



**APPLUS+ ENERGY & INDUSTRY**

# **PERSONNEL CERTIFICATION OPERATION CONTROL PROCEDURE**

<b>IMS DOCUMENT NO.:</b>	<b>L3-UAE-015</b>
<b>REVISION NO.:</b>	<b>3</b>
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## PERSONNEL CERTIFICATION - OPERATION CONTROL PROCEDURE

### 1.0 Context to the Organisation

#### 1.1. Purpose

The purpose of this procedure is to help guide Applus Velosi office on how to control operational requirements for Personnel Certification Services in a manner that complies with regulatory and industry standards, general client requirements and also ensures health and safety of its personnel.

#### 1.2. Scope

The scope of this procedure applies to Applus Velosi office operating the Applus Velosi Integrated Management System (IMS) that provide Personnel Certification Services. This includes review and verification of competency and experience to perform in accordance with relevant certification scheme.

This procedure works on the assumption that the local office performing these services has also implemented and operating the ISO/IEC 17024 supplements that are in place within the IMS.

#### 1.3. Interested Parties

With relation to the provision of Personnel Certification Services, the needs and expectations of "interested parties" are both assessed at group (through this procedure) and at local office level. As such, "interested parties" include:

- a) Clients
- b) Owners of the equipment which the personnel are operating
- c) Individuals using or in the surrounding area of the equipment or user of the services.
- d) Applus Velosi (including its examiners)
- e) Appropriate legislative/regulatory bodies (reporting incidents, highlighting imminent dangers etc.)

The needs and expectations of the interested parties are detailed in Interested Parties, Needs & Expectations, and Internal & External Issues Register.

### 2.0 Definitions

- a) Request of Service (ROS)  
A formal request received from a client asking for the local Applus Velosi office to performing certification of Personnel. These can be received in a variety of formats including call offs, assignments, requests for certification.

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### **3.0 Reference Standards**

- a) ISO 17024:2012 (Conformity assessment - General requirements for bodies operating certification of persons)
- b) DAC-Req-14 (Accreditation Requirements For Certification Bodies Of Certification Of Persons)
- c) PHSD (Public Health and Safety Department) Scheme Document issued by Dubai Municipality.

### **4.0 Risks and Opportunities**

The Risks and opportunities associated with the Personnel Certification service is detailed in Interested Parties, Needs & Expectations, and Internal & External Issues Register.

### **5.0 Responsibility**

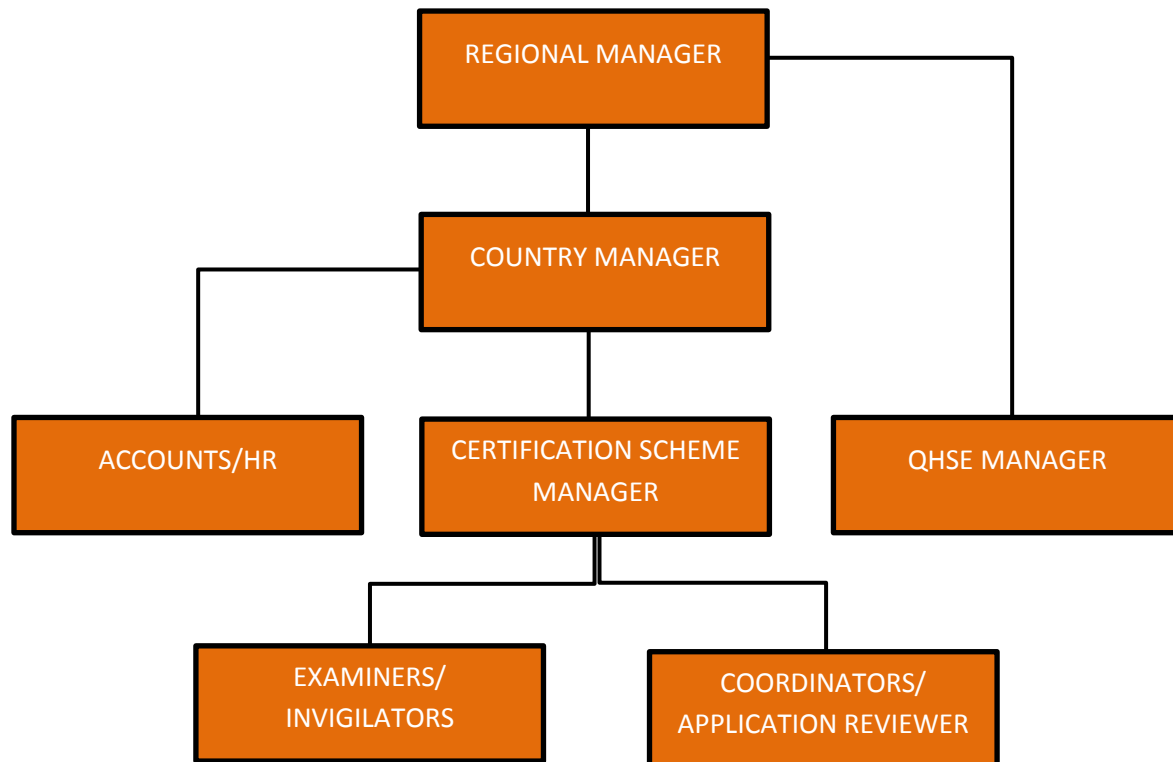
#	Function	Responsibility
1	Policies and procedures relating to the operation of the certification body.	Certification Scheme Manager, Head of Department and QHSE Manager
2	Implementation of the policies and procedures.	Certification Scheme Manager and Country Manager
3	Finances of the certification body.	Finance Manager and Country Manager
4	Resources for certification activities.	Finance Manager and Country Manager
5	Development and maintenance of the certification schemes.	Certification Scheme Manager
6	Assessment activities.	Certification Scheme Manager and Examiners
7	Decisions on certification, including the granting, maintaining, recertifying, expanding, reducing, suspending or withdrawing of the certification.	Certification Scheme Manager and Examiners
7	Decisions on certification, including the granting, maintaining, recertifying, expanding, reducing, suspending or withdrawing of the certification in the absence of Certification Scheme Manager	An Examiner not involved in the training and examination for the particular batch of candidates.
8	Contractual arrangements.	Finance Manager, Certification Scheme Manager and Country Manager

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### 6.0 Operational Control Procedure

#### 6.1. Operational Structure for Personnel Certification Services

Below is the typical country level structure for Personnel Certification Services:



- Country Level Operation Staff for Personnel Certification Services
- Country level Non Operational Staff

### 6.2. Coordination of Personnel Certification

#### 6.2.1. Receipt of Enquiry

Upon receipt of an enquiry from a (potential) client, the appropriate Certifications Coordinator shall review the request to identify:

- a) That the activities required fall within the company's abilities and competencies.
- b) That there are available examiners and what additional requirements are needed (e.g. hotel, travel etc.).
- c) That there are no conflicts of interest or threats to impartiality or independence.
- d) The necessary information is available in order to arrange an examination. This includes the scope of certification and the number of candidates to be certified.
- e) Each applicant will be assigned a unique job ref # number which will be reflected in all the process and applicable documents such as examination papers, certification decision note, certificates for traceability.

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Note: Relevant examiners shall be selected based on the requirements.

Based on the information received, a quotation shall be prepared by the Certifications Coordinator and/or HOD which shall be submitted to the client.

### 6.2.2. Issuing an Assignment

Upon approval of a quotation, the Certifications Coordinator shall make the necessary arrangements for the attendance of the Examiner including contacting necessary persons to ensure access to equipment and collating the certification documentation pack.

Within the documentation pack necessary documentation the Certifications Coordinator collate all necessary information needed for the examiner to perform activities efficiently. These shall include:

- a) Assessment Instructions according to the scope and service.
- b) Copy of the client notification including list of applicants.
- c) Copy of the previous certificates (if available)

The Certifications Coordinator shall ensure any client specifications and documentation are retained in an "as received" condition as defined in the Control of Documented Information procedure (L2-PRC-001).

All documentation and information provided by the client shall be stored securely to prevent data loss/leakage or deterioration. If the local Applus Velosi office is required by legislative, regulatory or contractual requirements to place any information in the public domain, the Head of Department shall ensure the client is informed of this and what information shall be communicated.

The Head of Department shall ensure that information about the client obtained from sources other than the client (e.g. complainant, regulators) shall be treated as confidential.

Once the visit has been confirmed with all relevant parties, the collated documentation pack shall be issued to the Examiner who shall proceed with the examination and certification activity.

### 6.2.3. Receipt and Issue of Certification Report

Upon completion of the certification activities, the examiner shall raise the Certification Decision Note (L5-UAE-073) using the information recorded within the relevant Personnel Certification forms used such as Practical Assessment sheets (L5-UAE-071a, b....) and the Theory Assessment sheets (L5-UAE-072a, b....). In particular, details of any noted observations or rejections shall be included.

The examiner shall ensure that all pertinent information and findings are detailed within the certification decision note.

Any notes taken or stored within notebooks or similar shall be securely destroyed upon completion of the certificate and its issuance to the Certifications Coordinator.

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All certificates shall be reviewed by the Certifications Coordinator prior to submission to the client to ensure all necessary information is included. Any anomalies shall be raised with the examiner concerned and/or the Head of Department.

Upon satisfactory review, the Certifications Coordinator shall issue the certification to the relevant personnel at the client.

### 6.2.4. Closure of the Assignment

Upon satisfactory completion of required activities, the assignment may be considered closed and the work duly invoiced by the personnel certification department.

### 6.3. Examiner Selection

The Certifications Coordinator shall select an Examiner based on the requirements of each enquiry. The selection criteria shall take into consideration the following conditions on a hierarchal basis:

- a) Examiner Competence/Approvals:  
The Coordinator shall select an examiner based on their experience and knowledge. At no time will an examiner perform certification of schemes to which they are not approved/deemed competent.
- b) Examiner Availability:  
The examiners available to perform certification activities in line with client requested dates/availability and/or the expiration date of the periodicity of examination (if applicable).
- c) Location of the Examiner:  
How close the examiner is to the location of the certification – i.e. closer the examiner, lesser the cost.

Upon selection of an examiner the Examiner Field Audit Schedule (L5-FMT-193a) shall be checked by the Certifications Coordinator to verify the selected examiner has been subject to satisfactory field assessment in the discipline of Personnel Certification within a period of no more than 3 years.

The Head of Department shall ensure that only Examiners recruited in accordance to Recruitment and Personnel procedure (L2-PRC-008) and the ISO/IEC 17024 supplement (L2-PRC-008b – if applicable).

If an Examiner has not carried out certification activities within the defined scope for a period of 12 months or longer, the Head of Department shall be notified and will ensure that the suitability of the Examiner is reassessed in accordance to L2-PRC-008b and Internal Audit & Management Review supplement (L2-PRC-003b).

The Head of Department shall ensure that Examiner Audits/Field Assessments are carried out on an at least 3-yearly program (as a minimum) for each Examiner as outlined in L2-PRC-003b. If an Examiner is approved for other services outside of Personnel Certification, then the audit program for that service shall be maintained as separate – i.e. field audits shall not be combined and the field assessment of examiners for Lifting Equipment Certification Services remains on an at least 3-yearly cycle.

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Note: A cross-departmental schedule with more than one program may be maintained if this assists the local office with arranging audit/assessment activities.

Examiner audits/field assessments shall be carried out by the Head of Department and/or Certification Scheme Manager within the local office. If necessary, to assist with operations personnel of a similar position and competence within another office may be used.

### **7.0 Certification Process**

#### **7.1. Certification of Applicant:**

##### **7.1.1. Documents Review**

Upon receipt of the purchase order, the coordinator shall request the client to submit the completed Registration form (L5-ARE-054). Upon receipt of the filled registration form, the Application reviewer shall review the Registration Form (L5-ARE-054) and shall ensure all required information is provided by the applicant/ client as detailed in the Registration form (L5-ARE-054).

##### **7.1.2. Pre-Certification Checks**

Prior to commencement of certification activities, the examiner shall ensure they have all the necessary information from the coordinator in order to complete their assignment in an appropriate manner. This shall include details of the location of certification, point of contact and all pertinent information relating to the candidate.

The Examiner shall review the relevant information on training and equipment certification (if applicable) on site.

##### **7.1.3. Certification Activities**

The examiner shall follow Procedure for Examination and Assessment Instructions (L3-UAE-014) for Personnel Certification (L3-UAE-015) including any other requirements detailed in the respective Certification Schemes to assess the overall performance of the applicant and ensure the details of assessment are recorded in the Practical Assessment sheets (L5-UAE-071a, b....) and the Theory Assessment sheets (L5-UAE-072a, b....).

### **8.0 Minimum Competence Requirements**

The competence requirements for the personnel involved in the certification process shall be detailed in the Competency Matrix Document (L6-UAE-005)

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### 9.0 Working Safely

To ensure safe working, the Examiner shall be supplied with copies of the general Job Safety Analysis (L5-FMT-061) and General Risk Assessment if deemed necessary.

If deemed a necessary operational requirement or if contractually obliged, the Examiner may be required to complete a worksite site assessment to ensure safety at the location of the certification.

The generic Method Statement and Job Safety Analysis (JSA) documents for shall be reviewed at least annually by the Subject Matter Expert of the Technical Response Group. This shall be distributed to each local office for review. If necessary, the local office may need to amend or create a new Method Statement or JSA based on local level hazards and risks.

Any incidents, near misses or unsafe work practices must be reported to both the site representative at the client and also the Certifications Coordinator without undue delay. This will be addressed in the manner outlined in Incident Response & Reporting procedure (L3-SP-010).

### 10.0 Operational Management

#### 10.1. Manning and Resource Levels

The Head of Department shall ensure suitable manning levels are regularly reviewed and maintained in line with current and anticipated workloads.

Manning levels for new work shall be assessed at both tendering stage and contract review following award in line with Tender and Contract review procedures (L2-PRC-007 & 007b).

#### 10.2. Invoicing

Sales invoices shall be raised by the Certifications Coordinator or accounts department following completion of an assignment. Where an assignment is on-going an invoice shall be raised at the end of each calendar month for the previous months work, or as otherwise agreed within the client contract.

Purchase invoices shall be received in either hard or soft copy and shall be approved by the Certifications Coordinator and Head of Department.

#### 10.3. Additional Requirements

Client review or technical meetings shall be scheduled by the Head of Department, Head of Department and Certifications Coordinator or as required or as contractually agreed.



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#### 11.0 Communication

Communication	Personnel Concerned	Frequency
Reporting the results of certification activities	Examiners to Clients/applicants	ASAP
Providing information to all examiners of any "lessons learned" that arise during the course of activities.	Head of Department to Examiners	ASAP
Communicate any changes to key requirements – e.g. legislation, client expectations and certification schemes.	Head of Department to Examiners	ASAP
Communication of performance related information – e.g. revenue, NCRs, examiner competence.	Head of Department or Operations to Country Manager	Periodically

#### 12.0 Associated documents

L1, L2, L3 & L4 Documents

As per Master List

External Documents

Contract and Job related drawings / specs

#### 13.0 Records

Record Number	Name of the Record	Retention Period
L5-ARE-054	Registration Form	2 Years
L5-UAE-071a, b, c....	Practical Assessment	2 Years
L5-UAE-072a, b, c...	Assessment Questions	2 Years
L5-UAE-073	Certification Decision Note	2 Years
L5-UAE-076	Certificate Master Copy	2 Years

#### 14.0 Revision History

Rev.	Date	Section	Outline of Change	Authorization
0	03-03-2016	All	Initial Draft	Gordon Gibbs
1	10-03-2017	All	Review and Update	Gordon Gibbs
2	30/09/2018	All	Logo updated, document number updated as country level document.	Andrew Cunningham
3	30/10/2018	6.2.1	Added additional point (e)	Andrew Cunningham