



**ISO/IEC 17024 Vertical Assessment Form
For Personnel Certification Bodies**

F07/07E

For office use: EAS Acc. No

Personnel Certification Bodies:

Field of operation:

Assessor/s, Technical Expert & Observers:

Personnel Certification Bodies Representative:

Date of Evaluation:

This report covers the following:

Type of Assessment (Tick box):	Initial:	Follow Up:	Re-assessment:	Other
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Instruction

- 1) **Purpose:** This form shall not be used by technical assessors as a checklist but for recording traceable factual evidence of the vertical assessment of all the technical inputs that were required in the production of the certificate which has been selected. Clause numbers of the relevant standards are therefore not quoted and the vertical assessment need not be limited to the technical aspects listed. All facts recorded should be sufficient so as to verify that the certificate was, or was not, performed under pre-defined controlled conditions and, as a consequence, the result produced has, or has not, a known measurement uncertainty.
- 2) **Selection of certificate:** Select a certificate at random and choose one or more accredited certification results in order to trace back to check that all the technical input controls were valid, effective and conform to the personnel certification's system requirements and to the requirements of ISO/IEC 17024.
- 3) **Record of assessment:** Record what was checked, how it was checked and if it is adequate to meet the technical requirement of the relevant standard. Use the blank portions of the form underneath the aspects to be assessed and, if necessary, continue recording data on the back of each page and cross referencing such notes to the original notes.

Accreditation Certificate No: _____ Customer Name: _____ Date issued: _____

Personnel Certification Scheme Selected Certificate and Results: _____

CONTROLS TO BE ASSESSED

(Key: C = Comply, NC = Not comply, NA = Not applicable)

**C
NC
NA**

1) Compliance of certificate of a certified Person

- Assess the certificate for compliance to the relevant requirements for reporting of results.
- 1) Certificate presentation (letter, card, other) and authorization
 - 2) Certificate details (name of certified person, unique identity, CB names, certification scheme/standard /relevant documents, issue date, scope of certification, conditions or limitations, effective and expiry date)
 - 3) Certificate design to reduce risk of counterfeiting

2) General requirements for personnel involved in certification activities:

<p style="text-align: center;">CONTROLS TO BE ASSESSED (Key: C = Comply, NC = Not comply, NA = Not applicable)</p>	<p style="text-align: center;">C NC NA</p>
<p>Trace back to the raw data of the person(s) who performed the certification selected and check:</p> <ol style="list-style-type: none"> 1) Are Competence requirements defined for personnel involved in the certification process? 2) Are Personnel duties & responsibilities defined (& up to date); personnel acknowledge their assigned duties? 3) Are Personnel records maintained (including training, experience, competence, conflict of interest etc?) 4) Is there personnel commitment to confidentiality & impartiality? 5) Do Personnel declare any potential conflict of interest if relevant? 	
<p>3) Security measures :</p>	
<p>Assess or ensure measures taken security (<i>What evidence supports the measures taken to ensure no security breaches were introduced during the certification process & associated activities</i>) applicable to the selected certification and check:</p> <ol style="list-style-type: none"> 1) Is safe handling of examination materials specific to the nature of material used and location etc.? 2) How does the CB ensure safe examination practices in order to prevent fraudulent activities? 	
<p>4) Examiners :</p>	
<p>Assess the Competence, performance and Training records of the Examiner (s) who examined the selected certification and check:</p> <ol style="list-style-type: none"> 1) Has the Certification Body established competence requirements for examiners which include: Understanding of relevant certification scheme; application of examination procedures, relevant field competence? 2) What is the process of examiner performance monitoring (on-site observation, reviews, reports, feedback sources)? 3) Are there records of measures taken to ensure confidentiality and impartiality of examination process? 	
<p>5) Performance capability of selected Outsourcing/other resources:</p>	

<p align="center">CONTROLS TO BE ASSESSED</p> <p align="center">(Key: C = Comply, NC = Not comply, NA = Not applicable)</p>	<p align="center">C NC NA</p>
<p>Assess the validation/verification of CAB which performed outsourcing Certification activity and check:</p> <ol style="list-style-type: none"> 1) Does the CB have enforceable agreements covering confidentiality and conflict of interest? 2) Are records demonstrating competence & monitoring requirements of bodies performing outsourced Work in place? Is there an up to date list of bodies conducting outsourced work? 3) Are there adequate physical and environmental resources available to carry out certification activities? 	
<p>6) Records and information requirements (outside of personnel involved in certification activities)</p>	
<ol style="list-style-type: none"> 1) Are records available to demonstrate the (re) certification process is effective (application forms, Assessment reports, examination records etc.)? 2) Does the CB have appropriate means of identification of records, retention and handling? 	
<p>7. Certification Schemes</p>	

CONTROLS TO BE ASSESSED (Key: C = Comply, NC = Not comply, NA = Not applicable)	C NC NA
<p>Assess the fulfilment of certification scheme in relation to the selected certification/ How does the CB ensure the following requirements as per clause 8 of the standard are met? Provide details on /and check:</p> <p>There is a certification scheme for each category of certification The relevant certification scheme contains the following elements:</p> <ol style="list-style-type: none"> 1) Scope 2) Job description 3) Competence requirements 4) Abilities 5) Prerequisites 6) Code of conduct 	
<p>8. Process Requirement of Certification Scheme</p> <p>The relevant certification scheme includes the following process requirement:</p> <ol style="list-style-type: none"> 1) Criteria for initial certification and recertification 2) Assessment methods for initial certification and recertification 3) Follow Up methods and requirements 4) Criteria for suspending and withdrawing of certification 5) Criteria for changing the scope or level of certification 	
<p>Does the CB address through documents and by demonstration that, in the development and review of the certification scheme, the following are included:</p> <ol style="list-style-type: none"> 1) Appropriate expert involvement 2) The use of an appropriate structure that fairly represents the interest of all parties concerned and no pre-dominating interest exists: 3) Identification and alignment of prerequisites with competence requirements 4) Identification and alignment of the assessment mechanisms with competence requirements 5) A job analysis that is conducted and updated to identify the treats to successful performance, competence requirements for each task, prerequisite identification, confirm assessment mechanisms and examination content, and identify the recertification requirements and Interval. 	

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<p>8.1) Application process</p>	
<p>Assess the Certification process accordance with the relevant certification scheme & Assess Application review of the selected certification report and check:</p> <ol style="list-style-type: none"> 1) Is the Certification process is in accordance with the relevant certification scheme? 2) Are applicant agreements in place to provide: applicant details, scope of desired certification, provide necessary information, scheme prerequisites, declaration of special needs 3) How does the CB demonstrate that the applicant complies with requirements of the relevant scheme? <p>8.2) Assessment process</p>	

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<p>1) Is there documented confirmation of candidate competence available? 2) Is evidence provided by CB to demonstrate that method(s) for assessing candidates is fair and valid? 3) How does the CB demonstrate through reports, data or records the equivalence of work performed by another body to the certification scheme requirements?</p>	
<p>8.3) Examination process</p>	
<p>1) Examination basis (written, oral, practical, observational or any other objective means) is evident How does the CB address criteria (accommodation and environmental) for monitoring of how examinations are performed? 2) Is technical equipment verified and/or calibrated (records to be available)? Does the CB provide competence records for persons operating such equipment?</p>	
<p>8.4) Decision on certification</p>	
<p>1) How does the CB address Information gathered during the certification process is available & sufficient to show certification traceability? 2) Is the certification decision recorded and made by impartial personnel of the organization? 3) How does the CB Demonstrate that certification decisions are made by a person with sufficient knowledge and experience?</p>	

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<p>8.5) Suspending, withdrawing or scope reduction</p>	
<p>1) What enforceable arrangements and records are in place between CB and certified persons should the certification be withdrawn?</p>	
<p>8.6) Recertification process</p>	
<p>1) How does the CB prove and ensure on-going competence of persons undergoing recertification? 2) What considerations for recertification of persons in place to include: on-site assessment, professional development, structured interviews, work experience records, checks on physical compatibility?</p>	
<p>8.7) Use of Certificate Logo's and Marks</p>	
<p>1) Does the CB address the need/requirement for certified person to sign an agreement for: compliance with relevant provisions; claims, misleading and unauthorized statements etc.?</p>	

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<p>Additional / General Comments <i>This space may also be used to expand on comments in specific sections</i></p>	
<p>Follow-up on Findings of Previous Assessment</p>	
<p>Assessor signature: _____ Date: _____</p>	