



ARCS
INTERNATIONAL
ASSESSOR REGISTRATION &
CERTIFICATION SCHEME

**INTERNATIONAL ASSESSOR REGISTRATION AND
CERTIFICATION (ARCS) SCHEME**

Assessor Registration and Certification

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1. INTRODUCTION

This International Assessor Registration and Certification Scheme (ARCS) (the Scheme) provides for the

-) Registration and certification of process assessors trained and qualified in the principles and practices of process assessment performed against the relevant international standards.
-) Registration and certification of process improvement professionals trained and qualified in the principles and practices of model based process improvement performed against the relevant international standards.
-) Accreditation of training providers and training courses that provide the relevant education, knowledge and skills needed as a pre-requisite to registration and certification

The Scheme replaces the International Registration Scheme for Assessors (INTRSA) from 1 July 2018.

Assessors registered or certified in the INTRSA Scheme will receive equivalent assessor grade status as a registered or certified assessor in the ARCS Scheme on renewal.

Assessors registered or certified in other Schemes may apply to have their status recognised at an equivalent assessor grade status as a registered or certified assessor in the ARCS Scheme.

2. REGISTRATION AND CERTIFICATION OF ASSESSORS

2.1 INTRODUCTION

Assessors are registered with knowledge of different process assessment models meeting the requirements

The criteria against which assessors are evaluated reflect the skills, knowledge and experience that are required to be demonstrated by an assessor during an assessment.

The requisite assessor competencies are reflected by the ability to:

-) Uphold the principles of ethical conduct, fair presentation and due professional care by subscribing to a professional code of practice.
-) Communicate both orally and in writing and to interact with management and technical staff at all levels.
-) Work effectively in a team environment having knowledge of group facilitation and team building techniques.
-) Keep up to date with knowledge of relevant international standards, process assessment models and professional practices
-) Plan, organize and perform an assessment conducted in accordance with the requirements of the relevant standards
-) Identify and understand the relevant organizational processes
-) Evaluate objective evidence and determine process quality levels and maturity levels (where relevant)
-) Accurately report assessment results and recommendations

The registration and certification of assessors is intended for:

-) Internal process assessors e.g. those who perform internal assessments usually for the purpose of internal process improvement
-) External process assessors e.g. consultants or those employed or working on behalf of purchasing organizations
-) External 3rd party process assessors that perform conformity assessments and who will issue certificates of conformity e.g. assessment bodies
-) Process practitioners that need the requisite knowledge and skills e.g. consultants, quality personnel, process improvement teams

The Scheme has been developed in consultation with existing process assessment method and model developers, training providers and other various interests and provides a harmonization route for registration and certification.

All applicants must have completed an the relevant accredited training courses, have passed the relevant tests, evaluations and examinations, subscribe to a code of conduct and have relevant assessment experience that is verified.

2.2 ASSESSOR GRADES

There are three assessor grades



-) Assessor
-) Lead Assessor
-) Principal Assessor



The Scheme allows for both the registration and certification of assessors.

Registration and certification of assessors is available, without restriction, to all applicants who satisfy the stated requirements.

An assessor (all grades) may be registered with reference to all models for which they have passed an associated Process Assessment Model training course test.

The following table describes the assessor grades and the criteria for registration and certification.

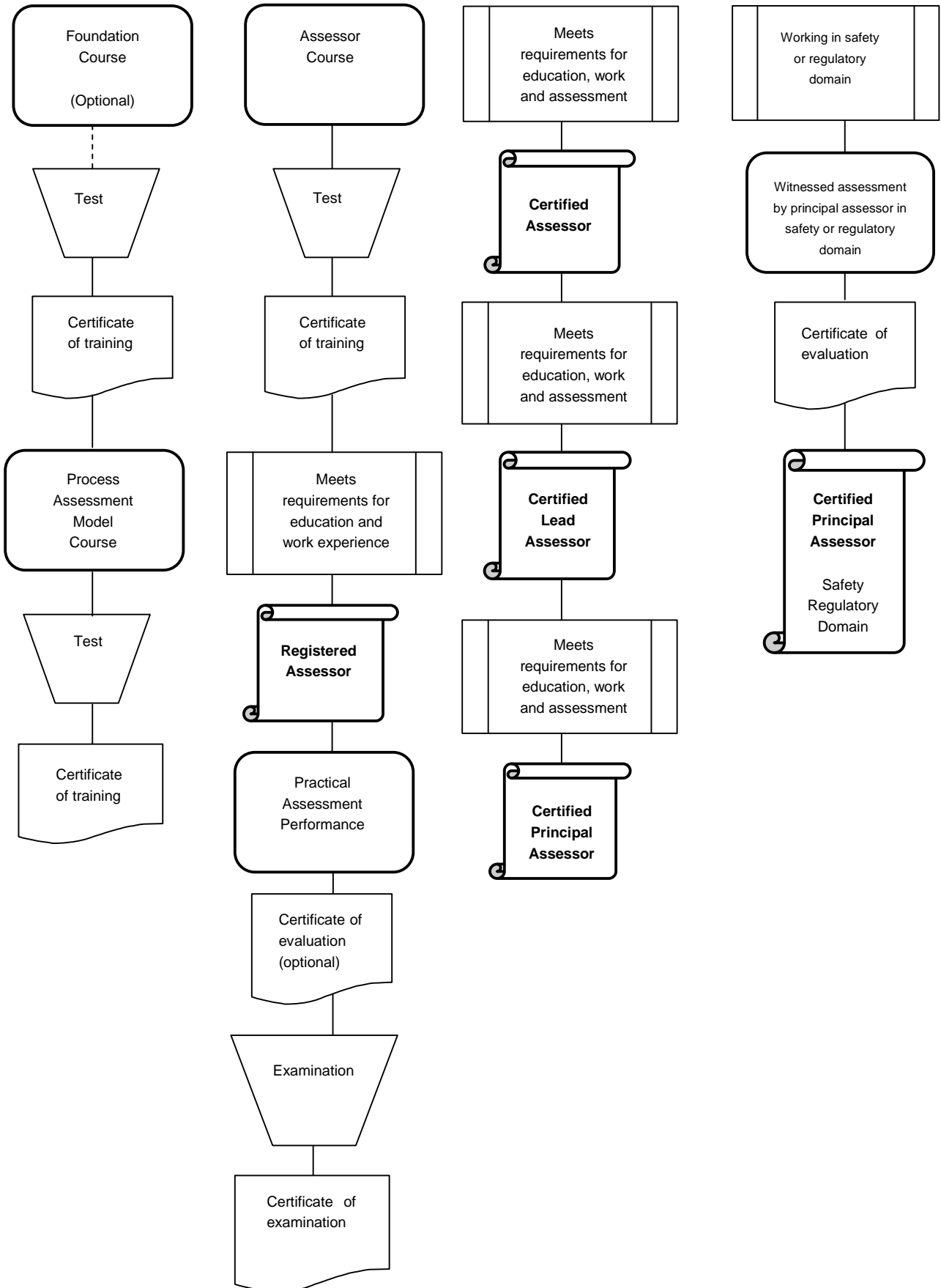
	<p>Registered Assessor</p> <p>This is the entry registration grade, for the candidate who has successfully completed the required training and passed the relevant tests for the Foundation, Process Assessment Model and Assessor training courses, and who meets the requisite requirements for education and work experience for the assessor grade.</p> <p>The assessor is available to participate as an assessor as part of an assessment team.</p>
	<p>Certified Assessor</p> <p>This is the entry certification grade, for the candidate who has successfully completed the required training and passed the relevant tests for the Foundation, Process Assessment Model and Assessor training courses, who has performed and passed a practical assessment evaluation and the requisite examination, and who meets the requisite requirements for education, work experience and assessment experience for the assessor grade.</p> <p>The assessor is available to participate as an assessor as part of an assessment team or as a lead assessor (under the direction of a certified lead assessor for third party assessments)</p>

	<p>Certified Lead Assessor</p> <p>This is the certification grade, for the candidate who has successfully completed the required training and passed the relevant tests for the Foundation, Process Assessment Model and Assessor training courses, who has performed and passed a practical assessment evaluation and the requisite examination, and who has meets the requisite requirements for education, work experience and assessment experience for the lead assessor grade.</p> <p>The assessor is available to participate as a lead assessor of an assessment team.</p>
	<p>Certified Principal Assessor</p> <p>This is the certification grade for certified lead assessors who wish to have their extensive assessment experience recognised or who wish to lead 3rd party assessments and issue certificates of conformity. For assessors in the safety or regulatory domain the prospective candidate will be subject to a witnessed evaluation by another certified principal assessor in the safety or regulatory domain unless the assessor has significant practical experience in that domain.</p>

Certificates of award shall have the following designations and carry the relevant designated logo

- a) ARCS Registered Assessor
- b) ARCS Certified Assessor
- c) ARCS Certified Lead Assessor
- d) ARCS Certified Principal Assessor

Accompanying the registration or certification, the relevant Process Assessment Models for which the assessor has received certificates of training will be listed. A fee is payable to update registration or certification with additional certificates of training. The following chart shows the path to registration and certification of assessor grades showing the needed training courses to be attended, the relevant tests, evaluations and examinations that need to be passed. The various training courses, tests and examinations can be combined into a single or multiple courses however they may be taken separately through a progressive programme.



2.3 APPLICANT REQUIREMENTS

Applicants for registration and certification must satisfactorily comply with the minimum requirements for education, training, work experience and assessor experience for the relevant grade of certification. These minimum requirements are set out below.

2.3.1 Education

Applicants must have completed their secondary education, have a degree or equivalent professional qualification to become a registered or certified assessor of any grade.

2.3.2 Training

Applicants must have successfully completed (with any test, examination or evaluation) the approved assessor training course(s) relevant for the assessor grade within the 3 years prior to application for registration or certification.

The ASSESSOR TRAINING COURSE comprises three training courses (elements):

-) Foundation (based on the ISO/IEC 330xx family of standards)
-) Process Assessment Model (based on an ISO/IEC 33004 conformant process assessment model)
-) Assessor (based on the ISO/IEC 33002 requirements for performing an assessment or a documented assessment process conformant with the requirements of ISO/IEC 33002)

Unless otherwise specified, training courses shall follow the framework for training defined in the ISO/IEC TR 33017 Guidance for Assessor Training.

Assessor training shall include a practical assessment performance and evaluation which can be met either by an instructor led case study assessment or by performance of a live assessment (minimum 12 hours) supervised by a lead assessor.

2.3.3 Work Experience

The minimum work experience shall be met according to the level of education and the assessor grade.

	Assessor	Lead assessor	Principal assessor
Secondary education	4 years full time experience of which 2 years in relevant process context	6 years full time experience of which 4 years in relevant process context	6 years full time experience in a relevant process context
Degree or equivalent professional qualification	2 years full time experience of which 1 year in relevant process context	4 years full time experience of which 3 years in relevant process context	6 years full time experience in a relevant process context

2.3.4 Assessment Experience

The minimum assessment experience shall be met according to the assessor grade and classification according to the table below.

	Assessor	Lead assessor	Principal assessor
Minimum number of assessments	4	6	8
Minimum number of assessment hours (excluding planning and reporting) NOTE: * The minimum number of as assessment hours may be reduced by 5 hours per assessment performed using the ISO/IEC 29110-4-1 profile specification for the Basic profile applicable to Very Small Entities (VSEs) involved in software development.	60*	90*	120*
Minimum number of process instances assessed in each assessment	2	2	2
Minimum number of assessments performed as assessment team leader		2	4
Minimum number of assessments performed as assessment team leader with assessment team of two or more members NOTE; * For a Principal assessor to have the designation 'Safety Regulatory Domain' at least one assessment (of minimum duration 8 hours) <u>shall</u> be subject to a satisfactory witnessed evaluation by another principal assessor in the safety or regulatory domain <u>unless</u> the assessor has significant practical experience in the safety or regulatory domain.		1	2*

2.3.5 Additional requirements

Conformity assessment schemes and process assessment models and methods may set additional requirements for knowledge, skills and experience in which case this will be stated below.

2.4 APPLICATION PROCESS

Applicants must ensure that they fully meet the criteria for the registration or certification to the grade sought.

Initial application may be made for entry to any of the assessor grades, depending on applicant's assessment experience.

Each applicant for certification shall be sponsored by his/her employer or by two other persons who have a business relationship with the applicant. Sponsors shall have evidence and / or personal knowledge of the information contained within the application that they can verify.

COPIES of certificates of training and examination and other relevant educational qualifications are to be supplied with the completed application.

Applications will only be accepted on the prescribed application form.

Processing the application usually takes about four weeks. However, the processing time depends significantly on the time required to verify the information submitted on the application form.

Processing follows the following steps:

-) Administrative check
-) Technical evaluation
-) Certification award

2.4.1 Administrative check

All applications are first checked to ensure that all requested information has been submitted by the applicant.

A confirmation note (usually by email) is provided to the applicant normally with a tracking number for reference.

2.4.2 Technical evaluation

Following the application check, an application is then evaluated by a reviewing officer who evaluates the information submitted against the certification criteria and performs verification of some or all of this information. At the conclusion of the technical evaluation, the reviewing officer will make a recommendation for certification to the Director of Certification.

Verification is an essential element supporting the credibility of the application process. The time needed for the process of verification varies dependent on the ability to contact employers and sponsors etc to verify information.

2.4.3 Certification award

The Director of Certification makes the decision to award certification. The Director will write formally to each successful applicant with an offer of registration or certification to the appropriate grade.

The successful applicant will be issued with a digital certificate of registration or certification which can be printed at any time and also shared on Facebook, LinkedIn, Twitter and any other platforms. The digital certificate will have the relevant registered or certified assessor, certified lead assessor or certified principal assessor logo.

NOTE: Digital certificates are currently being enabled, in the interim a temporary electronic certificate will be issued.

2.5 REGISTER OF ASSESSORS

The Scheme will maintain a list of registered and certified assessors subject to the individual applicant's approval to release the data and in accordance with the EU's **General Data Protection Regulation (GDPR)**.

2.6 RENEWAL OF CERTIFICATION

All assessors are required to renew certification every three years. The renewal of certification is dependent on several criteria:

- a) Maintaining assessment experience
- b) Declaration of any complaints
- c) Acting in compliance with the code of conduct

The assessment experience required for renewal of certification is the same as for initial application.

For renewal of certification, all assessment logs are required to be submitted at the end of the certification period. Assessors should not submit this information until requested to do so by the Scheme administrator.

2.7 CODE OF CONDUCT

By signing the application declaration the applicant agrees to abide by the Code of Conduct and shall:

- a) Exercise honesty, objectivity, and diligence in the performance of their duties and responsibilities.
- b) Exhibit loyalty in all matters pertaining to the affairs of their organization or to whomever they may be rendering a service. However, they shall not knowingly be party to any illegal or improper activity.
- c) Not engage in acts or activities that are discreditable to their profession or their organization.
- d) Refrain from entering any activity that may be in conflict with the interest of their organization or would prejudice their ability to carry out objectively their duties and responsibilities.
- e) Not accept anything of value from an employee, client, customer, supplier, or business associate of their organization that would impair or be presumed to impair their professional judgment and integrity.

- f) Undertake only those services that they can reasonably expect to complete with professional competence.
- g) Be prudent in the use of information acquired in the course of their duties. They shall not use confidential information for any personal gain nor in any manner that would be contrary to law or detrimental to the welfare of their organization.
- h) Reveal all material facts known to them that, if not revealed, could either distort reports of operation under review or conceal unlawful practices.
- i) Continually strive for improvement in their proficiency, and in the effectiveness and quality of their service.
- j) In the practice of their profession, shall be ever mindful of their obligation to maintain the high standards of competence, morality, and dignity promulgated by this code of ethics.
- k) Maintain and improve their professional competency through continuing education.
- l) Cooperate in the development and interchange of knowledge for mutual professional benefit.
- m) Maintain high personal standards of moral responsibility, character, and business integrity.
- n) Not act in any way that would prejudice the reputation of the Scheme and to cooperate fully with any enquiry in the event of any alleged breach in this code

2.8 FEES

See separate fee schedule.

2.9 APPLICATION

Applications and correspondence shall be sent to the Director of Certification.

3. REVISION HISTORY

Version	Section	Change summary
1.0 2018-06-01		Published