

## Criteria for Recognised Assessment Bodies

In order to be recognised to certify companies against the Common Assessment Standard, organisations must demonstrate on an annual basis that they meet agreed criteria which will be determined by the Cross Industry Body from time to time.

Recognised Assessment Bodies must also agree to abide by a Code of Conduct which includes the sharing of verified pre-qualification (PQ) data.

Criteria	Evidence Required
<b>Organisation</b>	
Demonstrate financial stability	Copy of latest audited accounts and credit check which does not return a result of 'high risk'
Evidence independence of certification activities from other services (e.g. consultancy) and how this is maintained	Details of: <ul style="list-style-type: none"> <li>• Legal entity or entities</li> <li>• Management structure/organogram showing key personnel</li> </ul>
Hold ISO 9001 (Quality Management) certification	Copy of a valid ISO 9001:2015 certificate issued by a UKAS (or equivalent) accredited certification body - the scope of certification must cover the range of services and locations for the service to be provided
Evidence appropriate digital data hosting and information security arrangements to ensure compliance with data security standards and GDPR	Copies of hosting service provider details and valid certifications which may include: <ul style="list-style-type: none"> <li>• ISO 27001:2013 (Information Security Management) from a UKAS (or equivalent) accredited certification body - the scope of certification must cover the range of services and locations for the service to be provided</li> <li>• Cyber Essentials or Cyber Essentials Plus</li> <li>• PCI (Payment Card Industry Data Security Standards) if using online payments</li> </ul>
Evidence appropriate business continuity planning is in place to ensure service delivery	Details of business continuity arrangements and associated plans, including key suppliers that may directly affect customer service, which may include a copy of a valid ISO 22301:2012 (Business Continuity Management) from a UKAS (or equivalent) accredited certification body
Hold the following insurances: <ul style="list-style-type: none"> <li>• Employer's Liability cover of at least £5 million</li> <li>• Public Liability cover of at least £5 million</li> <li>• Professional Indemnity cover of at least £5 million</li> </ul>	Copies of valid insurance certificates, detailing any exclusions or limitations - Professional Indemnity cover is not required to include consequential loss cover

Evidence process for review of client assessments, for example by Lead Auditor on a periodic basis, to ensure consistency	Copy of process, details of findings and any actions taken
Operate a complaints procedure to deal with complaints in relation to certification activities against the organisation and/or individual assessors	Copy of complaints procedure and log for last 12 months showing details of any complaints and actions taken
<b>Assessors</b>	
Commit to using Common Assessment Standard or demonstrate that any variances in question set meet required assessment standards	Document showing any variances in question set cross-mapped against Common Assessment Standard
Demonstrate the collective competence of assessors to audit companies against all areas of the Common Assessment Standard	<ul style="list-style-type: none"> <li>• Completed template matrix detailing qualifications, skills, knowledge and experience of all assessors auditing companies against the Common Assessment Standard</li> <li>• Details of CPD for all assessors auditing companies against the Common Assessment Standard</li> <li>• For assessors auditing the health and safety section, copies of valid certificates for one of the following qualifications (or higher): British safety Council (BSC) Level 3 Certificate in Occupational Safety &amp; Health; NEBOSH General Certificate in Occupational Health &amp; Safety; NEBOSH Certificate in Construction; NVQ Level 3 in Occupational Health &amp; Safety; or NCRQ Level 6 Certificate in Applied Health &amp; Safety</li> <li>• Copy of valid IRCA Lead Auditor Training certificate or recognised equivalent</li> </ul>
Lead assessor must have successfully completed International Register of Certified Auditors (IRCA) Lead Auditor Training or recognised equivalent	
Ensure individual assessors are competent and have relevant and current CPD to audit against relevant areas of the Common Assessment Standard	