



Program Accreditation Application

Submit Completed Application to:

ICAC, 1190 Virginia Ridge, Philo OH 43771

Questions: call 740-674-4300 or 765-653-8262

Brief Overview:

The ICAC is a volunteer-driven organization with the stated purpose of providing reasonably priced accreditation services to organizations offering personnel certification programs. Throughout this process we will rely on international standards (ISO/IEC 17024) for guidance as to what constitutes a well crafted and well managed certification program.

The organization of this application form follows the structure of the ISO/IEC 17024 standard. In this way we hope to demonstrate not only what information and documentation is required, but why (as it pertains to the standard).

Documentation Format: We want to reduce the paperwork and time involved in the application process as much as possible. With this in mind, you are encouraged to submit electronic copies of documents if available. This will reduce the sheer volume of paperwork submitted. We realize electronic copies are not always the most convenient, so paper documentation is acceptable as well, or a combination of the two. We understand the confidential nature of much of the documentation associated with this application and all will be held in strict confidence.

Contact Information:

Name of Certification Body: _____

Application Date: _____

Mailing Address: _____

Primary Contact Person: _____

Contact E-Mail: _____

Telephone: _____ Website: _____

Certification Program(s):

ICAC is a volunteer-driven not-for-profit organization made up of association professionals dedicated to bringing affordable accreditation services to industry certification programs. Contact us at info@icacnet.org, visit us at <http://www.icacnet.org> or call 1-740-674-4300.



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As we review your application, we will follow the structure of the ISO/IEC 17024 standard. So our questions and supporting documentation will follow that same structure as well. Sections 1-3 of the standard deal with terminology, scope and references – non of which really apply to your application. So we will bring our references at section 4.

You will find some questions redundant. This is simply the nature of the standard and we will try to make note if supporting documentation has already been provided in a previous question. For longer answers, attach a document that references the section number and question.

Section 4: General Requirements

What ISO/IEC 17024 Says:

Section 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.*

What the ICAC Review Seeks to Determine:

Verify that the certification body legally exists. Is it incorporated? Is it a not-for-profit? Have they filed the correct tax returns, paperwork with the state and/or federal or national agency?

Suggested Documentation:

- Articles of Incorporation
- Not-for-profit Determination Letter from IRS (if a non-profit)
- Most recent tax return
- State Registration

Questions:

1) Is the Certifying Body incorporated? Yes: No

If yes, in what state was the Certifying Body incorporated? _____

2) Is the Certifying Body a not-for-profit entity? Yes: No

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

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.*

What the ICAC Review Seeks to Determine:

We wish to verify that the body being certified retains administrative and direct control over the certification process.

Suggested Documentation:

- Administrative Policies and Procedures regarding the oversight of the certification program(s)
- Certification Committee Policies and Procedures
- Sub-contracting agreement (if applicable)
- Documentation regarding third-party entity (if applicable)

Questions:

1) We sub-contract the administration of our certification program(s) to a third party? Yes: No

If yes, what is the name of this third party? _____

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

4.3.1 Management of impartiality: *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.*

What the ICAC Review Seeks to Determine:

This process will verify that statements of impartiality and conflicts of interest are internalized within the organization and promoted externally to the general public.

Suggested Documentation:

- Section of Administrative Policies and Procedures highlighted to indicate commitment to impartiality.
- Conflict of Interest Statements (to be signed by all involved in certification process)
- Public statement of impartiality (to be displayed on certification website)

Questions:

- 1) Do your certification administrative policy documents specifically address the issue of impartiality?
 Yes: No*
- 2) Do you require all your staff and committee volunteers sign an annual conflict of interest statement? Yes: No*
- 3) Is your statement of impartiality available on your website? Yes: No*
If yes, what is the URL of this statement? _____

Additional Notes or Comments:

** ICAC can provide sample statements if these are not in place*



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What ISO/IEC 17024 Says:

4.3.2 (Management of impartiality:)

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

What the ICAC Review Seeks to Determine:

This is primarily an anti-discrimination provision. Auditors are to ensure no discrimination takes place as part of the certification scheme (be it sexual, racial, national, corporate, or otherwise).

Suggested Documentation:

- Anti-discrimination complaint form (if any).
- Summary of any discrimination complaints received over the previous 10 years.

Questions:

- 1) Do you reinforce your anti-discrimination policies with staff and volunteers annually? Yes: No*
- 2) Do you have a formal process under which the general public can file discrimination complaints?
 Yes: No*
- 3) Have you received any formal discrimination complaints over the past decade? Yes: No
If yes, please describe or provide copies of the complaints

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

4.3.3 (Management of impartiality:)

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

What the ICAC Review Seeks to Determine:

Determine if hidden discrimination is taking place through policies that ensure only a handful or select number of applicants qualify for the program.

Suggested Documentation:

- Certification Application.
- Certification process policies and procedures.
- Renewal application.

Questions:

- 1) Describe the method under which the certification examination was developed.
 - 2) Do you have a formal process under which the general public can file discrimination complaints?
 Yes: No*
 - 3) Have you received any formal discrimination complaints over the past decade? Yes: No
If yes, please describe or provide copies of the complaints
-

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What ISO/IEC 17024 Says:

4.3.4 (Management of impartiality:)

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.

What the ICAC Review Seeks to Determine:

Determine if there are any hidden or overt financial barriers that will effectively restrict access to the certification to any specific group or class. Obviously there will be fees and other stipulations that speak to an applicant's eligibility, but these must be "reasonable" and applicable to the certification.

Suggested Documentation:

- Already provided.

Questions:

1) Do you require membership in any association that is not generally open and available to members of the general public? Yes: No

2) Have you received any formal discrimination complaints over the past decade concerning unfair or excessive fees or restrictions to access? Yes: No

If yes, please describe or provide copies of the complaints

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

4.3.5 (Management of impartiality:)

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.

What the ICAC Review Seeks to Determine:

Determine if there are any hidden or overt corporate bias or barriers that will effectively restrict access to the certification to any specific group or class.

Suggested Documentation:

- Already provided.

Questions:

1) Does any specific corporation dominate participation in the certification program (20% or more of all applicants)? Yes: No

If yes, please indicate the corporation(s): _____

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

4.3.6 (Management of impartiality:)

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.

What the ICAC Review Seeks to Determine:

Ensure there is a process in place where the organization does periodic “soul searching” to make sure it remains over time impartial.

Suggested Documentation:

- Already provided.

Questions:

1) Is there a process in place to periodically review the certification program to ensure that no unintended biases have crept in over time? Yes: No*

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What ISO/IEC 17024 Says:

4.3.7 (Management of impartiality:)

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.

What the ICAC Review Seeks to Determine:

The issue of conflict of interest should be an ongoing concern, with processes put in place to review activities periodically to ensure conflicts have not crept in over time.

Suggested Documentation:

- Program Conflict of Interest Policies that indicate how the organization “eliminates, minimizes or manages such threats.”
- Policy that indicates that these policies are reviewed and updated periodically (perhaps annually)

Questions:

1) Does your conflict of interest policy indicate a periodic review and is it specific as to potential threats and how these will be managed? Yes: No*

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What ISO/IEC 17024 Says:

4.3.8 (Management of impartiality:)

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

What the ICAC Review Seeks to Determine:

Are there checks and balances in place that ensure one class, company or other group does not come to dominate the administration of the program? Is the administrative process open to all interested parties and are the various parties fairly represented?

Suggested Documentation:

- Oversight Committee Policies and Procedures
- Listing of potential “interested parties” who might require apportioned representation.

Questions:

- 1) Do you allocate a certain proportion of committee “slots” to specific groups? Yes: No

If no, how do you ensure one class of membership or corporation does not come to dominate the administration of your certification program?

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

4.4 Fiance 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.

What the ICAC Review Seeks to Determine:

Ensure that the certification is financially secure enough to continue operations for the foreseeable future. Also, are they protected from litigation that may arise from the certification process.

Suggested Documentation:

- Most recent Financial Statement.
- Most recent audit statement.
- Copy of liability insurance documentation.

Questions:

- 1) Do you have an annual audit of your organization performed by an accounting firm? Yes: No
- 2) Does your association purchase liability insurance that covers your certification program?
 Yes: No

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

5.1.1 Management and Organization Structure:

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

What the ICAC Review Seeks to Do:

Basically a restatement of what was required in section 4.3.8

Suggested Documentation:

- Already Provided

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

5.1.2 (Management and Organization Structure)

The certification body shall document its organizational structure, describing the duties, responsibilities and authorities of management, certification personnel and any committee. When the certification body is a defined part of a legal entity, documentation of the organizational structure shall include the line of authority and the relationship to other parts within the same legal entity.

The party/parties or individuals responsible for the following shall be identified:

- policies and procedures relating to the operation of the certification body;
- implementation of the policies and procedures;
- finances of the certification body;
- resources for certification activities;
- development and maintenance of the certification schemes;
- assessment activities;
- decisions on certification, including the granting, maintaining, recertifying, expanding, reducing, suspending or withdrawing of the certification;
- contractual arrangements.

What the ICAC Review Seeks to Determine:

The administrative and management structure of the organization as well as the certification program within the organization should be well documented.

Suggested Documentation:

- All policies, procedures, online link references and any other documentation that pertains the the specific items outlined in this provision that have not already been submitted in reference to earlier questions.* For Example:
 - DACUM Process used in creating the program
 - Psychometrics utilized in developing the question pool
 - suspending or withdrawing certification policy
 - any contracts with third-party administrators, developers or contractors

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

5.2.1 Structure of the Certification Body in Relation to Training:

Completion of training may be a specified requirement of a certification scheme (see 8.3). The recognition/approval of training by the certification body shall not compromise impartiality or reduce the assessment and certification requirements.

What the ICAC Review Seeks to Determine:

Required training can be part of the program, but the requirement cannot be that it is training solely offered by the certifying body – or that the approval process of training facilities is overly restrictive or somehow an “insider” deal.

Suggested Documentation:

- Any “approved” training facility agreements, applications, etc.
- Any educational promotional items linked to the certification program and its related training

Questions:

1) Does your organization offer any training designed to prepare candidates for certification?

Yes: No

2) Is education required as part of the certification process? Yes: No

If yes, is this education solely provided by your organization? Yes: No

3) Are third-party vendors of education geared to this certification program licensed or approved by your organization? Yes: No

4) Are there vendors of education geared towards your certification program who are not licensed and/or approved by your organization? Yes: No

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

5.2.2 (Structure of the Certification Body in Relation to Training)

The certification body shall provide information regarding education and training if they are used as pre-requisites for being eligible for certification. However, the certification body shall not state or imply that certification would be simpler, easier or less expensive if any specified education/training services are used.

What the ICAC Review Seeks to Determine:

Again, we want to make sure that the body is not steering people into their training program to the exclusion of all others.

Suggested Documentation:

- Provided in section 5.2.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

5.2.3 (Structure of the Certification Body in Relation to Training)

Offering training and certification for persons within the same legal entity constitutes a threat to impartiality. A certification body that is part of a legal entity offering training shall:

- a) identify and document the associated threats to its impartiality on an ongoing basis: the body shall have a documented process to demonstrate how it eliminates or minimizes those threats;
- b) demonstrate that all processes performed by the certification body are independent of training to ensure that confidentiality, information security and impartiality are not compromised;
- c) not give the impression that the use of both services would provide any advantage to the applicant;
- d) not require the candidates to complete the certification body's own education or training as an exclusive prerequisite when alternative education or training with an equivalent outcome exists;
- e) ensure that personnel do not serve as an examiner of a specific candidate they have trained for a period of two years from the date of the conclusion of the training activities: this interval may be shortened if the certification body demonstrates it does not compromise impartiality.

What the ICAC Review Seeks to Determine:

We wish to see documentation that describes how the organization is keeping a “firewall” between the training and the testing portion of their certification program.

Suggested Documentation:*

- Threat assessment documentation
- Demonstration of independence between education and testing divisions
- Proctor and/or examination process documentation

Questions:

- 1) Do your instructors also proctor the examination of their students? Yes: No
- 2) Is there a “hands on” component to the examination? Yes: No

Additional Notes or Comments:

**ICAC can provide sample statements if these are not in place*



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What ISO/IEC 17024 Says:

6.1.1 General Personnel Requirements:

The certification body shall manage and be responsible for the performance of all personnel involved in the certification process.

What the ICAC Review Seeks to Determine:

We do not want to see the body sub-contracting out the management of certification personnel.

Suggested Documentation:*

- Documentation that demonstrates that certification personnel are directly managed by the certification body.
- Any administrative services contracts with vendors involved in managing the certification program.

Questions:

- 1) Does your association handle all aspects of the administration of your certification program?
 Yes: No
- 2) Do you sub-contract any aspect of the administration of your certification program?
 Yes: No

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

6.1.2 (General Personnel Requirements)

The certification body shall have sufficient personnel available with the necessary competence to perform certification functions relating to the type, range and volume of work performed.

What the ICAC Review Seeks to Determine:

We will seek to determine that there are adequate resources available to handle the certification workload (offices, staff, finances)

Suggested Documentation:*

- Number and qualifications of staff involved in administration of the certification program.
- Any time/resource studies used to determine staffing levels.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

6.1.3 (General Personnel Requirements)

The certification body shall define the competence requirements for personnel involved in the certification process. Personnel shall have competence for their specific tasks and responsibilities.

What the ICAC Review Seeks to Determine:

We want to verify that the people overseeing the certification program are qualified to do so.

Suggested Documentation:*

- Job Descriptions of staff involved in the administration of the certification program

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

6.1.4 (General Personnel Requirements)

The certification body shall provide its personnel with documented instructions describing their duties and responsibilities. These instructions shall be kept up-to-date.

What the ICAC Review Seeks to Determine:

Make sure job tasks are properly defined and kept up-to-date.

Suggested Documentation:*

- Already Provided

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

6.1.5 (General Personnel Requirements)

The certification body shall maintain up-to-date personnel records, including relevant information, e.g. qualifications, training, experience, professional affiliations, professional status, competence and known conflicts of interest.

What the ICAC Review Seeks to Determine:

Determine if the management of certification personnel is being handled in a professional manner.

Suggested Documentation:*

- A listing of all documentation typically kept in the personnel file of an employee or contractor working on the administration of the certification program

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

6.1.6 (General Personnel Requirements)

Personnel acting on the certification body's behalf shall keep confidential all information obtained or created during the performance of the body's certification activities, except as required by law or where authorized by the applicant, candidate or certified person.

What the ICAC Review Seeks to Determine:

Check to see that processes are in place that adequately maintain the confidential material collected as part of the certification program.

Suggested Documentation:*

- Statements of client confidentiality.
- Processes in place to maintain this confidentiality.

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

6.1.7 (General Personnel Requirements)

The certification body shall require its personnel to sign a document by which they commit themselves to comply with the rules defined by the certification body, including those relating to confidentiality, impartiality and conflict of interests.

What the ICAC Review Seeks to Determine:

Simply making sure the confidentiality, impartiality and conflict of interest statements are in place and up-to-date.

Suggested Documentation:*

- Statements of client confidentiality.
- Statements of impartiality and conflict of interest.

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

6.1.8 (General Personnel Requirements)

When a certification body certifies a person it employs, the certification body shall adopt procedures to maintain impartiality.

What the ICAC Review Seeks to Determine:

Make sure no favoritism is shown to employees who seek the certification. May also apply to key volunteers and relatives of employees and/or volunteers.

Suggested Documentation:*

- Any policies that apply to employees or key volunteers who sit for the certification.
- Any nepotism policies.

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

6.2.1 Personnel Involved in the Certification Activities:

The certification body shall require its personnel to declare any potential conflict of interest in any candidate.

What the ICAC Review Seeks to Determine:

If a conflict of interest occurs because of a specific candidate (a relative, for example) personnel involved in administering the program must declare this conflict.

Suggested Documentation:*

- Any conflict of interest statements that relate to specific candidates (rather than a global statement).

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

6.2.2.1 Requirements for Examiners:

Examiners shall meet the requirements of the certification body. The selection and approval processes shall ensure that examiners:

- a) understand the relevant certification scheme;
- b) are able to apply the examination procedures and documents;
- c) have competence in the field to be examined;
- d) are fluent, both in writing and orally, in the language of examination; in circumstances where an interpreter or a translator is used, the certification body shall have procedures in place to ensure that it does not affect the validity of the examination;
- e) have identified any known conflicts of interest to ensure impartial judgements are made.

What the ICAC Review Seeks to Determine:

We wish to ensure the examiners are competent and free from any conflicts of interest.

Suggested Documentation:*

- Examiner approval process.
- Policies and procedures regarding the selection of program examiners.
- Conflict of interest statements for examiners.

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What ISO/IEC 17024 Says:

6.2.2.2 (Requirements for Examiners)

The certification body shall monitor the performance of the examiners and the reliability of the examiners' judgements. Where deficiencies are found, corrective actions shall be taken.

NOTE Monitoring procedures for examiners can include, for example, on-site observation, review of examiners' reports, feedback from candidates.

What the ICAC Review Seeks to Determine:

Determine there is an adequate evaluation process in place that addresses the ongoing performance and competency of the program's examiners.

Suggested Documentation:*

- Any examiner evaluation materials or reports.

Questions:

- 1) Does your system allow you to compare examination results based on examiner?
 Yes: No

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What ISO/IEC 17024 Says:

6.2.2.3 (Requirements for Examiners)

If an examiner has a potential conflict of interest in the examination of a candidate, the certification body shall undertake measures to ensure that the confidentiality and impartiality of the examination are not compromised. These measures shall be recorded.

What the ICAC Review Seeks to Determine:

If a conflict of interest occurs because of a specific candidate (a relative, for example) personnel involved in administering the program must declare and record this conflict.

Suggested Documentation:*

- Any conflict of interest statements that relate to specific candidates (rather than a global statement).

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What ISO/IEC 17024 Says:

6.2.3.1 Requirements for other Personnel Involved in the Assessment

The certification body shall have a documented description of the responsibilities and qualifications of other personnel involved in the assessment process (e.g. invigilators).

What the ICAC Review Seeks to Determine:

A catch-all to make sure anyone other than staff and examiners involved in the certification process have been properly documented.

Suggested Documentation:*

- Job descriptions of anyone other than staff and examiners who might be involved in the certification process.

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What ISO/IEC 17024 Says:

6.2.3.2 (Requirements for other Personnel Involved in the Assessment)

If other personnel involved in the assessment have a potential conflict of interest in the examination of a candidate, the certification body shall undertake measures to ensure that confidentiality and impartiality of the examination is not compromised. These measures shall be recorded.

What the ICAC Review Seeks to Determine:

Redundant. Dealt with in 6.2.1.

Suggested Documentation:*

- Already provided.

Additional Notes or Comments:

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What ISO/IEC 17024 Says:

6.3.1 Outsourcing:

The certification body shall have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced work related to the certification process.

What the ICAC Review Seeks to Determine:

Redundant. Dealt with in 6.2.1.

Suggested Documentation:*

- Already provided.

Additional Notes or Comments:

**ICAC can provide sample statements if these are not in place*



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

6.3.2 (Outsourcing)

When a certification body outsources work related to certification, the certification body shall:

- a) take full responsibility for all outsourced work;
- b) ensure that the body conducting outsourced work is competent and complies with the applicable provisions of this International Standard;
- c) assess and monitor the performance of the bodies conducting outsourced work in accordance with its documented procedures;
- d) have records to demonstrate that the bodies conducting outsourced work meet all requirements relevant to the outsourced work;
- e) maintain a list of the bodies conducting outsourced work.

What the ICAC Review Seeks to Determine:

While the certification body must actively manage the overall certification program, they can outsource administrative work (rather than use employees). But when they do so, they must adhere to all the same requirements and accept the same level of responsibility as if those administering the program were employees of the certification body.

Suggested Documentation:

- List of outsourced tasks and the firms or persons conducting those tasks.
- Any outsourced agreements.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

6.4 Other Resources:

The certification body shall use adequate premises, including examination sites, equipment and resources for carrying out its certification activities.

What the ICAC Review Seeks to Determine:

Make sure the physical facilities are up to the job of administering the certification program.

Suggested Documentation:

- Any special requirements needed when administering the examination (space needs, equipment, lighting, etc).

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.1.1 Records of applicants, candidates and certified persons:

The certification body shall maintain records. The records shall include a means to confirm the status of a certified person. The records shall demonstrate that the certification or recertification process has been effectively fulfilled, particularly with respect to application forms, assessment reports (which include examination records) and other documents relating to granting, maintaining, recertifying, expanding and reducing the scope, and suspending or withdrawing certification.

What the ICAC Review Seeks to Determine:

Ensure that all steps of the certification and recertification process are adequately documented and records are properly maintained.

Suggested Documentation:

- List of documents maintained for each candidate.
- Sample copy of all documents kept on file for each candidate.
- Any written document retention policies.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.1.2 Records of applicants, candidates and certified persons:

The records shall be identified, managed and disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information. The records shall be kept for an appropriate period of time, for a minimum of one full certification cycle, or as required by recognition arrangements, contractual, legal or other obligations.

What the ICAC Review Seeks to Determine:

Make sure that the retention of all records is maintained for an adequate period of time. When the records are disposed of, make sure they are done so in a way that does not harm the integrity of the program or compromise the confidentiality of the clients.

Suggested Documentation:

- Record retention and disposal policies and procedures.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.1.3 Records of applicants, candidates and certified persons:

The certification body shall have enforceable arrangements to require that the certified person informs the certification body, without delay, of matters that can affect the capability of the certified person to continue to fulfil the certification requirements.

What the ICAC Review Seeks to Determine:

There should be adequate processes in place that require a certified person to inform the body if their situation has changed and they can no longer comply with the provisions of the certification.

Suggested Documentation:

- Notification requirements should a certified individual fall out of compliance with the program during their certification period.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

7.2.1 Public information:

The certification body shall verify and provide information, upon request, as to whether an individual holds a current, valid certification and the scope of that certification, except where the law requires such information not to be disclosed.

What the ICAC Review Seeks to Determine:

The public should have a reasonable way to verify an individual's certification status.

Suggested Documentation:

- Systems in place to allow the general public to determine the certification status of a specific individual or company.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.2.2 Public information:

The certification body shall make publicly available without request information regarding the scope of the certification scheme and a general description of the certification process.

What the ICAC Review Seeks to Determine:

Make sure information about the certification program is generally available to the public.

Suggested Documentation:

- Website link of where the public can access information about the scope of the certification program.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

7.2.3 Public information:

All pre-requisites of the certification scheme shall be listed and the list shall be made publicly available without request.

What the ICAC Review Seeks to Determine:

Make sure information about the certification program is generally available to the public.

Suggested Documentation:

- Website link of where the public can access information about the prerequisites of the certification program.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

7.2.4 Public information:

Information provided by the certification body, including advertising, shall be accurate and not misleading.

What the ICAC Review Seeks to Determine:

Ensure the information made publicly available is accurate, complete, and not misleading.

Suggested Documentation:

- Program website address.
- Samples of any program marketing material.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.3.1 Confidentiality:

The certification body shall establish documented policies and procedures for the maintenance and release of information.

What the ICAC Review Seeks to Determine:

Ensure document maintenance and release policies are in place and adequate.

Suggested Documentation:

- Any document maintenance and release policies.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.3.2 Confidentiality:

The certification body shall, through legally enforceable agreements, keep confidential all information obtained during the certification process. These agreements shall cover all personnel.

What the ICAC Review Seeks to Determine:

Ensure the confidentiality of the program's clients.

Suggested Documentation:

- Confidentiality agreements. Could be same as 6.1.6.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.3.3 Confidentiality:

The certification body shall ensure that information obtained during the certification process, or from sources other than the applicant, candidate or certified person, is not disclosed to an unauthorized party without the written consent of the individual (applicant, candidate or certified person), except where the law requires such information to be disclosed.

What the ICAC Review Seeks to Determine:

Same as 7.3.2

Suggested Documentation:

- Same as 7.3.2

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.3.4 Confidentiality:

When the certification body is required by law to release confidential information, the person concerned shall, unless prohibited by law, be notified as to what information will be provided.

What the ICAC Review Seeks to Determine:

The client should be adequately warned as to what information will be released.

Suggested Documentation:

- Sample statement to client as to what information collected will be disclosed.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

7.3.5 Confidentiality:

The certification body shall ensure that the activities of related bodies do not compromise confidentiality.

What the ICAC Review Seeks to Determine:

The certification body should ensure that the confidentiality extends “beyond their borders” to contractors, sub-contractors, or affiliated organizations with which information is shared.

Suggested Documentation:

- Statement of confidentiality that extends to related bodies (such contractors or sub-contractors).

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.4.1 Security:

The certification body shall develop and document policies and procedures necessary to ensure security throughout the entire certification process and shall have measures in place to take corrective actions when security breaches occur.

What the ICAC Review Seeks to Determine:

Verify that adequate policies and procedures are in place that maintain the security of the certification process – from question creation, to exam, to record retention and destruction.

Suggested Documentation:

- Any documentation that outlines the security procedures.
- More detailed direction is given in 7.4.2 and 7.4.3

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.4.2 Security:

Security policies and procedures shall include provisions to ensure the security of examination materials, taking into account the following:

1. the locations of the materials (e.g. transportation, electronic delivery, disposal, storage, examination centre);
2. the nature of the materials (e.g. electronic, paper, test equipment);
3. the steps in the examination process (e.g. development, administration, results reporting);
4. the threats arising from repeated use of examination materials.

What the ICAC Review Seeks to Determine:

Specific direction as applies to 7.4.1

Suggested Documentation:

- Ensure details are included in documentation submitted for 7.4.1

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

7.4.3 Security:

Certification bodies shall prevent fraudulent examination practices by:

1. requiring candidates to sign a non-disclosure agreement or other agreement indicating their commitment not to release confidential examination materials or participate in fraudulent test-taking practices;
2. requiring an invigilator or examiner to be present;
3. confirming the identity of the candidate;
4. implementing procedures to prevent any unauthorized aids from being brought into the examination area;
5. preventing candidates from gaining access to unauthorized aids during the examination;
6. monitoring examination results for indications of cheating.

What the ICAC Review Seeks to Determine:

Specific direction as applies to 7.4.1

Suggested Documentation:

- Ensure details are included in documentation submitted for 7.4.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

8.1 Certification Schemes:

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

What the ICAC Review Seeks to Determine:

Ensure that each certification program is properly documented.

Suggested Documentation:

- Samples of public marketing and documentation material for each program (likely same as provided in 7.2.4). More specific direction given in 8.2 and 8.3

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

8.2 Certification Schemes:

A certification scheme shall contain the following elements:

1. scope of certification;
2. job and task description;
3. required competence;
4. abilities (when applicable);
5. prerequisites (when applicable);
6. code of conduct (when applicable).

What the ICAC Review Seeks to Determine:

Specific direction as applies to 8.1

Suggested Documentation:

- Ensure details are included in documentation submitted for 8.1

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

8.3 Certification Schemes:

A certification scheme shall include the following certification process requirements:

1. criteria for initial certification and recertification;
2. assessment methods for initial certification and recertification;
3. surveillance methods and criteria (if applicable);
4. criteria for suspending and withdrawing certification;
5. criteria for changing the scope or level of certification (if applicable).

What the ICAC Review Seeks to Determine:

Specific direction as applies to 8.1

Suggested Documentation:

- Ensure details are included in documentation submitted for 8.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

8.4 Certification Schemes:

The certification body shall have documents to demonstrate that, in the development and review of the certification scheme, the following are included:

1. the involvement of appropriate experts;
2. the use of an appropriate structure that fairly represents the interests of all parties significantly concerned, without any interest predominating;
3. the identification and alignment of prerequisites, if applicable, with the competence requirements;
4. the identification and alignment of the assessment mechanisms with the competence requirements;
5. a job or practice analysis that is conducted and updated to:
 1. identify the tasks for successful performance;
 2. identify the required competence for each task;
 3. identify prerequisites (if applicable);
 4. confirm the assessment mechanisms and examination content;
 5. identify the recertification requirements and interval.

What the ICAC Review Seeks to Determine:

Verify that the program follows recognized processes for certification programs. That the program fairly tests the skills and content it claims to test, that it was developed by an unbiased group of industry experts, based on some sort of unbiased job-task-analysis.

Suggested Documentation:

- Job-task-analysis and/or DACUM if available

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

8.5 Certification Schemes:

The certification body shall ensure that the certification scheme is reviewed and validated on an on-going, systematic basis.

What the ICAC Review Seeks to Determine:

Ensure there is ongoing care and feeding of the program. These reviews and modifications should be on a regularly scheduled basis.

Suggested Documentation:

- Documentation of how the program is reviewed and maintained.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

8.6 Certification Schemes:

When the certification body is not the scheme owner of a certification scheme it implements, the certification body shall ensure that the requirements contained in this clause (Clause 8) are met.

What the ICAC Review Seeks to Determine:

If the administration of this program is a sub-contractor, they are required make sure all the previous requirements from section 8 have been met.

Suggested Documentation:

- None

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.1.1 Application Process:

Upon application, the certification body shall make available an overview of the certification process in accordance with the certification scheme. As a minimum, the overview shall include the requirements for certification and its scope, a description of the assessment process, the applicant's rights, the duties of a certified person and the fees.

What the ICAC Review Seeks to Determine:

Those applying for certification must be told of all the requirements and processes involved in the program at the outset.

Suggested Documentation:

- Copy of packet applicants receive.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.1.2 Application Process:

The certification body shall require the completion of an application, signed by the applicant seeking certification, which includes as a minimum the following:

1. information required to identify the applicant, such as name, address and other information required by the certification scheme;
2. the scope of the desired certification;
3. a statement that the applicant agrees to comply with the certification requirements and to supply any information needed for the assessment;
4. any supporting information to demonstrate objectively compliance with the scheme prerequisites;
5. notice to the applicant of his/her opportunity to declare, within reason, a request for accommodation of special needs (see 9.2.5).

What the ICAC Review Seeks to Determine:

Listing of details that must be contained within the materials an applicant receives.

Suggested Documentation:

- Same as 9.1.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.1.3 Application Process:

The certification body shall review the application to confirm that the applicant complies with the application requirements of the certification scheme.

What the ICAC Review Seeks to Determine:

Once received, the application must actually be reviewed.

Suggested Documentation:

- Documentation of processes followed when application received.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.2.1 Assessment Process:

The certification body shall implement the specific assessment methods and mechanisms as defined in the certification scheme.

What the ICAC Review Seeks to Determine:

Make sure the body is testing and assessing in the manner advertised.

Suggested Documentation:

- Documentation submitted for 8.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.2.2 Assessment Process:

When there is a change in the certification scheme which requires additional assessment, the certification body shall document and make publicly accessible without request the specific methods and mechanisms required to verify that certified persons comply with changed requirements.

NOTE Recertification can be used to achieve this verification.

What the ICAC Review Seeks to Determine:

When the program changes, these changes should be broadcast to the appropriate people (usually posted on the body's web site and certainly contained in the application packet).

Suggested Documentation:

- None

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.2.3 Assessment Process:

The assessment shall be planned and structured in a manner which ensures that the scheme requirements are objectively and systematically verified with documented evidence to confirm the competence of the candidate.

What the ICAC Review Seeks to Determine:

Examinations and skill assessments should administered in an objective and well documented process.

Suggested Documentation:

- Copy of the assessor's scoring sheet(s) and/or instructions.
- Assessors qualification process.
- Test development (psychometric) process.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.2.4 Assessment Process:

The certification body shall verify the methods for assessing candidates. This verification shall ensure that each assessment is fair and valid.

What the ICAC Review Seeks to Determine:

The administrative body shall ensure that their own assessment methods are followed.

Suggested Documentation:

- none

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.2.5 Assessment Process:

The certification body shall verify and accommodate special needs, within reason and where the integrity of the assessment is not violated, taking into account national regulation.

What the ICAC Review Seeks to Determine:

Make sure there is a process to accommodate the special needs of candidates.

Suggested Documentation:

- Copy of special needs notice (should be in application packet).

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.2.6 Assessment Process:

Where the certification body takes into account work performed by another body, it shall have appropriate reports, data and records to demonstrate that the results are equivalent to, and conform with, the requirements established by the certification scheme.

What the ICAC Review Seeks to Determine:

The body should periodically make sure that any other body's credentials upon which they rely are valid and appropriate.

Suggested Documentation:

- List of any outside bodies whose records are programs are relied upon during the certification process (for example, college transcripts), and how these are verified as true and accurate.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.3.1 Examination Process:

Examinations shall be designed to assess competence based on, and consistent with, the scheme, by written, oral, practical, observational or other reliable and objective means. The design of examination requirements shall ensure the comparability of results of each single examination, both in content and difficulty, including the validity of fail/pass decisions.

What the ICAC Review Seeks to Determine:

The exam itself should be created in such a way that it fairly assesses – and there is a consistency of difficulty between exams given to different individuals.

Suggested Documentation:

- Documentation on how the examination was created. (likely the same as 9.2.3)

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.3.2 Examination Process:

The certification body shall have procedures to ensure a consistent examination administration.

What the ICAC Review Seeks to Determine:

Processes should be in place to ensure each examination experience is similar to every other examination.

Suggested Documentation:

- Documentation on examination procedures. More details coming in 9.3.3, 9.3.4, and 9.3.5

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.3.3 Examination Process:

Criteria for conditions for administering examinations shall be established, documented and monitored.

NOTE Conditions can include lighting, temperature, separation of candidates, noise, candidate safety, etc.

What the ICAC Review Seeks to Determine:

More details from 9.3.2

Suggested Documentation:

- Details should be incorporated into 9.3.2

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.3.3 Examination Process:

When technical equipment is used in the examination process, the equipment shall be verified or calibrated where appropriate.

What the ICAC Review Seeks to Determine:

More details from 9.3.2

Suggested Documentation:

- Details should be incorporated into 9.3.2

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.3.3 Examination Process:

Appropriate methodology and procedures (e.g. collecting and maintaining statistical data) shall be documented and implemented in order to reaffirm, at justified defined intervals, the fairness, validity, reliability and general performance of each examination, and that all identified deficiencies are corrected.

What the ICAC Review Seeks to Determine:

More details from 9.3.2

Suggested Documentation:

- Details should be incorporated into 9.3.2

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.4.1 Decision on Certification:

The information gathered during the certification process shall be sufficient:

1. for the certification body to make a decision on certification;
2. for traceability in the event, for example, of an appeal or a complaint.

What the ICAC Review Seeks to Determine:

Make sure the documentation of the certification process is complete – and make sure all assessments are documented and these documents can be retrieved in case of a dispute.

Suggested Documentation:

- none

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.4.2 Decision on Certification:

Decisions for granting, maintaining, recertifying, extending, reducing, suspending or withdrawing certification shall not be outsourced.

What the ICAC Review Seeks to Determine:

The certifying body must maintain control of their own program.

Suggested Documentation:

- none

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.4.3 Decision on Certification:

The certification body shall confine its decision on certification to those matters specifically related to the requirements of the certification scheme.

What the ICAC Review Seeks to Determine:

The determination process must be impartial and limited to the expressed scope of the program.

Suggested Documentation:

- none

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.4.4 Decision on Certification:

The decision on certification of a candidate shall be made solely by the certification body on the basis of the information gathered during the certification process. Personnel who make the decision on certification shall not have participated in the examination or training of the candidate.

What the ICAC Review Seeks to Determine:

Maintain impartiality by separating the roles in the process. Trainers and examiners cannot then make the determination on certification.

Suggested Documentation:

- none

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.4.5 Decision on Certification:

The personnel who make certification decisions shall have sufficient knowledge of and experience with the certification process to determine if the certification requirements have been met.

What the ICAC Review Seeks to Determine:

People grading and making the final determination of certification should be competent to do so.

Suggested Documentation:

- Documentation of personnel responsible for making the certification decision.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.4.6 Decision on Certification:

Certification shall not be granted until all certification requirements are fulfilled.

What the ICAC Review Seeks to Determine:

No “tentative” certifications.

Suggested Documentation:

- none

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.4.7 Decision on Certification:

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.

What the ICAC Review Seeks to Determine:

The successful candidate will receive some sort of certificate attesting to their successfully completion of the program.

Suggested Documentation:

- Copy of the certificate. The certificate should (somewhere) make it clear the certifying body has the right to revoke it – should the candidate fall out of compliance. More details in 9.4.8

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.4.8 Decision on Certification:

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

1. the name of the certified person;
2. a unique identification;
3. the name of the certification body;
4. a reference to the certification scheme, standard or other relevant documents, including issue date, if relevant;
5. the scope of the certification including, if applicable, validity conditions and limitations;
6. the effective date of certification and date of expiry.

What the ICAC Review Seeks to Determine:

More details from 9.4.7

Suggested Documentation:

- Details should be included in documentation sent in 9.4.7

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.4.9 Decision on Certification:

The certificate shall be designed to reduce the risks of counterfeiting.

What the ICAC Review Seeks to Determine:

Designed in a way to maintain the security of the program and credential.

Suggested Documentation:

- none

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.5.1 Suspending, withdrawing or reducing the scope of certification:

The certification body shall have a policy and (a) documented procedure(s) for suspension or withdrawal of the certification, or reduction of the scope of certification, which shall specify the subsequent actions by the certification body.

What the ICAC Review Seeks to Determine:

Ensure suspension, withdrawal or reduction in scope policies are well documented.

Suggested Documentation:

- Copy of suspension, withdraw or modification policies. More details on specifics in 9.5.2, 9.5.3, and 9.5.4

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.5.2 Suspending, withdrawing or reducing the scope of certification:

Failure to resolve the issues that have resulted in the suspension, in a time established by the certification body, shall result in withdrawal of the certification or reduction of the scope of certification.

What the ICAC Review Seeks to Determine:

Ensure there is a time limit on suspended certifications.

Suggested Documentation:

- Detail as documented in 9.5.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.5.3 Suspending, withdrawing or reducing the scope of certification:

The certification body shall have enforceable arrangements with the certified person to ensure that, in the event of suspension of certification, the certified person refrains from further promotion of the certification while it is suspended.

What the ICAC Review Seeks to Determine:

Ensure the candidate does not continue to represent themselves as certified while under suspension.

Suggested Documentation:

- Detail as documented in 9.5.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

9.5.4 Suspending, withdrawing or reducing the scope of certification:

The certification body shall have enforceable arrangements with the certified person to ensure that, in the event of withdrawal of certification, the certified person refrains from use of all references to a certified status.

What the ICAC Review Seeks to Determine:

Ensure the candidate does not continue to represent themselves as certified after their certification has been revoked.

Suggested Documentation:

- Detail as documented in 9.5.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.6.1 Re-certification Process:

The certification body shall have (a) documented procedure(s) for implementation of the recertification process, in accordance with the certification scheme requirements.

What the ICAC Review Seeks to Determine:

Re-certification process should be well documented and communicated to applicants.

Suggested Documentation:

- Any re-certification documentation.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.6.2 Re-certification Process:

The certification body shall ensure during the recertification process that it confirms continued competence of the certified person and ongoing compliance with current scheme requirements by the certified person.

What the ICAC Review Seeks to Determine:

Whether through continuing education, employment or retesting – the re-certification scheme should ensure continued competence in the field.

Suggested Documentation:

- Detail provided in 9.6.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.6.3 Re-certification Process:

The recertification period shall be based upon the scheme requirements. The rationale for the recertification period shall take into account, where relevant, the following:

1. regulatory requirements;
2. changes to normative documents;
3. changes in the relevant scheme requirements;
4. the nature and maturity of the industry or field in which the certified person is working;
5. the risks resulting from an incompetent person;
6. ongoing changes in technology, and requirements for certified persons;
7. requirements of interested parties;
8. the frequency and content of surveillance activities, if required by the scheme.

What the ICAC Review Seeks to Determine:

Suggested details from 9.6.1

Suggested Documentation:

- Detail provided in 9.6.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.7.1 Use of Certificates, Logos and Marks:

A certification body that provides a certification mark or logo shall document the conditions for use and shall appropriately manage the rights for usage and representation.

What the ICAC Review Seeks to Determine:

The logos and service marks of the program should be protected. Their appropriate use should be documented and communicated to certification holders.

Suggested Documentation:

- Copy of all logos, services marks and the policy for their use.
- Any federal service mark registration documentation.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.7.2 Use of Certificates, Logos and Marks:

The certification body shall require that a certified person signs an agreement for the following reasons:

1. to comply with the relevant provisions of the certification scheme;
2. to make claims regarding certification only with respect to the scope for which certification has been granted;
3. not to use the certification in such a manner as to bring the certification body into disrepute, and not to make any statement regarding the certification which the certification body considers misleading or unauthorized;
4. to discontinue the use of all claims to certification that contain any reference to the certification body or certification upon suspension or withdrawal of certification, and to return any certificates issued by the certification body;
5. not to use the certificate in a misleading manner.

What the ICAC Review Seeks to Determine:

The program should have some signed documentation where the applicant agrees not to tarnish the reputation of the program.

Suggested Documentation:

- Copy of document where such an agreement is signed.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.7.3 Use of Certificates, Logos and Marks:

A certification body shall address, by means of corrective measures, any misuse of its certification mark or logo.

What the ICAC Review Seeks to Determine:

The body should monitor and address misuse of logo.

Suggested Documentation:

- Policy for how misuse of logo or service mark is addressed.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.8.1 Appeals Against Decisions on Certification:

The certification body shall have a documented process to receive, evaluate and make decisions on appeals. The appeals-handling process shall include at least the following elements and methods:

1. the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;
2. tracking and recording appeals, including actions undertaken to resolve them;
3. ensuring that, if applicable, appropriate corrections and corrective actions are taken.

What the ICAC Review Seeks to Determine:

The body should have a fair and well documented process to handle appeals.

Suggested Documentation:

- Documentation on the appeals process.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.8.2 Appeals Against Decisions on Certification:

The policies and procedures shall ensure that all appeals are dealt with in a constructive, impartial and timely manner.

What the ICAC Review Seeks to Determine:

Additional guidance for 9.8.1

Suggested Documentation:

- Documentation from 9.8.1.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.8.3 Appeals Against Decisions on Certification:

A description of the appeals-handling process shall be publicly accessible without request.

What the ICAC Review Seeks to Determine:

The appeals process should be documented on the body's website.

Suggested Documentation:

- Copy of website URL where the appeals process is documented.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.8.4 Appeals Against Decisions on Certification:

The certification body shall be responsible for all decisions at all levels of the appeals-handling process. The certification body shall ensure that the decision-making personnel engaged in the appeals-handling process are different from those who were involved in the decision being appealed.

What the ICAC Review Seeks to Determine:

The process should be impartial and not outsourced. The appeal cannot be reviewed by the original determiner.

Suggested Documentation:

- Documentation from 9.8.1.

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

9.8.5 Appeals Against Decisions on Certification:

Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

What the ICAC Review Seeks to Determine:

No retaliation should take place simply because an individual or company participates in the appeal process.

Suggested Documentation:

- Documentation from 9.8.1.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.8.6 Appeals Against Decisions on Certification:

The certification body shall acknowledge receipt of the appeal and shall provide the appellant with progress reports and the outcome.

What the ICAC Review Seeks to Determine:

Communicate well with the person appealing.

Suggested Documentation:

- Documentation from 9.8.1.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.8.7 Appeals Against Decisions on Certification:

The certification body shall give formal notice to the appellant of the end of the appeals-handling process.

What the ICAC Review Seeks to Determine:

Communicate well with the person appealing.

Suggested Documentation:

- Copy of notice (if available).

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.9.1 Complaints:

The certification body shall have a documented process to receive, evaluate and make decisions on complaints.

What the ICAC Review Seeks to Determine:

The body should have a well documented process to handle complaints concerning the certification program.

Suggested Documentation:

- Copy of complaint policy.

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

9.9.2 Complaints:

A description of the complaints-handling process shall be accessible without request. The procedures shall treat all parties fairly and equitably.

What the ICAC Review Seeks to Determine:

The complaints process should be documented on the body's website.

Suggested Documentation:

- Copy of website URL where complaint process is documented.

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

9.9.3 Complaints:

The policies and procedures shall ensure that all complaints are handled and processed in a constructive, impartial and timely manner. The complaints-handling process shall include at least the following elements and methods:

1. an outline of the process for receiving, validating, investigating the complaint and deciding what actions are to be taken in response to it;
2. tracking and recording complaints, including actions undertaken in response to them;
3. ensuring that, if applicable, appropriate corrections and corrective actions are taken.

What the ICAC Review Seeks to Determine:

More details from 9.9.1

Suggested Documentation:

- Contained in documents from 9.9.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

9.9.4 Complaints:

Upon receipt of a complaint, the certification body shall confirm whether the complaint relates to certification activities for which it is responsible and, if so, shall respond accordingly.

What the ICAC Review Seeks to Determine:

More guidance details for 9.9.1

Suggested Documentation:

- Contained in documents from 9.9.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

9.9.5 Complaints:

Whenever possible, the certification body shall acknowledge receipt of the complaint and shall provide the complainant with progress reports and the outcome.

What the ICAC Review Seeks to Determine:

More guidance details for 9.9.1

Suggested Documentation:

- Contained in documents from 9.9.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.9.6 Complaints:

The certification body receiving the complaint shall be responsible for gathering and verifying all necessary information to validate the complaint.

What the ICAC Review Seeks to Determine:

More guidance details for 9.9.1

Suggested Documentation:

- Contained in documents from 9.9.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

9.9.7 Complaints:

Whenever possible, the certification body shall give formal notice of the end of the complaints-handling process to the complainant.

What the ICAC Review Seeks to Determine:

More guidance details for 9.9.1

Suggested Documentation:

- Contained in documents from 9.9.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

9.9.8 Complaints:

Any substantiated complaint about a certified person shall also be referred by the certification body to the certified person in question at an appropriate time.

What the ICAC Review Seeks to Determine:

More guidance details for 9.9.1

Suggested Documentation:

- Contained in documents from 9.9.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

9.9.9 Complaints:

The complaints-handling process shall be subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

What the ICAC Review Seeks to Determine:

More guidance details for 9.9.1

Suggested Documentation:

- Contained in documents from 9.9.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

9.9.10 Complaints:

The decision to be communicated to the complainant shall be made by, or reviewed and approved by, personnel not previously involved in the subject of the complaint.

What the ICAC Review Seeks to Determine:

More guidance details for 9.9.1

Suggested Documentation:

- Contained in documents from 9.9.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

10.1 General Management Systems Requirements:

The certification body shall establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard. In addition to meeting the requirements of Clauses 4 to 9, the certification body shall implement a management system in accordance with either option A or option B, as follows:

Option A: a general management system which fulfils the requirements of 10.2; or

Option B: a body that has established and maintains a management system, in accordance with the requirements of ISO 9001, and that is capable of supporting and demonstrating the consistent fulfilment of the requirements of this International Standard (ISO/IEC 17024), and fulfils the management system requirements of 10.2.

What the ICAC Review Seeks to Determine:

The body should have management systems in place that are adequate to administer the program.

Suggested Documentation:

- ISO 9001 conformance documentation (if available)

Additional Notes or Comments:



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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

10.2.1 General Management Systems Requirements:

The certification body shall establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard.

The certification body's top management shall establish and document policies and objectives for its activities. The top management shall provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of this International Standard. The top management shall ensure that the policies are understood, implemented and maintained at all levels of the certification body's organization.

The certification body's top management shall appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that include:

- A) ensuring that processes and procedures needed for the management system are established, implemented and maintained;
- B) reporting to top management on the performance of the management system and any need for improvement.

What the ICAC Review Seeks to Determine:

The body should have management systems in place that are adequate to administer the program.

Suggested Documentation:

- Position description of person appointed to report on management systems.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

10.2.2 Management Systems Documentation:

Applicable requirements of this International Standard shall be documented. The certification body shall ensure that the management system documentation is provided to all relevant personnel.

What the ICAC Review Seeks to Determine:

The provisions and requirements of accrediting the body's certification program (the contents of ISO 17024) should be well documented and communicated to all interested parties.

Suggested Documentation:

- Internal staff documents concerning ISO 17024

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

10.2.3 Control of Documents:

The certification body shall establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard. The procedures shall define the controls needed to:

1. approve documents for adequacy prior to issue;
2. review and update as necessary and re-approve documents;
3. ensure that changes and the current revision status of documents are identified;
4. ensure that relevant versions of applicable documents are provided at points of use;
5. ensure that documents remain legible and readily identifiable;
6. ensure that documents of external origin are identified and their distribution controlled;
7. prevent the unintended use of obsolete documents and apply suitable identification if they are retained for any purpose.

NOTE Documentation can be in any form or type of medium.

What the ICAC Review Seeks to Determine:

The body should have management systems in place that are adequate to produce and control documentation for the program.

Suggested Documentation:

- Document Control Policy

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

10.2.4 Control of Records:

The certification body shall establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard.

The certification body shall establish procedures for retaining records for a period consistent with its contractual and legal obligations. Access to these records shall be consistent with the confidentiality arrangements.

NOTE For requirements for records on applicants, candidates and certified persons, see also 7.1.

What the ICAC Review Seeks to Determine:

Record retention policies must be documented and reasonable given the scope of the program.

Suggested Documentation:

- Document Retention Policy

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

10.2.5.1 Management Review:

The certification body's top management shall establish procedures to review its management system at planned intervals, in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this International Standard. These reviews shall be conducted at least once every 12 months and shall be documented.

What the ICAC Review Seeks to Determine:

Periodic reviews should take place to ensure the management process remains adequate to the job.

Suggested Documentation:

- Management system review policy.

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

10.2.5.2 Management Review:

Review input

The input to the management review shall include information related to the following:

1. results of internal and external audits (e.g. accreditation body assessment);
2. feedback from applicants, candidates, certified persons and interested parties related to the fulfilment of this International Standard;
3. safeguarding impartiality;
4. the status of preventive and corrective actions;
5. follow-up actions from previous management reviews;
6. the fulfilment of objectives;
7. changes that could affect the management system;
8. appeals and complaints.

What the ICAC Review Seeks to Determine:

Detail guidance from 10.2..5.1

Suggested Documentation:

- Details should be in documentation from 10.2.5.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

10.2.5.2 Management Review:

Review output

The output from the management review shall include as a minimum decisions and actions related to the following:

1. improvement of the effectiveness of the management system and its processes;
2. improvement of the certification services related to the fulfilment of this International Standard;
3. resource needs.

What the ICAC Review Seeks to Determine:

Detail guidance from 10.2..5.1

Suggested Documentation:

- Details should be in documentation from 10.2.5.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

10.2.6.1 Internal Audits:

The certification body shall establish procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained.

What the ICAC Review Seeks to Determine:

The body should periodically evaluate its program against the ISO Standard 17024, to ensure they remain in compliance.

Suggested Documentation:

- Internal Audit Policy

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

10.2.6.2 Internal Audits:

An audit programme shall be planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits.

What the ICAC Review Seeks to Determine:

Detail guidance from 10.2..6.1

Suggested Documentation:

- Details should be in documentation from 10.2.6.1

Additional Notes or Comments:



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What ISO/IEC 17024 Says:

10.2.6.3 Internal Audits:

Internal audits shall be performed at least once every 12 months. The frequency of internal audits may be reduced if the certification body demonstrates that its management system continues to be effectively implemented in accordance with this International Standard and has proven stability.

What the ICAC Review Seeks to Determine:

Detail guidance from 10.2..6.1

Suggested Documentation:

- Details should be in documentation from 10.2.6.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

10.2.6.4 Internal Audits:

The certification body shall ensure that:

1. internal audits are conducted by competent personnel, knowledgeable in the certification process, auditing and the requirements of this International Standard;
2. auditors do not audit their own work;
3. personnel responsible for the area audited are informed of the outcome of the audit;
4. any actions resulting from internal audits are taken in a timely and appropriate manner;
5. any opportunities for improvement are identified.

What the ICAC Review Seeks to Determine:

Detail guidance from 10.2..6.1

Suggested Documentation:

- Details should be in documentation from 10.2.6.1

Additional Notes or Comments:



Program Accreditation Application

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What ISO/IEC 17024 Says:

10.2.7 Corrective Actions:

The certification body shall establish (a) procedure(s) for identification and management of nonconformities in its operations. The certification body shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the impact of the problems encountered. The procedures shall define requirements for the following:

1. identifying nonconformities;
2. determining the causes of nonconformity;
3. correcting nonconformities;
4. evaluating the need for actions to ensure that nonconformities do not recur;
5. determining and implementing the actions needed in a timely manner;
6. recording the results of actions taken;
7. reviewing the effectiveness of corrective actions.

What the ICAC Review Seeks to Determine:

Should the body find it has fallen out of conformity with the ISO standard, it should correct these issues of nonconformity.

Suggested Documentation:

- Policy to address nonconformities

Additional Notes or Comments:



Program Accreditation Application

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Questions: call 740-674-4300 or 765-653-8262

What ISO/IEC 17024 Says:

10.2.8 Preventative Actions:

The certification body shall establish (a) procedure(s) for taking preventive actions to eliminate the causes of potential nonconformities. Preventive actions taken shall be appropriate to the probable impact of the potential problems. The procedures for preventive actions shall define requirements for the following:

1. identifying potential nonconformities and their causes;
2. evaluating the need for action to prevent the occurrence of nonconformities;
3. determining and implementing the action needed;
4. recording the results of actions taken;
5. reviewing the effectiveness of the preventive actions taken.

NOTE The procedures for corrective and preventive actions do not necessarily have to be separate.

What the ICAC Review Seeks to Determine:

The body should develop a policy to ensure it does not fall out of conformity with the ISO standard.

Suggested Documentation:

- Policy to prevent nonconformities

Additional Notes or Comments: