ISO/IEC 17024

General Requirements for Bodies Operating Certification of Persons

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ISO/IEC 17024 Terminology

- Appeal
- Candidate
- Certification Process
- Certification Scheme
- Certification System
- Competence
ISO/IEC 17024 Terminology

- Complaint
- Evaluation
- Examination
- Examiner
- Qualification
Components of the Process

ANSI
- Receive and review application for completeness
- Appoint POAC members
- Manage fees
- Appoint assessors
- Train assessors
- Hear final level of appeals

Certification Body
- Files application
- Provides documentation
- Approves assessors
- Work with assessors; site visit, non-conformities, and corrective actions
- Comments on assessor report to PCAC
- Addresses non-conformities
- Maintain right to appeal
- Files annual report

Assessors
- Review applications and annual reports
- Request more information
- Determine non-conformities and corrective action
- Work with certification bodies non-conformities and corrective action
- Respond to PCAC and certification bodies questions

PCAC
- Review POAC review panel findings
- Votes accreditation action/action
- Handles first level of appeals
- Reviews POAC review panel findings
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PCAC Review Panel
- Reviews POAC review panel findings
- Votes accreditation action/action
- Handles first level of appeals

Full PCAC
- Reviews POAC review panel findings
- Votes accreditation action/action
- Handles first level of appeals

Report of the President and CEO
ANSI Board of Directors Meeting – May 10, 2004
ANSI Accreditation Process

- Letter of Eligibility
  - Three basic requirements
    - Legal entity or part of a legal entity
    - Independent third party
    - Published Scope of Certification
ANSI Accreditation Process

- Paper Application Addressing and documenting compliance with the requirements submitted
- Assignment of Assessors (auditors)
  - One psychometrican
  - One Generalist in Certification
  - Submitting of Confidentiality and Conflict of Interest
- Acceptance of Assessors
  - No conflict of interest
ANSI Accreditation Process

- Review of Application
  - Request for Further Information
  - Creation of the Audit Schedule (agenda on site)
    - Opening Meeting
    - Interviews and Review of Records
    - Exit Briefing
      - Written Non-conformities
      - Verbal: Strengths and Opportunities for Improvement
ANSI Accreditation Process

- Creation of the Accreditation Report
  - Two weeks after the on-site
  - Description of the Program
  - Documentation of Requirements Met
  - Strengths of the Program
  - Opportunities for Improvement
  - Non-conformities
ANSI Accreditation Report

- Report sent to certification body
  - Review of misstatement of fact
  - Submittal of any corrections action(s) and/or plans for corrective action(s)
  - Disagreements with the report

- Report sent back to Assessors
  - If changes requested
  - Assessors provide comments
    - Support or Disagree with Changes
ANSI Accreditation Process

- Report sent to Personnel Certification Accreditation Committee (PCAC) – Review Panel appointed by the PCAC Chair

- Review Panel Review
  - Review of accreditation report
  - Lack of clarity
  - Lack of support/evidence for Non-conformities
  - Review of Opportunities for Improvement
  - Present to Full PCAC
ANSI Accreditation Process

- Actions of the PCAC
  - Approval of the Report and Request for corrective plans/actions
  - Approval of the report with changes and request for corrective plans and/or actions
  - Approve report and award Accreditation for five years

- Annual Surveillance Reports
  - Monitoring
  - Actions taken on a yearly basis
ISO/IEC 17024 - Requirements

- Certification Body
  - Administrative Policies and Procedures
    - What to address
    - Where to document
  - Authority of Certification Body
    - What to state
    - Parameters to include
  - Scope of Certification
ISO/IEC 17024 - Requirements

- Organizational Structure
  - Three major considerations
    - Competence
    - Impartiality
      - Finances
      - Operations
    - Integrity
  - Requirements for Documentation
    - Relationship to Stakeholders
      - Impartiality and independence
    - Responsibility for decision-making
      - Scope & Authority
ISO/IEC 17024 - Requirements

- Requirements for Documentation cont’d
  - Designated responsibility as legal entity for operations and decisions
  - Relationship to other organizations
    - Conflict of interest
    - Authority of operations (financial)
    - Independence to implement policies
ISO/IEC 17024 - Requirements

- Documentation to Safeguard Impartiality
  - Bylaws
  - Articles of Incorporation
  - Minutes
  - Policy Manual
    - Composition of Board
    - Committees
    - Individuals Involved
ISO/IEC 17024 - Requirements

- Development of Scheme
  - Stakeholder input
  - Balance & Impartiality
  - Scheme Committee
    - Representation of interests
    - Involvement of test developers/advisors
    - Qualifications of members
ISO/IEC 17024 - Requirements

- Training and Education
  - Burden of Proof is on the certification body to document independent from certification functions
  - Documenting Compliance
    - Policies and procedures
    - Individuals involved
    - Inter-relationships
ISO/IEC 17024 - Requirements

- Appeals and Complaints
  - Policies
  - Documentation
  - Scope
  - Conflict of Interest
  - Process – Fairness

- Qualifications of People
  - Staff
  - Contracted Employees
Development/Maintenance of Scheme

- Define and justify scheme
- Describe process for developing and maintaining scheme
- Explain and document scheme committee’s role
- Communicate changes in the process
- Define criteria for judging competence
- Note extent to which certification is restricted and why
- Describe how assessments are evaluated
Development/Maintenance of Scheme

Pointers to remember…

- No right or wrong way to comply; standard is not prescriptive
- Demonstrate how you meet the requirements, processes used to assure validity and reliability
- Explain rationale for development and maintenance processes
- Document, document, document
ISO/IEC 17024 Requirements

- Management System
  - You don’t have to be ISO 9001:2000 Certified
  - Must be clearly documented
    - Plan: what, how and when?
  - Understood and Implemented at all levels of the organization
  - Three major components
    - Document Control
    - Internal Audit
    - Management Review
ISO/IEC 17024 - Requirements

- Subcontracting
  - Decision on Certification cannot be contracted out
  - Properly Documented Agreement
  - Certification Body Must take full responsibility for the Work
  - Ensure subcontractor is competent in contracted responsibilities
  - Maintain a list of sub-contractors
ISO/IEC 17024 - Requirements

- Records
  - Certification Status
    - Effective Date
    - Expiration
    - Re-certification
    - Restrictions
    - Discipline Actions
  - Storage & Maintenance
ISO/IEC 17024 - Requirements

- Confidentiality
  - Policies on releasing information
  - Access and Storage of records
  - Access to Information
  - Agreements
    - Confidentiality and conflict of interest
    - Volunteers, staff, and sub-contractors
  - Documentation – Handbooks, management manual, policy manual
Security

- Describe measures taken to insure security and confidentiality throughout system
- Include subcontractors and subject matter experts
- Explain how impartiality is maintained if trainers are test administrators
Security

Pointers to remember…

- Not just security as it pertains to examination administration
- Covers the examination development, integrity of subject experts, and the certification body staff
- Document irregularities or breaches of security and their remedies
ISO/IEC 17024 - Requirements

- Requirements for Persons
  - Define the competency requirements
  - Employed or contracted persons sign a document to commit to the policies and procedures
  - Current Job Descriptions
  - Document Qualifications and/or Training Received
  - Maintaining Personnel Records

- Requirements for Examiners
  - NOT proctors
ISO/IEC 17024 - Requirements

- Application
  - Information to include
    - Competence requirements
    - Description of Process
    - Type of Examination and Exam Blueprint
    - Fees
    - Policies and Procedures
    - Appeals
    - Code of Conduct
    - Signed application agreement
Evaluation

- Ensure eligibility requirements met as specified by the scheme
- Demonstrate how assessments conform to the requirements of the scheme
- Explain how all competence criteria are covered in the assessment procedures
- Report and maintain results appropriately
- Provide accommodations for any special needs
Evaluation

Pointers to remember….

- Make certain that qualified individuals are reviewing candidate qualifications
- Document the selection of assessment procedures
- Avoid either vague or obtuse reporting of certification results
- Make every reasonable effort to accommodate special needs at no cost to the candidate
- Communicate policy regarding special needs openly
Decision on Certification

- Describe how and who makes this
- Base decision on information gathered in the process
- Award certificates all certified persons and can take many forms
- Include certificant’s name, unique identification number, name of awarding body, reference to the standard on which it was based, scope, effective and expiration dates
Decision on Certification

Pointers to remember…

- Decision must be made by the certifying body
- Safeguard the information used to make decision in case of complaints
- Grant certification when all requirements are met
- Notify candidates if information is used outside that specified in the scheme
ISO/IEC 17024 - Requirements

- Surveillance
  - Pro-active monitoring
    - Brochures
    - Surveys
    - Reporting from Regulatory Agencies
  - Actions taken when informed of alleged unethical or incompetent situations
ISO/IEC 17024 - Requirements

- Re-certification
  - Defined program
  - Assessments to support defined program
ISO/IEC 17024 - Requirements

- Use of certificates and logos/marks
  - Document use and management of logo/marks
  - Certified person signing an agreement
  - Protection of logs/marks