



ISO 9001

Good Practices: Experience in the Market Surveillance of ISO 9001 Quality Management Systems



UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

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TABLE OF CONTENTS

UNIDO Foreword	7
Acronyms	8
Executive Summary	9
1. Objectives of ISO 9001	10
2. Conformity Assessment of Quality Management Systems	12
Certification as a confidence-building activity	13
Evolution of ISO 9001 certification	14
Accredited certification to ISO 9001	14
The role of accreditation in facilitating trade	17
3. Credibility of Management Systems Certification	18
4. Some Key Findings and the Need for Market Surveillance of ISO 9001 Certification	22
Economic benefits of ISO 9001	23
Credibility of ISO 9001	23
Purchasers' perceptions of their ISO 9001-certified suppliers	23
Lack of transparency in some certification and accreditation bodies	23
Performance of certified organizations	24
Differences in performance of certification bodies and accreditation bodies	24
Performance of local franchisees of foreign certification bodies	25
Weak areas of implementation of ISO 9001	25
5. Methodology for Market Surveillance of ISO 9001 Certification	26
Background	27
Definitions	28
Objective	28
Criteria for initiating a Market Surveillance visit	28
Planning of market surveillance visits	29
Methodology of a market surveillance visit	30
Analysis of results	30
Annexes	32
Case studies	40
References / Bibliography	46

UNIDO FOREWORD



The ISO 9000 series of standards on quality management, developed by the International Organization for Standardization (ISO), play an important role in promoting sustainable international trade. In particular, ISO 9001 (Quality Management System – Requirements) is widely used by organizations around the world to demonstrate that they are managing their business processes in order to provide confidence that their products and services will consistently meet customer and applicable statutory and regulatory requirements. The most common way to do this is via the third-party certification process, whereby an independent certification body conducts a programme of audits to ensure that organization meets (and continues to meet) all the applicable requirements of the standard.

The competence of a certification body to carry out such certification can be demonstrated by the process of accreditation. Although there are numerous certification bodies around the world, there is usually only one government-recognized accreditation body in any given country. Such accreditation bodies work together to provide recognition of each other's accredited certificates under the International Accreditation Forum's Multilateral Recognition Arrangement (MLA). This offers certified organizations a unique opportunity to improve their competitive advantage by providing them with access to international markets and formal tenders where such certification to ISO 9001 is often a pre-requisite. Furthermore, the proper use of ISO 9001 – based quality management systems assists developing countries to promote sustainable trade, thereby pursuing UNIDO's goal of inclusive and sustainable industrial development and contributing towards the 2030 development agenda.

It has to be recognized, however, that certification is itself a competitive business, and there are often many competing certification bodies operating in any given economy. It is therefore important to have a mechanism to monitor

the effectiveness of the overall accredited certification process and the extent to which it ensures the certified organization's quality management system continues to meet all the requirements of ISO 9001, and is “providing confidence in the organization's ability to consistently provide conforming products and services”.

The concept of “market surveillance” is well known in the regulatory context for products and services, but a similar approach can also be applied for management systems. As part of a project that studied the implementation of ISO 9001 in twelve South and South-East Asian countries, UNIDO, ISO and IAF collaborated in the development of such a market surveillance methodology to evaluate the effectiveness of ISO 9001 certification in manufacturing organizations and the performance of the respective certification and accreditation bodies. This project resulted in a comprehensive report entitled “ISO 9001 – Its relevance and Impact in Asian Developing Economies”, published in 2012. Based on positive feedback received, the methodology was then further applied and validated in China and subsequently in Brazil, resulting in two further publications; “ISO 9001 – Relevance and Impact in China” published in 2015 and the other (“ISO 9001 – Relevance and Impact in Brazil”), in 2016.

I very much welcomed the idea to develop this publication in order to share the lessons learned in these joint UNIDO/ISO/IAF projects, and to disseminate good practices on how traditional accreditation oversight of certification schemes in member states can be complemented by appropriate market surveillance in order to ensure their ongoing credibility.

Li Yong
Director General

ACRONYMS

AB	Accreditation Body
BSCI	Business Social Compliance Initiative
CASCO Toolbox	Series of conformity assessment standards issued by ISO/CASCO
CB	Certification Body
EA	European Accreditation Cooperation
EMS	Environmental Management System
EnMS	Energy Management System
IAAC	Inter-American Accreditation Cooperation
IAF	International Accreditation Forum
IEC	International Electrotechnical Commission
ISMS	Information Security Management System
ISO	International Organization for Standardization
ISO/CASCO	ISO Policy Committee on Conformity Assessment
ISO/COPOLCO	ISO Committee on Consumer Policy
ISO/TC 176	ISO Technical Committee 176 for Quality Management and Quality Assurance
ISO/TC176/SC2	ISO Technical Subcommittee for Quality Systems
MLA	Multi-lateral Recognition Arrangement
MSV	Market Surveillance Visit

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