

## **AGREEMENT ON TERMS AND CONDITIONS FOR FORENSIC SPECIALTIES ACCREDITATION BOARD (FSAB) ACCREDITATION**

The \_\_\_\_\_ by the submission of this application, is applying for accreditation or reaccreditation by the Forensic Specialties Accreditation Board (FSAB), a nonprofit Colorado corporation. Based on the answers provided in this application, it is understood that additional information may be requested by the FSAB. Any additional information provided will be considered part of this application. Information provided in this application may be verified. The Candidate for accreditation or the FSAB Conformity Assessment Body (both hereinafter referred to as "Candidate") agree to withdraw or rectify, to the satisfaction of the FSAB, any misleading or incorrect information in the application, upon the Candidate's discovery or FSAB notification.

### **Preamble**

ISO/IEC 17011:2017 requires that the FSAB have a legally enforceable arrangement (hereafter "Agreement") with each Conformity Assessment Body (CAB) it accredits or reaccredits. ISO/IEC 17011:2017, Section 4.2. The representative acting on the Candidate's behalf affirms by their signature that: they have the authority to speak and act on the Candidate's behalf and that the information provided in this application is true and accurate to the best of their knowledge. By signing this document, the representative acknowledges that: any misrepresentation of fact is cause for denial of accreditation or, revocation of accreditation should such misrepresentation be brought forward after accreditation or reaccreditation has been granted. The representative of the Candidate is signing this Agreement on the Candidate's behalf and binds the Candidate to the following Terms and Conditions for FSAB accreditation.

### **1. General obligations by Candidate for accreditation by FSAB<sup>1</sup>**

#### **1.1 Legal entity and duration**

The Candidate confirms that it is a legal entity, or a defined part of a legal entity such that it is legally responsible for its certification activities, and has been a certifying body awarding certification for a minimum of two years prior to submitting the application for the FSAB accreditation.

#### **1.2 Commitment to accreditation requirements**

The Candidate agrees to commit to continually fulfill the requirements for the accreditation scope sought or granted and to commit to provide evidence of fulfillment. This includes agreement to adapt to changes in the FSAB policies, procedures, standards, and accreditation requirements.

#### **1.3 Notification of changes**

The Candidate agrees to inform the FSAB without delay of any significant changes relevant to its accreditation, to include:

- a) Its legal, commercial, ownership or organizational status

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<sup>1</sup> The term "accreditation" as used in this document includes the initial accreditation and reaccreditation of the Candidate Conformity Assessment Body.

- b) Its organization, top management, and key personnel
- c) Its main policies
- d) Its resources and premises
- e) Its scope of accreditation activities, and
- f) Other matters that can affect the ability of the Candidate to fulfill accreditation requirements

#### 1.4 Good faith claim of accreditation

The Candidate agrees that it shall claim accreditation only with respect to the scope for which it has been granted, and only after the FSAB has conferred such status.

#### 1.5 Use of accreditation symbol and logo

The Candidate commits to following the FSAB policy regarding use of the accreditation symbol and reference to accreditation status.

#### 1.6 Proper use of certification activities

The Candidate agrees not to use its certification practices in such a manner as to bring either the FSAB or the Candidate into disrepute.

#### 1.7 Financial responsibility

The Candidate agrees to pay all fees as determined and published by the FSAB, and that it has the financial resources, as demonstrated in its records and documents, required to sustain its accreditation. The Candidate also represents that it has the financial resources for operational activities, including officers' and directors' insurance or self-insurance to cover liabilities arising from its operations and/or activities that specifically cover its obligations under this Agreement in its scope of coverage. Evidence thereof shall be reviewed during accreditation activities.

#### 1.8 Grant of accreditation

The Candidate understands that FSAB accreditation, reaccreditation, or continued accreditation is not guaranteed if the Candidate is unable to sustain compliance with the accreditation requirements. In the event of a disagreement with the action of the FSAB, the Candidate has the right to appeal. The representative on the Candidate's behalf agrees that the FSAB appeals policy and arbitration process shall be followed. (Appendix 1)

#### 1.9 Changes in accreditation status

The Candidate agrees that it has reviewed the procedures for suspension and withdrawal of accreditation, as well as reduction in the scope of accreditation.

#### 1.10 Membership requirements

The Candidate agrees that it shall not require membership in any professional organization for certification.

### 1.11 Independence, impartiality, confidentiality, and conflicts of interest

The Candidate agrees that each member of its organization and all contractors and subcontractors shall sign an attestation that it: will remain independent and impartial in all matters of certification, shall keep certification activities confidential, and shall not participate in activities in which it has a conflict of interest or where there is an appearance of a conflict of interest.

### 1.12 Arrangements with clients

The Candidate shall have, where applicable, legally enforceable arrangements with their clients that commit the clients to provide, on request, access to accreditation body assessment teams to assess the conformity assessment body's performance when carrying out conformity assessment activities at the client's site.

### 1.13 Acknowledgement of requirements for accreditation

The Candidate acknowledges that it has received and reviewed the FSAB Bylaws, Articles of Incorporation, Policy and Procedure Manual, Standards, and ISO/IEC 17024:2012. The Candidate also agrees to conform to the requirements for accreditation and continuation of accreditation as described in the above documents, and understands and agrees to the terms of this Agreement on Terms and Conditions for Forensic Specialties Accreditation Board Accreditation.

## 2. **Specific obligations of the Candidate**

### 2.1 The Candidate agrees to conform to the following:

- 2.1.1 To fulfill the accreditation requirements set by the FSAB for the areas in which accreditation is sought and granted. This includes a commitment to adapt to changes in the requirements for accreditation.
- 2.1.2 To afford to the FSAB such accommodation and cooperation as are necessary and to enable the FSAB to verify fulfillment of accreditation requirements, including timely submissions of applications and supporting documentation requested by ARC chairs. This applies to all premises where the conformity assessment is conducted, to include on-site assessments and surveillances.
- 2.1.3 To provide access to, and examination of, the Candidate's personnel, locations, equipment, information, documents, and records, including complaints and their resolution (as per 2.1.10.1), in order to verify fulfillment of accreditation requirements for accreditation maintenance. The Candidate shall also provide a safe working environment and conditions for the FSAB assessors.
- 2.1.4 To permit access to those documents that provide insight into the level of independence and impartiality of the CAB from its related bodies, where applicable.

- 2.1.5 To arrange the witnessing of conformity assessment activities when requested by the FSAB.
- 2.1.6. To allow the FSAB to carry out periodic surveillances, including on-site assessments, other surveillance activities, and assessments at sufficiently close intervals to monitor the Candidate's continued fulfillment of accreditation requirements and in the event of a change in the Candidate's processes or procedures.
- 2.1.7 To submit an annual report to the FSAB as part of its surveillance program.
- 2.1.8 To allow the FSAB the right to verify that the competence of persons and organizations doing the Candidate's work is in conformance with the FSAB Standards should the Candidate outsource certification activities to contractors or subcontractors.
- 2.1.9 To assist in the investigation and resolution of any accreditation-related complaints about the Candidate referred to it by the FSAB.
- 2.1.10 To have a documented process to receive, evaluate, investigate, and make decisions on complaints that includes the elements described in the FSAB Standards, Section 4.2.12.
  - 2.1.10.1 Upon request by the FSAB, the Candidate shall disclose all complaints about its processes, procedures, and decisions, and the resolutions of those complaints, and any corrective actions, and shall anonymize such disclosures both as to the complainant and the subject of the complaint.
- 2.1.11 Upon the withdrawal of accreditation by the FSAB or the cessation of its relationship with the FSAB for whatever reason, the Candidate will return the certificate of accreditation to the FSAB and cease any representation of its accreditation or scope of accreditation.

### **3. Obligations of the FSAB**

#### **3.1 In general**

In exchange for the commitments of the Candidate, the FSAB agrees to fairly, impartially, without conflict of interest, and in its sole discretion, adjudicate whether the Candidate meets and continues to meet the FSAB Standards.

#### **3.2 The FSAB agrees to the following:**

3.2.1 The FSAB will provide adequate arrangements to safeguard the confidentiality of nonpublic information obtained in the process of its accreditation activity at all levels of its organization, to avoid conflicts of interest, and to keep accreditation activities confidential;

3.2.1.1 The FSAB requires each Officer, Director, Affiliate, and Contractor to sign the "Annual Agreement and Disclosure Concerning Impartiality, Conflict of

Interest, and Confidentiality for Persons Involved in Accreditation Activities”, which is incorporated herein by reference.

- 3.2.2 The FSAB will maintain policies and procedures that are non-discriminatory and administered in a non-discriminatory manner.
- 3.2.3 The FSAB undertakes the assessment on which accreditation is based. The FSAB does not subcontract. Contracting of external individual assessors and experts is not considered to be subcontracting.
- 3.2.4 The FSAB’s Application Review Committee (ARC) members will conduct themselves in a professional manner during assessments.
- 3.2.5 The FSAB has financial resources, as demonstrated in its records and documents, that are required for the operation of its activities.
- 3.2.6 The FSAB serves as an accreditation body that applies its Standards to evaluate and monitor CABs. The FSAB refers to International Standards (ISO/IEC 17011:2017 and 17024:2012), the FSAB Standards, the FSAB Policy and Procedure Manual, and other organizational documents as guidance documents for its operation and accreditation activities. The FSAB places its organizational documents on its website, [thefsab.org](http://thefsab.org).
- 3.2.7 The FSAB will make available to the Candidate the FSAB’s Standards, Policy and Procedure Manual, and other organizational and guidance documents that are not copyrighted.
- 3.2.8 The FSAB has established procedures to control all documents and records that relate to its accreditation activities and for document retention for both the FSAB and its CABs.
- 3.2.9 The FSAB will issue a certificate of accreditation, with scope, to the Candidate when accreditation is granted.
- 3.2.10 The FSAB shall make publicly available information about the current status of accreditations granted to CABs. This information shall be updated regularly and will include:
  - a. Name and address of the accredited CAB
  - b. Dates of granting accreditation and expiry dates, as applicable
  - c. Scope of accreditation, condensed and/or in full
- 3.2.11 The FSAB shall, where applicable, provide information about international arrangements in which it is involved.
- 3.2.12 The FSAB shall give due notice of any changes to its requirements for accreditation (a minimum of 45 days). It shall consider the views expressed by interested parties before deciding on the precise form and effective date of the changes. Following a decision on, and publication of, the changed requirements, it shall verify that each accredited body carries out any necessary adjustments within the next surveillance period/reaccreditation cycle.

- 3.2.13 The FSAB Executive Committee shall hold a mid-year meeting.
- 3.2.14 The FSAB will maintain its website for interested party accessibility as well as Director use. The website content will be as described in the FSAB Policy and Procedure Manual in Section 8.2.5.
- 3.2.15 If accredited, the FSAB will give the Candidate a certificate of accreditation delineating the accreditation scope as well as the accreditation symbol or logo for use in accordance with the applicable FSAB policy.
- 3.2.16 The FSAB may suspend or withdraw accreditation or reject an application when a Candidate has:
- a. Failed to meet the requirements of accreditation
  - b. Failed to abide by the rules for accreditation
  - c. Submitted false or misleading information to the FSAB
  - d. Made any misrepresentation of fact in the application for reaccreditation
  - e. Failed to file an annual report
- 3.2.17 In the event FSAB rejects the Candidate's application or suspends or withdraws the Candidate's accreditation, the FSAB shall have the right, after appeals are exhausted, to:
- a. Require the Candidate to cease using in any manner the certificate of accreditation, including the scope of accreditation, and the accreditation symbol or logo and to return the certificate of accreditation to the FSAB within 90 days
  - b. Post a public notice on its website stating that the certificate has been withdrawn, if the certificate is not returned within 90 days
  - c. Refuse to issue a certificate of accreditation and/or scope of accreditation to the Candidate
  - d. Require corrective action
  - e. Take other action

#### **4. Term and Termination**

- 4.1 The term of this Agreement shall commence on the last date hereof and shall remain in force until terminated by either party with a three-month notice to the other party specifying the reason(s) therefore and the date of termination. The notice of termination shall be sent to the other party by certified mail or other means of verifiable receipt.
- 4.2 Notwithstanding Section 4.1, this Agreement shall be considered terminated upon written notice if the FSAB withdraws the Candidate's accreditation or rejects the Candidate's application in accordance with the FSAB Policy and Procedure Manual, Section 7.12.2. The Candidate may appeal the decision of the Board to withdraw or deny accreditation according to applicable FSAB procedures.
- 4.3 FSAB and the Candidate agree to not take any legal action against the other without first trying to amicably resolve the dispute through conversations between the parties. Disputes under this Agreement that are not resolved through the appeals procedure shall be submitted to mediation, pursuant to the rules of the American Arbitration

Association, the resolution of which will be final. The party initiating the mediation process shall bear the costs of mediation, except:

- a. The party producing a witness shall pay witness expenses
- b. Each party shall bear the costs of its own travel expenses

4.4 This Agreement may be modified at the sole discretion of the FSAB to be effective at the Candidate's next application, accreditation, or reaccreditation.

4.5 If either party fails to enforce any clause or part of this Agreement, that party may enforce such clauses or parts at a later time.

4.6 If any portion of this Agreement is found to be invalid or unenforceable, the remainder of this Agreement will remain in full force and effect.

4.7 This Agreement (including the documents referred to herein) constitutes the entire agreement among the FSAB and the Candidate and supersedes any prior understandings, agreements, or representations by or among the FSAB and the Candidate, written or oral, to the extent they related in any way to the subject matter hereof.

4.8 Any modification of this Agreement shall be binding only if evidenced in writing signed by each party or an authorized representative of each party.

4.9 Nothing set forth in this Agreement creates a joint venture, partnership, or other concerted activity between or among the Candidate and the FSAB, nor does this Agreement create, and it shall not be construed as creating, any rights or interests enforceable by any person not a party to this Agreement.

4.10 This Agreement may be executed in one or more counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument. This Agreement shall not be effective until the execution and delivery between each of the parties of at least one set of the counterparts.

_____	Forensic Specialties Accreditation Board
Conformity Assessment Body	_____
	By
_____	_____
By (Signature of Representative)	President
_____	_____
Title	
_____	_____
Date	Date



# APPLICATION

for

Accreditation / Re-Accreditation by the

**FORENSIC SPECIALTIES ACCREDITATION BOARD, Inc.**

**Submitted By**

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(Name of CAB)

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(Organization Acronym, if any)

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(Date of Application)





## FORENSIC SPECIALTIES ACCREDITATION BOARD, Inc.

5540 N. Academy Blvd., Suite 230; Colorado Springs, CO 80918

# Application for Accreditation / Re-Accreditation

## INTRODUCTION

The Forensic Specialties Accreditation Board (FSAB) was established to advance the reliability and validity of forensic evidence in the administration of justice through the accreditation of qualified organizations that certify individual forensic specialists. It was established with a grant from the National Institute of Justice (NIJ) and support from the American Academy of Forensic Sciences (AAFS).

The FSAB has designed a program to review and evaluate the operating procedures and standards of applicant forensic certification bodies to ensure that they meet or exceed a minimum set of standards created by the FSAB, the FSAB Accreditation Standards. These standards have been revised to synchronize with the *ISO 17024 - Conformity assessment - General requirements for bodies operating certification of persons* and are also specific to the unique and diverse nature of forensic specialty organizations. It is through the response to this application that the FSAB determines whether the applicant meets those standards and therefore merits FSAB accreditation or reaccreditation. The review of the application will be done by an Application Review Committee (ARC) created for this purpose by the FSAB. As the application is processed, it is the ARC that will serve as liaison between the applicant (also referred to herein as the "CAB," or *conformity assessment body*) and the FSAB.

Once accredited, and for as long as it is accredited, each board pays an annual fee to the FSAB. The FSAB Treasurer will invoice each CAB towards the end of each calendar year.

## INSTRUCTIONS

**Please complete the application form in full and attach documentation as requested. It is recommended that the completed application be submitted in three-ring binder, using the following tab sections for the application and supporting documentation:**

Tab 1: Application

Tab 2: Articles of Incorporation or other organic document of applicant

Tab 3: Constitution / By Laws (only the sections containing supporting data)

Tab 4: Policies and Procedures Manual (only the sections containing supporting data)

Tab 5: Code of Ethics

Tab 6: Code of Professional Responsibility

Tab 7: Test data/study guide materials

## Application for Accreditation / Re-Accreditation

Tab 8: Exemplar of certificate issued to applicant's certificants

Tab 9: Continuing education component of the recertification program

Tab 10: Copies of all publicly available material describing the organization and its certification program (e.g., booklets, brochures)

Tab 11: Directory of applicant's certificants, including their certificate numbers

Tab 12: Exhibits

The application attachments are divided into subject headings paralleling the FSAB Standards beginning with **4. CAB** and continuing through to **10. Changes in Certification Program**. Furthermore, the questions on the form are numbered in a manner that approximately tracks the subsections of the FSAB Accreditation Standards. This is primarily for the benefit of the Application Review Committee (ARC), but it will also provide the applicant with a reference to further information about a specific requirement.

Although the first response to a question may be "yes" or "no," it will nearly always be necessary to add material to support this answer, with a "no" answer generally requiring as much justification as a "yes."

To expedite the processing of the application, the applicant should provide as much detailed information as practicable. This can best be done by using the area following each question to identify and refer to specific supporting material under one of the Tabs. The exact location of supporting material should be set out using the Reference line. The attached material may include such items as a sample certificate, a brochure, etc. Please be aware that the most frequent request from an ARC to a CAB is to repair deficits in the supporting material that is either missing from the cited location or non-responsive to the question asked.

The more information the ARC receives and the more clearly the responses in the application are stated, the smaller the chance the processing of the application will be delayed, as the ARC will require information it considers missing to be supplied and language it perceives as confusing to be clarified. If such requests are made, it is in the interest of the applicant to respond as soon as possible to retain the opportunity for a positive decision by the next meeting of the FSAB (held in February each year).

If an organization sponsors more than one CAB, a separate application with its own documentation must be submitted for each such body.

The ARC and the FSAB board members who have access to the submitted documents are obligated under FSAB mandate to treat all information not disclosed in public documents as confidential.

Please send one binder with original documents, four additional binders with copies of all material, and a nonrefundable application fee of \$2000 for initial applications or \$500 for reaccreditation applications to:

Forensic Specialties Accreditation Board, Inc.  
5540 N Academy Blvd, Suite 230  
Colorado Springs, CO 80918

## Application for Accreditation / Re-Accreditation

Information about the form format: The pdf file for this form is “fillable.” You can tab between answer spaces. If additional space is necessary for any answer, please attach an addendum that has clearly numbered paragraphs corresponding to each section/subsection number on the Application.

### DEFINITIONS

*CAB or Conformity Assessment Body (CAB):* an independent organization with authority to bestow certification on an individual.

*Certification program:* a program designed to certify individuals who meet or exceed the criteria set for that level of knowledge and competence. A single CAB may have multiple certification programs differing in either specialty or level of competence.

*Grandfathering:* the awarding of certification status to an individual who has not passed testing as described in the FSAB Accreditation Standards, section 5.1.4.

## APPLICATION

### 1. Applicant Information

Name of Applicant Organization: \_\_\_\_\_

Street address: \_\_\_\_\_

Mailing address, if different: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_ Website URL: \_\_\_\_\_

Primary contact person: \_\_\_\_\_

Position within organization: \_\_\_\_\_

Address (if different): \_\_\_\_\_

Current officers of the organization

President: \_\_\_\_\_

Vice President: \_\_\_\_\_

Secretary: \_\_\_\_\_

Treasurer: \_\_\_\_\_

Board Members (list below):

### 1.1 Description of Forensic Specialty

1.1.1 Please attach as a separate document a description of the services performed by the CAB's certifiants and a list of the standards (best practices) and methods that support the forensic specialty.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

1.1.2 In what year was the organization incorporated or otherwise formed?

\_\_\_\_\_

1.1.3 What is the forensic-specialty-certifying program offered by the certification?

\_\_\_\_\_

1.1.4 List the names of the committee or board that reports to the governing body with respect to the certification program and briefly describe the function of each.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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### 2. Conformity Assessment Body

#### 2.1 General Provisions Relating to Certification Protocol

2.1.1 Mechanisms. Describe how the CAB's mechanisms for evaluating the knowledge, skills and abilities of its applicants for certification are reliable<sup>1</sup>, valid<sup>2</sup>, and non-discriminatory.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.1.2 Memberships not required. Identify any and all professional organizations in which the CAB requires membership as a condition of granting certification to an applicant.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.1.3 Approved training courses shall not compromise impartiality. If successful completion of an approved training course is a requirement for certification, how does the CAB ensure that recognition/approval of training courses does not compromise the impartiality with which an applicant is evaluated?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.1.3.1 Information re: training. What information regarding education and/or training is made available to in cases where the education and/or training is/are pre- requisite(s) for being eligible for certification?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.1.3.2 Threats to impartiality. Are there any threats to impartiality related to training provided by the CAB, and if so, what procedures and policies are in place to eliminate or minimize those threats?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.1.3.3 Non-participation of trainers. How does the CAB ensure that any individual involved in the training of a candidate does not participate as an examiner of that candidate

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.1.4 *Criteria used.* Are the criteria used to evaluate candidates for certification limited to those published by the CAB?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.1.4.1 Knowledgeable personnel. How does an individual obtain knowledge of these criteria?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.1.4.2 Notice of changes. How does the CAB ensure that these criteria are updated periodically in line with changes in the discipline?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

#### 2.2 Management System

2.2.1 Legal entity. Please identify and describe the legal entity constituted by the CAB or the legal entity of which the CAB is part.

*Include under **Tab 2** a copy of the CAB's defining document such as incorporation papers.*

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<sup>1</sup> Definition found in FSAB Standards for Accrediting Forensic Specialty Conformity Assessment Boards: 3.34 Reliability (examinations): Degree to which an examination provides a consistent measure of competency through offerings at different times and locations.

<sup>2</sup> Definition found in FSAB Standards for Accrediting Forensic Specialty Conformity Assessment Boards: 3.37 Validity (examinations): Degree to which an examination measures competencies it is designed to assess.

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2.2.1.1 Line of authority. If the CAB is a defined part of a legal entity, please provide documentation of the organizational structure that includes the line of authority and the relationship to other parts within the same legal entity.

2.2.2 Independent and impartial. Please state the measures by which the independence and impartiality of the CAB is ensured such that all decisions relating to certification are the responsibility of the CAB's governing board and are not subject to undue influence or approval by another body.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.3a Structured for Confidence. By what means is the CAB structured so as to give confidence to outside parties as to its competence, impartiality and integrity?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.3 b Public statement. Where can the public find a statement affirming the CAB's commitment to impartiality in all certification activities?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.4 Identify threats. How does the CAB proactively identify either internal or external threats to its impartiality, which may arise from its activities or its relationships?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.5 Plan of action against threats. Describe the CAB's plan(s) to document and minimize or eliminate identified threats and how the plan(s) will be put into action

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.6 a Formal nominating procedures. Please describe the procedures by which the CAB adds members to its board.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.6 b Selection of successors. Explain how these procedures prevent existing board members from selecting a majority of their successors on the board.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.7 a Documentation of committees. Please identify and provide templates of the CAB's documentation defining the committee(s) or individual(s) responsible for each component of the certification program offered.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.7 b Review of documentation. How often is the documentation defining the committee(s) or individual(s) responsibility reviewed?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.7.1 Up-to-date records. How does the CAB maintain up-to-date personnel records, including relevant information, e.g., qualifications, training, experience, professional affiliations, professional status, competence and conflicts of interest?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.7.2 Personnel agreements. How often does the CAB require its personnel to sign a document in which they agree to comply with the rules defined by the CAB, including those relating to confidentiality, impartiality and conflict of interests?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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2.2.7.3 Impartiality of employees. When a CAB certifies an individual it employs, what procedures does the CAB adopt to maintain impartiality?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.7.4 Enforceable arrangements. What enforceable arrangements does the CAB have to require that a certified individual informs the CAB, without delay, of matters that can affect the capability of the certified individual to continue to fulfill the certification requirements?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.8 a Sufficient resources. What is the basis for the CAB's confidence that it has sufficient financial and human resources to fulfill its certifying mission?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.8 b Funding organizations. Identify all organizations providing funding to the CAB and state the means by which the CAB ensures that these organizations have no influence on the certification function.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.9 Confidentiality and objectivity of the program. How does the CAB ensure that any training or related activities conducted do not compromise the confidentiality, objectivity, or impartiality of its certification program or reduce the assessment and certification requirements.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10 Documents and records. How does the CAB maintain documentation of the current status of a certified individual and documentation supporting granting of certification, recertifying and any suspension or loss of certification in a secure manner?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10.1 Policies and procedures. How does top management ensure that the policies and procedures of the management system are understood at all levels of the organization?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10.2a Quality Management: Responsible individual. Which member of management is charged with the responsibility of ensuring the implementation and maintenance of the management system?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10.2 b Quality Management: Report to top management. How does this individual report to top management about the performance of the management system including any improvements needed?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10.3 Document control. The procedures that define and ensure each of the following elements:

2.2.10.3.1 the updating and re-approval process for documents

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10.3.2 the identification of changes before re-approval of updated documents

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10.3.3 the identification of current document versions

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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2.2.10.3.4 the availability of applicable documents as needed for users

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10.3.5 the distribution of documents

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10.3.6 the control of external documents

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.10.4 Records control. The procedures that define the controls for identification, storage, protection, retrieval, retention time, and disposition of the records.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.11 Appeals against decisions on certification. What are the CAB's policies and procedures for the resolution of appeals, including at least the following elements:

2.2.11.1 Description availability. A description of a fair and equitable appeals process that is accessible without request.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.11.2 Decisions by committee. Are all decisions in the appeals process made by a committee of at least three individuals?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.11.3 Appeals process. A description of the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.11.4 Tracking appeals. A description of the process for tracking and recording appeals, including actions undertaken to resolve them.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.11.5 Corrective actions. How does the CAB ensure that, if applicable, appropriate corrections and corrective actions are taken?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.11.6 Impartiality and timeliness. How do the policies and procedures ensure that all appeals are dealt with in a constructive, impartial and timely manner?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.11.7 No discrimination. How does the CAB ensure that submission, investigation, and decision on appeals or complaints do not result in any discriminatory actions against the appellant or complainant?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.11.8 Acknowledgement of receipt and notification of outcome. How does the CAB acknowledge receipt of the appeal and provide the appellant with progress reports and formal notification of the outcome at the end of the appeals or complaint process?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_



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2.2.12 Complaints Process. The CAB's documented processes to receive, evaluate, validate, investigate, and make decisions on complaints must include, at minimum, the following elements:

2.2.12.1 Description availability. A description of a fair and equitable complaints-handling process that is accessible without request.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.12.2a Decisions by committee. How are all decisions in the complaints process made by a committee of at least three individuals?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.12.2 b Decisions by committee (communication). How is the decision to be communicated to the complainant made by, or reviewed and approved by, personnel not previously involved in the subject of the complaint?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.12.3 Complaint policies and procedures. How do the policies and procedures ensure that all complaints are handled and processed in a constructive, impartial, and timely manner?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.12.4 Complaint process. What is the process for receiving, validating, and investigating the complaint and deciding what actions are to be taken in response to it?

2.2.12.5 Complaint process documentation. The process for tracking and recording complaints, including actions undertaken in response to them?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.12.6 Corrective actions. How do the policies and procedures ensure that, if applicable, appropriate corrections and corrective actions are taken?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.12.7 Initial evaluation of complaint. Upon receipt of a complaint, how does the CAB confirm whether the complaint relates to certification activities for which it is responsible and respond accordingly?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.12.8 Acknowledgement of receipt and notification of outcome. Whenever possible, how does the CAB acknowledge receipt of the complaint and provide the complainant with progress reports and the outcome?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.12.9 Responsibility of CAB. How do the policies and procedures ensure that the CAB receiving a complaint is held responsible for gathering and verifying all necessary information to validate or dismiss the complaint?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.12.10 Referral to certified individual. How do the policies and procedures ensure that any substantiated complaint about a certified individual also be referred by the CAB to the certified individual in question at an appropriate time?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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2.2.12.11 Confidentiality. How do the policies and procedures ensure that the complaints- handling process is subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.2.13 Other activities. What polices and procedures distinguish between the certification of individuals and any other CAB activities?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 2.3 Subcontracting

2.3.1 No vested interest. If a subcontractor is used for any purpose, how does the CAB ensure that the subcontractor has no vested interest in, or other conflict with, the task being performed?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.3.2 Documentation. How does the CAB ensure that, if a subcontractor is used, a properly documented agreement covering the arrangement, including confidentiality and prevention of a conflict of interest, is executed?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.3.2.1 List of outsourced organizations. Where does the CAB maintain a list of the bodies conducting the outsourced work?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.3.2.2 Certification decision not outsourced. How does the CAB ensure that the decision on certification is not outsourced?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.3.3 Responsibility for oversight. How does the the certifying body maintain responsibility for ensuring that a subcontractor performs the work in a manner consistent with these standards if a subcontractor is used?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 2.4 Policies and Procedures (P&P) of the CAB

2.4.1 P&P manual. Please provide the CAB's policies and procedures covering the administration of its certification program. **Note:** *If the organization has a policy and procedures manual containing provisions not related to its certification program, do not provide those provisions.*

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.4.2 Nondiscrimination. Please state the means by which the CAB seeks to make its certification policies and procedures fair, objective, non-discriminatory, and in compliance with all applicable federal, state, and local laws.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.4.3 Define evaluation mechanisms. How does the CAB define the methods and mechanisms to be used to evaluate the knowledge, skill, and ability of candidates for certification?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.4.4 Address status inquiries. How does the policies and procedures manual provide for internal or external inquiries regarding the certification status of an individual?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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### 2.5 Management System and Review

2.5.1 P&P manual. Identify those provisions of the policies and procedures describing the CAB's management system, including at least the following elements of that management system:

2.5.1.1 Management of documents. Approval of documents for adequacy prior to issue, review, and approval of updates, posting of applicable documents, removal of obsolete documents, and archiving of documents.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.1.2 Policy statement. A policy statement describing establishment and implementation of a management system of the certification program that demonstrates support from top management and that is distributed to all relevant personnel.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.1.3a Organizational structure: committees. A description of the organizational structure of the CAB, including all its positions and committees and a brief description of the function and responsibilities of each.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.1.3b Organizational structure: manager. The individual responsible for establishment of the processes and procedures needed for the management system who reports to top management on the effectiveness of the system.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.1.4 Policies to issue/revoke certificates. The policies and procedures for the issuance and revocation of certificates or related documents.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.1.5 Policies for examinations and certification. The policies and procedures for examining and certifying applicants.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.1.6 Policies for appeals and complaints. The policies and procedures for processing appeals, complaints, inquiries, disputes or information alleging adverse behavior or activities.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2 Management review. Who is the individual designated to conduct a documented, review or audit of the CAB's management system and records annually to ensure that they are complete and up to date?

2.5.2.1 Review input. What policies and procedures require the input to the management review to include information related to the following:

2.5.2.1.1 Other audit results. Results of internal and external audits (e.g., accreditation body assessment).

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2.1.2 Feedback. Feedback from applicants, candidates, certified individuals and interested parties related to the fulfillment of this Standard.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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2.5.2.1.3 Impartiality. Safeguarding impartiality.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2.1.4 Preventive/corrective actions. The status of preventive and corrective actions.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2.1.5 Previous reviews. Follow-up actions from previous management reviews.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2.1.6 Objectives. Fulfillment of objectives: appeals and complaints.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2.1.7 Changes. Changes that could affect the management system.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2.1.8 Appeals and complaints. Appeals and complaints received by the certification board.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2.2 Review output. What policies and procedures require the output from the management review to include as a minimum decisions and actions related to the following:

2.5.2.2.1 Improve effectiveness. Improvement of the effectiveness of the management system and its processes.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2.2.2 Improve program. Improvement of the certification services related to the fulfillment of this Standard.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.2.2.3 Improve resources. Resource needs.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 2.5.3 Internal Audits

2.5.3.1 Audits. What are the policies and procedures for conducting periodic internal audits of the certification program, taking into account the importance of the areas to be audited?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.3.2a Audit frequency. Are internal audits conducted annually, or has the frequency of internal audits been reduced because the CAB demonstrates that its management system continues to be effectively implemented in accordance with this Standard and has proven stability?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.3.2 b Audit frequency. If the frequency of internal audits has been reduced, how has the CAB demonstrated that its management system continues to be effectively implemented in accordance with this Standard and has proven stability?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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2.5.3.3 Audit requirements. How internal audits ensure integrity:

2.5.3.3.1 Designated individual. The internal audit is the responsibility of a designated individual, knowledgeable in the certification process and requirements of this standard, who reports to the highest level of management of the CAB.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.3.3.2 No self-auditing. Auditors do not audit their own work.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.3.3.3 Personnel informed of outcome. Personnel responsible for the area audited will be informed of the outcome of the audit?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.3.3.4 Resulting actions. Any actions taken resulting from the audit will be timely and appropriate.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.3.3.5 Improvement. Any opportunities for improvement be identified as a result of the auditing process?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.4a Preventive and Corrective Actions: P&P. What are the procedures for identification and management of nonconformities and taking preventive and corrective action when necessary to eliminate causes and prevent recurrence?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.4b Preventive and Corrective Actions: appropriate. How is it ensured that preventive and corrective actions are appropriate to the impact of the problems?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.4c Preventive and Corrective Actions: requirements. How the CAB's procedures define requirements for the following:

2.5.4c.1 Identifying nonconformities.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.4c.2 Causes. Determining causes of nonconformity.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.4c.3 Correcting nonconformity.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.4c.4 Need for actions. Evaluating the need for actions to insure that nonconformities do not recur.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.4c.5 Implementing actions. Determining and implementing the actions needed in a timely manner.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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2.5.4c.6 Documenting. Recording the results of actions taken.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.5.4c.7 Effectiveness. Reviewing the effectiveness of preventive and/or corrective actions?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 2.6 Certification Program Development

Please provide documentation or demonstrate that, in the development and review of the certification program, the following were included:

2.6.1 Involve experts. The involvement of appropriate experts.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.6.2 Appropriate structure. The use of an appropriate structure that fairly represents the interests of all parties significantly concerned, without any interest predominating.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.6.3 Prerequisites. The identification and alignment of prerequisites, if applicable, with the competence requirements.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.6.4 Assessment mechanisms. The identification and alignment of the assessment mechanisms with the competence requirements.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.6.5 Job analysis. A job or practice analysis that is conducted and updated to include:

2.6.5.1 Identify tasks. Identify the tasks for successful performance of the job.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.6.5.2 Identify competence. Identify the required competence (ability) to perform each task.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.6.5.3 Identify prerequisites. Identify prerequisites (if applicable) for the job.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.6.5.4 Confirm. Confirm the assessment mechanisms and examination content.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.6.5.5 Recertification. Identify the recertification requirements and interval.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.6.6 Bibliography. What published, peer-reviewed articles addressing the specialties practiced by the CAB's certificants have been listed in the CAB's Bibliography? **Note:** CABs may have done some of these activities "retroactively" to achieve 17024 compliance. It is acceptable that they be done prior to reaccreditation if not done previously, but they are required for 17024.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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### 2.7 Scope of Program and Available Documentation

2.7.1 Website information required. Please provide the document by which the CAB defines the scope of each certification program, and state where it is available on the public portion of the CAB's website, identifying in particular where on the website are found the following:

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.1 Organizational structure. A description of the organizational structure and legal status of the organization.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.2 Program purpose. The purpose of the certification program.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.3 Study guide. A study guide that includes an outline of the scope of the program, the areas covered by the certification, and the required knowledge, skills, and abilities of applicants. **Note 1:** *Abilities can include physical capabilities such as vision, hearing, and mobility.* **Note 2:** *Study guide shall be sufficiently specific as to be useful to the applicant.*

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.4 Minimums. The minimum education, training, and experience required of applicants.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.5 Test procedures. A description of the procedures used to test or evaluate the knowledge skills and abilities of the applicant.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.6 Certification standards. The standards and rules for granting, maintaining, suspending, and revoking certificates. **Note:** *The description shall be sufficiently detailed that a third party can readily determine how certificants were assessed and the minimum qualifications and experience they were required to have prior to certification being granted. If the standards have undergone substantive changes, a description of the changes and the date they became effective shall be listed. For program changes that occurred several years ago for which detailed records may not be available, it is acceptable to list a chronology of changes with approximate dates.*

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.7 Training program evaluation criteria. Criteria used for the evaluation of any required training program(s)/course(s) and/or trainer(s).

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.8 Application form. The application form and an outline of the application process.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.9 Exceptions disclosure. A disclosure of any exceptions that may be made to the standards usually applied to certification of an individual and the rationale (e.g., waiver of a degree requirement).

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.10 Use of marks/logos. A description of restrictions or limitations on the use of the CAB's marks and the ways of referring to the certificates granted.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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2.7.1.11 Directory. A directory of certified individuals.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.12 Code of ethics. A copy of the Code of Ethics or Code of Conduct of the CAB.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.13 Outline of changes. An outline of all substantive changes to the standards used to credential (evaluate), test, and certify applicants.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.14 Appeals and complaints. Descriptions of the appeals and complaints handling processes.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.1.15 Recertification. The full description of the recertification procedure for certificants, including the minimum standards required and any alternate pathways for recertification (e.g., examination in lieu of sufficient continuing education requirements).

2.7.1.16 Accurate information. Affirmation that information provided by the CAB, including advertising, is accurate and not misleading.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.2 Archiving. Are all policies and procedures and all program documents describing the certification standards of the certifying body from February 28, 2008, forward archived for at least one accreditation cycle?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.7.3 Control dates. Does the archiving of these documents include the date each became effective and date each was superseded or dropped?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

## 2.8 Examination and Other Records

2.8.1 Maintain a records system. Explain how the CAB's record system is appropriate to its particular circumstances and how it demonstrates that the certification requirements have been effectively fulfilled by all certificants, particularly with respect to application forms, evaluation reports, and other documents relating to granting, maintaining, renewing, suspending, and withdrawing certification, or any other changes to the scope of certification of an individual.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.8.2a Recordkeeping. Explain how the CAB's procedures require that records be identified, managed, and disposed of in such a way as to ensure the integrity of the process and the confidentiality of the information.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.8.2 b Confidentiality and retention procedures. Explain how the length of time that the records are kept is sufficient to demonstrate continued confidence in the confidentiality of the records for at least one full certification cycle, or as otherwise required by recognition arrangements, contractual, legal, or other obligations.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_



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2.8.3 Examination records. Explain how the policies and procedures require the CAB to maintain the following records: dates of examinations, the target forensic specialty, and examination outcome.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.8.4 Archiving publications in support of validity/reliability. What actions does the CAB take to archive relevant peer-reviewed publications demonstrating validity and reliability of the specialty and its methods/applications.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 2.9 Confidentiality

2.9.1 Policies and personnel. Explain how the CAB safeguards confidentiality of the information obtained in the course of its activities, and in particular, how it ensures that individuals involved in the certification program maintain confidentiality and reveal any potential conflict of interest.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.9.2 Disclosure and the law. Except as described in the FSAB Accreditation Standards, information about a particular individual shall not be disclosed to a third party without the written consent of that individual. In those instances where the law, for example, through a court order, requires disclosure, the individual shall be notified as to the information provided. How does the CAB ensure that it is in compliance with these requirements?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.9.3 Related bodies. How does the CAB ensure that the activities of related bodies do not compromise confidentiality?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 2.10 Security

2.10.1a Security: P&P. What policies and procedures has the CAB developed and documented to ensure physical and digital security throughout the entire certification process? **Note:** *Examples would be firewalls, antivirus software, physical locks in security areas, proper security in proctoring centers, chain of custody of documents, and confidentiality agreements.*

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.10.1b Security: corrective actions. What measures are in place to take corrective actions when security breaches occur?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 2.11 Application Process

2.11.1 Response to inquiry for application. How does the CAB provide an overview of the certification process in response to a query, including at least the requirements for certification and its scope, a description of the assessment process, the applicant's rights, the duties of a certified individual, and the fees?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.11.2 Application form requirements. Submit a blank application form demonstrating that the applicant shall include as a minimum the following:

2.11.2.1 Identifying information. Information required to identify the applicant, such as name, address and other information required by the certification program.

2.11.2.2 Scope of interest. The scope of the desired certification.

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2.11.2.3 Statement of compliance. A statement that the applicant agrees to comply with the certification requirements and to supply any information needed for the assessment.

2.11.2.4 Supporting information. Any supporting information to demonstrate objectively compliance with the program prerequisites.

2.11.2.5 Opportunity to request accommodations for special needs. Notice to the applicant of his/her opportunity to declare, within reason, a request for accommodation of special needs in accordance with the Americans for Disabilities Act.

2.11.2.6 Electronic signature. A statement that, where permitted by law, other signing methods, including electronic signature, are acceptable.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.11.3 Application review. What policies and procedures ensure that the CAB reviews the application to confirm that the applicant complies with the application requirements of the certification program?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 2.12 Site Visits

In accordance with ISO/IEC 17011, the FSAB shall conduct on-site evaluations during accreditation and reaccreditation as a component of its accreditation responsibilities. To facilitate this process, what policies and procedures ensure that the CAB shall:

2.12.1 Select location. Select the location(s) for the visit(s) to take place.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.12.2 Prepare documents. Prepare all documents listed in the Site Visit Protocol (See Appendix A, FSAB Standards).

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.12.3 Identify CAB representatives. Identify in advance the CAB representatives who will participate in the site visit(s).

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.12.4 Cooperate with assessors. Cooperate with the FSAB assessors who conduct the site visit(s).

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

2.12.5 Cover site visit expenses. Be responsible for the expenses of the two FSAB assessors who conduct the site visit(s).

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

## Application for Accreditation / Re-Accreditation

### 3. Certification Standards

#### 3.1 General Provisions

3.1.1 Meet or exceed criteria. Please state the measures taken by the CAB to ensure that certificates are awarded only to applicants who meet or exceed the criteria set by the CAB and that these criteria are applied uniformly to all applicants.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.2a Minimum criteria: credentials. Do the certification criteria include minimum appropriate credentials?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.2b Minimum criteria: examination. Do the certification criteria include successful examination completion?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.2 c Minimum criteria: ethics standards. Do the certification criteria include agreement to abide by defined ethical and professional standards?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.3 Recertification required. Does the CAB require periodic recertification?

Yes  No  What is the period? \_\_\_\_\_ years

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.4 No grandfathering. Grandfathering is not an acceptable method of certification.

3.1.4.1 50% rule re: grandfathering. How many certificants does the CAB currently recognize (including those grandfathered)?

3.1.4.2 Current policies. Do the current policies of the CAB allow an individual to become certified without passing a written and practical examination testing the individual's relevant knowledge and application of the forensic specialty? **Note:** *An individual is considered "grandfathered" if the individual was issued a certificate without having taken and attained a satisfactory score in an examination designed to assess the knowledge, skills, and abilities in the stated field of certification.*

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.4.3 If yes, explain in full.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.4.4 History. Has the CAB ever certified individuals by grandfathering?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

If no, skip to 3.2, Credentialing

3.1.4.5 Do the current policies of the CAB require any previously grandfathered certificants to be subjected to the same examination and competency assessment as new applicants (as defined in 5.3 of these standards) no later than the regularly scheduled recertification for that individual, not to exceed a period of five years?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

## Application for Accreditation / Re-Accreditation

3.1.4.6 If yes, how many of the current certificants hold their certificates though grandfathering?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.4.7 What criteria were used as the basis for grandfathering?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.4.8 During what period has grandfathering occurred?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.4.9 Is any form of grandfathering or awarding certificates without written and proficiency examination presently allowed?

Yes  No  If yes, for what purpose?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.4.10 If yes, when will this practice end? \_\_\_\_\_

3.1.4.11 Have any individuals been awarded certification without passing a written proficiency examination?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.4.12 If yes, how many? \_\_\_\_\_

3.1.4.13 Under what circumstances were these individuals awarded a certificate?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.1.4.14 What policies exist for continued competency assessment of grandfathered and/or non-tested certificants?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 3.2 Credentialing

3.2.1 Assessment and verification. Does the credentialing of applicants include an assessment and verification of the following:

3.2.1.1 Education/training. Academic education or equivalent training, including subject-specific requirements?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.2.1.2 Experience. Relevant professional experience or employment?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.2.1.3 Training. Other relevant training?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.2.1.4 Licensing. Relevant professional licensure, certification, or registration?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 3.3 General Requirements for Initial Professional Development or Training

3.3.1 Documentation of training. Does the documentation of the certification applicant's training include a description of the nature and extent of the training undertaken, and any assessment of the trainee and the outcome?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

## Application for Accreditation / Re-Accreditation

3.3.2 Academic foundation. For forensic specialties that have a strong academic foundation on which training and experience is based, is the required knowledge and competency gained through a combination of mechanisms to include course work, workshops, and training courses?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.3.3 Experience-based foundation. For certification bodies in the forensic specialties in which the required knowledge and competency are predominantly experience-based, does the CAB ensure that the certification applicant's education has included a formal training program requiring extensive peer-based review?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.3.3.1 Formal training program required. If the applicant CAB has previously been accredited by the FSAB prior to 2010, do the certification requirements now mandate the formal training program described in 3.3.3?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.3.3.2 50% rule re: formal training. Can the CAB affirm that more than 50% of its certificants have gone through the formal training program described in 3.3.3?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.3.3.3 Nationally recognized training standards. Where nationally recognized professional training standards exist for a particular forensic specialty, are these followed?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 3.4 Competency and Examination

3.4.1 Reliable examinations. If competency is assessed, at least in part, by examination of relevant knowledge, skills, and abilities, how does the CAB ensure that this examination provides a reliable assessment of the applicant's knowledge, skills, and abilities?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.4.2 Practical application of facts. Does the examination, at least in part, require the candidate to apply forensic expertise of the discipline to a set of facts set out by the creators of the examination?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.4.3a Written component. Does the examination include a written component?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.4.3b Description of written component - Please describe the structure of that component.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 3.5 Ethical and Professional Standards

3.5.1 Inquiry into standards. Does the certification application process include inquiry into the applicant's adherence to ethical and professional standards?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

3.5.2 Written agreement. Does the certification process require that the candidate agree in writing to abide by the ethical and professional standards identified by the CAB?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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3.5.3 P&P re: disciplinary actions. What policies for disciplinary actions does the CAB provide for breach of ethics or professional standards by a certificant?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

## Application for Accreditation / Re-Accreditation

### 4. Recertification

#### 4.1 General Requirements

4.1.1 Eligibility. Are only individuals who are currently certified are eligible for recertification?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.2a Program requirements (competence). How does the recertification process measure the certificant's competence?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.2b Program requirements (professional development). How does the recertification process measure the certificant's continuing professional development?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.2c Program requirements (work experience). How does the recertification process measure the certificant's work experience?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.2 d Program requirements (ethics). Does recertification require reaffirmation of ethical and professional standards?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.3 *Basis for Recertification Period. How is the recertification period based upon the program requirements, with the rationale for the recertification period taking into account, where relevant, the following:*

4.1.3.1 Regulatory requirements.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.3.2 Changes to normative documents.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.3.3 Changes in the relevant program requirements.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.3.4 The nature and maturity of the industry or field in which the certified individual is working.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.3.5 The risks resulting from an incompetent individual.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.3.6 Ongoing changes in technology and requirements for certified individuals.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.3.7 Requirements of interested parties.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.1.3.8 The frequency and content of surveillance activities, if required by the program.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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### 4.2 Continuing Professional Development

4.2.1 Professional development. Does the certificant's continuing professional development program include, at a minimum, ongoing learning, growth, and professional development within the certificant's field of expertise?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.2.2 Professional development activities. What policies and procedures ensure that measurement of continuing professional development may include, but is not be limited to, attending training courses or workshops, conferences, writing and/or review for relevant publications, conducting training (paid or unpaid), case preparation, and relevant work experience?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.2.3 Documentation required. Does recertification require documentation of continuing professional development?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.2.4a C.E. Credit. How is credit for continuing education earned?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.2.4b 40 hours in 5 years. Does the certification program continuing professional development requirement include at least 40 hours of instruction or point equivalents over 5 years?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.2.5 Multiple types. Does the continuing education program allow completion of multiple types of activities?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.2.6 Examination. Where an examination is used in lieu of sufficient professional development, are the same general principles applied as in Section 8 of the FSAB Standards? **Note:** *FSAB Standards do not require a certificant to take an examination in order to be re-certified. However, some certification boards may choose to administer an examination as a component of recertification. It is recognized that, for some forensic specialties, periodic demonstration of competency may be required by means of proficiency testing, case audits, and audit of court testimony.*

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 4.3 Work Experience

Does recertification require documentation of continued relevant work experience, the requirements for which are defined by the CAB?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 4.4 Ethical and Professional Standards

4.4.1 Ethics requirements. Prior to recertification are certificants provided with a current version of the CAB's ethical and professional standards? **Note:** *"Ethics and professional standards" may be contained in one single or two separate documents.*

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

4.4.2 Affirmation in writing. Does recertification require written reaffirmation of adherence to the certifying body's current ethical and professional standards?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_



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**5. Competency Evaluation Personnel**

**5.1 Training and Instruction**

Examiner competency. How does the CAB ensure that proctors, examiners, and appraisers are impartial, trustworthy, and responsible individuals who have received training appropriate for the tasks they perform on behalf of the CAB?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

**5.2 Conflicts of Interest**

Objectivity of examiners. Does the certifying body require that proctors, examiners and appraisers avoid situations which might affect their objectivity or present a conflict of interest in performing the tasks they are assigned?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

## 6. Examination for Initial Certification

### 6.1 Valid and Reliable

In what way are examinations designed to measure a candidate's knowledge, skill, and ability in a valid and reliable fashion?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.2a Periodic Review (required)

How often does the CAB review the validity, reliability, fairness, and performance characteristics of the examinations given to candidates. **Note:** *An example of performance characteristics would be the correct/incorrect rate for the answer for each question.*

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.2b Periodic Review (deficiencies)

How does the CAB ensure that all deficiencies found are remedied?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.3 Currency

Are examinations revised periodically to maintain their currency?

Yes  No  How often? \_\_\_\_\_

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.4 Preparation of Examinations

What measures are taken to ensure that examinations are prepared by individuals who have sufficient knowledge, skill, ability, and experience in the target forensic specialty?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.5 Content of Examinations

How does the CAB ensure that examinations cover the basic knowledge, skill and ability required for competent practice within the target forensic specialty?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.6 Scoring of Examinations

What methods have been used to ensure that scoring and grading of examinations are methodologically sound?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.7 Accommodating Disabilities

What is done, or made available, to provide reasonable accommodation for candidates with an identified disability according to the ADA?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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### 6.8 Administration of examinations

6.8.1. Location. What steps are taken to ensure that examinations are administered in a manner that provides the environment and physical conditions that are generally accepted as necessary for an examination?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

6.8.2 Proctoring. Are all written examinations proctored?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.9 Technical Equipment

How do the policies and procedures ensure that when technical equipment is used in the examination process, the equipment is verified or calibrated where appropriate?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.10 Security of examinations

How do the security policies and procedures ensure the security of examination materials, taking into account:

6.10.1 Storage and transport of examinations. The locations of the materials (e.g., transportation, electronic delivery, disposal, storage, examination centre).

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

6.10.2 Materials. The nature of the materials (e.g., electronic, paper, test equipment)

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

6.10.3 Process. The steps in the examination process (e.g., development, administration, results reporting)

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

6.10.4 Repeated use. The threats arising from repeated use of examination materials?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.11 Fraud prevention

How does the CAB prevent fraudulent examination practices by:

6.11.1 Confidentiality. Requiring candidates to sign a non-disclosure agreement or other agreement indicating their commitment not to release confidential examination materials or participate in fraudulent test-taking practices

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

6.11.2 Proctoring. Requiring a proctor to be present

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

6.11.3 Confirming identity. Confirming the identity of the candidate

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

6.11.4a Unauthorized aids. Implementing procedures to prevent any unauthorized aids from being brought into the examination area

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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6.11.4 b Unauthorized aids. Preventing candidates from gaining access to unauthorized aids during the examination

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

6.11.5 Cheating. Monitoring examination results for indications of cheating

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.12 a Alternate examination

If it becomes apparent that integrity of the examination has been compromised, is a different examination offered?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.12 b Alternate examination

Is the replacement examination equal in quantity and quality?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.13 a Re-examination (P&P)

For candidates who fail an examination what are the policies and procedures for re-examination?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.13b Re-examination (wait time)

What is the minimum waiting time before re-examination?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

### 6.14 Decision makers

Does the CAB ensure that the decision on certification is made by individuals different from those who carried out the evaluation?

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

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### 7. Certificates

#### 7.1a Mark or Logo

Does the CAB provide a certification mark or logo? If yes, please provide a copy.

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

#### 7.1b Mark or Logo (P&P)

What policies and procedures state the conditions for use and appropriately manage the rights for usage and representation of the CAB's certification mark or logo?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

#### 7.2 Form of certificate

Are certificates issued upon the successful completion of all requirements of the certification program? If yes, please provide a copy of the CAB's certificate. **Note:** *A certificate may take the form of a letter, card, or other document, signed or authorized by a responsible officer of the CAB.*

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

7.2.1 Ownership of certificates. Is ownership of the certificate maintained by the certifying body? **Note:** *Individuals who retire and no longer can, or wish to, meet the standards required for re-certification may, at the discretion of the certifying body, be given some form of retired status. However, such individuals may not be regarded as being "certified" by that body.*

Yes  No  Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

7.2.2 Signed agreement. What policies and procedures demonstrate that the CAB requires certified individuals to sign an agreement that includes at least the following elements:

7.2.2.1 No improper use. The certificate holder will not use the certification in such a manner as to bring the CAB into disrepute, and will not make any statement regarding the certification which the CAB considers misleading or unauthorized

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

7.2.2.2 No misuse. The certificate holder will not use the certificate in a misleading manner.

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

7.2.2.3 Return of certificate. The certificate holder will discontinue the use of all claims to current certification that contain any reference to the CAB or its certification upon suspension or withdrawal of certification and will return any unexpired certificates issued by the CAB;

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

7.2.3 Anti-counterfeit measures. How does the CAB's certificate design reduce the risks of counterfeiting?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

7.2.4 Corrective measures. What policies and procedures define how the CAB will address, by means of corrective measures, any misuse of its certification mark or logo?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

#### 7.3 Contents

7.3.1 Minimal inclusions. Does the certificate include the following?

7.3.1.1 The name of the CAB or program? Yes  No

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7.3.1.2 The name of the certificant? Yes  No

7.3.1.3 A certificate number? Yes  No

7.3.1.4 The date the certificate was issued? Yes  No

7.3.1.5 An expiration date or period of validity? Yes  No

7.3.1.6 The forensic specialty covered under the certificate? Yes  No

### 7.4 Expiration

What is the period of validity for the certificates? \_\_\_\_\_

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

**8. Changes in Certification Programs**

Reasonable notification of changes. What policies and procedures direct the certifying body to give reasonable notice to all certificants (and as practical, other interested parties) of any changes to its certification requirements, the exact nature of the changes, and the effective date of the changes?

Reference: Tab \_\_\_\_\_ Page \_\_\_\_\_ Section [or] Exhibit \_\_\_\_\_

**PLEASE READ THE FOLLOWING PARAGRAPHS CAREFULLY:**

Based on the answers provided in this application, it is understood that additional information may be requested by the FSAB. Any additional information provided will be considered part of this application. Information provided in this application may be verified.

The representative speaking on behalf of the candidate organization or CAB affirms through signing below that he or she has the authority to so speak and states that the information provided herein is true and accurate to the best of his or her knowledge. By signing this document, that representative acknowledges that any misrepresentation of fact is cause for denial of accreditation or, should such misrepresentation be brought forward after accreditation or reaccreditation has been granted, revocation of accreditation by the FSAB.

In the event of a disagreement with the action of the FSAB, a CAB has the right to appeal. I agree on behalf of the applicant that the Appeals Policy and Arbitration process of the FSAB shall be followed (Appendix 1).

Representative of applicant's name \_\_\_\_\_

Representative of applicant's signature

Title \_\_\_\_\_

Date \_\_\_\_\_

## PROCEDURE FOR HANDLING APPEALS

### PURPOSE

The FSAB will adhere to the following procedure for the handling of appeals:

1. Right of Appeal: The CAB or applicant CAB may appeal the decision of the Board to suspend or deny accreditation.
2. The appeal shall be submitted in writing and shall state the reasons for the Board to reconsider its decision.
3. The appeal shall be submitted by the CAB or applicant CAB to the Board at the FSAB Office within 90 days of receipt of denial of accreditation or accreditation revocation.

### PROCEDURE

1. Response to Appeal
  - 1.1. The Vice President of FSAB will acknowledge the appeal.
  - 1.2. Unsettled disputes shall be resolved by mediation.
2. Evaluation of Appeal
  - 2.1. The President will appoint an ad hoc Appeal Process Committee (APC) of at least three members to include the FSAB Vice President and two other Directors.
  - 2.2. The Appeal Process Committee will permit the Chair to solicit assistance from non-Board members (lawyers, investigators, CAB members, etc.) in the event such provide additional benefit.
  - 2.3. Outside assistance is subject to signed confidentiality agreement.
3. Committee Action: The Appeal Process Committee (APC) will make its recommendation to the full Board.
4. Board Review
  - 4.1. The full Board will take action following a consideration of the Appeal Process Committee recommendation(s).
  - 4.2. Board decisions will be documented and notice made to the pertinent CAB or applicant CAB by mail, electronic or postal, with acknowledgement requested from the recipient.
  - 4.3. Records of such decisions will be maintained in confidence.
5. Timeline
  - 5.1. If possible, the appeals process will be completed within 60 days following the filing of the appeal.
  - 5.2. Notice of any Board action in response to the appeal will be made thereafter, in a timely manner.
6. Appeal Record Maintenance
  - 6.1. All appeal records will be archived and held in confidence.
  - 6.2. These will include a list of APC members, dates/times of meetings, and recommendations made, as well as full Board actions taken.



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### **7. Mediation**

- 7.1. Purpose of Mediation. Should Appeals Process fail to resolve the appeal to the satisfaction of the CAB and/or FSAB, the parties shall have the appeal resolved through mediation.
- 7.2. Decision. The resolution reached through mediation shall be final.
- 7.3. Costs. The appellant shall bear the costs of the mediation except in the following circumstance: the party producing a witness shall pay witness expenses.