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## **1. PURPOSE**

The purpose of this guideline is to describe the handling, evaluation and conclusion of applications for Personnel Accreditation Bodies by NBE. Furthermore, this guideline describes the procedures to be followed in the selection and evaluation of certification examinations witnessed by NBE during assessments for initial assessment, surveillance, scope extension and re- accreditation of Personnel Accreditation Bodies.

## **2. SCOPE**

This guideline comprises the process relating to the evaluation of certification bodies conducting personnel certification activities within the context of various personnel certification standards. It also comprises processes regarding the accreditation assessments and the surveillance, scope extension and re-accreditation assessments of accredited certification bodies. This guideline shall be used in conjunction with “PR-7-01 Procedure on Accreditation of Conformity Assessment Bodies”.

## **3. REFERENCES**

**3.1** ISO/IEC 17024 - Conformity Assessment – General Rules for Personnel Certification Bodies

**3.2** PR-7-01 - Procedure on Accreditation of Conformity Assessment Bodies

**3.3** G-1-14 - Guidance on Assessment of Conformity Assessment Programs

## **4. TERMS AND DEFINITIONS**

**Personnel Certification:** A system of rules in which assurance of conformity to requirements for a person is provided by a 3rd party, following written and/or oral and/or applied examination performed according to a determined standard or program.

**Standard:** Document specified by national or international consensus or approved by a recognized body, describing the rules, guidelines or characteristics for activities and their results, and attempting to obtain the best level of order within a certain context.

**National Occupational Standard (NOS):** The minimum set of norms describing the knowledge, competence, approach and attitude considered as necessary by the Vocational Qualifications Authority (VQA) for the successful conduct of a vocation.

**National Competency:** The set of knowledge, skill and competence an individual placed within the context of national qualification must possess after he/she is prepared and approved according to the professional standard determined by the VQA.

**Personnel Certification Program:** Document prepared by national, regional, international and recognized professional certification bodies (chambers and associations) or legal authorities and used as the basis of the individual’s evaluation during the Personnel Certification process.

**Office:** Location reported as the permanent address of the Personnel Certification Body, where all

manner of documents are maintained and the quality management system relating to Personnel Certification is managed.

**Field:** Location where the Personnel Certification examination is conducted.

**Temporary (Traveling) Examination Centre:** Examination areas where the certification body only provides one or several examinations for specific candidates.

**Continuous Examination Centre:** Examination centres where the certification body's own or rental or similar methods and the certification body has the right to use it for a certain period of time or indefinitely with the exception of temporary examination centres.

**Location:** Addresses where conformity assessment activities and related activities are carried out (branch, mobile facility, traveling facility, virtual field, remote personnel office, representative or contact office, etc.)

**Important Activities:** The processes that affect the CAB's competence and are taken into account in this framework.

**Multi-site certification body:** Certification body with locations (sites) that conduct activities separately from the head of office that performs the certification body's important activities, or the certification body's central address that performs in full or in part its important activities. The body is a certification body that is complete with its office and branches. All branches are legally affiliated to the central office (as legally defined or recorded onto the trade registry as a branch, with an existing certificate of activity), and perform their activities under a common quality system.

**Assessment:** Process conducted by NBE to assess the qualification of the Personnel Certification Body according to certain standards and/or normative documents, and within the context of a specific accreditation. (This process; Evaluation of qualification includes the evaluation of the personnel of the certification body with a Quality Management System in compliance with ISO/IEC 17024, of the methodology.)

used for qualification evaluation, of the qualification of all activities including the qualification of the results of the conformity assessment.

## **5. GENERAL**

One of the services provided by NBE is the assessment and accreditation of the qualification of personnel certification bodies. For this reason, all personnel certification bodies wishing for accreditation must submit to NBE the relevant application form, along with the documents requested in the application (basic information on the CAB's structure, activities, CAB's QMS documentation, staff structure, etc.). The evaluation of qualification of a personnel certification body is performed by document review, visits performed to the certification body administrative centre office and branches if any and on-site assessment of certification activities. The purpose of the assessment is to control whether the personnel certification body is operating in accordance with the requirements of ISO/IEC 17024 and other guidelines and procedures of NBE. The

mandatory documents with which the personnel certification bodies must comply are listed in the “Personnel” section of “Applications” at NBE’s website [www.nbeglobal.org](http://www.nbeglobal.org).

NBE assigns a team leader along with a technical assessor and experts with knowledge on the area of expertise of the personnel certification to be accredited. All members of the assessment team (team leader, assessors and technical experts) sign the forms and agreements prepared by NBE with regards to the confidentiality of information obtained during the assessment duration, and also with regards to compliance to the codes of conduct. The activities of the assessment team is limited to assessment of conformity to the relevant requirements and reporting of any findings to NBE, the evaluation of corrective actions against the non-conformities found during assessment, and providing its own opinion with regards to accreditation of the relevant body.

This document provides information on how the accreditation assessments, surveillance assessments and re-accreditation assessments of NBE will be planned and carried out, according to the requirements of the ISO/IEC 17024 standard and during the accreditation cycle (48 months) of a personnel certification body. In addition, this document provides references for assessment techniques normally used during assessments.

Accreditation processes will be conducted by taking into account the topics mentioned in this guide, and in parallel with PR-7-01 The Procedure on the Accreditation of Conformity Assessment Bodies and G-1-09 The Guideline on the Calculation of Assessment Durations (MD) for Accreditation Assessments.

## **6. APPLICATION AND ASSESSMENT PROCESS**

### **6.1 Application Documents**

A personnel certification body wishing to perform an accreditation application may retrieve the necessary information from NBE’s web site or from the Directorate of Personnel Accreditation. The documents that need to be submitted to NBE as well as the documents required during the application for the relevant field of accreditation are described in detail on the FR-7-01-9 form. To perform the accreditation application, the Form pertaining to the field of activity of the certification body (FR-7-01-3), “Conformity Assessment Body Authorized Person Notification Form (FR-7-01-70)” and “Accreditation Contract for Personnel Certification Bodies (FR-7-01-39)” (2 copies) are signed by a member of the certification body’s top management or a person authorized by top management. The signed forms are submitted to NBE as printed materials and also in electronic environment as e-signed.

In addition, where it is necessary to obtain permission from the owner of the standard or scheme to be used in certification, such document shall be shown to NBE along with the signed application papers submitted.

For the certification programs specified in the G-1-14 guidance, the certification body/program owner must apply for evaluation of the conformity assessment programs before the accreditation application or with the accreditation application and the programs should be evaluated by NBE.

A CAB which has applied for accreditation must have established, and operated for at least 3

(three) months, a management system in accordance with the relevant accreditation standard

## 6.2 Scope of the Application

The Personnel Certification Bodies making the application should clearly define the scope of the accreditation being subject to the application. The standards and programs to be accredited by NBE for personnel certification, the criteria listed below needs to be satisfied:

For the accreditation of Personnel Certification Bodies, it is necessary within the context of the application that:

- a) Whether the scope applied for is accreditable (considering whether member certification bodies of IAF accredit such scope);
- b) International (ISO) and regional (EN) standards are available, or
- c) National standards (e.g.; DIN, BS, ASTM, etc.) are available, or
- d) Widely-known rules and arrangements published by professional associations recognized by national or international community (e.g.; API, ASME, etc.)
- e) Occupational standard accepted and published by the Vocational Qualifications Authority (VQA), and that National Qualifications have also been published for these professional standards, or
- f) They are schemes designed in accordance with the regulations established by the legal authority;
- g) The infrastructure of NBE's technical experts and assessors within the context of the application are adequate;
- h) The service of NBE in the field where the CAB requests accreditation and the existence of a mutual recognition agreement.;
- i) NBE's cross-frontier accreditation policy.

Considering the certification standards and schemes or programs for the scopes applied for and all of the criteria above, it shall be assessed whether the scopes applied for could be accredited or not, and a decision be made on granting the application or not.

Prior to an application for accreditation, the scope of the accreditation must be clearly indicating, by requesting support of the Directorate of Personnel Accreditation if necessary.

Applicant bodies should fill in the application form considering the following explanations for sections A, B, C and D in ANNEX 1 of the form (FR-7-01-3).

UNDERLYING DOCUMENT FOR THE STANDARD/CERTIFICATION (A)	FULL NAMES OF CERTIFICATION SCOPES (B)	REMARKS (C)	TYPE OF CANDIDATE EVALUATION** (D)

\*\* W: Written examination; WV: Written and verbal examination; V: Verbal examination; PB: Performance-based

(direct observation); CB: Computer-based examination; O: Other

Fill in the sections as follows:

- A) Current International Standards or national standards or Certification Scheme number, the latest publication/revision date (in years) and the revision number, if any, can be specified (date, day/month/year),
- B) Full name of the certification scope,
- C) “Remarks”: Products if applicable, the level of certification if applicable, units of the scope covered if any, and other remarks,
- D) How the assessment examination of the candidate shall be conducted, using the abbreviations in the form.

**EXAMPLE 1: Statement of Scope in Accreditation Application Form**

UNDERLYING DOCUMENT FOR THE STANDARD/CERTIFICATION	FULL NAMES OF CERTIFICATION SCOPES	REMARKS	TYPE OF CANDIDATE EVALUATION
ASME Sec IX:2015	Certification of welders	Pressurized vessel and boiler welders	PB- Performance-based

**6.3 Receiving and Evaluation of the Application**

When the application of a personnel certification body, performing its services in accordance with the ISO/IEC 17024 standard, is received by NBE, the Director of Personnel Accreditation assigns a case officer to oversee the accreditation process. The case officer reviews and records the application scopes for accreditability.

Where the outcome of the review is positive, the case officer shall notify CAB officials of “Application Registration Form” (FR-7-01-13) indicating that the file has been accepted as accreditation application and the file number. CAB shall provide and send the documents required in the application to the NBE’s e-mail.

Certification bodies shall keep updated “FR-7-01-88 List of Current Certification Standards/Schemes” that includes the following information on the certification standards/schemes included in their application scopes, and send to NBE e-mail. CABs shall keep this list updated throughout the accreditation cycle:

- 1) Item no,
- 2) Number of the underlying document for the standard/certification
- 3) Publication/Revision date of underlying document for the standard/certification (as day/month/year),
- 4) Revision No/Publication No (if any),

- 5) Date when the body started certification (the date when the body conducted necessary works for the certification scheme (preparing the documents for the scheme, preparing the question bank if applicable, delivering training to relevant staff, getting approval from the scheme committee etc.) and first started to receive applications),
- 6) Full names of certification scopes
- 7) “Remarks” (products applicable, the level of certification if applicable, units of the scope covered if any, and other remarks).

For the acceptance of application by NBE, it is necessary that the documents required during the accreditation process are sent to the NBE e-mail, and that the payment for the application fee is done.

During the application, it is mandatory for the body to send the requirement documents onto the e-mail. However, if the certification body does not wish to send to the e-mail its “Question Bank” for the scopes included in the application, it must send to e-mail and communicate to NBE a letter of request indicating that they want the question bank to be examined in their body and that they accept the increase of assessment days for each assessor to be assigned in such scopes.

When the required documents are sent to the NBE e-mail, the case officer shall be notified by CAB. Sent documents shall be reviewed by the case officer with regard to their quantity and CAB shall be notified of any missing documents.

Such action should be completed within 1 (one) month following the registration of the application. In cases of force majeure, CAB may be allowed an additional term of 2 (two) months. If at the expiry of this term the documents required in the application are not fully sent, the application file shall be closed and the CAB be informed accordingly.

NBE can re-evaluate an accepted application according the abovementioned criteria during the future stages of the accreditation process based on the review of the documents provided after the acceptance of the application and reject the application. CAB must regularly visit to the NBE website to keep the information and should communicate and documents updated, and follow the information and documents by NBE. Sent documents shall be reviewed by NBE’s case officer with regard to their quantity and following the acceptance as accreditation application, works shall be commenced to set up the assessment team.

If the applicant certification body requests a pre-assessment, such pre-assessment shall be conducted as prescribed in PR-7-01 Procedure for the Accreditation of Conformity Assessment Bodies (Article 3.2.1). If no pre-assessment is requested, the next stage shall be commenced.

#### **6.4 Selection of the Assessment Team**

For the file accepted, the case officer conducts the following activities to form the assessment team:

- a) Confirms by contacting the applicant certification body the areas of personnel certification for



which the certification body is requesting accreditation

b) Selects the assessment team that will conduct the evaluation of the application file's content and perform on-site assessment, and present this information to the applicant certification body. Within the context of determining the assessment team, efforts are made to determine the minimum number of assessment team member that can perform an assessment and evaluate the complete certification areas to be accredited.

c) Confirms the centre and different branches in which personnel certification services is provided, if applicable. Also confirms which important activities are conducted in these centres/branches.

**Important activities for personnel certification bodies:**

- Policy formation and approval,
- Develop and approve the procedures and processes necessary for the operation of the Personnel Certification System, including the requirements for the selection and appointment of examination personnel,
- Review of regulations and applications about the assessment and contracts related to staff certification,
- Development, assessment and maintenance of re-certification and examination processes,
- Personnel certification decisions, including signing and approval of certificates,
- Objections received from applicants, candidates, certified staff and employers and other parties about the certification process and criteria and development and approval of policies, processes and procedures for the conclusion of complaints,
- Final decision on complaints and appeal.

When a location is examined carefully as to whether there are important activities being conducted, points that can affect the outcome of certification are taken into consideration. In determining whether a location is one in which important activities are conducted, the following points are taken into account:

- Receiving the application in relation with the head office.
- Receiving the application independently of the head office.
- Receiving the application and examination independently of the head office.
- Receiving the application, examination and decision-making independently of the head office.

**6.5 Evaluation of the Application File by the Assessment Team**

Once the "assessment team proposal" is prepared by the case officer, and after the "Contract" is approved by the body, the assessment team begins to evaluate the certification body's documents. The documents of Personnel Certification Bodies (quality manual, procedural instructions, certification program, personnel data, etc.) are evaluated according to ISO/IEC 17024, and relevant NBE requirements. If necessary, findings are reported to the personnel certification body as feedback for to be able to make the necessary changes.

**6.6 On-site Assessment Planning**

In order for the onsite assessment to be performed, the management system of the applicant CAB should be operational for at least 6 months and an internal audit and management review must have been conducted.

Within the context of the assessment of the Certification Body's head office, the extent of the scope, the diversity of documentation and the risk situation are assessed by the case officer through discussions with the team leader, assessor and technical experts, taking into consideration the foreign activities and number of locations of the certification body. In case the Certification Body has locations other than its head office, office and witness assessment will be conducted in each location where important activities carry out, during the initial accreditation assessment. The main goal during these assessments, in particular in the assessment of these locations, will be to determine the competence of the Certification Body in conducting the activities within the context of the accreditation. The complexity of the initial assessment will depend on the scope of the accreditation required by the Certification Body, and on the complexity of the management system in use.

During these assessments, all fields of personnel certification will be subject to technical review and in-office assessments. The assessment team will assess the technical qualification of the examination personnel, in each one of the main fields or categories, according to the points listed below:

- a) Records of personnel training and experience
- b) Evaluation of records prepared within the context of certification activities
- c) Meeting with examination personnel
- d) Assessment of examination personnel during the conduct of examinations

Personnel Certification Body demanding to be accredited by NBE must report immediately after the approval of the NBE assessment team the list of all examinations conducted to date and the list of planned examinations.

Furthermore, the personnel certification body must report to NBE (to the Case officer) prior to the assessments its current personnel involved in the conduct of the Quality Management System, in certification processes and/or involved in more than one task. The certification body must similarly report the locations of certification according to the current work plan.

The abovementioned information will allow NBE and the assessment team to organize together with the Personnel Certification Body the planning duration, the locations for on-site assessment, the selection of examiners, the number of assessments days and the days of assessment, and also whether additional technical assessors will be necessary.

### **6.7 Determining the Duration of Assessment**

For the assessors and technical experts assigned to the assessment, the time to be spent on assessment activities are calculated based on "G-1-09 Guideline for Calculation of Assessment Duration (Man/Day) for Accreditation Assessments".

The assessment duration, which has an important function in the preparation for the accreditation assessment, is calculated in units of (man/day), with a flexible approach taken with regards to this calculation based on the information obtained during the review of the application.

In determining the assessment duration in terms of (man/days) for the Personnel Certification Body to undergo accreditation assessment, the scope of certification body's activities is taken into consideration as the main factor. In addition to the content of the Body's application, whether the certification body is multi-sited, the number of personnel involved in certification activities, the structural certification body of the Body, locations in which activities are conducted and the extent of scope and complexity are also assessed during the assessment.

All information and documentation related to the program must be sent to NBE e-mail so that the certification programs for the scopes included in the application of the certification body can be examined by the assessment team member who is appointed before they arrive on-site assessment.

If the certification body does not wish to send "The Question Bank" for the certification program, this may be conditionally accepted. For this, the certification body must have a letter of request indicating that they do not wish to send "The Question Bank" to e-mail and want the question bank to be examined in their body(on-site) and that they accept the increase of assessment days for each assessor to be assigned in such scopes. In this case, the number of assessment days of each assessor assigned in the relevant scopes is increased by at least one day and reflected to the assessment fee in order to examine the question bank in the CAB.

Furthermore, in order to determine the qualification and performance of the Certification Body, it is necessary to perform observations by sampling between certification activities, to prioritize critical examination activities to be performed on the field, and to properly determine the durations in which on-site assessments will be conducted. In determining the total assessment duration in terms of (man/days), the points provided in TABLE-1 are taken into consideration.

**TABLE-1**

Office Assessment (evaluation of documents, preliminary preparation, assessment and reporting of management system)	Technical Activities (Personnel Certification Programs)
Head office 3±1	3±1 (For each assessor/technical expert)  (the number of assessor/technical experts are determined by calculating separately for

	field/program, including the applicant's Personnel Certification Programs)
(Each Location) 3±1	2±1 (For each assessor/technical expert)  (the number of assessor/technical experts are determined by calculating separately for each field/program, including the applicant's Personnel Certification Programs)

The durations in units of (man/days) shown on Table 1 are applicable for initial accreditation assessments. The duration for surveillance assessments should approximately equal 50% of the duration allocated for office and on-site assessment during the initial accreditation process.

In case there is a demand to extend the scope during the surveillance assessment, man-days will be calculated separately from the length on the surveillance assessment, and depending on the length and characteristics of this duration, this time will be added to the calculated duration for the surveillance assessment. In case a submission is performed to extend the scope of the surveillance assessment, the duration calculated, depending on the scope, using the method for the initial accreditation will be added to the assessment duration.

Additional time is required for NBE assessment for personnel certification bodies applying for flexible accreditation. On regular visits and in all cases where it is deemed necessary, NBE assesses the adequacy of the certification body regarding the flexible scope.

### **6.8 On-site Assessment**

During the initial accreditation assessment, it is necessary to conduct a witness assessment for the personnel certification examinations in at least one subgroup in the sector/expertise field described within the context of the personnel certification application. The number of witness assessments can be increased by the case officer, in accordance with the views of the assessment team, depending on the scope and complexity of the application and the diversity of certification programs. The case officer demands the certification body to provide the list of certification examinations to be conducted within the following 3 months. This list will be taken into consideration when planning the number of examinations to be witnessed.

NBE case officer and assessment team shall determine the examinations and examiners to be witnessed according to the criteria specified in articles 6.8.1 & 6.8.2 from the list of examinations and personnel declared. The information about the examinations to be witnessed is indicated in the assessment program and the CAB is provided with the necessary preparation.

For field assessments, the assessment date agreed upon with the certification body, the proposal for assessment, and the assessment program are prepared and provided to the certification body for approval. Following this, the on-site assessment and witness assessments within the context of

the program are performed.

During the office assessment, the NBE assessment team examines all records pertaining to the qualification of personnel assigned in each certification process of the relevant Body.

The Certification Body must ensure (if possible) that all personnel authorized to perform examinations are present during the assessment. It should be ensured that the examiner personnel are interviewed by the assessment team during the office assessment.

### **6.8.1 Examiner Personnel (Examiners)**

For the assessment of the Examiner Personnel, it is necessary to plan the examinations to be witnessed, such that the qualification of all examiner personnel can be observed, if possible. When such planning is made, the following points should be taken into consideration.

During the initial accreditation assessment;

- a) Interview with all authorized/to be authorized personnel by the assessment team (if necessary and possible), and evaluation of the information obtained thereby.
- b) In case the Personnel Certification Body has more than one examiner personnel, the first examination performed by an authorized person and other examiners/evaluators who are considered to be risky (experience etc.) according to their level of competence will be prioritized and evaluated by the assessment team. For the other authorized individuals, a review of proofs pertaining to the authorization (records of competency) will be performed. (When approving the qualification of examiners, relevant Bodies should pay attention that this evaluation of examiners itself is performed by individuals with proven qualification).

The first accreditation assessment is planned to ensure that, as far as possible, the examinations performance of all examiners is observed.

- c) During assessments, the number of examinations on the sub-fields to be evaluated by the assessment team will be planned according to the number of examiner personnel involved in the main field, as shown in TABLE-2.

The planned number of witness assessments should be completed within 3 months starting from the beginning date of the office assessment. In case the examinations cannot be witnessed within 3 months following the office assessment, these scopes will be held outside of the evaluation and will not be accredited.

**TABLE-2**

NUMBER OF PERSONNEL PERFORMING EXAMINATIONS ON THE MAIN FIELD	NUMBER OF SUB-FIELD EXAMINATIONS TO BE WITNESSED
1-4	At least 1
5-10	At least 2

11-20	At least 3 *
20-	At least % 20*

\*In case the Certification Examination Program includes more than one examiner personnel (evaluator), the number of examinations to be witness can be decreased by half.

The topics mentioned above are also applicable for certification bodies that have already been accredited, but have performed an application to extend the scope of accreditation to include these within the context of the accreditation.

During surveillance assessments, attention should be given to evaluate examiner personnel that have not been previously evaluated. The selection of the examiners to be observed is performed according to the number of examinations they are assigned, their experiences, their education, reports of previous assessments, etc. risk factors. At least one evaluation of each examiner personnel should be ensured during each accreditation cycle (4-year period).

### 6.8.2 Witnessed Examinations

In addition to assessing, for the certification body performing personnel certification according to the certification program, the examination team's knowledge regarding the program, witness assessments shall be performed to also include an assessment of the competence of the examiner in assessing and evaluating individuals which take part in the certification program.

The general rules to be followed when determining the examinations to be witnessed are provided below:

- Other risk factors such as risks related to the work and certification process of certified personnel and the number of certifications, and foreign operation status are taken into consideration in the selection of the certification activities to be witnessed.
- When determining the examination to be witness, the initial certification examination should be preferred. Alternatively, the certification renewal examination may also be chosen. In cases when the initial certification examination or the certification renewal examinations cannot be performed, the surveillance activities to be conducted by certification body for the personnel it certified may also be witnessed.
- In the first accreditation assessment, at least one examination will be witnessed in each of the applied area of expertise.
- If an accredited personnel certification body requests extension in a new area, at least one examination is observed in this area of expertise.
- If there are multiple scopes corresponding to the same area of expertise, if the examination materials and materials are similar, the examiners are the same, the assessment processes of the examinations are similar, sampling can be made between these scopes.

- In the case of professions with multiple levels, in the first accreditation and scope extension assessments, it is generally witnessed to the highest level of examinations. In surveillance and re-accreditation assessments, the examination to be observed is decided by taking into consideration factors such as the number of certifications and the level witnessed in previous assessments.
- An accredited personnel certification body should demonstrate the (actual) examination practice where the certification request for the candidates is received and all processes (application, assessment, examination, decision etc.) are run, in the assessment and accreditation renewal assessments to be carried out in the accredited scopes.
- For the accredited scopes, at least one examination must be observed during the 4-year accreditation cycle. If the examinations carried out under the assessment of the first two surveillance/scope extensions for the accredited scope could not be observed, the examination shall be observed in the accreditation renewal assessment. If the examination cannot be observed in these scopes, accreditation is suspended in these scopes. (NOTE: For some sectors, examinations conducted on one or more levels of the same scope may be taken into account in assessing competence at other levels that have not been examined in assessing the competence of scopes with multiple levels and not seen examination).
- It is essential that the number of examinations to be witnessed during the cycle is 1.2 to 1.5 times the number of examinations that are witnessed in the first accreditation assessment.
- In special conditions, NBE can determine other methods to assess qualification instead of witnessing assessments (examinations).
- In case a personnel certification body has more than one examination site or locations, a sampling is performed to determine the examinations to be witnessed and the selection of locations during assessment. The sampling and surveillance is determined according to the activities performed at the locations (important activity). When choosing the examination centre or locations, the following activities will be taken into account:
  - a) Number of certification applications performed to the examination centres/locations
  - b) The education and experience of the personnel performing examinations at the examination centres/locations
  - c) The use of the examination centre/location as sub-contracting
- In cases it deems necessary, NBE can perform interviews with the relevant personnel to observe whether the related personnel certified by the personnel certification bodies continue to be competent.
- During the period of validity for the accreditation, it is necessary to witness one examination for each accredited main scope.

### **6.8.3 The Role of NBE Assessment Team Members in Witness Assessments**

Regarding the examinations to be witnessed, the following general rules are applicable:

- NBE assessment team members are assigned to witness examination within the scope of the application of the personnel certification body. Regarding the assignment of assessment team, the technical qualification of its members are taken into account.
- During the examinations that are witnessed, the role of the NBE assessment team is to observe the personnel certification body to see whether activities are conducted in accordance to relevant standards or programs.
- Prior to the beginning of the examination to be witnessed, the personnel certification body should explain, if possible, the reason for the presence of the NBE team to the participants of the examination.
- The NBE assessment team should participate to the examinations of the personnel certification body, such that the entire examination process can be observed. (The process from the first presentation of the questions, up until the evaluation of the answers)
- At the end of the examinations that are witnessed, NBE assessment team will share their views, if possible, with the authorized staff of the personnel certification body. In cases this is not possible, the views and findings regarding the witnessed examinations will be reported to the certification body at the closing meeting of the accreditation assessment.

As much as possible, the NBE assessment team will witness the field work of all examiners found in the “pool” of the certification body during the accreditation cycle.

### **6.9 Surveillance Assessment**

Based on the date of initial accreditation, surveillance assessments are performed, as indicated on “PR-7-01 Procedure for Conformity Assessment Body Accreditation”. Surveillance assessments are planned to include all scope and content of the accreditation cycle (48 months). Any changes that may occur in the management system and certification body will be reported to NBE, and NBE will review and evaluate these changes accordingly. Important changes may require additional assessment duration, or may necessitate that the surveillance assessment is performed earlier.

During surveillance assessments, NBE plans and carries out the assessment of all main areas that were not subject to witness assessment during the initial accreditation, and also of all sub-certification programs. The surveillance assessment is planned and performed such that these activities are completed within an accreditation cycle. For multi-site certification bodies, the assessment for the scope of all branches will be planned and carried within the timeframe of an accreditation cycle.

In surveillance assessments, examination and certification records of at least two candidates (including camera records, if any) are examined with considering the number of documents in each certification program included in the assessment, the experience of the relevant certification body personnel, the scope of the certification program, etc. In case of non-compliance with the examinations examined, the number of records examined will be increased to be sufficient to



decide on the competence and impartiality of the certification body in this field.

Whenever possible, it is made a point of to ensure that witness assessments are carried out together with routine surveillance assessments and re-accreditation assessments. However, in cases where witness assessments cannot be carried out together within 3 months with surveillance and re-accreditation assessment, independent witness assessments may be performed at a time before or after the relevant assessment in accordance with the accreditation cycle program.

### **6.10 Scope Extension Assessment**

For a scope extension assessment, the personnel certification body must complete and submit the Application Form in writing/electronic media (FR-7-01-3; on the form, the section regarding scope extension is marked, and the relevant scope are detailed. In addition, if it is necessary to obtain permission from the owner for the standard or program to be used in certification, it is obligatory to obtain the necessary permission or to make a contract regarding the use and to submit the documents with signed/electronically signed documents to NBE during the application for extension application) Scope extension applications should be performed prior to the planning and proposal for an assessment to be conducted on a certification body.

However, for a scope extension application to be performed and accepted, it is essential for a prior assessment to have been conducted and concluded. In addition, no more than one scope extension assessment is carried out between the routine assessment made to the certification body and the other routine to follow. (For example, first surveillance-2nd surveillance or 2nd surveillance – re-accreditation) Other extension applications to be made in this process are combined with the assessments that will be routinely performed. The submissions of scope extension to be performed together with the surveillance assessment is done preferably 3 months prior to the surveillance assessment date for planning. The scope extension application which is made after the assessment proposal and its acceptance shall not be considered within the scope of the surveillance assessment.

CAB documents and records are examined by the assessment team before each assessment. In scope extension assessments, if the scope that the certification body has applied to, is in a sector different from the existing scopes of which this certification body is accredited then in the scope of extension application, it is essential to examine the CAB documents and records for the requested scopes by the members of the relevant assessment team and under the control of the team leader with the Documentation and Records Review Form.

In scope extension applications, the assessment of the scope and the examinations to be witnessed will be planned and determined in the same way as in an initial accreditation assessment.

Before the assessment, through the e-mail, added information in sections A, B and C on scopes noted in the application form for scope extension shall be sent by CAB.

In the situation that a standard or conformity assessment program is revised within the accredited

scope, the assessment of the qualifications of the accredited certification bodies according to the new revision is examined within the framework of the scope change.

### **6.11 Re-Accreditation Assessment**

The accreditation renewal process by the certification body is made by filling out the application form (marked accreditation renewal) as specified in the PR-7-01 Accreditation Procedure of Conformity Assessment Bodies.

If new scopes are added to the accreditation renewal application made by the CAB, the scopes sent e-mail and the information in the sections A, B and C of the application form is entered into the relevant fields.

In a similar manner to an initial accreditation assessment, during re-accreditation assessments: the changes in personnel, whether activities conforming to the certification program are conducted, the reflection of the changes on the standard and technical specifications to the practice, and the effectiveness of the control of the activities performed by sub-contractors and the records are all inspected, along with the quality management system and certification processes.

Any changes on the address and activities of the locations must be reported to NBE. Prior to opening new locations for accredited service, the certification body must provide information to NBE that these locations will be operating within the context of the accreditation. NBE will review the need for assessments at the new locations. Accordingly, the accreditation scope will be revised, new location surveillance will be conducted, and a re-accreditation plan will be included into the assessment.

In case assessments to the certification body are deemed necessary, a follow-up assessment will be organized. It is essential that at least one scope from each sector be included in the assessment program in the re-accreditation assessments.

## **7. ACCREDITATION CERTIFICATES AND PERSONNEL CERTIFICATES**

In case the certification body applying to NBE completes the assessments successfully, and considers the scope proposed by the assessment team as suitable, an Accreditation Decision will be taken by the Accreditation Committee. The Accreditation Certificate that is indicating the certification body is accredited (and its annexes showing the scope) is issued and an "Accreditation Brand" specific to the certification body is issued for use in documents related to accreditation. In addition, the accredited certification body and its scope are published on the NBE web page.

For the scopes indicated in accreditation certificates issued by NBE to the accredited personnel certification bodies; information shall be provided in the sections "underlying document for the standard/certification", "accredited scope" and "remarks". For scopes, the section "underlying document for the standard/certification" shall include publication date (including year) and revision/publication no for the standards and schemes.

**EXAMPLE 2: Scope of certificate issued by NBE**

UNDERLYING DOCUMENT FOR THE STANDARD/CERTIFICATION	ACCREDITED SCOPE	REMARKS
ASME Sec. IX :2015	Certification of welders	Pressurised vessel welders
ISO 9712 :2014	Certification of non-destructive testing staff: <ul style="list-style-type: none"> <li>• Radiographic testing (RT)</li> <li>• Ultrasonographic testing (UT)</li> </ul>	Levels 1 and 2 Levels 1 and 2
EN 13067: 2013	Certification of welders	Plastic welders table 1, Subgroups 3.6, 3.8

In order to be certified according to the Underlying document for the standard/certification which is updated (revised) within the scope of accredited Personnel Certification Bodies, an application must be made to NBE for a change of scope and with the assessment to be made according to the application, the scope change should be deemed appropriate and then the change of scope should be taken and the accreditation certificate should be changed (revised).

For changes to certain standards or certification schemes, such mode of practice may be changed by NBE consulting the opinion of an ad hoc working group as a result of special circumstances (feedback from assessors or technical experts assigned in the assessments, notice or opinion of the scheme owner relating to the changes, complaints); and a decision may be made to switch to the implementation of revised scope by conducting on-site assessment at personnel certification bodies or any other method. Where such action is needed, personnel certification bodies shall be specifically informed.

In accordance with G-1-06 Requirements for Using NBE Accreditation Symbol by the Accredited Bodies if a standard or conformity assessment program is revised in the accredited scope, the old revision of the program is excluded from the accreditation scope when the personnel certification body is accredited according to the new revision. In this case, on the condition that the certification body maintains the requirements of the old standard/program, it can use NBE Accreditation Symbol in the certificates/reports it produced in the standard/program it is accredited, in case of compulsory case and not exceeding one year during the transition period specified in the relevant standard/program. In previous revisions of conformity assessment programs, which are not referred to in the scope of accreditation, the use of the Accreditation Symbol may only be made in mandatory cases not under the control of the certification body as follows;

- In order to start certification activities according to the current revision of the conformity assessment program, there is an obligation to obtain permission from the program owner or legal authorities after accreditation.
- The situation that there is an application which is taken at the date of its accreditation on the basis of the old version and according to the conformity assessment program, the need for issuance of documents according to the old revision as a result of the evaluation of complaints or objections related to the former revision of the conformity assessment program.

Locations, outside the centre, which regulates the certification with making decision on giving certificates for personnel certification, are shown as a branch in the annex of the accreditation certificate issued to the main body and in the edited document, the branch address, contact information and the authorized scopes are also specified.

The addresses of all the other locations of the certification body, other than the headquarters and branches of the certification body, are clearly stated in the accreditation certificates and/or the scope annexes.

## **8. ACCREDITATION OF MULTI-SITE CERTIFICATION BODY**

It is possible to accredit the branches which are under the legal responsibility of a common legal entity and which have a common management system.

On the application form, the personnel certification body will indicate the scale and number of branches operating under its management system.

The NBE assessment team will, by using objective evidence and various techniques, investigate the following points:

- a) Whether all branches are operated under the same management system,
- b) Whether the branches are included in the internal audit program and the branches are covered by Management Review.

Branches that are not conducting important activities should still work under the same conditions. These locations can be included to the sampling during the assessment as part of the accreditation process, in order to provide evidence for the effectiveness of the system and the activities conducted.

During the assessment of branches where important activities are carried out, NBE may need to evaluate the records kept at different branches regarding the various activities that are conducted.

In case NBE observes non-conformities at the assessment of the head office, or at more than one location of the certification body, it will need to apply corrective procedures such that all branches are included. In case the branch assessment results reveals significant weaknesses and inconsistencies in the management system, NBE will review the assessment program and may increase the number of sites to be inspected.

Following an important finding at a branch, this branch may be excluded from the scope of certification. In case non-conformity is due to the inability of the control from the head office, the accreditation may be reviewed in its entirety, and it can even be suspended or repealed.

The branches conducting important activities for a certification body must at least be visited once within an accreditation cycle (48 months). In addition, the head office is visited every year.

## **9. Accreditation In the Flexible Scope**

The scope of fixed accreditation includes a precise definition of the certification scopes where the personnel certification body is considered competent and for each new (revised) underlying document for the standard/certification to be included to the scope, the competence of the personnel certification body should be assessed by an assessment. On the other hand, based on the competencies of the personnel certification body in the previously assessed scopes, it was seen that by adding to the scope of the updated standard/certification documents, there was a need to establish mechanisms enabling extension of the scope.

An accredited personnel certification body in a flexible scope can declare accreditation for changes made under the scope of accreditation without conducting an assessment.

The accredited personnel certification body assumes responsibility for the management of some part or all of the accreditation scope without the need for assessing by the accreditation body for each new activity.

It will be required from personnel certification bodies to analyse their own needs for flexible scope before requesting accreditation in a flexible manner. The additional work required to develop, implement and maintain an extended management system, including the requirements of the flexible scope, will be considered only when the need for such flexibility is clearly demonstrated by the personnel certification body.

Accreditation in the flexible scope permits an accredited personnel certification body to include new revisions of a certification program within the scope of the certification body without requiring additional assessment.

The personnel certification body, requesting flexible scope, will be asked to prove the following:

- Fixed scope is already restrictive in terms of the work undertaken by the personnel certification body,
- The management system will check the flexible scope in accordance with all the requirements specified in this guide, all activities carried out are in compliance with the accreditation requirements,
- The personnel certification body has the technical competence and sufficient experience to support flexible scope.

Flexible scope implementation is based on the fact that the personnel certification body uses the Additional Accredited Programs List together with the scope of accreditation. As of the latest NBE assessment, it is registered that additional personnel certification programs which are declared by the personnel certification body through flexible accreditation scope. For the personnel certification bodies, underlying document for the standard/certification, accredited scope, publication date or revision/publication number, explanations (qualification units etc.) and date of certification of the certification body are recorded in this document. Additional Accredited Programs List is controlled and updated by the personnel certification body and published on the websites of NBE and the personnel certification body. The process of publishing on the web site of

NBE is done through NBE website.

In the scopes of the accreditation certificates issued to personnel certification bodies accredited by NBE in the flexible scope; information is given in the section “Underlying document for the standard/certification “, “accredited scope” and “description”. For the scopes, “Underlying document for the standard/certification section does not include a publication date or revision/publication number for standards and programs. This information is kept up-to-date by the certification body in the FR-7-01-88 List of Current Certification Standards and Schemes for Personnel Certification Bodies for Personnel Certification Bodies and when requested, it is shared with relevant parties.

After the certification bodies have passed to the updated certification program, they can also issue the certificate according to the previous version certification program, provided that they do not have any technical problems related to the application of the old certification program and that the personnel, equipment and management system is maintained for a reasonable period of time (max. 1 year) depending on the customer demand. However, if this period exceeds one year, the rationale must be submitted to the member/members of the relevant assessment team and if the team members consider these matters as appropriate, they should indicate them in the relevant assessment documents. In case of the said reasons are also approved by the accreditation decision board, both old and current version of programs/standards are written together to the scope with the publication dates. If the demand in question continues in the following year, the same assessment should be repeated.

The personnel certification body may only make changes in the framework of the flexible scope only for previously accredited scopes by NBE. In order to use flexibility, the revised personnel certification program must be validated and the certification body must verify that the program can be implemented and the certification body must have records/documents related to them. The personnel certification body shall submit all the validation activities and the current Additional Accredited Programs List to NBE before making changes in the scope of flexible accreditation. The certification body may issue a certificate within the scope of accreditation after sending the related documents to NBE e-mail and publishing the current version of Additional Accredited Programs List on NBE and the websites of the certification body.

### **9.1 Requirements for Accreditation of Personnel Certification Bodies in Flexible Scope**

The personnel certification body must meet the following requirements in order to be accredited in the flexible scope:

- a) The certification body must have at least 2 years of accreditation experience.
- b) Personnel certification body management should assign personnel with adequate responsibilities to key responsibilities, including authorization on the implementation of revised certification programs.
- c) Personnel working in flexible scope should have at least 2 years of experience in the relevant field and have information about the relevant NBE/IAF documents in the flexible scope.
- d) The organization shall operate a documented system for the proper management of the flexible scope and the updating of the Additional Accredited Programs List. Such a system

provides the following;

- Responsibilities are determined for the establishment of flexible scope.
- The updating of Additional Accredited Programs List is only carried out after convenient technical activities have been carried out properly. What was done and can be done within the scope of accreditation is transparent and certain.
- The relevant procedure is followed once an application is received for an activity that has not previously been carried out under a flexible scope. This procedure should define that the personnel certification body is assured that the following minimum requirements are met before accepting the work:
  - The personnel certification body has access to all necessary resources needed for the requested activity,
  - Availability of appropriate personnel to perform the requested activity and validation or verification of the activity,
  - Assignment of those responsible for each activity,
  - Carrying out all necessary validation or verification activities of the personnel certification body as determined by the procedures,
  - Approval of the relevant procedure,
  - Addition of additional activity to the list by duly authorization of the personnel certification body management,
  - Advance notice to the accreditation body of the new branches of the personnel certification body.

In addition, an additional activity could not be included in the scope of a branch where has not been assessed by accreditation body of personnel certification body or the personnel certification body did not perform one or more key activities in it.
- The contract review procedure contains guidance on the assessment of demand. This is especially important when there is a request that the personnel certification body has not added to the list of activities in accreditation scope. In such a case, the personnel certification body shall inform the customer related with the following items:
  - The personnel certification body cannot produce certificates within the scope of accreditation unless the successful implementation of the program/standard requested by the customer is completed,
  - Other necessary information (For example, return time, price, etc.).
- e) In the event that the validation/verification process of the Certification Programs results as a fact that the personnel certification body cannot produce valid documents, the personnel certification body shall conduct a reason analysis and carry out the necessary corrective actions. These corrective actions should include:
  - The customer should be informed about the reason analysis and what is done later, and the fact that the personnel certification body cannot issue an accredited document and reason of this.
  - Changes in the relevant procedures and the specific problem causing the change should be described and the solution to the problem should be described and the customer should be assured that the problem will not repeat in the future.

- Accreditation institution should be informed and if necessary, the limits of flexible scope should be redefined.
- f) The personnel certification body must perform at least one demo work that is appropriate to this program and includes all applicable steps of the certification process before adding the revised program to the Additional Accredited Programs List.

### **9.2 Records Required by the Personnel Certification Body**

The personnel certification body must record all changes in the scope of flexible accreditation. These records should include unapproved studies and should be comprehensive and detailed so as to enable the evaluation of the process followed up and decisions taken during internal and external examinations. These records should demonstrate that the personnel certification body performs all necessary activities effectively before including the personnel certification program in the scope of flexible accreditation. The records of the personnel certification body should include at least the following;

- a) Evidence of activities carried out for revisions of programs in flexible scope,
- b) Changes that are made in flexible scope,
- c) Information related with the date of the change to be applied,
- d) Name and position of personnel responsible for verifying that the program can be implemented by the certification body,
- e) Authorization and application records for the program,
- f) Key personnel training.

The personnel certification body may issue a certificate within the scope of accreditation following the sending of the above records to NBE e-mail and publishing the current version of Additional Accredited Programs List on NBE and its websites.

### **9.3 Application and Preliminary Evaluation Process for Flexible Scope Accreditation**

Organizations can perform flexible scope application by marking the scope change in the Application for Personnel Certification Bodies Form (FR-7-01-3) and by filling in the relevant sections. The applicants will fill in the “ANNEX 1 Accreditation Requested Personnel Certification Scopes” section of the application form (FR-7-01-3) in accordance with the table below (for example; see EXAMPLE 1)

### **9.4 Specification of Flexible Scope in Accreditation Certificates and Additional Accredited Programs List**

The scope of flexible accreditation can be given by NBE singly or together with fixed scope. Flexible accreditation scope is published on NBE website. The personnel certification body send the records that is created before making changes in the scope of the flexible accreditation and the current status of the Additional Accredited Programs List to the NBE e-mail and the current version of Additional Accredited Programs List are published on the NBE website in the following format; for example see EXAMPLE 2.



In the following process and first on-site assessment, NBE examines the records of the scopes added to Additional Accredited Programs List and the practices in accordance with the relevant procedures of the management system and adds the scopes to the approved (fixed) scope of the organization if it finds the performed studies appropriate.

If the personnel certification body declares flexible scope without conforming to the requirements of this guideline and it is found that it carries out certification activities without meeting the requirements of the current certification programs, the certification body will be asked to withdraw the documents produced in this context and to take corrective action including demand.

If it is detected that the personnel certification body cannot maintain its management system, and flexible changes are not made properly by it or the certification body declares a flexible scope without complying with the requirements in this guide, then the file is submitted to the accreditation decision board, upon a proposal from the assessment team or case officer, in order to decide whether the scope of flexible accreditation and/or the scope of all accreditation is partially or fully suspended, withdrawn or narrowed.

All changes related with the key personnel (personnel responsible for implementing the flexible scope; certification body manager, quality manager, authorized decision makers in a flexible scope) should be notified to NBE within 15 days. As a result of this change, the relevant flexible accreditation scope of the personnel certification body may be suspended and/or withdrawn in cases where the competence of the organization is considered to be at risk.

## **10. APPLICATIONS OF ISO/IEC 17024 AND NORMATIVE DOCUMENTS**

In the field of personnel certification, certification bodies that wish to be accredited from NBE or are accredited, must comply with the ISO/IEC 17024 standard. In this section of the guideline, some explanations have been made about the interpretation of the standard and the related requirements of NBE and all articles of the standard are not mentioned.

### **10.1 General Requirements**

The certification body must have a legal entity that can be held responsible legally. The certification body should be able to obtain applications and obtain financial resources to carry out the certification process and ensure sustainability.

Public institutions are considered as legal entities based on public status. Under the assessment of the institutions having public legal entity, it is sufficient to see that the documents and regulations showing the public legal entity, the establishment law, regulations, decisions taken by the competent organs, etc. It is not obligatory for organizations with public legal entity to have professional liability insurance.

The organization shall carry out its certification activities in a way to ensure impartiality and confidentiality.

The organization shall carry out risk analysis to ensure the impartiality of its activities and update continuously this analysis. Risk analysis is not subject to any methodological condition in the standard and the organization may use any method of its choice.

Certification activities should be structured and managed in a manner that protects impartiality. For this purpose, a structure should be established in which balanced participation of the related parties is ensured (under the impartiality committee or another name) and records (reports, meeting minutes, etc.) should be held related to the work and meetings.

### **10.2 Structural Requirements**

If the certification body is part of a legal entity providing training services or if the relevant bodies of the certification body provide training services, this poses a risk to impartiality. In this case, impartiality, confidentiality and security risks should be identified and necessary measures should be taken and monitored continuously.

### **10.3 Resource Requirements**

The organization should employ all personnel (internal or external personnel) in accordance with the management system. The organization shall document the selection and approval process for the examiner and keep records of the operation of this process.

A list should be kept for those who work in the program committee, the impartiality committee and other committees which are formed by the personnel certification body and the records of their competence (training, qualification, work experience, etc.) and their work should be kept.

Impartiality and program committees should be made up of persons representing the relevant parties (the certified person, the users of the certified person's service, the employer of the certified person, the consumer, official authorities, etc.). and the requirements for the tasks of ISO/IEC 17024 standard must be known.

In personnel certification bodies, the quality manager who is the person giving the decision according to the certification program must be the permanent staff of the organization. SGK notifications, made by taking into consideration the periods in which these persons work, shall be made available for demonstration to the assessment team.

The personnel who will make the certification decision must have sufficient knowledge and experience related with the certification process in order to determine whether the certification requirements are met or not.

The certification body's certification of its personnel poses a great risk to impartiality. Organizations should not certify their own personnel unless this risk is controlled by effective measures (Use of external examiners, use of external examination centres, use of external examination materials, examination by a subcontractor, etc.) The effectiveness of the procedures and practices created for this purpose will be reviewed in the assessments.

As stated in the accreditation contract, the organization should notify these issues in writing to NBE; “must notify 15 days in advance of changes in legal status and at the address where it operates”; “changes in the partnership and management structure and changes effecting the activities under the accreditation scope (quality management system, personnel, equipment etc.) within 15 days”. These notifications include all addresses of the organization and permanent examination centres except temporary examination centres. These changes should be notified to NBE within the times specified in the accreditation contract, in addition to this, the “The Personnel Certification Bodies Certification Activity Information Notification Form” (FR-7-01-89) should be updated and sent to the e-mail.

Except for such changes, the Personnel Certification Bodies Certification Activity Information Notification Form (FR-7-01-89) should be updated in January of each year and sent to e-mail.

#### **10.4 Requirements Regarding Records and Information**

The certification body should establish an adequate registration system to ensure confidentiality and security at all stages of the certification process, to take certification decisions and to make traceability in cases such as objections and complaints.

All theoretical and performance examinations carried out within the scope of NBE accreditation should be recorded by video according to the following principles and records should be kept for at least 1 year.

- The images in the recordings should be clear, the sounds should be clear, the amount of light and the angle should be sufficient;
- Records must be taken to help prevent and detect fraudulent examination attempts;
- Necessary measures should be taken during the recording to prevent the applicant from getting out of sight of the camera and to prevent of applicant from appearing on the camera by the vehicle, person, etc.
- A registration system should be installed to provide quick and easy access to the records when it is desired to access the records of any examination or applicant.

The certification body shall investigate whether it is possible to provide another examination environment for recording with the camera in the following cases;

- The situation that is not possible for legal reasons to record some or all of the examination with a camera. (Clearly any electronic equipment or camera recording is prohibited in the legislation, international treaties, laws, regulations and so on);
- In case of performing the examination in strategic facilities in terms of national security and the facility management does not allow video or audio recording;
- The fact that the video recording of the examination is not possible due to national and international standards;
- Presence of scientific evidence that the recording of the examination is risky in terms of occupational health and safety or risking the safety of population in the environment.

If there is convincing evidence that it is not possible, it can record the justifications and perform the test without video or audio recording.

### **10.5 Certification Schemes**

The certification body must have a certification program developed and validated in accordance with ISO/IEC 17024 for each certification category.

ISO/IEC 17024 includes not only the requirements for the certification body but also the requirements for the certification program. The certification program can be developed by the certification body itself or by an external program owner. In both cases, the certification body should ensure that the program meets the conditions of the ISO/IEC 17024 standard and should have records and documents related to this.

In the use of the personnel certification program by certification bodies operating in accordance with ISO/IEC 17024, certification bodies shall undertake additional activities to establish a personnel certification program in accordance with Article 8. In this context;

- Establishing programs created by the personnel certification body by adapting national or international standards that do not feature as a stand-alone certification program,
- Creation of programs in which the content is regulated partially or entirely in the relevant legislation but its owner is not defined,
- The programs completely developed by the certification body.

And for review the establishment of a suitable structure (program committee, etc.) where the interests of all parties concerned are fairly represented, without any influence of interest, is necessary.

If the personnel certification body will use a program developed by a legally responsible external program owner, the certification body must cooperate with the program owner to develop and maintain the program in accordance with the ISO/IEC 17024 standard. As a result of this cooperation, if the certification body can obtain records or documents that the program is developed in accordance with the ISO/IEC 17024 standard, it is not mandatory to establish separate program committee etc. within the certification body. However, the establishment of such a structure may be useful for providing feedback to the certification body and program owner.

Regardless of whether the certification program is owned or not, the theoretical and performance questions to be used in measurement and evaluation should be reviewed and approved for compliance with the program by the certification body, before being put into use. To accomplish this aim, a program committee may be assigned or another mechanism may be used. In this case, the mechanism to be used should be defined and the related records should be kept.

Concerning with how the Article 8 of the standard can be implemented, including the requirements for the certification program, detailed information can be obtained by using the guidance document published by ISO/CASCO group, under the heading of "How to develop

schemes for the certification of persons-Guidance of ISO/IEC 17024” and in the context of “Frequently Asked Questions” and more detailed information can be reached in the G-3-03 guide, which is prepared by adhering to its content.

### 10.6 The Requirements of Certification Process

ISO/IEC 17024 standard is prepared for the certification of persons, institutions and organizations are not subject to certification according to this standard.

The certification body shall require candidates to make a signed application and review this application before proceeding with the certification process.

The accredited personnel certification body shall issue a “Certificate of Personnel” in accordance with Article 9.4 of the ISO/IEC 17024 standard, which includes the “Accreditation Symbol” issued by NBE for the people who are successful in the certification examinations they are accredited. In the documents to be issued, together with the publication date and revision number of the “Underlying document for the standard/certification”, information in “Remarks” section of “Current Certification Standards/Programs List” should be specified.

The organization is obliged to carry out surveillance and document renewals of certified persons according to the standard/program and should keep a list of the persons who are certified.

In addition, certification bodies shall keep the list containing the information specified in the “Personnel Certification Institutions Certification Activity Information Notification Form” (FR-7-01-89) showing the number of applications they have received and the certificates they have issued on the basis of the dates they are accredited for the scopes they are accredited and will update this document before the assessments to be made and send them to NBE e-mail. The number of documents given in this list will be taken into consideration by the case officers in determining the practice examinations to be observed in the assessments to be performed.

#### EXAMPLE 3 : Application and List of Issued Certificate Numbers (FR-7-01-89)

Name of CAB : A PERSONNEL CERTIFICATION CORP. etc, Date of Revision: 2018.10.20										
Item No	Underlying document for the standard/certification	Accreditation Issue Date	Annual application and number of certificates issued							
			2017		2018					
			NA	NIC	NA	NIC				
1	ISO 9606-1:2013	2017.11.07	5	5	10	6				
2	ISO 9606-1:2014	2017.11.07	14	89	66	90				
3	TS EN 13067: 2013	2017.11.07	5	22	40	32				
4	ISO 9712:2014(RT)	2017.11.07	12	14	11	19				

Abbreviations: **NA**: Number of Applications; **NIC**: Number of Issued Certificates

The certification body shall ensure the responsibility and sustainability of the certificates issued by itself.

If the certification body wishes to terminate its activities voluntarily or fails to meet the

accreditation requirements or in case of violation of accreditation rules (irregularities) or if the program owner has to terminate his activities by cancelling the permission to use the program the accreditation of the certification body shall be withdrawn. The certificates issued by an organization whose accreditation is withdrawn lose its validity. In this case, the certification body shall first consider the rules of the owner if the owner of the certification program has a rule regarding this issue. However, the rule to be applied must not violate the accreditation requirements. In order to maintain the validity of the certificate, its assessment (if applicable) should be made.

The certification bodies can express the methods to be applied in the contracts they have signed with the persons whom they certified in order to prevent the victimization of the certified persons (conditions in which the document will become invalid, partial or full refund of the certification fee, etc.) or with the professional liability insurance, they can provide assurances about this issue.

### **10.7 Management System Requirements**

The organization shall establish and implement a management system from the Options A and B specified in Article 10.1 of the ISO/IEC 17024 document, choosing the most appropriate one for its structure. The expectation from the Option B is to ensure the requirements that set out in Option A as a minimum. There is no difference between the options in terms of accreditation assessments. For both options, the assessment team will check to see if a management system has been created to meet the requirements specified in Option A as a minimum.

In order for the accreditation application to be accepted, the applicant personnel certification body must have an established management system primarily in accordance with the ISO/IEC 17024 Standard and the certification body must have operated this system for at least 3 (three) months before the application.