



NEMZETI AKKREDITÁLÓ HATÓSÁG

NATIONAL
ACCREDITATION
AUTHORITY

National Accreditation Scheme

Competency Requirements, Training and Performance Review of Persons Involved in Accreditation and Surveillance Audit Procedures Conducted by the National Accreditation Authority

NAR-06

2nd Edition

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1. Purpose of the policy

Determine the requirements towards external and internal personnel involved in the activities of the National Accreditation Authority (NAH) and regulate the evaluation of their competencies and then the ongoing review of their performance. Determine training needs to maintain and develop required competencies and regulate the organisation of training.

2. Relevant external regulations

Act CXXIV of 2015 on National Accreditation (hereinafter “National Accreditation Act”)

Act 2011 of 2011 on Civil Servants

Government Decree 424/2015 (23 December), Article 7

Ministerial Instruction 27/2015 NGM, Ministry of National Economy

IAF/ILAC A5:11/2013 IAF/ILAC Mutual Recognition Arrangements (Rules): ISO / IEC 17011:2004

IAF MD 20:2016 Generic Competence for AB Assessors: Application to ISO/IEC 17011

ILAC G11:07/2006 ILAC Guidelines on Qualifications & Competence of Assessors and Technical Experts

3. Persons involved in accreditation and surveillance procedures

Internal personnel of the National Accreditation Authority:

Civil servants employed under Act CXCIX of 2011 and employees hired under the Civil Code, who assist in the administration, organisation of accreditation and surveillance audits and perform other office activities.

Assessors and experts:

They are external personnel included in NAH’s assessor database and involved by NAH in the assessment phase of procedures. They examine applicant and accredited bodies’ compliance with requirements by way of documentation review and site visits. Assessors’ and experts’ responsibilities can also be performed by NAH’s internal personnel.

Accreditation Committee members:

They cannot be persons employed by NAH, only independent professionals hired under civil law contracts who are not involved by NAH in the decision-making phase. They issue expert opinions to inform decisions.

4. Responsibilities and powers

4.1 Internal personnel of the National Accreditation Authority:

The responsibilities of NAH's internal personnel are laid down by Ministerial Instruction 27/2015 NGM and employees' job descriptions.

The regulation describes the responsibilities of each NAH organisational unit and their leaders.

In addition to what is contained in the regulation and job descriptions, accreditation desk officers and administrators in other positions have the following responsibilities:

- Make proposals to the head of department as to the composition of assessment teams under procedures delegated to them.
- Keep regular contact with assessment team members and make appointments.
- Handle and check documents prepared during such procedures.

Accreditation desk officers and administrators in other positions are responsible for the following:

- Organise individual stages of the procedure.
- Monitor the deadlines of the procedure.
- Ensure the appropriateness of documents received from the assessment team.

If they do not find records made during local visits appropriate they will be entitled, in consultation with the head of department, to assign the assessment team further assessment tasks.

If any deficiencies are found in the documentation received from the applicants, the accreditation desk officer will be entitled to initiate a request for missing documents with the head of department.

4.2 Assessors and experts:

4.2.1 Responsibilities and powers of lead assessors:

The lead assessor cooperates with the accreditation desk officer and other members of the assessment team in the assessment phase of procedures and in doing so he/she will in particular:

- Review documents submitted by organisations and prepare a written report in the event of accreditation, scope extension and standard transition review procedures and where NAH's accreditation desk officer so requires (e.g. in the case of reporting particular changes);
- Organise local visits and determine areas to be inspected during such visits in accordance with the NAR-25 Policy;
- Lead and manage the assessment team during local visits and summarise its findings in writing and orally;
- Supervise and organise supervision of the expert member of the assessment team.
- Conduct the opening and closing meetings of local visits;

- Perform evaluation tasks determined in the programme of the local visit and in doing so check fulfilment of requirements laid down in relevant standards, legal regulations and other IA, ILAC, IAF and other mandatory documents;
- Prepare written reports of the local visit;
- Check completely corrective actions taken to deal with non-conformities identified during the procedure and their effectiveness. Even in cases where corrections do not cover the full area or activity but such corrections have been presented, verify quality assurance related to the activity together with a root cause analysis and required corrective actions. These can include e.g. risk analysis for the areas affected by corrections; an unscheduled internal audit; an unscheduled supplier audit etc.;
- Write a detailed summary report in the case of accreditation and scope extension procedures;
- Make proposals as to the granting and maintaining accredited status or the partial/full suspension or withdrawal of such status;
- Participate in evaluating assessors and experts.

Within his/her own competence, the lead assessor is entitled to take action in relation to summarising and disclosing to the applicant orally and in writing findings made during local visits and resolving any conflicts that may arise.

4.2.2 Responsibilities and powers of assessors

The assessor cooperates with the accreditation desk officer and other members of the assessment team in the assessment phase of procedures and in doing so he/she will in particular:

- Review documents submitted by organisations and prepare a written report in the event of accreditation, scope extension and standard transition review procedures and where NAH's accreditation desk officer so requires (e.g. in the case of reporting particular changes);
- Participate in determining areas to be inspected during such visits in accordance with the NAR-25 Policy;
- Support the activities of the assessment team during local visits and contribute to formulating and summarising its findings;
- Perform evaluation tasks determined in the programme of the local visit and in doing so check fulfilment of requirements laid down in relevant standards, legal regulations and other IA, ILAC, IAF and other mandatory documents;
- If assigned to do so, supervise and organise supervision of the expert member of the assessment team.
- Contribute to preparing written reports of the local visit;
- Check corrective actions taken to deal with non-conformities identified in his/her special area during the procedure and their effectiveness. Even in cases where corrections do not cover the full area or activity but such corrections have been presented, verify quality assurance related to the activity together with a root cause analysis and required corrective

actions. These can include e.g. risk analysis for the areas affected by corrections; an unscheduled internal audit; an unscheduled supplier audit etc.;

- Contribute to proposals made by the lead assessor as to the granting and maintaining accredited status or the partial/full suspension or withdrawal of such status;
- Participate in evaluating assessors and experts.

Within his/her own competence, the assessor is entitled to take action related to summarising and disclosing to the applicant orally and in writing findings made in relation to the area, already accredited or to be accredited, which has been delegated to him/her during local visits and to resolving any conflicts that may arise.

The assessor can hand over his/her findings to the applicants in writing only in consultation with the lead assessor.

4.2.3 Responsibilities and powers of experts

The expert cooperates with the accreditation desk officer and other members of the assessment team in the assessment phase of procedures and in doing so he/she will in particular:

- Review documents submitted by organisations and prepare a written report in the event of accreditation, scope extension and standard transition review procedures and where NAH's accreditation desk officer so requires (e.g. in the case of reporting particular changes);
- Contribute to determining areas to be inspected during such visits in accordance with the NAR-25 Policy;
- Support the activities of the assessment team during local visits and contribute to formulating and summarising its findings;
- Perform evaluation tasks determined in the programme of the local visit and in doing so check fulfilment of requirements laid down in relevant standards, legal regulations and other IA, ILAC, IAF and other mandatory documents;
- If assigned to do so, supervise and organise supervision of the expert member of the assessment team.
- Contribute to preparing written reports of the local visit;
- Contribute to checking corrective actions taken to deal with non-conformities identified in his/her special area during the procedure and their effectiveness. Even in cases where corrections do not cover the full area or activity but such corrections have been presented, verify quality assurance related to the activity together with a root cause analysis and required corrective actions. These can include e.g. risk analysis for the areas affected by corrections; an unscheduled internal audit; an unscheduled supplier audit etc.;
- Contribute to proposals made by the lead assessor as to the granting and maintaining accredited status or the partial/full suspension or withdrawal of such status;

During local visits, the expert can work under the supervision of the lead assessor or the assessor. Such supervision does not mean that the expert is not entitled to carry out independent su-

pervisory activities during the local programme in the specific area delegated to him/her. However, he/she can hand over his/her findings to the applicant in writing and orally only in consultation with the assessor responsible for supervising him/her.

4.3 Accreditation Council members

Upon the completion of the assessment phase of the accreditation and surveillance procedures, the Accreditation Council members prepare a collective expert opinion based on the full documentation of the procedures whereby they formulate proposals to NAH's Deputy General Director in order to inform decisions on accredited statuses.

Responsibilities of the Accreditation Council members are described in the NAR-85 Policy.

5. Definition of requirements and competencies

5.1 Definition of general requirements

Due to the nature of the National Accreditation Authority's responsibilities, the following requirements apply to all participants of procedures:

- Perform activities in a non-discriminatory and impartial manner, free from all financial and other influences.
- Handle information received during NAH's procedures confidentially and refrain from disclosing such information to third parties, unless required by legislation or explicitly authorised by NAH's General Director.
- Perform assignments to the best of their knowledge with the expected professional and procedural competence.
- Have general competency and aptitude for performing assignments.

5.2 Definition of competencies

Competency is a set of knowledge, skills and behavioural characteristics enabling the individual is enabled to perform a particular task effectively.

Consequently, NAH classifies assessor and expert competency criteria into three groups and two levels.

Three groups of competency:

- **Knowledge:** acquired – and different levels of – (professional) information possessed by the individual;
- **Skills and abilities:** basic competencies enabling physical and mental performance of assignments;
- **Characteristics (personality traits):** professional competencies, i.e. leadership capabilities; organisational skills; and physical and psychological characteristics including the ability to respond to different situations and information.

Two levels of knowledge/skills are distinguished as follows:

- **General assessor competency criteria:** accreditation-related knowledge; assessment experience; time management; proficiency to use verification techniques.
- **Special competency criteria:** possession of professional knowledge and experience and ability to verify the same; ability to make and consider findings and observations; and manner and style of formulating findings both in writing and orally.

5.2.1 Skills and competencies required for the internal staff of the National Accreditation Authority

Generally required skills:

- higher education degree
- quality management-related knowledge
- accreditation-related knowledge
- understanding of NAH's policies and quality management system
- IT skills

Skills and abilities:

- good organisational and coordination skills
- good communication skills in writing and orally
- ability to cope with stress and resolve conflicts
- ability to logically and systematically
- ability to recognise situations
- skills to apply theory in practice during NAH's procedures

Personal characteristics:

- appropriate state of mind
- excellent memory
- objectivity and compliance with rules
- self-confident and polite behaviour

Knowledge related to specific areas:

- overall understanding of activities related to conformity verification in his/her specific area of responsibility.

5.2.2 Competencies required for assessors and experts:

Generally required knowledge:

- accreditation-related knowledge
- understanding of NAH's procedures and quality management system
- understanding of verification techniques to be applied during local visits
- IT skills

Lead assessors and assessors are also expected to have quality management-related knowledge but this is not a requirement for experts.

Skills and abilities:

- good organisational skills
- good communication skills in writing and orally
- ability to cope with stress and resolve conflicts
- ability to think logically and systematically
- ability to apply appropriate verification techniques

In order for assessment teams to carry out assessment activities successfully and effectively, lead assessors must – in addition to the foregoing – be in possession of leadership skills and good organisational, management coordination skills.

Personal characteristics:

- appropriate physical condition
- good memory
- conscientious and attentive performance of work
- self-confident and polite behaviour and adaptability
- impartiality and objectivity

Area-specific knowledge:

The required area-specific knowledge and competencies of assessors and experts are listed in the following annexes by accreditation category:

Annex 1: Required knowledge and competencies for assessors and experts participating in the accreditation of testing laboratories, calibration laboratories, medical diagnostics laboratories and sampling organisations.

Annex 2: Knowledge and competencies required for assessors and experts participating in the accreditation of verifier bodies.

Annex 3: Knowledge and competencies required for assessors and experts participating in the accreditation of product certification bodies.

Annex 4: Knowledge and competencies required for assessors and experts participating in the accreditation of management system certification bodies and persons certification bodies.

Annex 5: Knowledge and competencies required for experts participating in the accreditation of EU ETS certification bodies.

5.2.3 Accreditation Council members:

The requirements listed in Point 5.1 must also be fulfilled by Accreditation Council members. In respect of Accreditation Council members, further requirements include:

- those laid down by Articles 4, 5, and 6 of Government Decree 424/2016 (23 December);
- at least 5 years of work experience in their specific areas of specialisation;
- regular updates of professional skills;
- ability to evaluate documents and reports prepared during procedures and based on that to formulate objective opinions in respect of accredited statuses as well as ability to make a written summary of such opinions in the form of an expert opinion;
- ability to support and justify opinions in writing and orally.

6. Initial evaluation of requirements and competencies

6.1 Internal personnel of the National Accreditation Authority

For employees (government officials) directly involved in accreditation procedures and being on NAH's payroll, the basic requirement is to be in possession of a higher education degree possibly in the relevant field of specialisation.

In the case of new colleagues to be recruited by NAH, NAH's requirement is for them to have negotiation-level English language skills.

In view of the fact that practical experience related to accreditation cannot be acquired elsewhere, each employee must be prepared for accreditation through general theoretical and practical training and also in respect of their relevant fields of specialisation. This takes place in a three-month induction process whereby each employee becomes familiar with NAH's functioning, management system, policies and specialised knowledge related to its remit.

6.2 Aptitude test procedure for assessors and experts

NAH has worked out an aptitude testing procedure with relevant documentation in order to ensure that experts/assessors/lead assessors assigned to procedures have at all times the required competencies to perform their tasks. As part of the aptitude testing procedure, NAH determines the following:

- basic and professional criteria related to personal characteristics of experts/assessors/lead assessors;
- general accreditation criteria related to expertise of experts/assessors/lead assessors;
- specific criteria related to expertise of experts/assessors/lead assessors;
- regular performance reviews in order to ensure maintenance of competencies of experts/assessors/lead assessors (review per procedure; annual review; monitoring every three years; consideration of training/education efficacy);
- regular training/education based on review results in order to maintain competencies.

As part of the aptitude testing procedure, individual databases are created in which all data referring to the competencies and proficiency of the given assessor or expert are collected.

Knowledge, skills and competencies are assessed by accreditation category by means of qualification certificates and professional interviews. A report is prepared about the interview.

An initial interview is conducted by the Competency Committee in order to ascertain the interviewee's competencies, skills and abilities; thereafter, the new expert candidate participates as a trainee in a local visit where under the supervision of an experienced lead assessor he/she will perform minor tasks. Based on his/her performance at the local visit, the lead assessor prepares a report in which he/she formulates a recommendation as to the further employment of the expert or, if necessary, his/her training and development of his/her abilities.

Personal aptitude (personality characteristics and traits) is also evaluated during the local visit based on the trainee's performance, which is then documented in a report.

The summarised results of initial evaluations are contained in Form NAD-160.

In addition, we make a distinction between the evaluation of assessors and experts already in employment for several years before entry into force of the policy and that of new applicants.

In the case of experts and assessors in employment for a longer time, we take into account annual reviews conducted to date; documents proving updates of their professional skills; and monitoring reports as these reports mostly and in general place an emphasis on the theory of accreditation and the ability to apply the same in practice. In respect of knowledge and skills related to specific fields of specialisation, evaluation findings are not always sufficiently detailed. In local visits made after 01 August 2016, all assessors and experts included in NAH's database will be observed on the spot. Reports of local observations and monitoring are prepared on Form NAD-161.

6.3 Accreditation Council members

Among requirements listed in Point 5.2.3 in respect of Accreditation Council members, professional experience is judged by NAH's management on the basis of evaluating documents received.

Abilities and skills are assessed in personal interviews and through observing activities, of which a report is made.

Knowledge on accreditation and NAH processes is explained to new members by NAH employees.

In our practice so far, several Accreditation Council members worked as assessors or experts prior to being invited to join the Accreditation Council at NAT/NAH. In this case, the new Council member understands accreditation rules, NAH's procedures while his/her capabilities are also known to NAH employees.

7. Evaluation of regular updates of requirements and competencies and determination of training needs

7.1 Regular assessment of internal personnel of the National Accreditation Authority

The government officials and employees of the Authority are assessed on an annual basis, based on a predetermined set of criteria. The annual review covers the government official's performance; areas to be improved; and the identification of competency development opportunities. The review serves as a basis for deviating the employee's remuneration from regulatory provisions.

7.2 Regular evaluation of assessors and experts

At the beginning of every year, NAH's Competency Committee reviews the previous year's performance of assessors and experts and based on that it determines necessary training.

In the annual performance reviews, the following information is analysed:

- certificates proving participation in training courses and professional events organised outside NAH in the previous year;
- formal and substantive review of documents and reports submitted in the previous year;
- attendance of and results achieved at NAH's training events;
- reports on on-site observation (if monitoring took place in the previous year).

Notes taken by each assessor and/or expert are summarised in an XLS Competency Matrix in an Excel file.

Findings drawn from observations performed at local visits every three years are included in Form NAD-161.

In order to develop audit techniques, NAH holds situational technical training where we evaluate performance achieved by assessors/experts and, if necessary, recommend further practical training.

7.3 Accreditation Council members

The activities of Accreditation Council members are annually reviewed by NAH based on their expert opinions and on observation at Accreditation Council meetings. Documentation of evaluation findings is included in form NAD-209.

7.4 Identifying training needs

During regular assessment of internal and external personnel, NAH assesses their current level of competencies and aptitude and concurrently identifies their weaknesses, if any, together with opportunities for improvement.

We briefly present the results of annual reviews to each individual. Individual training, if necessary and related accreditation procedures, are held by NAH employees individually whenever

there is a need to fill professional gaps. If professional gaps exist for which NAH is unable to provide training, the person concerned is requested to fill such gaps and present evidence of completion of such training to NAH's quality management leader.

NAH organises its own training on the basis of evaluation-based system-level findings concerning several assessors.

8. Organisation of training events

As a result of assessment of persons involved in accreditation procedures, NAH's management determines training programmes necessary for maintaining and further developing competencies.

NAH's annual training plan is drawn up on the basis of findings of assessments and of experience.

Training is organised by the NAH secretariat.

9. Recordkeeping

9.1 Records kept on the National Accreditation Authority's internal personnel

We keep personal files of the authority's employees due in part to regulatory requirements and in part to the need to determine directions of development. Personal files include the following documents: appointment, job description, information document, criminal record, other documents related to remuneration. In addition, documents describing the qualifications and competencies required for filling the job and documents providing a basis for further staff development are also included.

9.2 Records kept on assessors and experts

NAH keeps records on assessors and experts with the following details:

- name, address and other availabilities
- workplace and position
- qualifications and scientific degrees
- field of specialisation
- professional experience
- Expert ID Card number, field of specialisation and issuer
- training received in management; professional courses
- qualifications ensuring understanding of accreditation regulations
- professional activities in past 15 years in conformity assessment
- membership and offices held in professional organisations
- attendance of professional events
- main professional publications
- procedures attended in capacity of assessor or expert

- attendance of training/education and results
- reviews of competencies and of their maintenance and their dates
- last date of modification of data

A personal file also includes the assessor's/expert's CV, documents proving qualifications and education and a copy of the Expert ID Card, Pensioner ID card, a conflict of interest statement and criminal records. The handling of and access to records is in compliance with Section 7 (4) of the National Accreditation Act.

9.2 Records kept on Accreditation Council members

NAH keeps and updates the following records on Accreditation Council members:

- documents certifying professional education and qualifications and CV
- service contract
- criminal record
- assignment signed by NAH's General Director

10. Closing provisions

This policy is issued by NAH's General Director under Deputy General Director' Instruction No. 21/2016.

This policy enters into effect as of 22 August 2016.

The provisions of this policy must be applied as of their date of entry into effect..