

## Competency, experience and other requirements for applicant bodies.

The general requirement for applications is that an applicant body shall meet the requirements of ISO 17021. It is often possible to demonstrate the technical requirements of the standard being met but a shortfall can exist with implementation of a body's management system. There is a need to ensure that bodies demonstrate appropriate skills and competence within the certification profession.

Many consultancies have seen the commercial opportunities of offering certification services. Relevant skills and competences are common to both consultancy and certification but not all aspects from consultancy are appropriate to certification, and vice versa. In addition, the skills and knowledge sets are different, although some similarity on occasion.

It is therefore necessary to lay down some requirements for applicant certification bodies. These are as follows:

- Applicants must demonstrate personal experience, qualification, competence and skill.
- Attributes, knowledge and skills will be subjectively assessed via use of Table 1 of ISO 17021-2 (See Table 1 to this document).
- At date of application, certification bodies should demonstrate a collective 120 months professional experience within the certification profession at a senior level. This will be assessed from information provided in the relevant application form (typically ASL(F)2). If in doubt about what is considered professional experience, please contact us in advance of making an application.
- No one person may contribute more than 45% of the experience requirement.
- Documentation must be at a professional level of quality and be the applicant certification body's own work. The following are document considerations deemed important to ASCB:
  - Plagiarism must be avoided.
  - Documents containing the names of other organisations.
  - Document control: Electronic files should reflect document name and number as well as document status or version.
- Normally, an application for accreditation services requires a once-only application fee. However, if a provisional award is not achieved within a period of four months (120 days) from date of application, then ASCB reserve the right to either refuse the application, or a further fee is required in order to proceed. Time spent in administration at ASCB will not be taken into account, so the calendar time may be permitted to exceed four months if the delay is unreasonably caused by ASCB.
- Applicants should keep in mind that only three things are required.
  - Documentation demonstrating management system structure in compliance with ISO 17021.
  - Records demonstrating implementation of the management system.
  - Competence of personnel. In this respect the following are important:
    - Qualities of individuals with regard to ISO 17021 and Table 1 of this document.
    - Accuracy of CVs and completed application forms.
    - Completeness of CVs and application forms.

See Table 1, next page.

Table 1 - Attributes, knowledge and skills for personnel involved with specific certification activities

(Refer to ISO/IEC CD 17021-2)

Attributes, knowledge and skills	Certification functions	Personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit duration.	Personnel reviewing audit reports and making certification decisions.	Members of the committee for safeguarding impartiality.	Auditors	Audit team leaders
<b>Personal Attributes</b>						
Ethical		X	X	x	X	X
Open minded		X	X		X	X
Diplomatic		X	X		X	X
Observant					X	X
Perceptive			X		X	X
Versatile					X	X
Tenacious					X	X
Decisive		X	X	X	X	X
Self-reliant		X	X		X	X
Morally courageous			X	X	X	X
Professional		X			X	X
Organised					X	X
<b>Knowledge (see 7.1.2)</b>						
Generic management system practices.			Analyse		Analyse	Analyse
Competence of individual auditors and technical experts.		Analyse	Analyse			
Competence of Audit Team members					Understand	Analyse
Specific Management System standards/normative documents		Analyse	Judge		Judge	Judge
CB's Processes		Apply	Apply	Understand	Apply	Synthesise
General office practices systems and technologies		Understand	Apply		Apply	Apply
Client business technology		Understand			Apply	Apply
Information on client products processes and organisation to determine competence needed by the audit team and for the certification decision		Analyse				
Clients products, processes and organisation					Apply	Apply
Cultural norms		Understand			Apply	Apply
ISO 17021 parts 1 & 2				Understand		
Management Systems Certification				Understand		
Stakeholder expectations				Analyse		
Business financial & legal risks				Analyse		
Outcomes of prior audits					Analyse	Analyse
Language appropriate to all levels					Apply	Apply
<b>Skills (see 7.1.3)</b>						
Reading		1	1	1	2	2
Writing		1	1	1	3	3 & 7
Listening		1	1	1	4	4
Numeric		1			1	1
Orally presenting				1	5	5 & 8
Interviewing					6	6
Facilitating meetings						9

**NOTE: Explanation of the level of proficiency to demonstrated for skills:**

- 1 Skills to be commensurate with the requirements of the relevant processes.
- 2 Reading with speed, accuracy and comprehension to be able to analyze and judge in audit situations.
- 3 Writing accurately and succinctly to record, take notes, and communicate audit findings and conclusions.
- 4 Listening with accuracy and comprehension to be able to analyze and judge in audit situations.
- 5 Orally presenting audit findings and conclusions to be easily understood.
- 6 Interviewing to be able to obtain relevant information by asking open-ended, well formulated questions and listening to understand and judge the answers.
- 7 Writing of the audit report and appropriately communicating overall conclusions and recommendations.
- 8 Orally presenting, in a public forum (e.g., closing meeting), audit findings, conclusions, and recommendations appropriate to the audience.
- 9 Facilitating meetings with the audit team and the client for the effective exchange of information.

END