



Exemplar
Global

Certification Requirements

Competency-based

Quality Management Systems

(QMS) Certification Program

Exemplar Global is accredited by the Joint Accreditation System of Australia and New Zealand (JAS-ANZ) as meeting the requirements of the International Standard for Personnel Certification Bodies, ISO/IEC 17024:2012 ‘General requirements for bodies operating the certification of persons.’



This program is covered under Exemplar Global’s scope of accreditation with JAS-ANZ.

Disclaimer

While every effort is made to ensure that the process for evaluating applications for certification is effective, Exemplar Global, Inc. does not accept liability for the performance, conduct, or services provided by the certified person or organization.

Copyright © 2017 Exemplar Global, Inc.

This certification program and associated intellectual property is subject to Exemplar Global, Inc. Copyright®. Apart from any fair dealing for the purposes of application, review or reference, as permitted under the Australian and United States of America Copyright Acts, no part of this program may be reproduced by any process without the written permission of the Chief Executive Officer of Exemplar Global, Inc.

Table of Contents

Introduction	pg.4
Grades of Certification.....	pg.5
Scopes of Certification	pg.6
Knowledge Requirements.....	pg.8
Qualification Requirements	pg.9
Work Style Assessment for Auditors	pg.10
Examination of Skill	pg.11
Surveillance	pg.12
Recertification	pg.13
Expansion	pg.14
Transition Requirements for Certified Auditors.....	pg.15

Introduction

The **Competency-Based (CB) Quality Management System (QMS) Auditor Certification Program** has been developed by Exemplar Global in liaison with industry representatives.

The program provides international recognition for auditors who conduct quality management system audits using national or international management system standards, or other management system standards and normative and industry references that are recognized by Exemplar Global.

Confidence and reliance in the audit process depends on the competence of personnel conducting the audit.

This personnel certification program has been developed to meet the following key objectives:

- To achieve the requirements of the International Standard for personnel certification ISO/IEC 17024:2012;
- To ensure that auditors meet or exceed the qualification guidelines for management system auditors described in ISO 19011:2011, ISO 9001:2015, or any other approved standards. To be assessed as competent to perform environmental management system audits;
- To assist organizations in selecting competent auditors; and
- To enhance the professional recognition of qualified auditors.

Auditors who wish to become certified by Exemplar Global should review this document and the [Personnel Certification Guide](#) to better understand the certification requirements prior to applying for certification.

If you have any remaining questions regarding personnel certification, please contact an examiner in your region's principal office. Exemplar Global principal offices are located in:

Milwaukee, USA	Seoul, South Korea	Sydney, Australia
600 N Plankinton Ave Milwaukee, WI 53201-0602 USA +1-888-722-2440; or +1-414-272-3937 Fax +1-414-765-8661	Exemplar Global Co., Ltd. Room 610 Lotter IT Castle 1 #550-1 Gasan-Dong, Geumcheon-Gu, Seoul, South Korea Post code 153-768 +82-2-855-7017	South Wing Level 1, Building BR Werrington Corporate Centre, Werrington NSW 2747, Australia Mailing address: Building BR, Locked Bag 1797, Penrith BC NSW 2751, Australia 1-800-549-2440 +61-2-4728-4600

Grades of Certification

There are five grades of QMS Auditor certification:

- Provisional QMS Auditor
- QMS Auditor
- Principal QMS Auditor
- Lead QMS Auditor
- Business Improvement QMS Auditor

The Provisional Auditor grade recognizes that an applicant has demonstrated the knowledge-based auditing competence required, but has not yet demonstrated the ability to conduct QMS audits.

The Auditor grade recognizes that an applicant has demonstrated the competencies to conduct a QMS audit and perform as a member of an audit team.

The Principal Auditor grade recognizes that an applicant has demonstrated the competencies to conduct a QMS audit and perform either alone or as a member of an audit team.

The Lead Auditor grade recognizes that an applicant has demonstrated the competencies to conduct a QMS audit and can lead an audit team.

The Business Improvement Auditor grade recognizes that an applicant has demonstrated Lead Auditor competence and has knowledge of the application and benefits of business improvement and risk management tools.

Scopes of Certification

There are twelve scopes under competency-based QMS Auditor certification. These scopes are in addition to the certification requirements shown within this document.

Applicants must demonstrate the requirements defined for each scope. It is possible for an applicant to be

SCOPE	KNOWLEDGE	WORK EXPERIENCE	AUDITING EXPERIENCE
ISO 9001:2008 Audit**	NA	NA	16 audit days using ISO 9001:2008 as the referenced standard.
ISO 9001:2015 Audit*	NA	NA	16 audit days using ISO 9001:2015 as the referenced standard.
ISO/IEC 17025:2005 Assessment*	ISO/IEC 17025:2005 Training	NA	Ten audit days using ISO/IEC 17025:2005 as the referenced standard.
ISO/IEC 17025:2017 Assessment*	ISO/IEC 17025:2017 Transition Training	NA	NA
ISO 13485:2003 Audit */***	ISO 13485:2003 Training / Exemplar Global-MD	At least two years medical device experience at a finished goods manufacturing location, a subcontractor or supplier of medical devices services, and/or repair/service of medical devices.	Ten audit days using ISO 13485:2003 as the referenced standard.
ISO 13485:2016 Audit */***	ISO 13485:2016 Training / Exemplar Global-MD	At least two years medical device experience at a finished goods manufacturing location, a subcontractor or supplier of medical devices services, and/or repair/service of medical devices.	Ten audit days using ISO 13485:2016 as the referenced standard.

*Scope is not included in Exemplar Global's scope of accreditation.

**Scope will be replaced with the ISO 9001:2015 Audit scope after 1-September-2018. Auditors currently holding the ISO 9001:2008 Audit scope must complete transition requirements found on [page 15](#).

***Scope will be replaced with the ISO 13485:2016 Audit scope after 1-March-2019. Auditors currently holding the ISO 13485:2003 Audit scope must complete transition requirements found on [page 15](#).

Scopes of Certification

SCOPE	KNOWLEDGE	WORK EXPERIENCE	AUDITING EXPERIENCE
Anti-Bribery - ISO 37001 *	ISO 37001(AB) training certificate	At least two years Anti-Bribery industry experience	16 audit days in total with 2 audit days against ISO37001 and 14 audit days against ISO 9001)
IAF Code 12: Chemicals, chemical products and fibers *	IAF Code 12 Course via Exemplar Global College	NA	NA
IAF Code 14: Rubber and plastic products *	IAF Code 14 Course via Exemplar Global College	NA	NA
IAF Code 17: Basic metals and fabricated metal products *	IAF Code 17 Course via Exemplar Global College	NA	NA
IAF Code 18: Machinery and equipment *	IAF Code 18 Course via Exemplar Global College	NA	NA
IAF Code 19: Electrical and optical equipment QMS *	IAF Code 19 Course via Exemplar Global College	NA	NA
IAF Code 28: Construction *	IAF Code 28 Course via Exemplar Global College	NA	NA
IAF Code 29.1: Wholesale and retail trade *	IAF Code 29.1 Course via Exemplar Global College	NA	NA

**Scope is not included in Exemplar Global's scope of accreditation.*

Knowledge Requirements

Applicants for each grade of QMS Auditor certification (except the Provisional Auditor grade) must provide evidence of knowledge competency defined in the following TPECS competency units:

All QMS Grades:

Management System Auditing (Exemplar Global-AU)
Auditing Quality Management Systems (Exemplar Global-QM*)

In addition to the competency units listed above, evidence of knowledge competency defined in the following TPECS competency units are also required for Lead and Business Improvement grades:

Lead QMS Auditor:

Leading Management System Audit Teams (Exemplar Global-TL)

Business Improvement QMS Auditor:

Leading Management System Audit Teams (Exemplar Global-TL)
Advising on Organizational Improvement and Risk Management (Exemplar Global-OI)
(A *Diploma in Business Administration* can be submitted or the Exemplar Global-OI matrix can be filled out for this competency unit).

EVIDENCE OF KNOWLEDGE-BASED COMPETENCY

All QMS Auditor Grades:

A certificate/s of attainment for the above competency units from a certified TPECS or TCC training provider issued within the three years prior to application will be required.

Applicants whose certificate is older than three years will be required to complete an e-based knowledge examination/s to demonstrate current knowledge.

Refer to the [Personnel Certification Guide](#) for details on knowledge examinations, TPECS, and TCC training providers and other certified training courses recognized by Exemplar Global. A register of certified training providers is available at www.exemplarglobal.org.

*Applicants who obtained a certificate of attainment for the Exemplar Global-QM competency unit to the ISO 9001:2008 standard or an ISO 9001:2008 QMS Auditor or Lead Auditor course must also successfully complete the Exemplar Global College ISO 9001:2015 Transition Assessment, or equivalent by September 1 2018. Please refer to the transition section of this document for details.

Qualification Requirements

Applicants for QMS Auditor certification (except the Provisional Auditor grade) must provide evidence of qualifications defined by Exemplar Global in the following categories:

EVIDENCE OF EDUCATION:

Applicants must have completed tertiary education or national equivalent. Examples include a university degree, college diploma, and advanced certificate (Australian Certificate IV).

EVIDENCE OF WORK EXPERIENCE:

Applicants must provide evidence of at least two years work experience obtained in the four years prior to application in a technical or managerial position with direct quality management responsibilities.

Evidence of work experience must be verifiable and include:

- Employer (including contact details);
- Dates of employment; and
- Roles, responsibilities (job description) and achievements.

ACCEPTABLE FORMS OF EVIDENCE:

Acceptable evidence of education and work experience will be in the form of a copy of the applicant's educational certificate and/or degree and a work resume or curriculum vitae. This documentation is submitted with the application.

Work Style Assessment for Auditors

All applicants—except the Provisional Auditor grade—are required to complete the Work Style Assessment self-coaching tool as part of the certification process.

The Work Style Assessment is a sophisticated career and self-coaching development tool that empowers auditors through self-awareness. The assessment provides insight into your individual strengths as an auditor, coaching and managing considerations that benefit your auditing career, and areas to consider for professional development.

[Click here](#) for more information about the Work Style Assessment.

The Work Style Assessment provides evidence that you possess the appropriate work values, style, and attitude attributes related to those defined in ISO 19011:2011 “Guidelines for auditing management systems.” These include:

- The degree to which you are competitive and take charge
- The degree to which you are focused on achieving challenging goals
- The degree to which you are calm and even tempered
- The degree to which you desire and are comfortable with social interaction
- The degree to which you are sensitive to the feelings of others and are empathetic
- The degree to which you are detail focused, organized, and methodical
- The degree to which you are curious, imaginative, and open to new ideas

Details on how to complete the Work Style Assessment will be provided to you when Exemplar Global receives your application.

You can take the Work Style Assessment online on your computer or smartphone.

The assessment takes approximately 15 minutes to complete, however there is no time limit.

You will be asked to answer a series of questions based on your first impression. There are no right or wrong answers and there is no pass or fail. It’s all about understanding yourself better.

Responses are automatically processed by our partner and a PDF report will be emailed to you within one hour of completing the survey.

If you have completed the Work Style Assessment within the four years prior to application, further assessment is not required. Applicants are required to include the details of the previous assessment on their application form.

Examination of Skill

Applicants for QMS Auditor certification (except the Provisional Auditor grade) must provide evidence of the skill competency defined by Exemplar Global. Competency is to be demonstrated under auditing (on site) conditions during a conformity audit. The skill examination must be conducted by a certified QMS skill examiner.

THE FOLLOWING COMPETENCIES ARE REQUIRED TO BE DEMONSTRATED:

All Auditor Grades:

- Implement an audit;
- Maintain communication during audit;
- Collect and verify information;
- Conduct interviews;
- Generate audit findings; and
- Prepare audit conclusions.

Principal Auditor:

(Important: To obtain Principal Auditor grade, the applicant must perform as a solo auditor or the leader of a team during the skill examination).

- Conduct the closing meeting.

Lead or Business Improvement Auditor:

(Important: To obtain Lead or Business Improvement Auditor grade, the applicant must perform as the leader of a team during the skill examination).

- Conduct the closing meeting;
- Represent the audit team with audit client and auditee;
- Organize and direct audit team members;
- Provide direction and guidance to team members;
- Lead the audit team to reach audit conclusions; and
- Prevent and resolve conflicts.

It is the responsibility of each applicant to arrange for a skill examination. A register of certified skill examiners is available at www.exemplarglobal.org.

The skill examiner submits the completed [Skill Examination Report](#) to Exemplar Global within five days of completing the skill examination.

Surveillance

To maintain certification all certified auditors are required to demonstrate continuing compliance with the current certification requirements. Exemplar Global will provide electronic reminders with an invoice for the annual installment of your certification fee.

Every two years from the date of initial certification or each recertification, auditors must provide:

All QMS Auditor Grades:

- Evidence of current knowledge-based competency through successful completion of the relevant e-based surveillance examination for the grade of certification; and
- Confirmation that the [Code of Conduct](#) has been adhered to and any complaints against performance have been resolved.

Recertification

To maintain certification all certified auditors are required to demonstrate continuing compliance with the current certification requirements. Exemplar Global will provide electronic reminders with an invoice for the annual installment of your certification fee.

Every four years from the date of initial certification or each re-certification, auditors must provide:

- Evidence of a completed skill examination by a certified QMS skill examiner;
- Evidence of evaluation of personal attributes by the completion of the Work Style Assessment for Auditors within the previous four years; and
- Confirmation that the [Code of Conduct](#) has been adhered to and any complaints against performance have been resolved.

Expansion

Certified auditors can apply to expand their grade and/or scope of certification at any time. To apply for an expansion of certification, auditors are required to:

- Complete the online expansion application available through your online portal, accessible through the Exemplar Global website at www.exemplarglobal.org
- Submit the expansion fee as part of the online application process; and
- Provide evidence of the requirements for the grade and/or scope sought, as defined in the certification requirements.

Where an auditor is applying for more than one additional scope in the same application, only one expansion fee is required.

For complete details of fees, refer to the Exemplar Global fee calculator on the Exemplar Global website at www.exemplarglobal.org.

Transition Requirements for Certified QMS Auditors

To maintain certification all certified auditors must demonstrate transition adequacy to the ISO 9001:2015 standard. All transition requirements must be met within the defined deadlines. Auditors who do not meet the requirements may experience a lapse in certification.

Knowledge Requirements

All certified QMS auditors must submit evidence of successful completion of the Exemplar Global College ISO 9001:2015 Transition Assessment or IAAR/PECB ISO 9001:2015 Transition Offering and Assessment by September 1 2018.

Alternately, certified auditors can submit evidence of successful completion of ISO 9001:2015 transition training where completed with an accredited certification body by the deadline of September 1 2018.

Exemplar Global will accept a certificate of completion or a copy of training transcripts as evidence of meeting the knowledge requirements.

Scope Requirements:

All auditors currently holding the ISO 9001:2008 Audit scope, will be transitioned to the ISO 9001:2015 Audit scope, upon providing evidence of meeting the transition knowledge requirements. However, to maintain the scope, evidence of 16 audit days using ISO 9001:2015 as the reference standard must be submitted to Exemplar Global by September 1 2018.

Auditors who do not submit the required audit days will have the scope removed from their certification and must apply for the scope by completing an expansion application. See the expansion section for details.

Audit experience must be recorded on the Exemplar Global [Audit Log](#), also available at <http://exemplarglobal.org/myexemplar/>, in the documents section.

For more information regarding the transition requirements, please contact an Exemplar Global scheme examiner in your region's principal office, or submit an email inquiry to info@exemplarglobal.org.