

# Competence Requirements for Personnel Conducting the Application Review to Determine Audit Team Competence, Select Audit Team Members, and Determine Audit Time Policy

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## 1. Purpose

The purpose of this policy is to outline the competence requirements for personnel responsible for conducting application reviews, determining the competence needed for the audit team, selecting audit team members, and determining the audit time, as per Annex A, Section A4, Clauses A.4.1, A.4.2, A.4.3 and A.4.4 of ISO 17021. This policy ensures that these critical tasks are performed by qualified personnel, ensuring the integrity of the audit process.

## 2. Scope

This policy applies to all personnel involved in conducting application reviews, determining audit team competence, selecting audit team members, and determining the audit time for certification activities at ICB International Certification Body LLC.

## 3. Competence Requirements for Personnel Conducting Application Reviews

### 3.1 Knowledge of Specific Management System Standards/Normative Documents and Understanding of the Client's Application

Knowledge of specific management system standards/normative documents refers to knowledge of what management system standard or other normative documents is being specified for certification. Personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time must have the knowledge in accordance with our specified criteria from Table A1 of our General Required Knowledge and Skills Policy.

Personnel responsible for conducting application reviews must possess a thorough understanding of:

**Client's Industry and Operations:** The personnel must have detailed knowledge of the client's industry, scope of operations, and the specific management system standard(s) applicable to the client (e.g., ISO 9001, ISO 14001, ISO 22000, ISO 22301, ISO 27001, ISO 27701, ISO 37001, ISO 37301, ISO 42001, ISO 45001, ISO 50001).

**Complexity of the Client's Management System:** Understanding the complexity of the client's management system to determine the appropriate audit time and team composition.

### 3.2 Knowledge of Our Processes and Determining Audit Team Competence

Knowledge of certification body's processes refers to knowledge of our processes sufficient to assign competent audit team members and accurately determine audit time. Personnel conducting the application review to determine audit team competence required, to select the audit team members,

and to determine the audit time must have the knowledge in accordance with our specified criteria from Table A1 of our General Required Knowledge and Skills Policy.

Personnel must have the knowledge and skills to assess the competence required for the audit team based on the client's application. This includes:

**Technical Expertise Requirements:** Identifying the specific technical expertise needed to audit the client's management system, including knowledge of the industry, processes, and regulatory requirements.

**Auditor Competence:** Ensuring that auditors assigned to the audit team possess the necessary competencies, including familiarity with the relevant management system standard and auditing techniques.

### 3.3 Knowledge of Client's Business Sector and Selecting Audit Team Members

Knowledge of client's business sector refers to knowledge of the terminology, practices and processes common to a client's business sector sufficient to assign competent audit team members and accurately determine audit time. Personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time must have the knowledge in accordance with our specified criteria from Table A1 of our General Required Knowledge and Skills Policy.

Personnel must have the ability to select appropriate audit team members based on the competence requirements identified. This includes:

**Team Composition:** Selecting a team with the appropriate mix of technical experts and auditors to cover all aspects of the client's management system.

**Avoiding Conflicts of Interest:** Ensuring that audit team members are impartial and free from any conflicts of interest that could compromise the objectivity of the audit.

### 3.4 Knowledge of Client Products, Processes and Organization, and Determining Audit Time

Knowledge of client products, processes and organization refers to knowledge related to the types of products or processes of a client sufficient to assign competent audit team members and accurately determine audit time. Personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time must have the knowledge in accordance with our specified criteria from Table A1 of our General Required Knowledge and Skills Policy.

Personnel must be able to determine the appropriate audit time required to conduct a thorough audit of the client's management system. This includes:

**Audit Duration:** Calculating the audit duration based on factors such as the size and complexity of the client's organization, the number of locations, and the scope of certification.

**Consideration of Risks:** Factoring in any potential risks that may require additional audit time, such as complex processes or previous nonconformities.

## 4. Competence Assessment and Maintenance

ICB International Certification Body LLC ensures that personnel conducting application reviews, determining audit team competence, selecting team members, and determining audit time are qualified to perform these tasks. Competence is assessed and maintained through:

**Initial Competence Assessment:** Personnel undergo an initial assessment of their knowledge, skills, and experience related to application reviews and audit planning.

**Ongoing Training:** Personnel receive regular training to keep them updated on changes to certification standards, audit practices, and industry developments.

**Performance Monitoring:** The performance of personnel is monitored through internal reviews and client feedback to ensure continued competence.

## 5. Roles and Responsibilities

### 5.1 Personnel Conducting Application Reviews to Determine Audit Team Competence, Select Audit Team Members, and Determine Audit Time

**Role:** Review client applications to determine the audit team competence required, select audit team members, and determine audit time.

**Responsibilities:** Ensure that the audit is adequately planned, with a qualified team assigned and sufficient time allocated to achieve a thorough and objective audit.

## 6. Documentation and Record Keeping

ICB International Certification Body LLC maintains records of the competence assessments, training, and performance evaluations of personnel involved in the application review process. This may include:

**Application Review:** Documentation of the application review process, including the determination of audit team competence, team selection, and audit time.

**Competence Assessment:** Records of initial and ongoing competence assessments for personnel involved in the application review process.

## 7. Supervision

Overall Supervision is carried out by the following person:

Prof. Dr. iur. Tinatin Erkvania, LL.M., Managing Director, [info@cert-authority.com](mailto:info@cert-authority.com)

## 8. Review and Updates

This policy is reviewed annually by top management to ensure compliance with ISO 17021 and to reflect any updates in the competence requirements for personnel conducting application reviews, selecting audit teams, and determining audit time. Any changes to the policy are communicated to relevant personnel.

## 9. References

ISO 17021 – Conformity assessment – Requirements for bodies providing audit and certification of management systems