



CBLC
Brazilian Clearing and
Depository Corporation





***ISO 9001:
The CBLC Certification***



WHAT IS ISO?

RECOMMENDATIONS

ISO CERTIFICATION BENEFITS

CBLC CERTIFICATION

WHAT IS ISO?

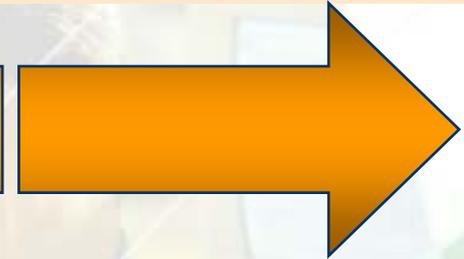
- The International Organization for Standardization (ISO) was established to develop common international standards in many areas
- ISO first published its quality standards, the ISO 9000 series, in 1987, revised them in 1994, and then republished an updated version in 2000
- ISO 9000 can be used for all types of organizations. It can help both product and service oriented organizations achieve standards of quality that are recognized and respected throughout the world

RECOMMENDATIONS

1987

1994

2000



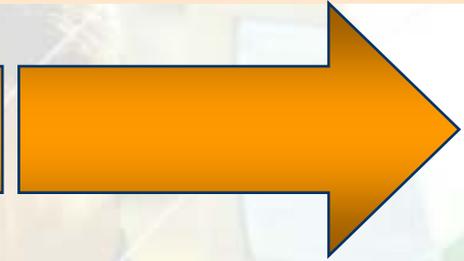
- The International Organization for Standardization created the TC-176 committee and published the ISO:9000 series
- The initial version, ISO 9000:1987, focused on **quality control** via retroactive checking and corrective actions
- This version was strongly influenced by the existing US Department of Defense Military Standards on Manufacturing, and so was well-suited to the demands of a rigorous, stable, factory-floor manufacturing process

RECOMMENDATIONS

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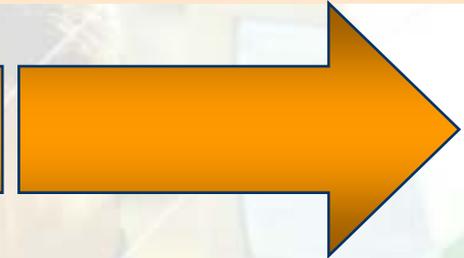
- The second version, ISO 9000:1994, emphasized **quality assurance** via preventive actions, and required evidence of compliance with **documented procedures**
- Companies tended to implement its requirements by creating procedure manuals and were soon swamped in bureaucracy. At this stage adaptation and improvement met with stiff resistance .

RECOMMENDATIONS

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1994

2000



- The last version, ISO 9000:2000, introduced the concept of **process effectiveness** via process performance metrics
 - This version consolidated the previously defined standards in one comprehensive set of rules
 - It reinforced features related to process monitoring, client relationships and continuous quality improvement
- Less emphasis was placed on documenting procedures if clear evidence showed the process was working

ISO CERTIFICATION BENEFITS

☀ Strategic thinking

- ✓ Mission, values and strategy

☀ Internal environment improvement

- ✓ Commitment of the leadership
- ✓ Quality and risk culture
- ✓ Integrity and ethical values
- ✓ Human Resource Policies and Practices

☀ Control activities

- ✓ Policies and Procedures
- ✓ Control of Manual and Information Systems Processes

☀ Monitoring

- ✓ Performance indicators
- ✓ Reporting

☀ Information and communication

- ✓ Expectations and responsibilities
- ✓ Internal and External

☀ Process and resource optimization

☀ Market appeal

☀ Customer satisfaction

- ✓ Methodology for determining customer needs and expectations
- ✓ Means for determining customer satisfaction

QUALITY CONTROL and OPERATIONAL RISK CONTROL

- In spreading quality control culture, industry realized that the ISO standards could be used as a tool in process and operational risk management

**QUALITY
MANAGEMENT
SYSTEM**



Operational risk management system

- Internal environment
- Risk assessment
- Risk Response
- Control activities
- Information and communication
- Monitoring

CBLC CERTIFICATION: History

- **1997: CBLC depository services received the ISO 9002:1994 certification**
- **The certification called for the normalization and standardization of all CSD activities**
 - It required the reorganization of 320 different documents used in process control
 - The CBLC staff was trained to perform the activities according to the new structure
- **CBLC performed a mapping and revision process**
 - Control points were identified and implemented where necessary
- **2001: the Depository Services Quality Management System was successfully revalidated**
- **2003: CBLC depository services received the ISO 9001:2000 certification**

CBLC CERTIFICATION: Benefits

- **Process mapping**
 - Process flows
 - Internal Procedures
 - Identification of Sources of Risk
 - Definition and implementation of control points.
- **The qualification process for the ISO certification was developed by the CBLC staff**
 - Senior staff were committed to achieving results
 - Internal relationships strengthened
 - Quality culture disseminated to staff

CBLC CERTIFICATION: Benefits

- **Monitoring process enhancement**
 - Performance indicators
 - Reports to senior staff on a regular basis
 - Problem detection and management
- **Process optimization and cost reduction**
- **Customer satisfaction monitoring**
 - Questionnaires
 - Staff specialized in customer services and support

CBLC Today

