Workshop Materials - Understanding ISO/IEC 17024; Applying ISO/IEC 17024; Assessing Conformity Assessment Bodies Against ISO/IEC 17024; Scheme Development for Certification of Persons

Submitted by: Indonesia
Course Overview

- Course objectives
  - Understanding ISO/IEC 17024
  - Applying ISO/IEC 17024
  - Assessing CABs against ISO/IEC 17024
  - Scheme development for certification of persons

- Participant objectives
There are mechanisms for mutual recognition of Accredited Certification. 

- Regulators
- Governments
- MOU's
- Forums
- Scheme acceptance
- Free Trade Agreements
Fundamentals of Accreditation Standards

- ISO/CASCO common elements required in conformity assessment documents
  - impartiality (ISO/PAS 17001)
  - confidentiality (ISO/PAS 17002)
  - complaints and appeals (ISO/PAS 17003)
  - disclosure of information (ISO/PAS 17004)
  - management systems (ISO/PAS 17005)

Principles for certification of persons

- General
- Impartiality
  - Decisions based on objective evidence
  - CB to be impartial to give confidence
  - Threets to impartiality
- Competence
- Confidentiality and openness
- Responsiveness to complaints and appeals
- Responsibility
(Refer ISO/IEC 17024:2012 Annex A)

ISO/IEC 17024 – Overview

ISO/IEC 17024 covers the following Clauses:
1. Scope
2. Normative references
3. Terms and definitions
4. General requirements
5. Structural requirements
Clause 1 Scope

This International Standard contains principles and requirements for a body certifying persons against specific requirements, and includes the development and maintenance of a certification scheme for persons.

Clause 2.0 Normative References

- ISO/IEC 17000 – Conformity assessment – Vocabulary and general principles
Clause 3.0 Terms and definitions

- Certification process
- Certification scheme
- Certification requirements
- Scheme owner
- Certificate
- Competence
- Qualification
- Assessment
- Examination
- Examiner
- Invigilator
- Personnel

- Applicant
- Candidate
- Impartiality
- Fairness
- Validity
- Reliability
- Appeal
- Complaint
- Interested party
- Surveillance

Clause 4 General requirements

4.1 Legal matters
4.2 Responsibility for decision on certification
4.3 Management of impartiality
4.4 Finance and liability
### Clause 4 General requirements

#### (cont’d)

<table>
<thead>
<tr>
<th>4.1</th>
<th>Legal matters</th>
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<td>The certification body shall be a legal entity or a defined part of a legal entity</td>
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<th>4.2</th>
<th>Responsibility for decision on certification</th>
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<tr>
<td>The certification body shall be responsible for, shall retain authority for, and shall not delegate, its decisions relating to certification</td>
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<tr>
<th>4.3</th>
<th>Management of impartiality</th>
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<tr>
<td>4.3.1</td>
<td>The certification body shall document its structure, policies and procedures to manage impartiality and to ensure that the certification activities are undertaken impartially.</td>
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<td>Top management commitment to impartiality</td>
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<td>Publicly available statement on the importance of impartiality, managing conflicts of interest and ensuring objectivity</td>
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| 4.3.2 | Policies and procedures shall be fair for all applicants, candidates and certified persons |

| 4.3.3 | Certification shall not be restricted on the grounds of undue financial or other limiting conditions |
| | Procedures shall not be used to unfairly impede or inhibit access by applicants and candidates |
Clause 4 General requirements (cont’d)

4.3 Management of impartiality (cont’d)

4.3.5 The certification body shall be responsible for the impartiality of its certification activities and shall not allow commercial, financial or other pressures to compromise impartiality.

4.3.6 The certification body shall identify risks to impartiality on an ongoing basis.

4.3.7 The certification body shall analyse, document and eliminate or minimize the potential conflict of interests arising from its certification activities.

Clause 4 General requirements (cont’d)

4.3 Management of impartiality (cont’d)

4.3.8 The certification body shall be structured and managed so as to safeguard impartiality. This shall include balanced involvement of interested parties (see definition 3.21).

Clause 4 General requirements (cont’d)

4.4 Finance and liability

The certification body shall have the financial resources necessary for its operation and have adequate arrangements to cover liabilities.
Clause 5 Structural requirements

5.1 Management and organisation structure
5.1.1 Activities structured to safeguard impartiality
5.1.2 Documented organisational structure including duties, responsibilities and authorities
Responsibility shall be identified for:
- development of policies;
- implementation of policies and procedures;
- finances;
- resources;
- development and maintenance of schemes;
- assessment activities;
- certification decision;
- contractual arrangements.

Clause 5 Structural requirements
(cont’d)

5.2 Structure of certification body in relation to training
5.2.1 Completion of training may be a specified requirement of a certification scheme. The recognition/approval of training shall not compromise impartiality or reduce the assessment and certification requirements
5.2.2 The certification body shall provide information regarding education and training if they are used as pre-requisites for being eligible for certification. However, the certification body shall not state or imply that certification would be simpler, easier or less expensive if any specified education/training services are used.
Clause 5 Structural requirements (cont’d)

5.2.3 Offering training and certification for persons within the same legal entity constitutes a threat to impartiality. A certification body that is part of a legal entity offering training shall:

a) identify and document the associated threats to its impartiality on an ongoing basis;

b) demonstrate that all processes performed by the certification body are independent of training to ensure that confidentiality, information security, and impartiality are not compromised;

c) not give the impression that the use of both services would provide any advantage to the applicant;

Clause 5 Structural requirements (cont’d)

5.2.3 Certification body ……shall: (Cont’d)

d) not require the candidates to complete the certification body’s own education or training as an exclusive prerequisite when alternative education or training with an equivalent outcome exists;

e) ensure that personnel do not serve as an examiner of a specific candidate they have trained for a period of two years from the date of the conclusion of the training activities: this interval may be shortened if the certification body demonstrates it does not compromise impartiality.

ISO/IEC 17024 Training

Workshop
6.1 General personnel requirements
   6.1.1 The certification body shall manage and be responsible for the performance of all personnel involved in the certification process.
   6.1.2 The certification body shall have sufficient personnel available with the necessary competence to perform certification functions.
   6.1.3 The certification body shall define the competence requirements for personnel involved in the certification process.
### Clause 6 Resource requirements (cont’d)

#### 6.1 General personnel requirements (cont’d)

- **6.1.4** The certification body shall provide its personnel with documented instructions describing their duties and responsibilities.
- **6.1.5** The certification body shall maintain up-to-date personnel records.
- **6.1.6** Personnel acting on the certification body’s behalf shall keep confidential all information obtained or created during the performance of the body’s certification activities.

#### 6.1.7 The certification body shall require its personnel to sign a document by which they commit themselves to comply with the rules defined by the certification body, including those relating to confidentiality, impartiality and conflict of interests.

- **6.1.8** When a certification body certifies a person it employs, the certification body shall adopt procedures to maintain impartiality.

### Clause 6 Resource requirements (cont’d)

#### 6.2 Personnel involved in certification activities

- **6.2.1** General
  
  The certification body shall require its personnel to declare any potential conflict of interest in any candidate.

- **6.2.2** Requirements for examiners
  
  - **6.2.2.1** Examiners shall meet the requirements of the certification body. The selection and approval processes shall ensure that examiners:
    - a) understand the relevant certification scheme;
Clause 6 Resource requirements (cont'd)

6.2.2.1 Cont’d
b) are able to apply the examination procedures and documents;
c) have competence in the field to be examined;
d) are fluent, both in writing and orally, in the language of examination; in circumstances where an interpreter or a translator is used, the certification body shall have procedures in place to ensure that it does not affect the validity of the examination;
e) have identified any known conflicts of interest to ensure impartial judgements are made.

Clause 6 Resource requirements (cont’d)

6.2.2.2 The certification body shall monitor the performance of the examiners and the reliability of the examiners’ judgements.

6.2.2.3 If an examiner has a potential conflict of interest in the examination of a candidate, the certification body shall undertake measures to ensure that the confidentiality and impartiality of the examination are not compromised. These measures shall be recorded.

Clause 6 Resource requirements (cont’d)

6.2.3 Requirements for other personnel involved in the assessment

6.2.3.1 The certification body shall have a documented description of the responsibilities and qualifications of other personnel involved in the assessment process (e.g. invigilators).

6.2.3.2 If other personnel involved in the assessment have a potential conflict of interest in the examination of a candidate, the certification body shall undertake measures to ensure that confidentiality and impartiality of the examination is not compromised. These measures shall be recorded.
Clause 6 Resource requirements (cont’d)

6.3 Outsourcing
6.3.1 The certification body shall have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced work related to the certification process.

6.3.2 When a certification body outsources work related to certification, the certification body shall:
   a) take full responsibility for all outsourced work;
   b) ensure that the body conducting outsourced work is competent and complies ..................;
   c) assess and monitor the performance of the bodies conducting outsourced work .....................;
   d) have records to demonstrate that the outsourced work meets all the requirements;
   e) maintain a list of the bodies conducting outsourced work.

Clause 6 Resource requirements (cont’d)

6.4 Other resources
The certification body shall use adequate premises, including examination sites, equipment and resources for carrying out its certification activities.
Clause 7 Records and information requirements

7.1 Records of applicants, candidates and certified persons
7.2 Public information
7.3 Confidentiality
7.4 Security

7.1 (cont’d)
7.1.1 The certification body shall maintain records.
7.1.2 The records shall be identified, managed and disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information.
   The records shall be kept for an appropriate period of time………………

7.1 (cont’d)
7.1.3 The certification body shall have enforceable arrangements to require that the certified person informs the certification body, without delay, of matters that can affect the capability of the certified person to continue to fulfil the certification requirements.
Clause 7 Records and information requirements (cont’d)

7.2 Public information
7.2.1 The certification body shall verify and provide information, upon request, as to whether an individual holds a current, valid certification and the scope of that certification, except where the law requires such information not to be disclosed.

7.2.2 The certification body shall make publicly available without request information regarding the scope of the certification scheme and a general description of the certification process.

Clause 7 Records and information requirements (cont’d)

7.2 Public information (cont’d)
7.2.3 All pre-requisites of the certification scheme shall be listed and the list shall be made publicly available without request.

7.2.4 Information provided by the certification body, including advertising, shall be accurate and not misleading.

ISO/IEC 17024 Training
End Day 1
Clause 7 Records and information requirements (cont’d)

7.3 Confidentiality (cont’d)
7.3.3 The certification body shall ensure that information obtained during the certification process, or from sources other than the applicant, candidate or certified person, is not disclosed to an unauthorized party without the written consent of the individual (applicant, candidate or certified person), except where the law requires such information to be disclosed.
Clause 7 Records and information requirements (cont’d)

7.3 Confidentiality (cont’d)
7.3.4 When the certification body is required by law to release confidential information, the person concerned shall, unless prohibited by law, be notified as to what information will be provided.
7.3.5 The certification body shall ensure that the activities of related bodies do not compromise confidentiality.

Clause 7 Records and information requirements (cont’d)

7.4 Security (cont’d)
7.4.1 The certification body shall develop and document policies and procedures necessary to ensure security throughout the entire certification process and shall have measures in place to take corrective actions when security breaches occur.

Clause 7 Records and information requirements (cont’d)

7.4 Security (cont’d)
7.4.2 Security policies and procedures shall include provisions to ensure the security of examination materials, taking into account the following:
   a) the locations of the materials (e.g. transportation, electronic delivery, disposal, storage, examination centre);
   b) the nature of the materials (e.g. electronic, paper, test equipment);
   c) the steps in the examination process (e.g. development, administration, results reporting);
   d) the threats arising from repeated use of examination materials.
Clause 7 Records and information requirements (cont’d)
7.4 Security (cont’d)
7.4.3 Certification bodies shall prevent fraudulent examination practices by:
   a) requiring candidates to sign a non-disclosure agreement or other agreement indicating their commitment not to release confidential examination materials or participate in fraudulent test-taking practices;
   b) requiring an invigilator or examiner to be present;
   c) confirming the identity of the candidate;
   d) implementing procedures to prevent any unauthorized aids from being brought into the examination area;
   e) preventing candidates from gaining access to unauthorized aids during the examination;
   f) monitoring examination results for indications of cheating.

Clause 8 Certification Schemes
Planned for tomorrow.

Clause 9 Certification process requirements
9.1 Application process
9.2 Assessment process
9.3 Examination process
9.4 Decision on certification
9.5 Suspending, withdrawing or reducing the scope of certification
9.6 Recertification process
9.7 Use of certificates, logos and marks
9.8 Appeals against decisions on certification
9.9 Complaints
Clause 9 Certification process requirements (cont’d)

9.1 Application process
9.1.1 Upon application, the certification body shall make available an overview of the certification process in accordance with the certification scheme.
9.1.2 The certification body shall require the completion of an application, signed by the applicant seeking certification, which includes as a minimum the following:
   a) information required to identify the applicant;
   b) the scope of the desired certification;
   c) a statement that the applicant agrees to comply with the certification requirements
   d) any supporting information to demonstrate objectively compliance with the scheme prerequisites;
   e) notice to the applicant of his/her opportunity to declare within reason a request for accommodation of special needs (see 9.2.5).

9.1.3 The certification body shall review the application to confirm that the applicant complies with the application requirements of the certification scheme.

Clause 9 Certification process requirements (cont’d)

9.2 Assessment process
9.2.1 The certification body shall implement the specific assessment methods and mechanisms as defined in the certification scheme.
9.2.2 When there is a change in the certification scheme which requires additional assessment, the certification body shall document and make publicly accessible without request the specific methods and mechanisms required to verify that certified persons comply with changed requirements.
Clause 9 Certification process requirements (cont’d)

9.2 Assessment process (cont’d)
9.2.3 The assessment shall be planned and structured in a manner which ensures that the scheme requirements are objectively and systematically verified with documented evidence to confirm the competence of the candidate.

9.2.4 The certification body shall verify the methods for assessing candidates. This verification shall ensure that each assessment is fair and valid.

9.2.5 The certification body shall verify and accommodate special needs, within reason and where the integrity of the assessment is not violated, taking into account national regulation [see 9.1.2 e)].

9.2.6 Where the certification body takes into account work performed by another body, it shall have appropriate reports, data and records to demonstrate that the results are equivalent to, and conform with, the requirements established by the certification scheme.

Clause 9 Certification process requirements (cont’d)

9.3 Examination process
9.3.1 Examinations shall be designed to assess competence based on, and consistent with, the scheme, by written, oral, practical, observational or other reliable and objective means. The design of examination requirements shall ensure the comparability of results of each single examination, both in content and difficulty, including the validity of fail/pass decisions.

9.3.2 The certification body shall have procedures to ensure a consistent examination administration.
Clause 9 Certification process requirements (cont’d)

9.3 Examination process (cont’d)

9.3.3 Criteria for conditions for administering examinations shall be established, documented and monitored.

9.3.4 When technical equipment is used in the examination process, the equipment shall be verified or calibrated where appropriate.

9.3.5 Appropriate methodology and procedures (e.g. collecting and maintaining statistical data) shall be documented and implemented in order to reaffirm, at justified defined intervals, the fairness, validity, reliability and general performance of each examination, and that all identified deficiencies are corrected.

Clause 9 Certification process requirements (cont’d)

9.4 Decision on certification

9.4.1 The information gathered during the certification process shall be sufficient:

a) for the certification body to make a decision on certification;

b) for traceability in the event, for example, of an appeal or a complaint.

9.4.2 Decisions for granting, maintaining, recertifying, extending, reducing, suspending or withdrawing certification shall not be outsourced.
**Clause 9 Certification process requirements (cont’d)**

9.4 Decision on certification (cont’d)

9.4.3 The certification body shall confine its decision on certification to those matters specifically related to the requirements of the certification scheme.

9.4.4 The decision on certification of a candidate shall be made solely by the certification body on the basis of the information gathered during the certification process.

Personnel who make the decision on certification shall not have participated in the examination or training of the candidate.

9.4.5 The personnel who make certification decisions shall have sufficient knowledge of and experience with the certification process to determine if the certification requirements have been met.

9.4.6 Certification shall not be granted until all certification requirements are fulfilled.

9.4.7 The certification body shall provide a certificate to all certified persons. The certification body shall maintain sole ownership of the certificates.

The certificate shall be signed or authorized by a responsible member of the certification body.

9.4.8 The certificates shall contain, as a minimum, the following information:

a) the name of the certified person;

b) a unique identification;

c) the name of the certification body;

d) a reference to the certification scheme, standard or other relevant documents, including issue date, if relevant;

e) the scope of the certification including, if applicable, validity conditions and limitations;

f) the effective date of certification and date of expiry.

9.4.9 The certificate shall be designed to reduce the risks of counterfeiting.
Clause 9 Certification process requirements

9.5 Suspending, withdrawing or reducing the scope of certification

9.5.1 The certification body shall have a policy and (a) documented procedure(s) for suspension or withdrawal of the certification, or reduction of the scope of certification, which shall specify the subsequent actions by the certification body.

9.5.2 Failure to resolve the issues that have resulted in the suspension, in a time established by the certification body, shall result in withdrawal of the certification or reduction of the scope of certification.

9.5 (Cont’d)

9.5.3 The certification body shall have enforceable arrangements with the certified person to ensure that, in the event of suspension of certification, the certified person refrains from further promotion of the certification while it is suspended.

9.5.4 The certification body shall have enforceable arrangements with the certified person to ensure that, in the event of withdrawal of certification, the certified person refrains from use of all references to a certified status.

Clause 9 Certification process requirements (cont’d)

9.6 Recertification process

9.6.1 The certification body shall have (a) documented procedure(s) for implementation of the recertification process, in accordance with the certification scheme requirements.

9.6.2 The certification body shall ensure during the recertification process that it confirms continued competence of the certified person and ongoing compliance with current scheme requirements by the certified person.
Clause 9 Certification process requirements (cont'd)

9.6 (Cont’d)
9.6.3 The recertification period shall be based upon the scheme requirements. The rationale for the recertification period shall take into account, where relevant, the following:

a) regulatory requirements;
b) changes to normative documents;
c) changes in the relevant scheme requirements;
d) the nature and maturity of the industry or field in which the certified person is working;
e) the risks resulting from an incompetent person;
f) ongoing changes in technology, and requirements for certified persons;
g) requirements of interested parties;
h) the frequency and content of surveillance activities, if required by the scheme.

9.6.4 The selected recertification activity/activities shall be adequate to ensure that there is impartial assessment to confirm the continuing competence of the certified person.

9.6.5 In accordance with the certification scheme, recertification by the certification body shall consider at least the following:

a) on-site assessment;
b) professional development;
c) structured interviews;
d) confirmation of continuing satisfactory work and work experience records;
e) examination;
f) checks on physical capability in relation to the competence concerned.
Clause 9 Certification process requirements (cont’d)

9.7 Use of certificates, logos and marks
9.7.1 A certification body that provides a certification mark or logo shall document the conditions for use and shall appropriately manage the rights for usage and representation.

9.7.2 The certification body shall require that a certified person signs an agreement for the following reasons:
   a) to comply with the relevant provisions of the certification scheme;

   b) to make claims regarding certification only with respect to the scope for which certification has been granted;
   c) not to use the certification in such a manner as to bring the certification body into disrepute, and not to make any statement regarding the certification which the certification body considers misleading or unauthorized;

   d) to discontinue the use of all claims to certification that contain any reference to the certification body or certification upon suspension or withdrawal of certification, and to return any certificates issued by the certification body;
   e) not to use the certificate in a misleading manner.

9.7.3 A certification body shall address, by means of corrective measures, any misuse of its certification mark or logo.
Clause 9 Certification process requirements (cont’d)

9.8 Appeals against decisions on certification
9.8.1 The certification body shall have a documented process to receive, evaluate and make decisions on appeals.
   The appeals-handling process shall include at least the following elements and methods:
   a) the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;

9.8.1 (Cont’d) b) tracking and recording appeals, including actions undertaken to resolve them;
   c) ensuring that, if applicable, appropriate corrections and corrective actions are taken.

9.8.2 The policies and procedures shall ensure that all appeals are dealt with in a constructive, impartial and timely manner.

9.8.3 A description of the appeals-handling process shall be publicly accessible without request.

9.8.4 The certification body shall be responsible for all decisions at all levels of the appeals-handling process. The certification body shall ensure that the decision-making personnel engaged in the appeals-handling process are different from those who were involved in the decision being appealed.

9.8.5 Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

9.8.6 The certification body shall acknowledge receipt of the appeal and shall provide the appellant with progress reports and the outcome.
9.8.7 The certification body shall give formal notice to the appellant of the end of the appeals-handling process.

9.9 Complaints
9.9.1 The certification body shall have a documented process to receive, evaluate and make decisions on complaints.
9.9.2 A description of the complaints-handling process shall be accessible without request. The procedures shall treat all parties fairly and equitably.

9.9.3 The policies and procedures shall ensure that all complaints are handled and processed in a constructive, impartial and timely manner. The complaints-handling process shall include at least the following elements and methods:
   a) an outline of the process for receiving, validating, investigating the complaint and deciding what actions are to be taken in response to it;
   b) tracking and recording complaints, including actions undertaken in response to them;
   c) ensuring that, if applicable, appropriate corrections and corrective actions are taken.
Clause 9 Certification process requirements (cont’d)

9.9.4 Upon receipt of a complaint, the certification body shall confirm whether the complaint relates to certification activities for which it is responsible and, if so, shall respond accordingly.

9.9.5 Whenever possible, the certification body shall acknowledge receipt of the complaint and shall provide the complainant with progress reports and the outcome.

9.9.6 The certification body receiving the complaint shall be responsible for gathering and verifying all necessary information to validate the complaint.

9.9.7 Whenever possible, the certification body shall give formal notice of the end of the complaints-handling process to the complainant.

9.9.8 Any substantiated complaint about a certified person shall also be referred by the certification body to the certified person in question at an appropriate time.

9.9.9 The complaints-handling process shall be subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

9.9.10 The decision to be communicated to the complainant shall be made by, or reviewed and approved by, personnel not previously involved in the subject of the complaint.
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Clause 10 Management System requirements

10.1 General
The certification body shall establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard. In addition to meeting the requirements of Clauses 4 to 9, the certification body shall implement a management system in accordance with either option A or option B, as follows:

- Option A - prescribed elements as per 10.2
- Option B – in accordance with ISO 9001

Clause 10 Management System requirements (cont’d)

10.2 General management system requirements
10.2.1 General
10.2.2 Management system documentation
10.2.3 Control of documents
10.2.4 Control of records
10.2.5 Management review
   10.2.5.1 General
   10.2.5.2 Review inputs
   10.2.5.3 Review outputs
10.2.6 Internal audits
10.2.7 Corrective actions
10.2.8 Preventive actions
10.2 General management system requirements

10.2.1 The certification body shall establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard. The certification body's top management shall establish and document policies and objectives for its activities.

10.2.1 (cont’d)

The top management shall provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of this International Standard. The top management shall ensure that the policies are understood, implemented and maintained at all levels of the certification body's organization.

10.2.1 (cont’d)

The certification body's top management shall appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that include:

a) ensuring that processes and procedures needed for the management system are established, implemented and maintained;

b) reporting to top management on the performance of the management system and any need for improvement.
10.2.2 Management system documentation
Applicable requirements of this International Standard shall be documented.
The certification body shall ensure that the management system documentation is provided to all relevant personnel.

10.2.3 Control of documents
Procedures to control documents (internal and external) related to the fulfilment of this International Standard shall be established.

Procedures shall define the controls needed to:
a) approve documents for adequacy prior to issue;
b) review, update and re-approve documents;
c) ensure that changes and the current revision status of documents are identified;
d) ensure that relevant versions of applicable documents are available at points of use;
e) ensure that documents remain legible and readily identifiable;
f) ensure that documents of external origin are identified and their distribution controlled;
g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.
Clause 10 Management System requirements (cont’d)

10.2.4 Control of records

Procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records related to the fulfilment of this International Standard shall be established.

Procedures for retaining records for a period consistent with contractual and legal obligations shall be established.

Access to these records shall be consistent with confidentiality arrangements.

Clause 10 Management System requirements (cont’d)

10.2.5 Management review

10.2.5.1 General

Top management shall establish procedures to review its management system at planned intervals, in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this International Standard.

Reviews shall be conducted at least once every 12 months and shall be documented.

Clause 10 Management System requirements (cont’d)

10.2.5.2 Review input

Input to management review shall include the following:

a) results of internal and external audits;

b) feedback from clients and interested parties;

c) feedback from the mechanism for safeguarding impartiality;

d) the status of preventive and corrective actions;

e) follow-up actions from previous management reviews;

f) the fulfilment of objectives;

g) changes that could affect the management system;

h) appeals and complaints.
Clause 10 Management System requirements (cont’d)

10.2.5.3 Review output
Output from management review shall include decisions and actions related to the following:
   a) improvement of the effectiveness of the management system and its processes;
   b) improvement of the certification services related to the fulfilment of this International Standard;
   c) resource needs.

Clause 10 Management System requirements (cont’d)

10.2.6 Internal audits
10.2.6.1 Procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained shall be established.
10.2.6.2 An audit programme shall be planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits.

Clause 10 Management System requirements (cont’d)

10.2.6.3 Internal audits shall be performed at least once every 12 months. The frequency of internal audits may be reduced if the certification body demonstrates that its management system continues to be effectively implemented in accordance with this International Standard and has proven stability.
Clause 10 Management System requirements (cont’d)

10.2.6.4 Certification body shall ensure that:
   a) internal audits are conducted by competent personnel, knowledgeable in the certification process, auditing and the requirements of this International Standard;
   b) auditors do not audit their own work;
   c) personnel responsible for the area audited are informed of the outcome of the audit;
   d) any actions resulting from internal audits are taken in a timely and appropriate manner;
   e) any opportunities for improvement are identified.

Clause 10 Management System requirements (cont’d)

10.2.7 Corrective actions
   The certification body shall establish (a) procedure(s) for identification and management of nonconformities in its operations.
   Certification body shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence.
   Corrective actions shall be appropriate to the impact of the problems encountered.

Clause 10 Management System requirements (cont’d)

10.2.7 (cont’d)
   Procedures shall define requirements for the following:
   a) identifying nonconformities;
   b) determining the causes of nonconformity;
   c) correcting nonconformities;
   d) evaluating the need for actions to ensure that nonconformities do not recur;
   e) determining and implementing the actions needed in a timely manner;
   f) recording the results of actions taken;
   g) reviewing the effectiveness of corrective actions.
Clause 10 Management System requirements

10.2.8 Preventive actions
Certification body shall establish procedures for taking preventive actions to eliminate the causes of potential nonconformities. Preventive actions taken shall be appropriate to the probable impact of the potential problems.

Clauses 10 Management System requirements (cont’d)

10.2.8 (cont’d)
Procedures for preventive actions shall define requirements for the following:
   a) identifying potential nonconformities and their causes;
   b) evaluating the need for action to prevent the occurrence of nonconformities;
   c) determining and implementing the action needed;
   d) recording the results of actions taken;
   e) reviewing the effectiveness of the preventive actions taken.

The procedures for corrective and preventive actions do not necessarily have to be separate.

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Clause 8 Certification Schemes

8.1 There shall be a certification scheme for each category of certification.

8.2 A certification scheme shall contain the following elements:
   a) scope of certification;
   b) job and task description;
   c) required competence;
   d) abilities (when applicable);
   e) prerequisites (when applicable);
   f) code of conduct (when applicable).
Clause 8 Certification Schemes
(cont’d)

8.3 A certification scheme shall include the following certification process requirements:
a) criteria for initial certification and recertification;
b) assessment methods for initial certification and recertification;
c) surveillance methods and criteria (if applicable);
d) criteria for suspending and withdrawing certification;
e) criteria for changing the scope or level of certification (if applicable).

Clause 8 Certification Schemes
(cont’d)

8.4 The certification body shall have documents to demonstrate that, in the development and review of the certification scheme, the following are included:
a) the involvement of appropriate experts;
b) the use of an appropriate structure that fairly represents the interests of all parties significantly concerned, without any interest predominating;
c) the identification and alignment of prerequisites, if applicable, with the competence requirements;
d) the identification and alignment of the assessment mechanisms with the competence requirements;
e) a job or practice analysis that is conducted and updated to:
   - identify the tasks for successful performance;
   - identify the required competence for each task;
   - identify prerequisites (if applicable);
   - confirm the assessment mechanisms and examination content;
   - identify the recertification requirements and interval.
Clause 8 Certification Schemes (cont’d)

8.5 The certification body shall ensure that the certification scheme is reviewed and validated on an on going, systematic basis.

8.6 When the certification body is not the scheme owner of a certification scheme it implements, the certification body shall ensure that the requirements contained in this clause (Clause 8) are met.

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Certification schemes for persons

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Auditing certification bodies for persons
Thank you all for your cooperation and enthusiasm during this course.

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