



















# ISO/IEC 17024 Workshop IAF Meeting, Vancouver, Canada, 2017

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# Clause 9.1.2 - Guidance on Application Review

- 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:
- d) any supporting information to demonstrate
   objectively compliance with the scheme prerequisites;







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



e) prerequisites (when applicable);

- What are the typical prerequisites?
- Can training be a prerequisite to take a certification exam?
- Can a certification body require its own training as a prerequisites?
- How are the prerequisites determined?
- Are the prerequisties aligned to the certification scheme?



## Case Scenario 1







- As per a certification body's scheme requirements (8.1.e), the prerequisites are listed below:
- a. Baccalaureate degree from an accredited university
- b. Five years full time experience in ......
- What would constitute objective evidence for a?
- What would constitute objective evidence for b?
- Would a self declaration by an applicant constitute an objective evidence?
- What if the prerequisite is 'applicant should not be a found to be convicted of any felony'?



## Case Scenario 2





- 9.1.3 The certification body shall review the application to confirm that the applicant complies with the application requirements of the certification scheme.
- A certification body reviews all applications for completeness but only a certain percentage of applications and supporting documents are reviewed to confirm applicant complies with the application requirements of the certification scheme.



## **Certificates**





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 take the form of a letter, card or other medium, signed or authorized by a responsible member of the personnel of the certification body.

- Who is an authorized personnel?
- Can a certification body issue e-certificates or badges?





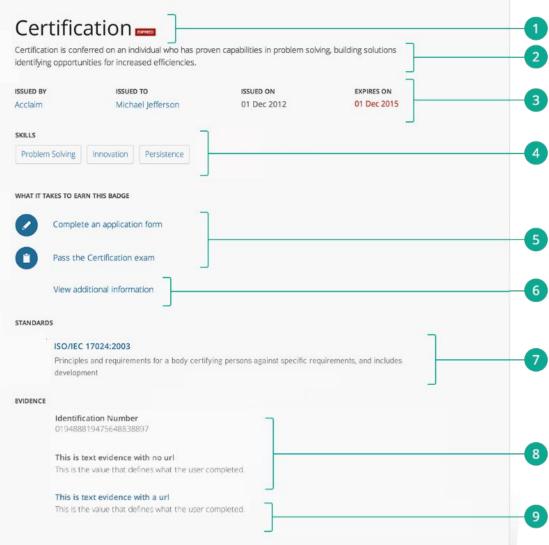








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# 9.4.8 The certificates shall contain, as a minimum, the following information:







- 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.



## **Defining Competence**





- Competence is absolute but specific: Either a person is
   or is not competent to perform on the job.
- Competency is contextual.
- Only a minimal competency is necessary (maximal capacity is irrelevant) for the task at hand
- Some things require a <u>higher degree</u> of competence than others
- Competency is 'fluid' and thus must be assessed 'at the moment'



## Competence vs. Qualification





- 3.6 Competence- ability to apply knowledge and skills to achieve intended results
- 3.7 Qualification demonstrated education, training and work experience, where applicable
- 9.3.1 establish validity of pass/fail decisions.



## 9.6 Recertification







- 9.6.1 Documented procedures for implementing the recertification process
- 9.6.2 Ensure that the recertification process <u>confirms</u> the continued competence of the certified person and <u>ongoing compliance with the scheme requirements.</u>
- 9.6.4 Recertification activities are <u>adequate to ensure</u> there is impartial assessment to confirm the <u>continuing competence of the certified person.</u>



## 9.6 Recertification





9.6.3 Recertification period shall be based on the scheme requirements. The rationale for the recertification period shall take into account, where relevant:



- Regulatory requirements
- Changes to normative documents
- Changes in scheme requirements
- Nature and maturity of the industry/field
- Risks resulting from an incompetent person
- Ongoing changes in technology
- Frequency and content of surveillance, if required by scheme



## 9.6 Recertification





- 9.6.5 In accordance with the certification scheme, recertification by the certification body shall consider at least the following:
  - Professional development
  - Structured interviews
  - Confirmation of continuing work and work experience records
  - Examination
  - Checks on physical capability in relation to the competence concerned
- Does recertification require a formal examination?
- What does "at least" mean?



## Different scenarios







Initial Certification for a Physician

#### Scenario 1.

- 1. Medical knowledge (50%)- Written Test
- 2. Patient care & procedural skills (50%)- Practical Exam

#### Scenario 2.

- 1. Medical knowledge (50%)- Written Test
- 2. Patient care & procedural skills (50%)- Practical Exam

#### Scenario 3.

- 1. Medical knowledge (50%)- Written Test
- 2. Patient care & procedural skills (50%)- Practical Exam

Recertification for a Physician

#### Scenario 1.

- 1. Medical knowledge (50%)- Written Test
- 2. Patient care & procedural skills (50%)- Practical Exam

#### Scenario 2.

- 1. Medical knowledge (30%)- Written Test
- 2. Patient care & procedural skills (70%)- Practical Exam

#### Scenario 3.

- 1. Medical knowledge (20%)- Professional Development
- 2. Patient care & procedural skills (80%)-Employment



# Confirmation of continuing work and work experience records/Workplace learning





Assumption: Using the skillset on the job/practicing in the field.

- -Is the work aligned with the scheme requirements and scope of certification?
- -ls it confirmation of continuing work or confirmation of continued competence?
- -Acceptable format for confirmation of experience records and self declaration?
- Who can attest to continued competence? Supervisor, colleague, HR? (does this amount to outsourcing certification decision?)



# **Professional Development**







- -Does the courses/educational offerings/training cover the breadth of the certification scope?
- -Is there an assessment of learning outcomes?
- -What methods are used by CB to confirm continued competence?



















#### for more information

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