

**CEN/WS 41**

Date: 2010-07

**TC CEN/WS 41 WI .3**

CEN/WS 41

Secretariat: UNI

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

ICS:

Descriptors:

Document type: CWA  
Document subtype:  
Document stage: Working Document  
Document language: E

C:\Users\elena.mocchio\Documents\Direzione\_RE\_S&\CEN\_WS\_41\PROGETTI\CEN\_WS41\_Draft\_CWA\_2010-07-05.doc STD Version 2.3

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## Foreword

This document is a working document.

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

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

## Introduction

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

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 one-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) it may be difficult to locate a competent consultant capable of:
  - understanding the organisation's structures and dynamics;
  - developing and implementing a fully integrated process based management system that addresses the totality of the organisation, including quality, environmental, health and safety performance;
- c) consultant fees may be perceived as unaffordable.

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

- a) to guide competence development programmes for current and future integrated management system consultants;
- b) to provide guidance for those seeking or engaging the services of an integrated management system consultant;
- c) so that consultants eventually could be certified by a third party, in order that enterprises can trust them when procuring their services.

To support the trading principles of the European Community there are advantages if guidance criteria are coordinated at European level:

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

The skills requirements for these consultants should be based on a basic awareness in the different fields of quality, environment and health and safety.

The competence and suitability of 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.

## 1 Scope

This document provides guidance and evaluation criteria for selecting internal and external consultants to assist SMEs in:

- a) designing, implementing, maintaining and improving an integrated management system;
- b) giving information and advice on an integrated management system based on the possible different combination of quality, environment, health and safety management systems.

NOTE The evaluation criteria are based on the International Standard 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.

EN ISO 9001:2008, *Quality management systems – Requirements (ISO 9001:2008)*

EN ISO/IEC 17025:2005, *General requirements for the competence of testing and calibration laboratories*

EN ISO 14001:2004, *Environmental management systems - Requirements with guidance for use (ISO 14001:2004)*

BS OHSS 18001:2007, *Occupational health and safety management systems. Requirements*

Regulation (EC) No 1221/2009 of the European parliament and of the council of 25 November 2009 on the voluntary participation by organisations in a Community eco-management and audit scheme (EMAS), repealing Regulation (EC) No 761/2001 and Commission Decisions 2001/681/EC and 2006/193/EC

## 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 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

**3.2 integrated management system consultant**  
person who assists the organization on integrated quality, environment, safety management system realization, giving advice or information

NOTE Adapted from ISO 10019:2005

**3.3 competence**  
demonstrated personal attributes and demonstrated ability to apply knowledge and skills

[EN ISO 19011:2002, clause 3.14]

### **3.4**

#### **small and medium-sized enterprise (SME)**

enterprises 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]

### **3.5**

#### **small enterprise**

enterprises 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]

### **3.6**

#### **microenterprise**

enterprises 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.

The minimum requirements for the selection of an integrated management system consultant are described in the following table.

**Table 1 — Minimum requirements for the selection of an integrated managements system consultant**

REQUIREMENTS	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
<p><b>PROFILE</b> <b>Common Area</b></p>	<p>The consultant assists the organization during the realization of the integrated management system by giving advices, information or direct assistance.</p>		
<p><b>EDUCATION</b> <b>Common Area</b></p>	<p>The integrated management system consultant shall hold a secondary school diploma, or equivalent.</p>		



REQUIREMENTS	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
<p><b>PERSONAL ATTRIBUTES</b></p> <p><b>Common Area</b></p> <p>(continued)</p>	<p>The integrated management system consultant should be (related to ISO 10019):</p> <ul style="list-style-type: none"> <li>— ethical: respectful of the code of conduct;</li> <li>— observant: constantly and actively aware of organizational culture and values, physical surroundings and activities;</li> <li>— perceptive: aware of and able to understand the need for change and improvement;</li> <li>— versatile: able to adapt to different situations and provide alternative and creative solutions;</li> <li>— tenacious: persistent, focused on achieving objectives;</li> <li>— decisive: capable of reaching timely conclusions based on logical reasoning and analysis;</li> <li>— self reliant: able to act and function independently while interacting effectively with others;</li> <li>— communicative: able to listen to, and effectively interface with, all levels of an organization, confidently and with sensitivity to its culture;</li> <li>— practical: realistic and flexible with good time management;</li> <li>— accountable: able to take responsibility for his/her own actions;</li> <li>— facilitative: able to assist an organization’s management and employees through the quality management system realization.</li> </ul> <p>And in addition the consultant should be:</p> <ul style="list-style-type: none"> <li>— personable (able to strike a comfortable working relationship with the relevant client contacts and collaborators);</li> <li>— SME-orientated (aware of the concerns and operations of smaller organisations, and able to communicate effectively at the level of SMEs);</li> <li>— value-focused (aware of the need to identify and contribute benefits to the organisation, over and above mere compliance with requirements);</li> <li>— 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).</li> </ul>		

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

REQUIREMENTS	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
<p><b>KNOWLEDGE AND SKILL SPECIFIC</b> (continued)</p>	<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"> <li>— planning and management system;</li> <li>— business economics;</li> <li>— management information system;</li> <li>— interpersonal and interfunctional skills;</li> <li>— market analysis and research;</li> <li>— human resources management.</li> </ul>	<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"> <li>— planning and management system;</li> <li>— business economics;</li> <li>— management information system;</li> <li>— interpersonal and interfunctional skills;</li> <li>— market analysis and research;</li> <li>— human resources management.</li> </ul>	<p>The integrated management system consultant should also have good knowledge of relevant management practices to understand how the 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"> <li>— planning and management system;</li> <li>— business economics;</li> <li>— management information system;</li> <li>— interpersonal and interfunctional skills;</li> <li>— market analysis and research;</li> <li>— human resources management.</li> </ul>
<p><b>SPECIFIC TRAINING</b> <b>on management system</b></p>	<p>The integrated management system consultant, prior to starting the consulting activity, should obtain management system training. He/she should also prove his/her professional updating by attending training activities focused in one of the three different areas (quality, environment, health and safety), such as study days, seminars, courses or for actively taking part in standardization working groups and the like, with an average attendance of 8 hours per year in the last three years.</p>		

REQUIREMENTS	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
<p style="text-align: center;"><b>CONSULTANT</b></p> <p style="text-align: center;"><b>Specific</b></p> <p style="text-align: center;"><b>Work experience</b></p>	<p>The integrated management system consultant should demonstrate a proved and specific work experience:</p> <ul style="list-style-type: none"> <li>— bachelor and master degree: minimum 2 years of specific experience in quality management;</li> <li>— secondary school diploma: minimum 4 years (of which 2 in quality management).</li> </ul>	<p>The integrated management system consultant should demonstrate a proved and specific work experience:</p> <ul style="list-style-type: none"> <li>— bachelor and master degree: minimum 2 years of specific experience in environment management;</li> <li>— secondary school diploma: minimum 4 years (of which 2 in environment management).</li> </ul>	<p>The integrated management system consultant should demonstrate a proved and specific work experience:</p> <ul style="list-style-type: none"> <li>— bachelor and master degree: minimum 2 years of specific experience in safety management;</li> <li>— secondary school diploma: minimum 4 years (of which 2 in safety management).</li> </ul>
	<p>The specific work experience shall include:</p> <ul style="list-style-type: none"> <li>— participating in designing and implementing 2 different business quality management systems (1 of them should be certificated) according to EN ISO 9001 or other relevant standard; or,</li> <li>— managing, as person in charge, 1 business quality management system; or,</li> <li>— managing, as person in charge, the quality management system of large or medium sized enterprises, which have 3 different suppliers, regularly evaluated and supervised.</li> </ul>	<p>The specific work experience shall include:</p> <ul style="list-style-type: none"> <li>— participating in designing and implementing 2 different business environmental management systems (1 of them should be certificated) according to EN ISO 14001 and/or EMAS; or,</li> <li>— managing, as person in charge, the environmental management system of large or medium sized enterprises, in the last two years.</li> </ul>	<p>The specific work experience shall include:</p> <ul style="list-style-type: none"> <li>— participating in designing and implementing 2 different business safety management systems (1 of them should be certificated) according to BS OHSAS 18001, or,</li> <li>— managing, as person in charge, the safety management system of large or medium sized enterprises, in the last two years.</li> </ul>

REQUIREMENTS	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
<p><b>SENIOR CONSULTANT</b></p> <p><b>Specific Work experience</b></p>	<p>The integrated management system consultant should demonstrate a proved and sector-specific experience:</p> <ul style="list-style-type: none"> <li>— bachelor and master degree: minimum 5 years of specific experience in quality management;</li> <li>— secondary school diploma: minimum 7 years (of which 5 in quality management).</li> </ul>	<p>The integrated management system consultant should demonstrate a proved and sector-specific experience:</p> <ul style="list-style-type: none"> <li>— bachelor and master degree: minimum 5 years of specific experience in environment management;</li> <li>— secondary school diploma: minimum 7 years (of which 5 in environment management).</li> </ul>	<p>The integrated management system consultant should demonstrate a proved and sector-specific experience:</p> <ul style="list-style-type: none"> <li>— bachelor and master degree: minimum 5 years of specific experience in safety management;</li> <li>— secondary school diploma: minimum 7 years (of which 5 in safety management).</li> </ul>
	<p>The specific work experience shall include:</p> <ul style="list-style-type: none"> <li>— 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,</li> <li>— managing, as person in charge, 3 different business quality management systems; or,</li> <li>— 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.</li> </ul>	<p>The specific work experience shall include:</p> <ul style="list-style-type: none"> <li>— 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,</li> <li>— managing, as person in charge, the environmental management system of a large or medium sized enterprise, in the last three years.</li> </ul>	<p>The specific work experience shall include:</p> <ul style="list-style-type: none"> <li>— participating in designing and implementing 4 different business safety management systems (2 of them should be certificated) according to BS OHSAS 18001, or,</li> <li>— managing, as person in charge, the SMSs of a large or medium sized enterprise, in the last three years.</li> </ul>

REQUIREMENTS	QUALITY	ENVIRONMENT	HEALTH AND SAFETY
<p><b>SELECTION</b></p>	<p>According to the requirements described above, the selection of the competent consultant may be carried out by SME. 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) could certify the competence of an integrated management systems consultant.</p> <p>The integrated management system consultant should sign the code of professional conduct that is in the Annex A.</p> <p>In case of certified consultants, to maintain their certification, should comply the requirements of Annex B.</p>		

## Annex A

### Code of professional conduct

The integrated management system consultant already certified (or in the way to be certified) shall sign the code of professional conduct and therefore undertake to:

- inform the clients of contents of the professional code of conduct;
- 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 quality 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 their services;
- not offer services where 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;
- register the complaints against them for the activities performed during the period of the certification and allow a certification body to examine the registrations;
- 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.

## Annex B Maintenance – Check - Recertification

The integrated management system consultant certified should maintain, check and recertification according the following requirements:

### MAINTENANCE

The consultant shall maintain and improve competence through means such as

- c) continual work experience in relevant consultancy and
- d) continual professional development including training, continuing education, self study, coaching, attending professional meetings, seminars and conferences, attending standardization working groups or other relevant activities.

The consultant shall demonstrate a minimum of 3 days' CPD per year.

In order to maintain his/her certification, the integrated management system consultant shall demonstrate, also:

- Respect of Ethic Code, every year.

### CHECK

The integrated management system consultant shall undergo periodical checks (made by the accredited certification body) in order to guarantee their adherence to the requirements of maintenance and recertification.

### RECERTIFICATION

After 3 years certification expires and consultant can decide to maintain his/her certification or not.



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