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WORKSHOP

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AGREEMENT

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**Guidelines for the selection of consultants advising SMEs on
integrated quality, environment, health and safety management
systems**

This CEN Workshop Agreement has been drafted and approved by a Workshop of representatives of interested parties, the constitution of which is indicated in the foreword of this Workshop Agreement.

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EUROPEAN COMMITTEE FOR STANDARDIZATION
COMITÉ EUROPÉEN DE NORMALISATION
EUROPÄISCHES KOMITEE FÜR NORMUNG

Management Centre: Avenue Marnix 17, B-1000 Brussels

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Foreword

This CEN Workshop Agreement and CEN Workshop 41 on “Competence of consultants advising SMEs concerning integrated quality, environment, health and safety” was established and a Business Plan approved by a Workshop of representatives of interested parties on 2008-05-06,

This CEN Workshop was proposed by the Coordinator and Core Members of the EU eTEN project deployPROMIS (contract number 046303), aiming at facilitating SME access to tailored information and advice on legislation, standardisation and quality management systems.

Funding for the Workshop Secretariat was provided by CEPAS – Organismo di Certificazione delle Professionalità e della Formazione. The Workshop Secretariat was provided by the Italian Organisation for Standardisation (UNI).

A list of the individuals and organizations which supported the technical consensus represented by the CEN Workshop Agreement is available to purchasers from the CEN-CENELEC Management Centre. These organizations were drawn from the following economic sectors:

- AGMS - Alain Goarant Maintenance et Sécurité
- CEPAS – Organismo di Certificazione delle Professionalità e della Formazione
- CNA – Confederazione Nazionale dell'Artigianato e della piccola e media impresa
- ENEA - Ente per le Nuove tecnologie, l'Energia e l'Ambiente
- EOQ - European Organisation for Quality
- FUTUREtec GmbH
- ICMCI - The International Council of Management Consulting Institutes
- INFRALOGICS Business Processes Consultancy
- IPC - International Personnel Certification Association
- Kooperationsstelle Hamburg
- Unified Management Solutions

Registered participants of this CENWS 41 Workshop are listed in Annex B.

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The final review/endorsement round for this CWA was started on 2010-07-14 and was successfully closed on 2010-09-15. The final text of this CWA was submitted to CEN for publication on 2011-02-02.

This CEN Workshop Agreement is publicly available as a reference document from the CEN National Members of Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland and the United Kingdom.

Comments or suggestions from the users of the CEN Workshop Agreement are welcome and should be addressed to the CEN-CENELEC Management Centre.

Introduction

The aim of this CWA is to provide a guide for professional integrated management system consultants, as well as internal personnel acting as an integrated management system manager.

Organisations managed under the ISO 9000 principles, are required by legislation to satisfy environmental and health and safety systems requirements as well. Although standards application and certification are available and can be applied right down to single person organisations, this often presents a major challenge to many small and medium sized enterprises (SMEs) because:

- a) the required competence or resources may not be available within the organisation;
- b) is it advisable to have a competent integrated management system consultant capable of:
 - understanding the organisation's structures and dynamics;
 - developing and implementing a fully integrated process based management system that addresses the overall organisation, including quality, environmental, health and safety performance.

From these considerations, it is important that the essential integrated management system consultant competencies are defined:

- I. to develop competence programmes guiding current and future integrated management system consultants;
- II. to provide guidance for organisations seeking or engaging the services of an integrated management system consultant;
- III. so that integrated management system consultants eventually could be certified by a third party, in order that organisations can trust them when procuring their services.

To support the principle of fair competition in the European Community there are advantages if guidance criteria are coordinated at European level:

- 1) to support SMEs' ability to compete in the open European market which is increasingly concerned with issues of quality, health, safety and environmental impact;
- 2) to allow integrated management system consultants to offer a pan-European, universally recognised level of service.

The essential competence requirements for an integrated management system consultant should be based on their capability to assist an organisation in designing, implementing and maintaining a fully integrated management system satisfying quality, environment, health and safety requirements relevant to the industry sector and the organisation. The integrated management system consultant should additionally have demonstrable skills and knowledge to provide expert advice on managing quality, environment, health and safety matters that may arise in the organisation to a level consistent with the business operations within the relevant industry sector.

The competence and suitability of integrated management system consultants (skills) should be assessed with reference to:

- relevant education and training;
- relevant personal attributes;
- relevant general management knowledge and skills;

- relevant work experience;
- pursuance of a recognized programme of continual professional development;
- adherence to a code of professional ethics.

This document may be updated according to the needs to include other management system consultant competences e.g. ISO 26000, ISO 27001.

This document has taken into account CEN GUIDE 14:2010 *Common policy guidance for addressing standardisation on qualification of professions and personnel*.

1 Scope

This CWA provides guidance and criteria for selecting integrated management system consultants to assist SMEs in:

- a) designing, implementing, maintaining and improving an integrated management system;
- b) giving advice and information on the management of quality, environment, health and safety from an integrated and process focused perspective.

NOTE The criteria are based on ISO 10019:2005 prepared by Technical Committee ISO/TC 176, *Quality management and quality assurance*, Subcommittee SC 3, *Supporting technologies*.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

Not applicable

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

NOTE In the text the term "small and medium-sized enterprises, SMEs" is used for micro, small and medium-sized enterprises as defined by EU.

3.1 integration of management system standard requirements

process of unifying multiple management system standards requirements into an organization's overall management system. The result of integration is to move the organization in the direction of a single management system that meets the requirements of multiple management system standards

[ISO Handbook - The integrated use of management system standards]

3.2 integrated management system

management system which integrates all relevant components of an organisation into one coherent system, combining two or more management systems chosen among quality, environment, health and safety

3.3 integrated management system consultant

person who assists the organization on integrated quality, environment, health and safety management system realization, giving advice or information

NOTE Adapted from ISO 10019:2005

3.4 competence

demonstrated personal attributes and demonstrated ability to apply knowledge and skills

[EN ISO 19011:2002, clause 3.14]

3.5

skill

ability to apply knowledge and use know-how to complete tasks and solve problems

[EQF – European Qualification Framework]

3.6

knowledge

outcome of the assimilation of information through learning. Knowledge is the body of facts, principles, theories and practices that is related to a field of work or study.

[EQF – European Qualification Framework]

3.7

small and medium-sized enterprise (SME)

enterprise which employs fewer than 250 persons and which has an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million

[2003/361/EC: Commission recommendation C (2003) 1422]

3.8

small enterprise

enterprise which employs fewer than 50 persons and which has an annual turnover and/or annual balance sheet total does not exceeding EUR 10 million

[2003/361/EC: Commission recommendation C (2003) 1422]

3.9

microenterprise

enterprise which employs fewer than 10 persons and whose annual turnover and/or annual balance sheet total does not exceeding EUR 2 million

[2003/361/EC: Commission recommendation C (2003) 1422]

4 Competence criteria of an integrated management system consultant

The role of integrated management system consultant is to assist the organization during the design, realization, maintenance and improvement of the integrated management system by giving advice or information or direct assistance.

Essential required competences of an integrated management system consultant are described in Table 1.

Table 1 — Essential competence requirements of an integrated management system consultant

	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
<p style="text-align: center;">SKILLS</p> <p style="text-align: center;">Common Area</p>	<p>Integrated management system consultant shall assist the organisation for the integration of the multiple management systems requirements.</p> <p>He/she shall be able to design, realize, maintain and improve the integrated management system.</p> <p>In order to achieve this integration he/she shall be able to:</p> <ul style="list-style-type: none"> - eliminate redundancy - establish consistency - optimise processes and resources - consolidate assessments - reduce maintenance - improve decision making 		

	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
<p>PERSONAL ATTRIBUTES</p> <p>Common Area</p> <p>(continued)</p>	<p>The integrated management system consultant should possess the necessary qualities to enable him/her being :</p> <ul style="list-style-type: none"> — ethical: respectful of the code of conduct as reported in Annex A; — observant: constantly and actively aware of organizational culture and values, physical surroundings and activities; — perceptive: aware of and able to understand the need for change and improvement; — versatile: able to adapt to different situations and provide alternative and creative solutions; — tenacious: persistent, focused on achieving objectives; — decisive: capable of reaching timely conclusions based on logical reasoning and analysis; — self reliant: able to act and function independently while interacting effectively with others; — communicative: able to listen to, and effectively interface with, all levels of an organization, confidently and with sensitivity to its culture; — practical: realistic and flexible with good time management; — accountable: able to take responsibility for his/her own actions; — facilitative: able to assist an organization’s management and employees through the integrated management system realization. <p>And in addition the integrated management system consultant should be:</p> <ul style="list-style-type: none"> — personable: able to strike a comfortable working relationship with the relevant client contacts and collaborators; — SME-orientated: aware of the concerns and operations of smaller organisations, and able to communicate effectively at the level of SMEs; — value-focused: aware of the need to identify and contribute benefits to the organisation, over and above mere compliance with requirements; — commercial and competitive: aware of the need to be competitive in tendering for client business and to remain cost-effective in the delivery of their services. 		

	<p style="text-align: center;">QUALITY</p>	<p style="text-align: center;">ENVIRONMENT</p>	<p style="text-align: center;">HEALTH AND SAFETY</p>
<p>SPECIFIC KNOWLEDGE AND SKILLS</p>	<p>The integrated management system consultant shall have knowledge of the following areas:</p> <p>Quality management system fundamentals and sector-specific standard in the 2 macro – areas.</p> <p>1-mandatory area: local and national codes, applicable laws and other legal requirements relevant for the organization.</p> <p>2-the common voluntary standards area: according the ISO standards (EN ISO 9001, EN ISO/IEC 17021, EN ISO/IEC 17025)</p> <p>Organization</p> <ul style="list-style-type: none"> — laws, product, processes and organizational context requirements; — management procedures; — principles of economics and management system. 	<p>The integrated management system consultant shall have knowledge of the following areas:</p> <p>Environmental management system fundamentals and sector-specific standard in the 2 macro – areas.</p> <p>1-mandatory area: local and national codes, applicable laws and other legal requirements relevant for the organization.</p> <p>2-the common voluntary standards area: according the ISO standards (EN ISO/IEC 17021, EN ISO 14001) and/or EMAS</p> <p>Organization</p> <ul style="list-style-type: none"> — laws, product, processes and organizational context requirements; — management procedures; — principles of economics and management system. 	<p>The integrated management system consultant shall have knowledge of the following areas:</p> <p>Health and safety management system fundamentals and sector-specific standard in the 2 macro – areas.</p> <p>1-mandatory area: local and national codes, applicable laws and other legal requirements relevant for the organization.</p> <p>2-the common voluntary standards area: according the ISO standards (EN ISO/IEC 17021) and/or OHSAS 18001</p> <p>Organization</p> <ul style="list-style-type: none"> — laws, product, processes and organizational context requirements; — management procedures; — principles of economics and management system; — general principles of safety management, methodologies and techniques risk analysis and assessment; — auditing methodologies and techniques; — health, social and psychological care techniques; — ergonomics; — elaboration and application of “routine” and emergency procedures.

	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
SPECIFIC KNOWLEDGE	<p>The integrated management system consultant should also have good knowledge of relevant management practices to understand how the quality management system integrates and interacts with the overall management system of the organization. For this reason, he/she should have knowledge in areas, such as:</p> <ul style="list-style-type: none"> — planning and management system; — business economics; — management information system; — interpersonal and interfunctional skills; — market analysis and research; — human resources management. 	<p>The integrated management system consultant should also have good knowledge of relevant management practices to understand how the environmental management system integrates and interacts with the overall management system of the organization. For this reason, he/she should have knowledge in areas, such as:</p> <ul style="list-style-type: none"> — planning and management system; — business economics; — management information system; — interpersonal and interfunctional skills; — market analysis and research; — human resources management. 	<p>The integrated management system consultant should also have good knowledge of relevant management practices to understand how the health and safety management system integrates and interacts with the overall management system of the organization. For this reason, he/she should have knowledge in areas, such as:</p> <ul style="list-style-type: none"> — planning and management system; — business economics; — management information system; — interpersonal and interfunctional skills; — market analysis and research; — human resources management.
EDUCATION Common Area	The integrated management system consultant shall be aligned with EQF level 5 .		
SPECIFIC TRAINING REQUIREMENTS on management system	The integrated management system consultant, prior to starting the consulting activity, should obtain management system training. He/she should also base his/her professional updating by attending training activities focused on an integrated management approach to the organisation's processes, such as study days, seminars, courses or for actively taking part in standardization working groups and the like.		

	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
CONSULTANT Specific Work experience	<p>The integrated management system consultant should have a specific experience:</p> <ul style="list-style-type: none"> — EQF level 6, 7: minimum 5 years of specific experience in quality management; — EQF level 5: minimum 7 years (of which 5 in quality management). 	<p>The integrated management system consultant should demonstrate a proved and sector-specific experience:</p> <ul style="list-style-type: none"> — EQF level 6, 7: minimum 5 years of specific experience in environment management; — EQF level 5: minimum 7 years (of which 5 in environment management). 	<p>The integrated management system consultant should demonstrate a proved and sector-specific experience:</p> <ul style="list-style-type: none"> — EQF level 6, 7: minimum 5 years of specific experience in safety management; — EQF level 5: minimum 7 years (of which 5 in safety management).
	<p>The specific work experience should include:</p> <ul style="list-style-type: none"> — participating in designing and implementing 4 different business Quality management systems (2 of them should be certificated) according to EN ISO 9001 or other relevant standard; or, — managing, as person in charge, 3 different organisations quality management systems or, — managing, as person in charge, the quality management system of a large or medium sized enterprise, which have 3 different suppliers, regularly evaluated and supervised, in the last two years. 	<p>The specific work experience should include:</p> <ul style="list-style-type: none"> — participating in designing and implementing 4 different business environmental management systems (2 of them should be certificated) according to EN ISO 14001 and/or EMAS; or, — managing, as person in charge, the environmental management system of a large or medium sized enterprise, in the last two years. 	<p>The specific work experience should include:</p> <ul style="list-style-type: none"> — participating in designing and implementing 4 different business safety management systems (2 of them should be certificated) according to OHSAS 18001, or, — managing, as person in charge, the SMSs of a large or medium sized enterprise, in the last two years.

	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
SELECTION	<p>According to the requirements described above, the selection of the competent integrated management system consultant may be carried out by SME.</p> <p>NOTE In the same way a third-party independent Certification body of personnel (operating in conformity with EN ISO/IEC 17024 and under the national accreditation) may certify the competence of an integrated management system consultant. In this case the integrated management consultant should ensure also a proven continued professional development.</p>		

Annex A (informative)

Ethical behaviour

To be ethical an integrated management system the consultant should:

- avoid or declare any conflict of interest that affects the work to be carried out;
- maintain the confidentiality of information provided by or acquired from the organization;
- maintain independence from management system certification/registration or accreditation bodies;
- maintain impartiality in the organization's selection of certification/registration bodies;
- provide realistic cost estimates for the consulting services rendered;
- not create unnecessary dependence on his/her services;
- not offer services where integrated management system consultant does not have the necessary competence;
- avoid any kind of activities that can adversely affect the image and/or the interest of persons, organizations, companies, and clients (even potential) which are interested in the professional services, and the personnel certification body;
- fulfil the professional commitments taken on regarding the engagement letter;
- not run promotion campaign (advertising, leaflet, and so on) which can bring the clients to misunderstand the right scope of the certification, and, moreover, to create false expectation;
- inform the clients of contents of the items listed above.

Annex B (informative)

List of registered participants

Anna MORENO - Chairperson
ENEA – Ente per le Nuove tecnologie, l'Energia e l'Ambiente
Head of the ENEA Information and Training Service
Via Anguillarese, 301
I - 00123 S. Maria di Galeria, Rome, Italy

Rosa Anna FAVORITO - Vice – Chairperson
CEPAS - Organismo di Certificazione delle Professionalità e della Formazione
Director
Viale di Val Fiorita, 90
I - 00144 Rome, Italy

Caterina M. BERBENNI-REHM
Chief Executive Officer
FUTUREtec GmbH
Hauptstrasse 188
D - 51465 Bergisch Gladbach, Germany

Angelika BRAUN
Kooperationsstelle Hamburg
Researcher
Besenbinderhof 60,
D -20097 Hamburg, Germany

Giancarlo COLFERAI
Chair IPC
IPC - International Personnel Certification Association
Korytsas 43 Ag. Dimitrios,
GR-173 42 Athen, Greece

Ian DALLING
Unified Management Solutions
Ash House, 6 Meadway, Skelmersdale,
UK - WN8 6QN Lancashire, UK

Ilse ENNSFELLNER
ENNSFELLNER CONSULTING
ICMCI - The International Council of Management Consulting Institutes
Vice Chair ICMCI
Schlosspark 2/1
A - 2120 Wolkersdorf, Austria

Natalia GIL LOPEZ
CNA - Confederazione Nazionale dell'Artigianato e della piccola e media impresa
Person in charge innovation and quality
Via G. A. Guattani, 13
I - 00162 Rome, Italy

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Alain GOARANT
AGMS - Alain Goarant Maintenance et Sécurité
Head Manager
3, rue du centre
F - 21130 Athee, France

Anni KOUBEK (Project Coordinator)
EOQ - European Organisation for Quality
3, rue du Luxembourg
B -100 Brussels, Belgium

Nikos PRITSOS
Consultant
17th Ch. Smirnis street,
GR - 15127 Athens, Greece

Stephen SINGER
INFRALOGICS Business Processes Consultancy
4 Bleasdale Close, Bury
UK - BL9 8EW Lancashire, UK

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