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SK 1 – CERTIFICATION SCHEME FOR QMS AUDITOR/LEAD AUDITOR

Checked by	Approved by
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1. PURPOSE AND SCOPE OF APPLICATION


The purpose of this document is to regulate the relation between AXE REGISTER acting as a certification body for personnel, and the persons and entities willing to obtain a certification of their skills as auditor and Lead auditor of the management systems.

2. TERMS AND DEFINITIONS

- Candidate: Applicant who has fulfilled specified prerequisites and has been admitted to the certification process.
- Examiner: Person with technical and personal skills able to conduct and score an examination.
- Examination: Mechanism that is part of the assessment which measures a candidate's competence by one or more means, such as written, oral, practical and observational, as defined in the certification scheme.
- Assessment: process that evaluates a person's fulfilment of the requirements of the certification scheme.
- SMQ- Quality Management System.

3 REFERENCES

- ISO/IEC 19011 "Guidelines for auditing management systems".
- ISO/IEC 9001:2015 "Quality management systems Requirements".
- ISO/IEC 17021-1 - Requirements for bodies providing audit and certification of management systems - Part 1: Requirements.
- ISO/IEC 17021-3:2017 'Conformity assessment -- Requirements for bodies providing audit and certification of management systems -- Part 3: Competence requirements for auditing and certification of quality management systems'.
- IAF MD 5: Duration of QMS and EMS Audits.


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4 PROFESSIONAL PROFILE

- The Auditor/ Lead Auditor is a qualified person who conducts audits on Quality Management Systems based on the international standard: ISO/IEC 19011, ISO / IEC 17021.
- The Auditor / Lead auditor must demonstrate skills (in terms of personal skills, knowledge, and behaviours) (1) to perform in a professional manner all the activities associated with the conduction of a QMS audit.


TABLE OF ACTIVITIES AND RESPONSIBILITIES (SGQ - ISO 9001)			
IAF MD 10:2013	ISO/IEC 17021-1:2015	ISO/IEC 17021-3:2017	FUNCTION / COMPETENCE INDICATED IN THE DOCUMENT
Annex A, (voce 3; 5)	(app. A, prospect A.1, point da A.2.1, a A.2.10)	5	Audit Planning (definition of Audit Plan)
Annex A, (voce 6)	(app. A, prospect A.1, point da A.2.1, a A.2.10)	5	Execution of audit and drafting of audit documents
-	(app. A, prospect A.1, point da A.2.1, a A.2.10)	5	Conducting the audit team

ISO 9001	
TABLE SKILLS A)	ISO COMPETENCE REQUIREMENTS /IEC TS 17021-3:2017
KNOWLEDGE OF REGULATORY RULES / DOCUMENTS, TERMINOLOGY, PRINCIPLES, PRACTICES AND TECHNIQUES RELATED TO MANAGEMENT SYSTEM SPECIFICS	BASIC CONCEPTS AND PRINCIPLES OF QUALITY MANAGEMENT (5.2-6.2)
	Fundamental concepts and principles of quality management and their application
	Terms and definitions related to quality management
	Process approach and related monitoring and measurement
	Role of leadership in the organization and its impact on the QMS
	Application of Risk Based Thinking and identification of risks and opportunities
	Application of the PDCA cycle
	Structure and interrelationships of documented information specific to QMS
	Tools, methods and techniques of QMS and their application
KNOWLEDGE OF THE BUSINESS SECTOR OF THE CUSTOMER AND OF THE MANAGEMENT PRACTICES OF THE COMPANIES AND DISCIPLINARY INTERACTING / RELATED FIELDS	Purposes and their applicability to the QMS of an organization
	CONTEXT OF THE ORGANIZATION (5.3)
	Ability to identify external and internal factors, significant for the purpose and strategy of the organization and which affect its ability to achieve the expected results of the QMS
	Ability to identify needs and expectations of relevant stakeholders for the organization's QMS, including requirements for its products and services
	Boundaries and applicability of the QMS to establish its purpose


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ISO 9001	
TABLE SKILLS A)	ISO COMPETENCE REQUIREMENTS /IEC TS 17021-3:2017
KNOWLEDGE OF THE PRODUCTS, PROCESSES AND CUSTOMER ORGANIZATION	PRODUCTS, PROCESSES AND CUSTOMER ORGANIZATION (5.4)
	Terminology and specific technology for the technical area
	Legislative and regulatory requirements, specific to the technical area, applicable to the product / service (including legal requirements)
	Characteristics of the processes, products and services specific to the technical area
	Characteristics of the infrastructures and the working environment with influence on the product / service
	Processes, products and services provided externally
	Impact of the type, size, administration, structure, functions and relations of the Organization on the development and implementation of the QMS and of the certification activities


MINIMUM CRITERIA	
	<div>Auditor</div> <div>Lead Auditor</div>
a) Minimum educational qualifications	High school
b) Competence	<ul style="list-style-type: none"> - methods and techniques relating to the quality management system; - terminology, principles and their application; - tools, methods, quality management techniques and their application (eg economic management principles related to quality, process mapping techniques, methods to identify and monitor perception and customer satisfaction, improvement tools, statistical techniques, approach to risk management, problem solving techniques, process measurement, root cause analysis); - application of the PDCA and the process approach; - structures, hierarchies and interrelationships related to the specific quality management documentation; - fields of application and applicability of the exclusions; - general business management concepts and practices and interaction between policy, objectives and results; - management processes and related terminology; - Technical Reports D.P.A. and / or specific rules of the relevant sector; - Norms and other normative documents pertaining to quality management, used in the certification process and their application, the interaction between the elements of the standards of quality management systems and other relevant documents (eg ISO 9000: 2015 and subsequent amendments and additions, UNI EN ISO 19011: 2018, in the applicable revision status); - specific technological context of the business sector (terminology, general processes and technologies, sector-specific, technical characteristics of processes and products, including services, processes and specific practices in the sector); - infrastructure and work environment that influence product and service quality; - outsourcing (outsourcing); - impact of the type, size, governance, structure, functions and relations of the organization on the development and implementation of the quality management system and on certification activities
Competence / Skill / Quality / Environment / Audit Techniques	<ul style="list-style-type: none"> - types of Audit (the different types, purposes, differences, definitions); - role and responsibility of Auditor and Lead Auditor in Audit Teams (competence, personal behavior, knowledge and skills, knowledge and skills of the Lead Auditor, training and training); - Audit principles, procedures and techniques (principles of the Audit activity, management of the Audit programs, conduct of the Audits, non-compliance); - evidence based approach; communication during the audit; collection and verification of information; - information security, health and safety at work, management of confidentiality and impartiality;

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MINIMUM CRITERIA	
Auditor	Lead Auditor
	<ul style="list-style-type: none"> - documents and references of the management systems (application of the management systems to the different organizations, the interactions between the components of the management systems, the standards of the management systems, applicable legal and contractual requirements and other relevant applicable requirements in the field covered by the Audit); - appropriate language skills at all levels within the scope of the Audit Organization, in taking notes and in preparing written reports, in making presentations; in carrying out interviews, in the management of the Audits
Competence / Environment	<ul style="list-style-type: none"> - methods and techniques of environmental management (environmental terminology, environmental management principles and their application, environmental management tools); - knowledge of the quantification of environmental data applicable to the environmental management system / sector and applicable regulatory requirements (eg direct, normalized, aggregated, indexed and weighted measurement, modeling, mass balance); - environmental monitoring and measurement techniques appropriate for the aspects of the environmental management system / sector (knowledge of environmental monitoring and measurement techniques and analysis methods appropriate for the aspects of the environmental management system / sector, including calibration and equipment maintenance, eg continuous, periodic and manual sampling, observations made during abnormal conditions); - techniques for the identification and assessment of environmental aspects and impacts and their environmental significance (knowledge of aspects and impacts and of what derives from their environmental significance); - environmental aspects of design (knowledge of the design process, including the assessment of environmental aspects related to the life cycle of the product that can be kept under control or influenced by the organization. This includes aspects related to the choice and use of the elements in input (eg raw and recycled materials, components, energy, water and other resources used to make the product), the outgoing elements (waste and emissions), and the aspects deriving from the distribution, use and final disposal of the product); - assessment of environmental performance (knowledge of the assessment of environmental performance, including the indicators, sufficient to determine whether the environmental performance of an organization meets the objectives and targets set by the relative management; - legal and other requirements (knowledge to determine if an organization has identified and assessed its compliance with all applicable legal requirements and other requirements); - preparation and response to emergencies (knowledge of the management system sufficient to determine if an organization has identified potential emergency situations and planned the corresponding answers, appropriate for events such as: <ul style="list-style-type: none"> - a) accidental / discharged emissions into the atmosphere, water and soil; - b) impacts for specific environmental and eco-system problems due to accidental releases. - Sufficient knowledge to assess the effectiveness of an organization in verifying responses to simulated emergencies and responses to actual emergencies, if applicable); - operational control (knowledge related to the use of operational controls consistent with the significant environmental aspects of an organization, including the use of contractors to achieve objectives and targets and ensure consistency with its environmental policy and its commitment to the prevention of pollution and continuous improvement; - site-related factors (knowledge of site-related factors that could affect the potential impacts of the organization's aspects on the surrounding areas, ecosystems and the community. Site-related factors include geography, climate, hydrogeology, the topography, soil and other physical conditions related to it); - environmental sciences and technologies (impact of human activities on the environment, interaction of ecosystems, environmental vehicles: air, water, land, etc.; management of natural resources, methods of environmental protection); - environmental problems of production processes; - Emissions into the atmosphere, gas and particulates, releases to the soil, discharges into water bodies, use of raw materials, energy and natural resources, energy released, waste. Operational control, monitoring and measurement. Knowledge of the interactions between the physical

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MINIMUM CRITERIA		
	Auditor	Lead Auditor
	characteristics (size, shape and color) of buildings, structures and equipment with the surrounding environment; <ul style="list-style-type: none"> - environmental laws and regulations; - environmental management systems (initial environmental analysis, policy, objectives and programs, aspects and impacts, pollution prevention technologies); - D.P.A. Technical Reports and / or specific rules of the relevant sector; - (ISO 14001: 2015 series and subsequent amendments and additions, ISO 19011, in the applicable revision status, EC Regulation 1221/2009 - EMAS III, differences between the standards and the EMAS Regulation, in the applicable revision status) 	
c) Total work experience Quality/ Environment	<ul style="list-style-type: none"> - Technical, managerial and professional roles at organizations, companies, professional offices, etc. - 5 years undergraduate degree (short degree) or diploma - 4 years if in possession of a 2nd level degree (magistral / specialist) 	
d) Specific work experience Quality/ Environment	<ul style="list-style-type: none"> - At least two of the required years of work experience must be related to the field of - Management for Quality or Environmental Management / Specifically environmental activities (specifically environmental activities are for example: technician or manager of purification plants, laboratory technician for environmental analyzes; inspection and / or technical-environmental activities, environmental consultancy ; EMS audits conducted continuously (approximately 50 days-u per year); <p>Note: generic terms such as "consulting for environment, quality and safety" are not accepted.</p>	
e) Specific training	<ul style="list-style-type: none"> - Passing the Auditor / Lead Auditor training course exam (minimum 40 hours or 24 hours in the case of additional sector Auditor course, - in this case the course must focus on environmental legislation, environmental sciences and technologies and on specific aspects of the UNI EN ISO 14001 standard and the conduct of EMS audits); - qualified by AXE REGISTER or qualified by other Bodies / Organisms / recognized by AX REGISTER. 	
f) Auditing experiences	<ul style="list-style-type: none"> - 4 complete (part III) audits² for a total of at least 20 days * of audit experience performed as an auditor in training under the direction and guidance of an auditor having the competence of an audit team manager. - The Lead Auditor (present in the Audit Team) must be a qualified professional by the Certification Body / Certified by the CB of the personnel, in the diagram. - Audits must have been completed within the last three consecutive years. 	<ul style="list-style-type: none"> - In addition to the requirements for the position of Auditor, 3 complete (part III) Audits are required, for a total of at least 15 days of audit experience covering the role of audit team manager under the direction and guidance of an auditor having the competence of an audit team leader. - The Lead Auditor (present in the Audit Team) must be a qualified professional by the Certification Body / Certified by the CB of the personnel, in the diagram. - Audits must have been completed within the last two consecutive years

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MINIMUM CRITERIA	
Auditor	Lead Auditor
Enrollement to AXE REGISTER "Summing up" note: The CURRICULUM VITAE updated in EUROPEAN FORMAT, to be attached to the Application for certification, must include the signing of the declaration in accordance with truthful declarations and aware of the penalties provided.	Il candidato che dimostra (tramite evidenze documentali): <ul style="list-style-type: none"> - la frequenza ed il superamento del Corso di formazione per Auditor/Lead Auditor (minimo 40 ore o 24 ore nel caso di corso Auditor settore aggiuntivo) qualificato da AXE REGISTER e superamento della PV: test e colloquio tecnico o per chi ha già il superamento dell'esame finale di un corso di formazione qualificato/erogato da altri Enti/Organismi e riconosciuto da AXE REGISTER, il superamento del Pre-Test (pre-esami di selezione) e la PV (Procedura Valutativa: test e colloquio tecnico); - potrà accedere ai relativi registri AXE REGISTER
	Change from other records of the CB of the personnel The candidate who demonstrates (through documentary evidence): <ul style="list-style-type: none"> - the possession of a certification as an Auditor / Lead Auditor in the same scheme, in a register of the CB of the accredited personnel, will be able to access to the registration in the AXE REGISTER register, upon satisfying the aforementioned requirements (§ a - f), payment of fees planned and passing the technical interview of the PV (Evaluation Procedure). Certification to another CB must be active at the time of the certification request and the candidate must not have serious disciplinary measures in place with the CB of origin. - the possession of a certification as Auditor / Lead Auditor in another scheme, with AX REGISTER or in a register of OdC of the accredited personnel, will be able to access to the registration in the AXE REGISTER register, upon satisfying the aforementioned requirements (§ a - f), payment of the fees provided and passing the PV (Evaluation Procedure) - test and technical interview. The certification in the other scheme at the CB, must be active at the time of the certification request and the candidate must not have serious disciplinary measures in place with the CB of origin. - the possession of a certification as an Auditor / Lead Auditor in the same scheme, in a register of the CB of the non-accredited personnel, will be able to access to the registration in the AXE REGISTER register, upon satisfying the aforementioned requirements (§ a - f), payment of planned quotas and passing the PV (Evaluation Procedure) - test and technical interview. Certification to another CB must be active at the time of the certification request and the candidate must not have serious disciplinary measures in place with the CB of origin.
	"Great experience" The candidate who demonstrates (through documentary evidence): <ul style="list-style-type: none"> - possession of at least 15 years of generic work experience, of which, in relation to the requested scheme: at least 7 pertaining to activities on Quality Management Systems / at least 5 pertaining to activities on Environmental Management Systems; - at least 30 Audits per 100 working days. can access the registration in the relative register AXE REGISTER, after satisfying the aforementioned requirements (§ a - f), payment of the fees provided and passing the technical interview of the PV (Evaluation Procedure).
Deontological Norms & Regulation and Manual of use of the Certification mark	Enrollment in the AXE REGISTER register involves the signing and compliance with the Deontological Rules and the Regulations and the User Manual of the Certification mark (subscription with the Certification Application and annually, with the Self-declaration form without complaints).

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MINIMUM CRITERIA	
Auditor	Lead Auditor
Validity	<p>The duration of the certification is four-year.</p> <p>The certified person is required to carry out the maintenance required annually and every three years for renewal, as described below.</p>
MAINTENANCE AND RENEWAL OF THE CERTIFICATION	
Maintenance of certification, subordinate to	<ul style="list-style-type: none"> - self-declaration without complaints, duly completed and signed; - payment of planned fees.
Certification renewal demonstrating the continuous competence in the certification scheme, through evidence of	<ul style="list-style-type: none"> - for Auditors: 10 Audits during the three-year renewal by scheme, of which at least 4 of part II or 3 of part III (eg Quality, for example, producing Audit lists signed and stamped by the CB Supervisor, Audit Log, statements by the client company); for Lead Auditor 10 Audits during the three-year renewal by scheme, as indicated above, of which at least 3 carried out as Lead Auditor. - maintenance of skills / professional updating: minimum 24 hours in the last three years, documentable and traceable to at least 24 hours (produce Certificates, declarations by training managers, etc.) for participation in seminars, meeting of adjudicators, CB Compliance, Compliance Register, training related to the IAF scheme or sectors of competence, conferences, meetings, work shops, etc., or participation, as a teacher / speaker at the events indicated above or publication of books or sector articles, active participation in development groups of schemes and / or standards in the sector. Note: for registration and attestation of the indicated update, it is possible to use the Log module (present in the area reserved for certified professionals: in "Other documents" on the site). <p>Note: for the renewal of the certification which will be confirmed only after the assessment of compliance with the required requirements by the AXE REGISTER bodies in charge, it is important to send all the necessary documentation at least 1 month before the expiry of the certification.</p> <p>The CURRICULUM VITAE updated in EUROPEAN FORMAT, to be attached to the documentation necessary for renewal.</p>
REQUIREMENTS FOR TRANSFER BETWEEN AXE REGISTER REGISTERS	
From Auditor to Lead Auditor	<ul style="list-style-type: none"> - It is possible to request the passage of the register (attaching the Application for passage between registers, downloadable from the site) from Auditor to Lead Auditor integrating the necessary audits, carried out after the certification, to meet the requirements, not before 6 months. - In the event of a request for change of register "after not being recognized as a Lead Auditor during the examination", it is necessary to integrate at least 3 II or III part Audits as Lead Auditor. - by making the payment due <p>Note: the transition between AXE REGISTER registers will be confirmed only after the assessment of compliance with the required requirements by the AXE REGISTER supervisory bodies</p>

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MINIMUM CRITERIA	
Auditor	Lead Auditor
ACCREDITATION AND EXTENSION OF SECTORS IAF	
First accreditation sectors IAF it is necessary to indicate at least 1 IAF sector attributable to previous work experience	<p>For the assignment of IAF sectors, in the certification phase, it is necessary to meet one of the following requirements:</p> <ol style="list-style-type: none"> demonstrate that they have acquired sectoral expertise through previous work experience valid in the IAF sector of at least 3 years as a self-employed or employee, in tasks related to the design or production or testing or distribution of goods or provision of services in the sector accreditation (IAF sector) to which the production or service processes carried out within the system being assessed can be ascribed. In the case of activities as a consultant in the IAF sector, the years of work experience are comparable to a minimum of 6 personally designed systems and conducted for certification or whose certification has been maintained for at least 3 years. 10 complete audits required, conducted with the active participation of a technical expert of the sector in question, of which it is necessary to produce evidence of competence (eg CV). <p>Note: Based on experience gained we mean: valid work experience (as Manager of the Company Management System or task that indicates a clear understanding of the organizational context and the processes of the sector). The CURRICULUM VITAE updated in EUROPEAN FORMAT, to be attached to the Application for certification</p>
Extension of IAF Sectors (after registration in the register)	<p>For the extension to other sectors, after certification, one of the following requirements must be met:</p> <ol style="list-style-type: none"> 10 complete audits required, conducted with the active participation of a technical expert of the sector in question, of which it is necessary to produce evidence (eg CV, qualification by OdC of systems or certification by the OdC of the personnel). b) to demonstrate to have acquired sectorial competence through valid work experience (as specified in the case of the first accreditation) of at least 3 years (as specified in the case of the first accreditation).
IAF sector maintenance, to the three-year renewal of the certification	<p>The maintenance of the IAF sector, following the three-year renewal of the certification, is possible by demonstrating the timeliness of the competence: regardless of the duration of the previous experience mentioned above, it is required to demonstrate that the auditor is still active or otherwise competent in the sector considered In particular through the evidence of:</p> <p>3 Audit for the IAF sector38, 1 Audit for all the other IAF sectors attributed, in the three years of validity of the Certificate, or produce equivalent consultancy during the three years of validity of the certificate for management systems that have been subjected to verification by Entities of certification (certification or surveillance).</p> <p>In the Environment, for the maintenance of the IAF sectors, the Technical clusters or equivalent documentation are applied, as required by Legislative Decree es. IAF MD, where applicable.</p>

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5. CERTIFICATION PROCEDURE

Candidates who possess the following minimum requirements may qualify for the test

5.1 Education

The applicant must hold at least High School Diploma. All qualifications, courses and recognized diplomas equivalent to Albanian ones are accepted in accordance with the education law.

5.2 Training

Must have attended a minimum of 40 hours course as auditor of SMQ.

5.3 Work experience

It is required to have a documented, continuous and proper working experience in technical activities in different companies, organizations or consultancy experience for a period of not less than:

- 5 years when in possession of a vocational secondary degree
- 3 years for Bachelor degree
- 2 years for Master degree


It is required to have a continuous documented experience of at least 2 years in environmental management (this can be considered and included in the general work experience).

In cases where the candidate holds specialized training

5.4 Audit experience

It is necessary to have experience performing an audit in the last 3 years as an Auditor with at least 3 audits.

It is also necessary to have successfully completed a training as SMQ Auditor, in compliance with ISO 19011 and ISO / IEC 17021 principles. Has completed at least 2 audits, (not only internal audits) with a total of at least 20 days of audit experience.

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6. SPECIFIC REQUIREMENTS

The applicant can pass the exam if:

6.1 The applicant who is in possession of a valid certification as Auditor/Lead Auditor of SMQ issued by a Certified body of Accredited Personnel and who can provide all the documentation confirming the compliance with certification requirements, including recertification and maintenance, can be accepted to take only the oral exam.

6.2 The applicant meets the following requirements:

- 7 years of continuous work experience, 3 of which in quality management
- successfully completes the 40 hours course for SMQ auditor and passes the final exam
- has performed and completed 10 audits.
- has successfully completed a training course as an Auditor of SMQ in accordance with the principles of ISO 19011 and ISO/IEC 17021. Has performed at least 4 audits with a total of at least 30 days of audit experience. The applicant can be admitted to the oral examination only.

6.3 The applicant meets the following requirements:

- 5 years of continuous work experience, with 2 in quality management.
- has performed and completed 10 audits as Lead Auditor.
- has successfully completed a 40 hours training course as Lead Auditor of SMQ in accordance with the principles of ISO 19011 and ISO/IEC 17021. The applicant can be admitted to the written and oral examination

7. VALID AUDIT FOR CERTIFICATION PURPOSES:

Audits are considered valid for certification purposes when:

- the audits are performed for the entire SMQ standard and covers all stages from 6.3 to 6.6 of ISO 19011, even when carried out at different times provided that the total duration of the on-site audit is not less than 8 hours (1 business day). And additional working day for each valid audit day, is required for reviewing documentation and preparing report.


Are considered not valid for certification purposes audits that:

- are related with the monitoring and implementation of corrective action and audits performed according to standards that are equivalent to ISO 9001.
- are performed as a technical expert.

8. SPECIFIC SKILL MAINTENANCE (IAF SECTORS)

In cases of the examination for certification purposes, the candidate may require the assignment of competencies in one or more IAF sectors up to a maximum of three sectors, documenting the following specific requirements:

- continuous work experience, not less than 3 years in a technical position, management or as an expert in an organization within the required IAF sector.

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- Auditor/Lead Auditor shall demonstrate during application stage that he is up-to-date about the field for which he/she is seeking to be certified, regardless of the length of the previous experience
- or by participating as Auditor or Lead Auditor in at least 5 SMQ audits in the IAF sector required with the participation of a technical expert in the sector providing the necessary documents as evidence (the certificate of qualification of the expert issued by a Certifying Body may be required).

For the Construction and Equipment Sector (IAF 28) the SMQ Auditor/Lead Auditor must submit:

- at least 3 SMQ audits participation with the required documents.

In order to maintain competence upon renewal of certification, certified personnel shall present documents proving the maintenance of competence with at least one audit (2 for IAF 28) or continuing professional experience or relevant training assigned to any IAF sector.

At the end of the maintenance AXE REGISTER may request a technical interview and/or additional documentation proving the specific acquired skills as well as in cases of publication of new regulations or technical accreditation documentation.

9. CERTIFICATION CONTRACT

By signing the application form, the applicant accepts the economic and general terms and conditions of the contract and those provided by the current certification scheme.

If for any reason the certification request cannot be accepted AXE REGISTER shall inform the applicant clarifying the reasons.


The certification contract duration is 4 years and includes the necessary activities for the maintenance of the certification detailed in the Agreement signed between AXE REGISTER and the certified personnel.

10. ASSESSMENT PROCESS

The assessment for the eligibility of the candidate for the purpose of issuing certification by AXE REGISTER follows these stages:

- Evaluation of the submitted documentation to confirm the requirements of the Certification Scheme.
- Certification examination performed by AXE REGISTER as specified in the examination procedure
- The process review, including documentation and results review conducted before the issue of the certificate.
- Decision making, certificate issuance and registration in AXE REGISTER certified personnel register.

If the result of any of the above stages is negative the evaluation process is discontinued and the candidate is informed. In order to proceed with certification process it will be necessary to resolve the problems found within the deadlines set by AXE REGISTER

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11. THE EXAMINATION PROCESS

11.1 REQUIREMENTS FOR ADMISSION TO CERTIFICATION EXAMINATION.

All applicants, by submitting their request through AXE FO 01 application form must provide documents proving the minimum of skills required for the admission to the examination process. To be eligible for the certification exam, applicants must submit the completed and signed application form and all the required documentation.

The candidate must have:

- Evidence of specific training (certificates).
- Evidence of the performed audits for certification purposes.
- Evidence about IAF sectors (if required).
- Evidence of the payment of AXE REGISTER fees.

The applicant must acknowledge and accepts the terms and conditions as defined by AXE REGISTER in the certification process by signing the contract with all the rights and obligations.

For applicants who do not know the Albanian language, AXE REGISTER provides a translator or examiners that can speak candidate's language.

Complete documentation for the certification application must be submitted to AXE REGISTER within 10 business days prior to the exam.

In the certification application, the applicant expresses the IAF sector he/she wants to be certified.

The verification of the possessed skills is done during the certification exam.

The request for IAF sector, together with the documentation for certification is submitted to the Director (Legal Representative) for approval.

The candidate must attach the following documentation:

- Application form of the audit to be verified with the client
- References to document work experience
- Audit registration form of the requested scheme to be conducted under the supervision and the lead of a Certified Auditor

12.EXAMINATION OBJECTIVES


The purpose of the examination is to evaluate the candidate's practical skills and knowledge.

The examiners are responsible for the evaluation of the candidate exam.

The exam objectives are:

- to have further information about the candidate and his professional experience, assessing the suitability of the submitted documentation and its compliance with the sector (s) in the interest of the candidate;
- to confirm the skills of the candidate presented in the submitted documentation of the candidate.
- to assess the candidate's competence to perform audits in conformity with ISO 19011 and ISO/IEC 17021:2011 standards (those applicable)
- to verify the potential skills related to IAF sectors

The examination is carried out by AXE REGISTER Examiners, who make sure through appropriate techniques, that the Candidate has the correct personal conduct to perform the professional activities

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for which he/she requires certification. The commission confirms or not the qualification of the candidate based on the documentation and the exam results (Auditor or Lead Auditor)
Examiners guarantee independence of judgment, impartiality, lack of conflict of interest, and confidentiality of data.

13. EXAMINATION PROCEDURE

Examination sessions are planned and managed by AXE REGISTER. The candidate who has confirmed the above skills and requirements in order to be admitted to the exam is required to pay the registration fee as stated in the registration form and shall provide a valid identity document. The list of candidates for examination and the list of documentation submitted by them is also checked by the examiners as well as by the legal representative of AXE REGISTER.

The exam takes place on the dates and the locations as per AXE REGISTER program communicated to the candidates.

Written and oral tests may also be conducted separately if approved by AXE REGISTER.

Examination session includes candidates, examiners, staff representatives as decided by AXE REGISTER for the security and the administration of the exam process.

Before the exam candidates must:

- show a valid identity document and submit a copy to AXE REGISTER
- show the payment confirmation for the exam

14. EXAMINATION EVALUATION CRITERIA

The candidates are evaluated with one of the following methods

Assessment through written and/or oral exam

Written exam

- 1) The “case” refers to a SMC audit.

Duration: 30 minutes- max score 15 points.

- 2) 5 open-ended questions about performing an audit, which should be answered with a brief explanation.

Duration: 50 minutes – max score 25 points

- 3) 10 closed-ended question related to ISO 19011 with 4 choices from which only one is correct

Duration: 20 minutes- max score 10 points


- 4) 20 general questions with 5 choices from which only one is correct

Duration: 45 minutes – max score 30 points

Minimum score needed to pass the written exam in order to be able to take the oral exam is 55/80.

The oral exam is conducted in order to assess the following:

- the level of basic knowledge.
- the information presented by the Candidate in regards with the professional experience;
- the management of personal relationship of the candidate.
- the expected personal conduct based on the reference standards (those applicable of ISO 19011 /IEC 17021) according to the role of auditor or lead auditor.
- level of knowledge of IAF sectors (if required)

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The exam committee continues to evaluate the candidate's suitability based on the following requirements and criteria:

The maximum score is 100 and is given by the sum of the points scored by the candidate in all the exams. The passing score of the exam is equal to 70% of the total sum of the maximum score from the exams explained above (70 points), while taking into consideration that the passing score for the written tests should be exceeded, equal to 55 points.

Therefore, If the candidate does not exceed the minimum passing points 55 in the written test, he/she will not be admitted to the oral exam and will have to take again both exams (written and oral).

For those who are subject to the reduced exam: in particular the candidates mentioned in 6.1,6.2 the minimum score is 70% of the achieved score in the oral exam (14points). Candidates referred to in 6.3 Clause may only be admitted to the oral exam if the exceed the 70% in the written exam (7 and 28 points)

The duration of the written exam shall not exceed 3 hours. While oral exam not more than 2 hours.

15. GENERAL RULES

During the written exam, candidates cannot use their mobile phones or share information with other candidates. Failure to comply with these rules will result in the interruption of the exam. During the exam the candidate may only use any authorized material or refer to the official standards with the permission of the examiner.

The exam can be interrupted in cases when the candidate is using the mobile phone, or is using unauthorized material to refer to or standards interpretation and when the candidates exchange information with each-other.

At the end of the exam, AXE REGISTER staff communicates to the candidates the following stages of the certification process.

In some cases the examiners can decide to request an additional exam in order to issue or maintain the certificate.


16. EXAMINERS

The exam is conducted by the Examiner (the requirements that an examiner must meet are defined in the Training and Certification Structure document)

The examiner must:

- maintain confidentiality of the exams
- meet the criteria of objectivity in evaluation
- communicate any conflict of interest that may compromise their impartiality and confidentiality during the exam
- verify and ensure compliance with this certification scheme

The examination is carried out by one or more examiners in order to cover all the required skills as by the scheme.

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17. RETAKING THE EXAM

If the minimum scores decided as equal to 70% of sum of the maximum scores of the exams to which the candidate is subject have not been exceeded, the examination shall be repeated.
To repeat the exam the candidate shall refer to the price and fee lists of AXE REGISTER

18. ISSUE OF CERTIFICATE

The candidate who has successfully passed the exam and possesses all the needed requirements, AXE REGISTER issues the certificate after the Director's review and verification. The certified person is registered with AXE REGISTER

The certificate contains the following data:

- name of certification body
- name, surname
- in the certificates in electronic format: date and place of birth of the certified person
- certificate number
- certification scheme and/or standard of reference
- validity start date
- expiry date
- signature of AXE REGISTER Director.

19. REGISTRATION AND COMMUNICATION


The registration in AXE REGISTER will be done upon receipt of the certificate.
The register can be consulted on the AXE REGISTER certification body website.

20. PERSONAL DATA INTEGRITY

AXE REGISTER guarantees that the processing of candidate data is in accordance with nr.9887, date 10.3.2008 Law "PERSONAL DATA PROTECTION"

21. AXE REGISTER OBLIGATIONS

AXE REGISTER provides free access to all applicants or candidates for its services, without discrimination. AXE REGISTER appreciates the importance of impartiality in certification: therefore conducts its activities objectively avoiding any conflict of interest. In particular AXE REGISTER shall not use the same examiner used for training of the same scheme for the evaluation of the candidate. The certification is issued after positive evaluation of each candidate based on the result of written and/or oral exams.

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23. CANDIDATE OBLIGATIONS

By submitting the request for certification, the candidate adheres to the certification scheme and accepts it by signing all the stages of the evaluation, certification and registration process described above.

In order to obtain and maintain the certification, the applicant must comply and document the implementation of all applicable requirements of the standards of the certification as well as the requirements of this document and any additional one set by AXE REGISTER and the General Directorate of Accreditation

Candidates are required to abide by the rules of conduct to protect the safety of persons and property.

23.CHANGES

Review nr	Review details	Date	Reviewed by	Approved by