Assessment of Certification Applications

1. Purpose

The process for assessing certification applications is designed to ensure certification decisions are carried out impartially, confidentially and in accordance with the competence requirements set out in the relevant Board-approved Certification Standards for certifying inspectors.

2. Scope

This policy and procedure applies to:

- initial certification
- issuing annual competence certificates
- 10-yearly recertification.

3. Definitions

3.1   ISO/IEC 17024:2012 Definitions

The following definitions are transcribed from ISO 17024: 2012, section 3 Terms and definitions.

Assessment

Process that evaluates a person's fulfilment of the requirements of the certification scheme.

Applicant

Person who has submitted an application to be admitted into the certification process.

Appeal

Request by applicant, candidate or certified person for reconsideration of any decision made by the certification body related to her/his desire certification status.

Candidate

Applicant who has fulfilled specified prerequisites and has been admitted into the certification process.

Certification process

Activities by which CBIP determines that a person fulfils certification requirements including application, assessment, decision on certification, recertification and use of certificate and logos/marks. These are set out in the Certification Standards: General Requirements and discipline-specific certification standards.

Extensions

A certified inspector's request for additional time to submit evidence for either an annual competence or recertification due to exceptional circumstances. Examples of exceptional circumstances may include, but are not limited to, matters relating to pending retirement within the certification period, medical issues or moving overseas.

Fairness

Equal opportunity for success provided to each candidate in the certification process.

Impartiality

Presence of objectivity.

Reliability

Indicator of the extent to which examination scores are consistent across different examination times and location, different examination forms and different examiners.

3.2   CBIP definitions

The following definitions are used in CBIP's certification context:

Assessors

Technical personnel approved by CBIP's Governance Board to evaluate applications and confirm the applicant's eligibility to complete a written and/or practical examination.

Assessors will be suitably competent to evaluate applications against the required certification standard(s).

Annual Competence Certificate

The process to ensure that the certified inspector has maintained current competence.

Recertification

Process to revalidate the certified inspector's continued competence against current certification scheme requirements.

4.   Responsibilities

The Board member assigned to Application Approvals Lead, the Operations Manager and the Board-approved Assessors work collaboratively in a functional role to implement CBIP's certification process to comply with the requirements of:

- ISO17024 Conformity assessment – General requirements for bodies operation certification of persons; and

- ISO 9712 Non-destructive testing – Qualification and certification of NDT personnel.

4.1   **CBIP's Governance Board** is responsible for:

    i.   Decisions relating to certification, including the granting, maintaining, recertifying, expanding and reducing the scope of the certification, and suspending or withdrawing the certification.

           Note: This responsibility must not be delegated.

4.2 **Application Approvals Lead** is responsible for:

    i. Leading the implementation of certification processes in accordance with Board-approved Certification Requirements documents for each certification scheme.

    ii. Ensuring there are sufficient technical personnel to assess applications competently and impartially.

    iii. Inducting and guiding assessors on CBIP's policy and procedure, Board-approved Certification Requirements document(s), and how to use the online portal.

    iv. Addressing issues or concerns resulting from the certification process.

    v. Evaluating individual extension requests prior to Board approval.

    vi. Reporting outcomes of application assessments and making certification recommendations for the Board's approval.

4.3 **Operations Manager** is responsible for:

    i. Communicating with the Application Approvals Lead and application assessors.

    ii. Maintaining accurate records of technical personnel approved by the Board to be assessors.

    iii. Reviewing applications for completeness, including submission of supporting documents.

    iv. Referring requests for extensions to the Board.

    v. Selecting the sample of annual competence certificates and submitting for technical review.

    vi. Requesting further information from applicants as required.

    vii. Providing authorised assessor(s) with portal access to review applications.

    viii. Administering certification recommendations on Board meeting agendas and maintaining records of certification decisions i.e applications approved and declined.

4.4 **Application Assessors** are responsible for:

    i. Carrying out objective evaluation of applications and supporting documentation including prerequisites.

    ii. Approving or declining applications in accordance with Board-approved Certification Requirements documents accessed via CBIP's Website.

    iii. Documenting the basis for decisions in the online portal.

    iv. Clearly communicating the reasons why an application has been declined, including recommended action(s) where required.

    v. Raising issues or notifying of risks identified during the approvals process with the Operations Manager.

5.   Policy

General certification requirements

5.1   All personnel involved in assessing applications will sign a Confidentiality Agreement and declaration to abide by CBIP's Code of Professional Conduct.

5.2   If an assigned assessor identifies they have a conflict of interest regarding the application, they must immediately log out of the online portal and declare the conflict of interest to the Operations Manager.

Extension requests

5.3   In exceptional circumstances, a request for an extension may be considered on a case-by-case basis at the Board's discretion as long as:

   i.   the applicant submits a compelling rationale, and

   ii.   the extension period does not compromise quality or integrity of certification services, and

   iii. there are no risks to industry.

5.4   Evaluation can be carried out in consultation with technical personnel and/or WorkSafe representative as applicable.

Annual Competence Certificates

5.5   All annual competence certificates are reviewed by the Operations Manager to ensure applications meet certification requirements.

5.6   Sample size for technical review will be 20% of applications received.

5.7   Sample selection will include considerations such as:

   i.   Newly certified inspectors

   ii.   New categories of certification

   iii. Representation of inspections across all categories of CBIP's certification scheme

Appeals against certification decisions

5.8   Appeals against certification decisions are managed in accordance with the Appeals policy and procedure published on CBIP's Website.

6.   Procedures

Refer to the Certification Requirements documents and supporting information published on CBIP's website.

7. Record Management

The following record must be maintained for compliance purposes:

Record	Filed	Retention
Application and supporting evidence	Online Portal	10 years
Approval of certification extensions	One Drive	10 years
Inspector certifications	WeCertify	10 years
Service Agreements - Assessors	OneDrive	Term of Service: Archived
Approval of certification decisions - Governance Board agenda and minutes	OneDrive	4 years: Archived

8. Quality Standard

ISO/IEC 17024, 2nd edition, clauses:

- 4.2 Responsibility for decision on certification
- 9.1 Application process
- 9.2 Assessment process
- 9.4 Decision on certification
- 9.6 Recertification process

ISO 9712 5th edition, 2021-12, clauses 9.1, 9.3, 10, 11 and 12.

Note: Examinations policy and procedure addresses the requirements of ISO 9.3 Examination process.

9. Revision History

This document replaces Approval of Certification Applications, revision 09, Issue Date 21 March 2024.

The following changes are corrective actions relating to September 2024 internal audit findings for ISO 17024:2021 standard 4 General requirements:

- Section 4 Responsibilities
    - 4.1 Governance Board responsibilities added.
    - 4.2 Minor editing e.g. title updates, vi added "… making recommendations for the Board's approval."
    - 4.3 Added step viii
    - 4.4 Minor editing e.g. title updates
- Section 6 Procedures Minor editing e.g. title updates
- Section 7 Record Management Records of approval of certification decisions added
- Section 8 Quality Standard Added ISO 17024:2012 clause 4.2.