

Australian/New Zealand Standard™

**Conformity assessment—General
requirements for bodies operating
certification of persons**



AS/NZS ISO/IEC 17024:2013

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee QR-010, Conformity Assessment. It was approved on behalf of the Council of Standards Australia on 10 July 2013 and on behalf of the Council of Standards New Zealand on 14 June 2013.

This Standard was published on 21 August 2013.

The following are represented on Committee QR-010:

Association of Accredited Certification Bodies
Australasian Procurement and Construction Council
Australian Information Industry Association
Certification Interests (Australia)
Consumer Federation of Australia
International Accreditation Forum
International Accreditation New Zealand
Joint Accreditation System of Australia and New Zealand
National Association of Testing Authorities Australia
New Zealand Organisation for Quality

Keeping Standards up-to-date

Standards are living documents which reflect progress in science, technology and systems. To maintain their currency, all Standards are periodically reviewed, and new editions are published. Between editions, amendments may be issued. Standards may also be withdrawn. It is important that readers assure themselves they are using a current Standard, which should include any amendments which may have been published since the Standard was purchased.

Detailed information about joint Australian/New Zealand Standards can be found by visiting the Standards Web Shop at www.saiglobal.com.au or Standards New Zealand web site at www.standards.co.nz and looking up the relevant Standard in the on-line catalogue.

For more frequent listings or notification of revisions, amendments and withdrawals, Standards Australia and Standards New Zealand offer a number of update options. For information about these services, users should contact their respective national Standards organization.

We also welcome suggestions for improvement in our Standards, and especially encourage readers to notify us immediately of any apparent inaccuracies or ambiguities. Please address your comments to the Chief Executive of either Standards Australia or Standards New Zealand at the address shown on the back cover.

This Standard was issued in draft form for comment as DR AS/NZS ISO/IEC 17024.

Australian/New Zealand Standard™

Conformity assessment—General requirements for bodies operating certification of persons

First published as AS ISO/IEC 17024—2004.
Revised and designated AS/NZS ISO/IEC 17024:2013.

COPYRIGHT

© Standards Australia Limited/Standards New Zealand

All rights are reserved. No part of this work may be reproduced or copied in any form or by any means, electronic or mechanical, including photocopying, without the written permission of the publisher, unless otherwise permitted under the Copyright Act 1968 (Australia) or the Copyright Act 1994 (New Zealand).

Jointly published by SAI Global Limited under licence from Standards Australia Limited, GPO Box 476, Sydney, NSW 2001 and by Standards New Zealand, Private Bag 2439, Wellington 6140.

ISBN 978 1 74342 559 6

PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee QR-010, Conformity Assessment, to supersede AS ISO/IEC 17024—2004, *Conformity assessment—General requirements for bodies operating certification of persons*.

The objective of this Standard is to provide principles and requirements for bodies certifying persons against specific requirements, and includes the development and maintenance of certification schemes for persons.

This Standard is identical with, and has been reproduced from ISO/IEC 17024:2012, *Conformity assessment—General requirements for bodies operating certification of persons*.

As this Standard is reproduced from an International Standard, the following applies:

- (a) In the source text ‘this International Standard’ should read ‘this Australian Standard’.
- (b) A full point substitutes for a comma when referring to a decimal marker.

The reference to International Standard should be replaced by reference to Australian Standard, as follows:

<i>Reference to International Standard</i>		<i>Australian Standard</i>	
ISO/IEC		AS ISO/IEC	
17000	Conformity assessment—Vocabulary and general principles	17000	Conformity assessment—Vocabulary and general principles

The term ‘informative’ has been used in this Standard to define the application of the annex to which it applies. An ‘informative’ annex is only for information and guidance.

CONTENTS

1	Scope	1
2	Normative references	1
3	Terms and definitions	1
4	General requirements	3
4.1	Legal matters	3
4.2	Responsibility for decision on certification	3
4.3	Management of impartiality	4
4.4	Finance and liability	4
5	Structural requirements	4
5.1	Management and organization structure	4
5.2	Structure of the certification body in relation to training	5
6	Resource requirements	5
6.1	General personnel requirements	5
6.2	Personnel involved in the certification activities	6
6.3	Outsourcing	7
6.4	Other resources	7
7	Records and information requirements	7
7.1	Records of applicants, candidates and certified persons	7
7.2	Public information	8
7.3	Confidentiality	8
7.4	Security	8
8	Certification schemes	9
9	Certification process requirements	10
9.1	Application process	10
9.2	Assessment process	10
9.3	Examination process	11
9.4	Decision on certification	11
9.5	Suspending, withdrawing or reducing the scope of certification	12
9.6	Recertification process	12
9.7	Use of certificates, logos and marks	13
9.8	Appeals against decisions on certification	14
9.9	Complaints	14
10	Management system requirements	15
10.1	General	15
10.2	General management system requirements	15
Annex A (informative)	Principles for certification bodies for persons and their certification activities	19
Bibliography		21

INTRODUCTION

This International Standard has been developed with the objective of achieving and promoting a globally accepted benchmark for organizations operating certification of persons. Certification for persons is one means of providing assurance that the certified person meets the requirements of the certification scheme. Confidence in the respective certification schemes for persons is achieved by means of a globally accepted process of assessment and periodic re-assessments of the competence of certified persons.

However, it is necessary to distinguish between situations where certification schemes for persons are justified and situations where other forms of qualification are more appropriate. The development of certification schemes for persons, in response to the ever increasing velocity of technological innovation and growing specialization of personnel, can compensate for variations in education and training and thus facilitate the global job market. Alternatives to certification can still be necessary in positions where public services, official or governmental operations are concerned.

In contrast to other types of conformity assessment bodies, such as management system certification bodies, one of the characteristic functions of the certification body for persons is to conduct an examination, which uses objective criteria to measure competence and scoring. While it is recognized that such an examination, if well planned and structured by the certification body for persons, can substantially serve to ensure impartiality of operations and reduce the risk of a conflict of interest, additional requirements have been included in this International Standard.

In either case, this International Standard can serve as the basis for the recognition of the certification bodies for persons and the certification schemes under which persons are certified, in order to facilitate their acceptance at the national and international levels. Only the harmonization of the system for developing and maintaining certification schemes for persons can establish the environment for mutual recognition and the global exchange of personnel.

This International Standard specifies requirements which ensure that certification bodies for persons operating certification schemes for persons operate in a consistent, comparable and reliable manner. The requirements in this International Standard are considered to be general requirements for bodies providing certification of persons. Certification of persons can only occur when there is a certification scheme. The certification scheme is designed to supplement the requirements included in this International Standard and include those requirements that the market needs or desires, or that are required by governments.

This International Standard can be used as a criteria document for accreditation or peer evaluation or designation by governmental authorities, scheme owners and others.

In this International Standard, the following verbal forms are used:

- “shall” indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;
- “can” indicates a possibility or a capability.

Further details can be found in the ISO/IEC Directives, Part 2.

AUSTRALIAN/NEW ZEALAND STANDARD

Conformity assessment—General requirements for bodies operating certification of persons**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.

NOTE For the purposes of this International Standard, the term "certification body" is used in place of the full term "certification body for persons", and the term "certification scheme" is used in place of the full term "certification scheme for persons".

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17000, *Conformity assessment — Vocabulary and general principles*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17000 and the following apply.

3.1**certification process**

activities by which a certification body determines that a person fulfils **certification requirements** (3.3), including application, assessment, decision on certification, recertification and use of **certificates** (3.5) and logos/marks

3.2**certification scheme**

competence (3.6) and other requirements related to specific occupational or skilled categories of persons

NOTE For other requirements, see 8.3 and 8.4.

3.3**certification requirements**

set of specified requirements, including requirements of the scheme to be fulfilled in order to establish or maintain certification

3.4**scheme owner**

organization responsible for developing and maintaining a **certification scheme** (3.2)

NOTE The organization can be the certification body itself, a governmental authority, or other.

3.5
certificate
document issued by a certification body under the provisions of this International Standard, indicating that the named person has fulfilled the **certification requirements** (3.3)

NOTE See 9.4.7.

3.6
competence
ability to apply knowledge and skills to achieve intended results

3.7
qualification
demonstrated education, training and work experience, where applicable

3.8
assessment
process that evaluates a person's fulfilment of the requirements of the **certification scheme** (3.2)

3.9
examination
mechanism that is part of the **assessment** (3.8) which measures a **candidate's** (3.14) **competence** (3.6) by one or more means, such as written, oral, practical and observational, as defined in the **certification scheme** (3.2)

3.10
examiner
person competent to conduct and score an **examination** (3.9), where the examination requires professional judgement

3.11
invigilator
person authorized by the certification body who administers or supervises an **examination** (3.9), but does not evaluate the **competence** (3.6) of the **candidate** (3.14)

NOTE Other terms for invigilator are proctor, test administrator, supervisor.

3.12
personnel
individuals, internal or external, of the certification body carrying out activities for the certification body

NOTE These include committee members and volunteers.

3.13
applicant
person who has submitted an application to be admitted into the **certification process** (3.1)

3.14
candidate
applicant (3.13) who has fulfilled specified prerequisites and has been admitted to the **certification process** (3.1)

3.15
impartiality
presence of objectivity

NOTE 1 Objectivity means that conflicts of interest do not exist, or are resolved, so as not to adversely influence subsequent activities of the certification body.

NOTE 2 Other terms that are useful in conveying the element of impartiality are: independence, freedom from conflict of interests, freedom from bias, lack of prejudice, neutrality, fairness, open-mindedness, even-handedness, detachment, balance.

3.16

fairness

equal opportunity for success provided to each **candidate** (3.14) in the **certification process** (3.1)

3.17

validity

evidence that the **assessment** (3.8) measures what it is intended to measure, as defined by the **certification scheme** (3.2)

NOTE In this international Standard, validity is also used in its adjective form "valid".

3.18

reliability

indicator of the extent to which **examination** (3.9) scores are consistent across different examination times and locations, different examination forms and different **examiners** (3.10)

3.19

appeal

request by **applicant** (3.13), **candidate** (3.14) or certified person for reconsideration of any decision made by the certification body related to her/his desired certification status

3.20

complaint

expression of dissatisfaction, other than **appeal** (3.19), by any individual or organization to a certification body, relating to the activities of that body or a certified person, where a response is expected

NOTE Adapted from ISO/IEC 17000:2004, definition 6.5.

3.21

interested party

individual, group or organization affected by the performance of a certified person or the certification body

EXAMPLES Certified person; user of the services of the certified person; employer of the certified person; consumer; governmental authority.

3.22

surveillance

periodic monitoring, during the periods of certification, of a certified person's performance to ensure continued compliance with the certification scheme

4 General requirements

4.1 Legal matters

The certification body shall be a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for its certification activities. A governmental certification body is deemed to be a legal entity on the basis of its governmental status.

4.2 Responsibility for decision on certification

The certification body shall be responsible for, shall retain authority for, and shall not delegate, its decisions relating to certification, including the granting, maintaining, recertifying, expanding and reducing the scope of the certification, and suspending or withdrawing the certification.

4.3 Management of impartiality

4.3.1 The certification body shall document its structure, policies and procedures to manage impartiality and to ensure that the certification activities are undertaken impartially. The certification body shall have top management commitment to impartiality in certification activities. The certification body shall have a statement publicly accessible without request that it understands the importance of impartiality in carrying out its certification activities, manages conflict of interest and ensures the objectivity of its certification activities.

4.3.2 The certification body shall act impartially in relation to its applicants, candidates and certified persons.

4.3.3 Policies and procedures for certification of persons shall be fair among all applicants, candidates and certified persons.

4.3.4 Certification shall not be restricted on the grounds of undue financial or other limiting conditions, such as membership of an association or group. The certification body shall not use procedures to unfairly impede or inhibit access by applicants and candidates.

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 threats to its impartiality on an ongoing basis. This shall include those threats that arise from its activities, from its related bodies, from its relationships, or from the relationships of its personnel. However, such relationships do not necessarily present a body with a threat to impartiality.

NOTE 1 A relationship that threatens the impartiality of the body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding) and payment of a sales commission or other inducement for the referral of new applicants, etc.

NOTE 2 Threats to impartiality can be either actual or perceived.

NOTE 3 A related body is one which is linked to the certification body by common ownership, in whole or part, and has common members of the board of directors, contractual arrangements, common names, common staff, informal understanding or other means, such that the related body has a vested interest in any certification decision or has a potential ability to influence the process.

4.3.7 The certification body shall analyse, document and eliminate or minimize the potential conflict of interests arising from its certification activities. The certification body shall document and be able to demonstrate how it eliminates, minimizes or manages such threats. All potential sources of conflict of interest that are identified, whether they arise from within the certification body, such as assigning responsibilities to personnel, or from the activities of other persons, bodies or organizations, shall be covered.

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

4.4 Finance and liability

The certification body shall have the financial resources necessary for the operation of a certification process and have adequate arrangements (e.g. insurance or reserves) to cover associated liabilities.

5 Structural requirements

5.1 Management and organization structure

5.1.1 The certification body activities shall be structured and managed so as to safeguard impartiality.

5.1.2 The certification body shall document its organizational structure, describing the duties, responsibilities and authorities of management, certification personnel and any committee. When the