



APPLICATION

for

Accreditation / Re-Accreditation by the

FORENSIC SPECIALTIES ACCREDITATION BOARD, Inc.

Submitted By

(Name of CAB)

(Organization Acronym, if any)

(Date of Application)



FORENSIC SPECIALTIES ACCREDITATION BOARD, Inc.

410 North 21st Street, Colorado Springs, CO 80904

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

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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.
Attention: Kimberly Wrasse
410 North 21st Street
Colorado Springs, CO 80904-2798

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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 reliable¹, valid², 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.*

¹ 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.

² 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 _____

2.2.3b 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 _____

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

Reference: Tab _____ Page _____ Section [or] Exhibit _____

2.2.6b 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 _____

2.2.7a 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 _____

2.2.7b 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 _____

2.2.8a 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 _____

2.2.8b 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 _____

2.2.10.2b 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 _____

2.2.12.2b 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 _____

2.5.3.2b 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 _____

2.8.2b 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 _____

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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 _____

3.1.2c 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 _____

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3.1.4.6 If yes, how many of the current certificants hold their certificates through 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 _____

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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 _____

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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 _____

4.1.2d 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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6.11.4b 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 _____

6.12a 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 _____

6.12b Alternate examination

Is the replacement examination equal in quantity and quality?

Yes No Tab _____ Page _____ Section [or] Exhibit _____

6.13a 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.