

Personnel Certification Guide

For Management Systems Auditor

Certification



Introduction

This guide has been developed to help you to become certified with Exemplar Global and provides the information necessary to achieve Exemplar Global personnel certification.

The Management System auditor certification programs have been developed by Exemplar Global in liaison with industry representatives. The programs provide international recognition for auditors who conduct 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.

To begin your certification journey:

1. If you haven't done so already, create an account on Exemplar Global's online portal. Please do not create multiple accounts.
2. Review the scheme and grade requirements for the certification you desire.
3. Collect any documentation or evidence required.
4. Log into your [online portal](#) to submit your application, pay any required application fees, and submit all required documentation.

A Certification Service Specialist will review your submitted application and contact you directly regarding your application, including any additional steps that are required, such as taking a knowledge exam or submitting additional evidence.

Understanding Certification Programs

Available certification programs

Exemplar Global offers a complement of ISO standard-based management system certifications in the following areas:

- Quality
- Environment
- Safety
- Medical Devices
- Energy
- Anti-Bribery
- Food
- Water Quality
- Business Continuity
- HACCP
- Information Security
- Information Technology

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Exemplar Global also provides certifications that are based on governmental or other organizations' requirements.

Understanding Grades and Scopes

Grades of certification

A grade is a specific level within a personnel certification program that best describes the job role for that certification program. Exemplar Global's management system auditor certification grades are shown below:

Grade	Designed For	Training	Personal Attributes
Auditor	Auditors who audit solo or as a member of an audit team.	Exemplar Global Management Systems Auditor course (TPECS or RTP). Training must be completed in the discipline of the program in which you wish to be certified (e.g., Quality Auditor training for QMS certification).	Auditor Work Style Assessment
Lead Auditor	Auditors who lead audits and audit teams.	Exemplar Global Quality Management Systems Lead Auditor course (TPECS or RTP). Training must be completed in the discipline of the program in which you wish to be certified (e.g., Quality Lead Auditor training for QMS lead auditor certification).	Lead Auditor Work Style Assessment
Master Auditor	Experienced auditors with at least twelve years of lead auditor experience.	Exemplar Global Quality Management Systems Lead Auditor course (TPECS or RTP). Training must be completed in the discipline of the program in which you wish to be certified, i.e. Quality Training for QMS certification.* Plus 12 years of continuous certification as a lead auditor.	Lead Auditor Work Style Assessment

TPECS: Training Provider Examination Certification Scheme (certification of training examinations)

RTP: Recognized Training Provider program (certification of courses)

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Scopes of certification

A scope provides recognition that the applicant has experience within a specific industry. Applicants can choose to add as many scopes to their certification as they need or wish. Should a certified individual wish to add a scope to their current certification, they may submit an expansion application. Likewise, scopes can be removed from a current certification at any time.

Scopes of certification can be obtained by demonstrating relevant training OR 10 days audit experience within the relevant area.

This excludes Food Safety Auditors who are required to demonstrate the experience outlined in the Exemplar Global certification scope guide.

Understanding Training Requirements

All applicants are required to demonstrate knowledge specific to each certification scheme, grade, and scope. Predominately, this is demonstrated by obtaining a TPECS or RTP certificate in the relevant discipline from an Exemplar Global certified or recognized training provider; however, alternative training options exist.

- If a training certificate is older than ten years from the date of application, further examination may be required (see knowledge examinations).
- Transition training and/or assessment may be required where standards are significantly revised.

A register of Exemplar Global Training Providers can be found at the [Exemplar Global Search Register](#)

Knowledge examinations

- Exemplar Global examinations are administered directly by Exemplar Global via an online exam portal. Login details will be provided on application where required.
- Fees may apply to initial examinations and retakes of knowledge examinations.

Examination results

Knowledge examinations for all personnel certification programs are pass/fail (criterion-referenced) examinations, meaning that examinees must meet a specific passing score (performance benchmark) to pass the exam. For Exemplar Global examinations, the passing score required will be stated in your exam confirmation letter or at the time of completion.

Retaking knowledge examinations

Exemplar Global examinations may be retaken until the required passing score is met. Retake fees apply for all Exemplar Global examinations.

Requesting examination accommodations

Examinees who require medical, disability, language, or religious-related accommodations may request examination accommodations by emailing the request to their certification service specialist prior to taking their examination.

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Alternative certificates and courses accepted by Exemplar Global

In addition to the TPECS or RTP training certificates issued by Exemplar Global certified training providers, certificates from training providers certified by other bodies may be accepted as evidence of meeting knowledge requirements.

Understanding the Work Style Assessment

All applicants are required to complete the Work Style Assessment self-coaching tool as part of the certification and recertification 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. The Work Style Assessment provides evidence that you possess the appropriate work values, style, and attitude attributes related to those defined in ISO 19011. 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

Additional information

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 mobile device.

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, 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 three years prior to application, further assessment is not required.

Understanding Recertification

Certified individuals are required to demonstrate continuing compliance by meeting the continuous certification requirements. At times, additional requirements may be instituted if there have been major changes to a certification program's requirements due to changes in the

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industry. These requirements are interim requirements and may not be required on subsequent years.

All auditors are eligible to move up to a higher grader of certification at no charge upon recertification. Higher certification fees may apply. Contact your certification service specialist for assistance.

For the aforementioned programs, the following requirements apply

- Continuing professional development (CPD) hours
 - ✓ 30 hours **per year** of verified professional development is required
 - ✓ All CPD hours must be submitted
 - ✓ All information must be verified using employer verification, certificates, attendance records, etc.
- Evidence of the completion of the Work Style Assessment for Auditors within the previous three years

Understanding Continuing Professional Development

For many certification programs, the recertification requirements include submitting evidence of continuing professional development via Exemplar Global's Continuing Professional Development log, available at the Exemplar Global website.

Individuals should consider their personal strengths and weaknesses when selecting the appropriate professional development to undertake in between recertification periods. Unless the certification program requires specific professional development as part of the recertification requirements, professional development activities should relate to the field of work undertaken by the certified individual.

The continuing professional development log must show the duration and type of activities undertaken and details of the provider. The log must be signed, validated, and/or verifiable evidence of the completed activity must be included with the log. The following are examples of acceptable professional development activities:

- Attendance at conferences, seminars, workshops, webinars, or forums
- Full time, part time, or contract employment
- Instructor courses—teaching or leading courses toward the current certification obtained
- Attendance of student courses—any course(s) completed towards the current certification obtained
- Audit experience

Additional details are provided in the Continuing Professional Development log.

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Applying for Certification

Once you have determined which grade and scope you wish to apply for, submit your application for certification via your [online portal](#). During the application process, you will be required to upload the required documentation and submit the application fee(s) for your region.

All application information must be provided in English unless otherwise agreed with Exemplar Global. Where translations of documents are provided, these must be independently verified for accuracy. In some regions, an Exemplar Global international office or technical advisor may assist in reviewing, translating, and submitting certification application materials. Should you have any questions regarding what is required for the personnel certification requirements, contact Exemplar Global at info@exemplarglobal.org.

You must also agree to adhere to Exemplar Global's code of conduct upon certification and annually thereafter. Breaches of this code of conduct can result in the suspension or withdrawal of your certification.

Submitting an Expansion Application

You may apply to expand your personnel certification at any time. An expansion occurs when you choose to upgrade your certification to a higher grade or to add a scope to your certification program. Submit your expansion application via your [online portal](#).

This can be completed for free at recertification time or for a small fee at any time during your current certification period. Changes to grades may incur additional costs where upfront payments have been made.

Transitioning to Exemplar Global

If you are a management system auditor certified by one of the bodies listed below and want to transition to Exemplar Global certification, or wish to hold dual certification, Exemplar Global will formally recognize your auditor certification.

- Chinese Certification & Accreditation Association (CCAA)
- International Register of Certified Auditors (IRCA)
- Korean Auditor Registration (KAR)
- Professional Evaluation and Certification Board (PECB)

Our simple transition process will provide you with increased recognition and professional status across global markets.

There is no application or transition fee; however, a certification fee will be payable.

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What is required?

You must provide evidence of current certification in the form of a current card, certificate, or official letter from the authorizing body. **Invoices and receipts will not be accepted.** The certification granted will reflect the grade and scheme you currently hold.

Please note, additional requirements and fees may be applicable if you apply for a higher grade of certification.

The transition process is simple and will allow you to become Exemplar Global certified in a very short time. To begin the process, give us a call to speak with a member of our certification team.

ISO and Industry Transitions

All ISO standards are reviewed on a five-year cycle. Exemplar Global management system programs are based on ISO standards. As such, our certified professionals are required to demonstrate their knowledge of updated standards relevant to their certification.

ISO 19011:2018 Auditor Transition

All Exemplar Global management system auditors are required to complete the Auditor or the Auditor and Lead Auditor transition, depending on their grade.

You can complete your transition by completing a series of assessments. These are available via your online portal. If you have any questions regarding the transition, please contact us at certification@exemplarglobal.org.

Reducing a Certification

At any time, you may reduce your certification to a lower grade or remove a scope from your certification program by contacting an Exemplar Global examiner. A reduction in certification may also be recommended to an applicant by the examiner after evaluation of an initial application. Acceptance of a reduction of certification must be provided to the examiner in writing from the applicant. No fees are refunded when reducing certification.

Application Fees

An application fee is required for any new certification application or an expansion application. There is no fee for reducing certification. For some personnel certification programs, other fees related to the required examinations, assessments, and skill examinations may apply.

Transitioning auditors may be required to pay transition and certification fees only.

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Certification Fees

Once it has been determined that you meet the certification requirements, you will be required to pay your certification fee before your certificate is issued.

All Exemplar Global management system certifications are “continuous,” which means that your certification remains valid so long as you continue to meet the scheme and grade requirements, complete any necessary assessments and continuing professional development, adhere to our code of conduct, and pay your fees.

Certification fees are paid monthly by credit or debit card only or annually. Certificates will expire one year from the date of the issuance of certification. However, certification can and will be suspended or withdrawn if you fail to make payments, maintain continuous professional development, pass assessment requirements, or violate our code of conduct.

Customers can pay up to one year in advance, if they choose. Payments are to be made in U.S. dollars except for Australia, where payments are to be made in Australian dollars.

All fees are non-refundable and subject to change.

Additional Information

Please visit www.exemplarglobal.org or contact an examiner at your Exemplar Global principal office should you have questions regarding what is required for the personnel certification requirements or if you need assistance submitting an application for personnel certification.

Certificates

All Exemplar Global certificates are issued to the individual who has applied for and achieved personnel certification. Certificates are issued as electronic documents and are updated at each recertification or annual instalment period. A hard copy of the certificate may be ordered from Exemplar Global for an additional fee. The certificate includes the following information:

- Certified individual’s name
- Exemplar Global customer number
- Program name and grade of certification
- Scope(s) of certification (if applicable)
- Date the certification was awarded
- Date the certification expires
- Any related accreditation logos (if applicable)

Definitions

The definitions given in ISO 19011 and ISO 17024 apply in addition to those definitions specific to Exemplar Global.

Applicant An individual who has applied for a personnel certification.

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Audit Systematic, independent, documented process for obtaining and evaluating audit evidence objectively to determine the extent to which audit criteria are fulfilled.

Audit Criteria Set of policies, procedures, or requirements (used as a reference).

Auditor Person with the competence to conduct management system consultations.

Certification Specialist Employee of Exemplar Global with responsibility for management of designated programs and evaluation of applications.

Examinee An individual who is required to take a knowledge examination.

Expansion Movement from one certification grade to another and/or addition of certification scopes

Grade A specific level of a personnel certification program that best describes the job role within a specific certification program.

Lead Auditor Person with the competence to lead an audit team that includes at least one other auditor.

Master Auditor Person with significant levels of work experience and certification.

Scope Recognition that a certified individual has demonstrated the qualifications within a certification program for a specific industry or sector.