

The Registration Scheme for Independent Assessors of Management Systems, Products and Services.

All enquiries and applications should be addressed to:

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1. INTRODUCTION

- 1.1 This Registration Scheme operates for the qualification and registration of Assessors engaged in the assessment of management systems, services and products, against the criteria contained in defined standards.
- 1.2 The Scheme is effective from 1 January 1999.

2. SCOPE

- 2.1 The Scheme records the competence, and commitment to integrity, of persons registered to conduct assessments of management systems, services and products including, where applicable, their ability to co-ordinate and control assessment work undertaken by a team under their leadership.
- 2.2 Systems Auditing Guidelines, ISO 19011 is expected to be observed by all registered assessors where reasonable applicable.

3 PURPOSE

- 3.1 The purpose of the Scheme is to register the certification of assessors.
- 3.2 The Scheme is intended to help purchasers and regulatory bodies to accept assessments completed by organisations employing assessors who meet the requirements of this scheme.

4. REGISTRATION PROTOCOL

- 4.1 All persons who meet the specified criteria and who can support their application with documentary evidence may make application for registration. Applications must be submitted on the prescribed form, which can be obtained from the Registrar
- 4.2 The Registrar may wish to interview candidates before approving Registration.
- 4.3 All registered assessors are required to maintain a journal or similar in an acceptable format, summarising their involvement in assessment. Additionally they should maintain records of any training completed after registration. Assessors must inform the Registrar of any change of private address.
- 4.4 Copies of assessment journals shall be submitted at the time of re-registration or on demand by the Registrar.

- 4.5 All communications, correspondence, documentation, interviews and presentations in support of any application must be in English or accompanied by a certified translation of the originals - particularly where foreign language qualification certificates are concerned.

5. REQUIREMENTS FOR REGISTRATION

- 5.1 Assessors must possess the relevant qualifications and experience specified.
- 5.2 The Registrar reserves the right to consider any experience and/or qualifications in determining the suitability of candidates for registration.
- 5.3 Assessors must confirm their willingness to observe the Code of Conduct.
- 5.4 Membership of Professional Bodies is not a requirement for registration, nor does registration as an assessor imply membership of any.

6. REGISTRATION

- 6.1 The registration year covers the period 12 months from date of registration.
- 6.2 A registration certificate will be issued to each successful applicant and remains valid until the date specified on the certificate.
- 6.3 A replacement valid registration certificate will be issued each 3rd year subject to payment of the appropriate annual fee by that date and continuing compliance with the requirements of the Scheme.
- The Registrar will maintain a register that will include:
(a) Lists of Assessors.
(b) A list of Training Courses.
- 6.4 Registration will be reviewed every year. Renewal will be dependent upon the ability of the registered person to continue to meet the requirements of the Scheme and have undertaken at least five acceptable assessments in the preceding three years.

6.7 QUALIFICATIONS AND EXPERIENCE FOR ASSESSORS

- 6.7.1 *Skills Qualifications and Experience*
An assessor shall be competent in the discipline being assessed, familiar with the relevant management system standards and be able to exercise judgement against the criteria of the standards. Assessors must be able to communicate clearly in writing and orally.
- 6.7.2 Candidates shall have satisfactorily completed a relevant training course. They must also have completed five assessments.
- 6.7.3 Assessors registered in other schemes may transfer if qualifications and supervision are equivalent.
- 6.7.4 Candidates with one or more academic credits, who satisfy all other conditions of registration, but are unable to meet the Registrar's full requirements may be provisionally registered.
- 6.7.5 For the purpose of continued registration, five surveillances will be considered equivalent to one initial assessment.
- 6.7.6 Second and third party assessments must be submitted for registration purposes. First party assessments (internal audits) are also valid for registration purposes.
- 6.7.7 Assessments must be carried out to a defined standard.
- 6.7.8 Applications for registration shall be complete and shall be supported by documentary evidence of academic and relevant training qualifications.
- 6.7.9 Assessment experience must clearly state: date of assessment, duration of assessment etc or similar, and must be verified. Failure to provide this information may result in the rejection of the application.

Management Standard,
additional credits are allocated.

6.8 GRADING SYSTEM

6.8.1 This grading system provides a first measure of a candidate's eligibility for registration. In addition to auditing experience, it may be supplemented by information gained from interviews and from performance on training courses and is used only as guidance by the Registrar.

6.8.2 Grading System Qualifications and Experience

(i) Qualified in a relevant discipline by either a degree or equivalent academic/professional qualification within last ten years, which meets the requirements of the Registrar.

Or

(ii) Qualified in a relevant management discipline by HNC/HND/NVQ or equivalent within ten years.

Or

(iii) Attended an appropriate management auditing course related to the discipline and certifying standard. E.g. quality = ISO 9000
Environmental ISO 14001 etc.

In addition:

(iv) Full time experience, (other than training), in such fields as science, engineering technology, manufacturing, construction, consultancy and service industries

(v) If this experience has been in aspects of management within the last three years additional credits are allocated.

In addition

(vi) If one or more years of this experience have been in assessments to a recognised

See also Appendix II

7. TRAINING

7.1 Organisations providing training courses in management system assessment may apply for registration under the Scheme. Information on the requirements and procedure for course registration may be obtained from the Registrar. The Registrar will consider each submission and may require visits or discussions and attendance at the delivery of training courses, to confirm that the course satisfies the scheme's requirements. The applicant will meet all costs.

7.2 The Registrar reserves the right to withdraw registration of a training course at any time.

8. REGISTRATION FEES

8.1 Details of current fees for Assessors, Training Organisations and Participating firms are available on request from the Registrar.

END

APPENDIX I GLOSSARY OF TERMS

Assessment (System Assessment)

A systematic and independent examination to determine whether activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

Assessor / Management Grade

A person who is qualified and is authorised to perform all or any portion of a system assessment.

Assessment Organisation

An organisation which conducts quality system assessments to a recognised standard.

Auditor

A person who undertakes a systematic, independent and documented process for obtaining audit evidence and evaluating it to determine the extent to which audit criteria are fulfilled.

Continuous Professional Development

A regime whereby practitioners are required to continually update their professional skills. The QABCB registration scheme requires that assessors maintain training and CPD records on form.

First Party Assessments

Assessment (internal audits) carried out in organisations where there is complete independence of the assessment function from the operational activities.

Lead Assessor / Executive Grade

An assessor who is qualified and is authorised to manage an assessment.

Management System

The organisational structure, responsibilities, procedures, processes and resources for implementing functional management.

Management System Standards

A System Standard is a document specifying the elements of a Management System.

Provisional Assessor / Primary Grade

A person who meets all the requirements for registration, except for assessment experience.

Second Party Assessments

Assessments of contractors/suppliers

undertaken by or on behalf of a purchasing organisation. This may include the assessment of companies or divisions supplying goods or services to others within the same group.

Surveillance

The continuing monitoring and verification of the status of procedures, methods, conditions, processes, products and services, and the analysis of records in relation to stated references to ensure that specified requirements for quality are being met.

Third Party Assessments

Assessments of organisations undertaken by an independent certification body or similar organisation.

APPENDIX II GRADING SYSTEM

There are four QABCB grades of registered assessor as follows: -

Executive grade Often known as a 'lead assessor'. This person is well qualified in all aspects of assessment and auditing and has sufficient management experience to lead a team of auditors in a large-scale assessment of management systems.

Management grade Often known as 'assessor'. This person has demonstrated sufficient qualification skill and experience to competently manage and conduct an assessment and audit program in small to medium size firms of typical complexity. This assessor has limited experience of team leadership in an assessor role

Primary grade Sometimes known as a 'provisional assessor'. This assessor has limited experience and qualification in assessing and auditing management systems. Typically they have a responsibility for auditing management systems within the confines of their current and previous employers' premises only and will have had less than two years experience in an assessing role

First Party grade This assessor has restricted experience and qualification in an assessing and auditing role. Typically the assessor would have completed a short introductory auditing course and have received instruction and guidance from a senior manager or consultant. This grade is



awarded to applicants showing an awareness of the benefits of auditing and assessment and the Code of Conduct and who intend to continue to develop their assessing expertise as a potential career path.

Grades & Scoring

Grades are allocated from a scoring system contained in application form. The system apportions a defined number of credits for each of the areas addressed in the main text of this guide. The criteria for each grade is not published as grading can be contentious. In addition, as application for assessor is intended to be facilitated via the World Wide Web and grading results of an application would be instantaneously available, it is considered not relevant to publish criteria as knowing the criteria in advance should not materially affect any grading adjudication.

The decision of the QABCB board on grading is final and correspondence will not generally be entered into.