



Exemplar
Global

Certification Requirements

Competency-based

Information Security

Management Systems (ISMS)

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.*'

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Introduction

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

The program provides international recognition for auditors who conduct information security management system audits using the ISO 27001:2013 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 competencies defined by Exemplar Global, using ISO 19011:2011 and ISO 27001:2013 as guidance;
- To assist industries in selecting competent ISMS 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:

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Grades of Certification

There are five grades of ISMS Auditor certification:

- Provisional ISMS Auditor
- ISMS Auditor
- Principal ISMS Auditor
- Lead ISMS Auditor
- Business Improvement ISMS 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 ISMS audits.

The Auditor grade recognizes that an applicant has demonstrated the competencies to conduct a ISMS 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 ISMS 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 ISMS 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 is only one scope under competency-based ISMS Auditor certification. This scope is in addition to the certification requirements shown within this document.

Applicants applying for this scope must provide evidence with their application

Scopes do not apply to the Provisional Auditor grade.

SCOPE	KNOWLEDGE	WORK EXPERIENCE	AUDITING EXPERIENCE
ISO 27003:2013 Audit	NA	NA	16 audit days using ISO 27001:2013 as the referenced standard.

Knowledge Requirements

Applicants for each grade of ISMS Auditor certification must provide evidence of knowledge competency defined in the following TPECS competency units:

All ISMS Grades:

Management System Auditing (Exemplar Global-AU)

Information Security Management Systems (Exemplar Global-IS)

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 ISMS Auditor:

Leading Management System Audit Teams (Exemplar Global-TL)

Business Improvement ISMS 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 ISMS 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 need to contact a training provider and have them complete recognized prior learning or another certificate of attainment.

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.

Qualification Requirements

Applicants for ISMS 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 ISMS 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 ISMS 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 ISMS 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 ISMS 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 ISMS 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 ISMS 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.