Aided by lack of openness from some CB's

- Emergence of unaccredited CB's, non-IAF "rubber-stamp" AB's, and even a "fake IAF"!!

"Unreported" accredited certs
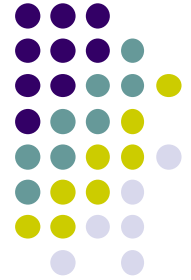
- Accredited CB issues accredited certs, but does not report these to AB

    - Reduces fees payable to AB (based on numbers of certs)

    - These certified organizations not subject to selection for witness by AB

- Aided (again) by lack of openness from some CB's

# Lack of oversight of "non-Foreign Critical Locations"

- IAF GD3 requires AB's to monitor all "Foreign Critical Locations" of their accredited CB's
  - "where activities are conducted or controlled that determine or demonstrate the effectiveness of the CB's performance"
  - Includes:
    - process for initial qualification, training and ongoing monitoring of auditors and assessment personnel records; or
    - application review, assignment of assessment personnel, and/or review of the final report; or
    - the certification decision
- Indications that some CB's are "masking" FCL's

Poor performance by franchisees

Overall confidence in organizations broken down by type of CB
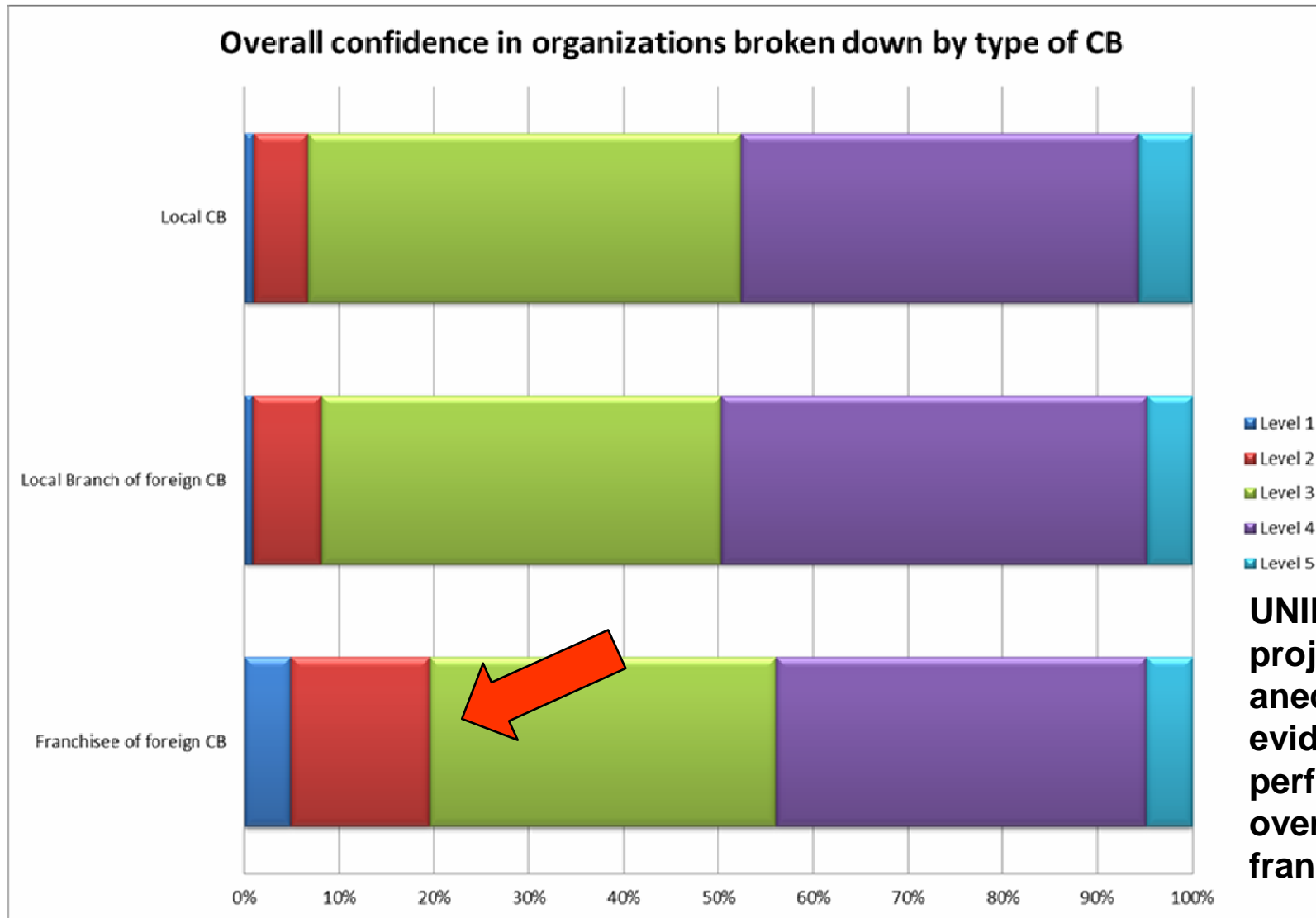
UNIDO/ISO/IAF project confirmed anecdotal evidence of poor performance by overseas franchisees
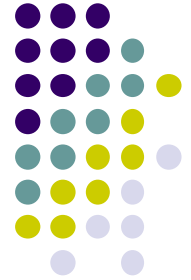
Conclusions

- "Old" threats to credibility continue

  - Most are being addressed by ISO and IAF Strategic Action Plan (not discussed in this presentation)

- New threats emerging constantly

  - New initiatives being introduced by ISO and IAF

- We all need to continue working together to preserve the reputation of management system certification!

THANK YOU!

Questions?

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