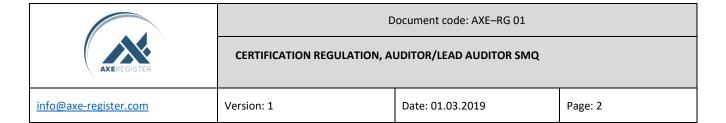


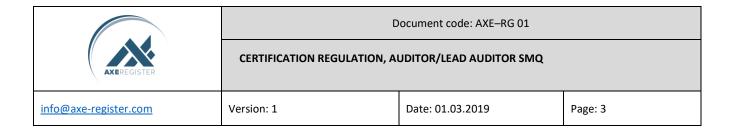
# SK 1 – CERTIFICATION SCHEME FOR QMS AUDITOR/LEAD AUDITOR

Checked by	Approved by
Antonio Llavda	Elfiori Avxhiu



#### **TABLE OF CONTENTS**

- 1. PURPOSE AND SCOPE OF APPLICATION
- 2. TERMS AND DEFINITIONS
- 3. REFERENCES
- 4. PROFESSIONAL PROFILE
- 5. CERTIFICATION PROCEDURE
- 6. SPECIFIC REQUIREMENTS
- 7. VALID AUDIT FOR CERTIFICATION PURPOSES
- 8. SPECIFIC SKILLS MAINTENANCE (IAF SECTORS)
- 9. CERTIFICATION CONTRACT
- **10. ASSESSMENT PROCESS**
- 11. EXAMINATION PROCESS
- 12. EXAMINATION OBJECTIVES
- 13. EXAMINATION PROCEDURE
- 14. EXAMINATION EVALUATION CRITERIA
- 15. GENERAL RULES
- 16. EXAMINERS
- 17. RETAKING THE EXAM
- 18. ISSUE OF THE CERTIFICATE
- 19. AXE REGISTER REGISTRATION AND COMMUNICATION
- 20. PERSONAL DATA INTEGRITY
- 21. AXE REGISTER OBLIGATIONS
- 22. CANDIDATES OBLIGATIONS



#### 1. PURPOSE AND SCOPE OF APPLICATION

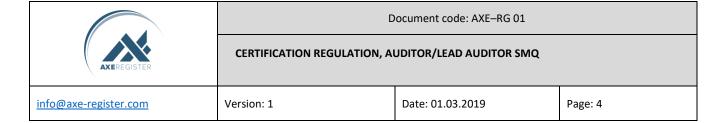
The purpose of this document is to regulate the relation between AXE REGISTER acting as a certification body for personnel, and the persons and entities willing to obtain a certification of their skills as auditor and Lead auditor of the management systems.

# 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.

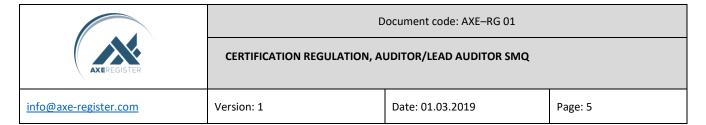


# **4 PROFESSIONAL PROFILE**

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



ISO 9001		
TABLE SKILLS <b>A)</b>	ISO COMPETENCE REQUIREMENTS /IEC TS 17021-3:2017	
	PRODUCTS, PROCESSES AND CUSTOMER ORGANIZATION (5.4)	
	Terminology and specific technology for the technical area	
KNOWLEDGE OF THE PRODUCTS, PROCESSES	Legislative and regulatory requirements, specific to the technical area, applicable to the product / service (including legal requirements)	
AND CUSTOMER	Characteristics of the processes, products and services specific to the technical area	
ORGANIZATION	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	

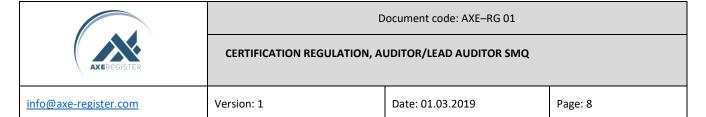
	MINIMUM CRITERIA				
Auditor Lead Auditor					
a)	Minimum educational qualifications	High school			
- terminology, principles and their application; - tools, methods, quality management techniques and their application (eg econon principles related to quality, process mapping techniques, methods to identify an perception and customer satisfaction, improvement tools, statistical techniques, management, problem solving techniques, process measurement, root cause and application of the PDCA and the process approach; - structures, hierarchies and interrelationships related to the specific quality manage documentation; - fields of application and applicability of the exclusions; - general business management concepts and practices and interaction between processer 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 process and their application, the interaction between the elements of the stands management systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other relevant documents (eg ISO 9000: 2015 and substained and systems and other		echniques, methods to identify and monitor ment tools, statistical techniques, approach to risk ess measurement, root cause analysis); ch; lated to the specific quality management usions; actices and interaction between policy, objectives of the relevant sector; ing to quality management, used in the certification etween the elements of the standards of quality ments (eg ISO 9000: 2015 and subsequent 2018, in the applicable revision status); ctor (terminology, general processes and ristics of processes and products, including services, ence product and service quality; functions and relations of the organization on the management system and on certification activities			
		iferences, definitions); tor in Audit Teams (competence, personal behavior, e Lead Auditor, training and training); inciples of the Audit activity, management of the apliance); ng the audit; collection and verification of			



A STATUS AT US A CONTENTS					
	MINIMUM CRITERIA				
	Auditor	Lead Auditor			
	the different organizations, the interactions bet the standards of the management systems, app relevant applicable requirements in the field corappropriate language skills at all levels within the and in preparing written reports, in making presonangement of the Audits  - methods and techniques of environmental management.	e scope of the Audit Organization, in taking notes sentations; in carrying out interviews, in the agement (environmental terminology,			
Competence / Environment	<ul> <li>knowledge of the quantification of environment management system / sector and applicable regaggregated, indexed and weighted measurement te environmental monitoring and measurement the environmental management system / sector (knowledge of sector) including calibration periodic and manual sampling, observations matechniques for the identification and assessment environmental significance (knowledge of aspector) environmental significance);</li> <li>environmental aspects of design (knowledge of environmental aspects related to the life cycle of influenced by the organization. This includes aspin input (eg raw and recycled materials, comport make the product), the outgoing elements (was distribution, use and final disposal of the product assessment of environmental performance (knowledge of assessment of environmental performance (knowledge to det assessed its compliance with all applicable legal preparation and response to emergencies (knowledtermine if an organization has identified pote corresponding answers, appropriate for events:         <ul> <li>a) accidental / discharged emissions into the attrib) impacts for specific environmental and ecosystimulated emergencies and responses to actual operational control (knowledge related to the usignificant environmental aspects of an organization objectives and targets and ensure consistency with prevention of pollution and continuous imposite-related factors (knowledge of site-related forganization's aspects on the surrounding areas factors include geography, climate, hydrogeolog related to it);</li> <li>environmental sciences and technologies (impactives include geography, climate, hydrogeolog related to it);</li> <li>environmental sciences and technologies (impactives include);</li> </ul> </li> </ul>	sulatory requirements (eg direct, normalized, at, modeling, mass balance); chniques appropriate for the aspects of the nowledge of environmental monitoring and appropriate for the aspects of the environmental ion and equipment maintenance, eg continuous, de during abnormal conditions); to fenvironmental aspects and impacts and their its and impacts and of what derives from their the design process, including the assessment of of the product that can be kept under control or process related to the choice and use of the elements and emissions), and the aspects deriving from the cet; which is a session of environmental crives and targets set by the relative management; remine if an organization has identified and requirements and other requirements); whedge of the management system sufficient to intial emergency situations and planned the such as:  "mosphere, water and soil; yestem problems due to accidental releases." of an organization in verifying responses to emergencies, if applicable); see of operational controls consistent with the action, including the use of contractors to achieve with its environmental policy and its commitment to rovement; actors that could affect the potential impacts of the pecosystems and the community. Site-related sy, the topography, soil and other physical conditions act of human activities on the environment, less: air, water, land, etc.; management of natural in);			
	Emissions into the atmosphere, gas and particul bodies, use of raw materials, energy and natura control, monitoring and measurement. Knowled	l resources, energy released, waste. Operational			



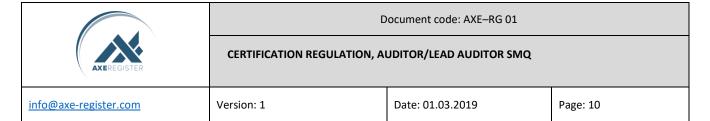
	MINIMUM CRITERIA				
		Lead Auditor			
		<ul> <li>characteristics (size, shape and color) of buildings, structures and equipment with the surrounding environment;</li> <li>environmental laws and regulations;</li> <li>environmental management systems (initial environmental analysis, policy, objectives and programs, aspects and impacts, pollution prevention technologies);</li> <li>D.P.A. Technical Reports and / or specific rules of the relevant sector;</li> <li>(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)</li> </ul>			
c)	Total work experience Quality/ Environment	<ul> <li>Technical, managerial and professional roles at organizations, companies, professional offices, etc.</li> <li>5 years undergraduate degree (short degree) or diploma</li> <li>4 years if in possession of a 2nd level degree (magistral / specialist)</li> </ul>			
d)	Specific work experience Quality/ Environment	<ul> <li>At least two of the required years of work experience must be related to the field of</li> <li>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);</li> <li>Note: generic terms such as "consulting for environment, quality and safety" are not accepted.</li> </ul>			
e)	Specific training	<ul> <li>Passing the Auditor / Lead Auditor training course exam (minimum 40 hours or 24 hours in the case of additional sector Auditor course,</li> <li>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);</li> <li>qualified by AXE REGISTER or qualified by other Bodies / Organisms / recognized by AX REGISTER.</li> </ul>			
f)	Auditing experiences	<ul> <li>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.</li> <li>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.</li> <li>Audits must have been completed within the last three consecutive years.</li> </ul>	<ul> <li>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.</li> <li>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.</li> <li>Audits must have been completed within the last two consecutive years</li> </ul>		



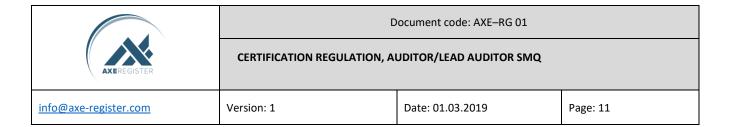
MINIMUM CRITERIA			
	Auditor	Lead Auditor	
	Il candidato che dimostra (tramite evidenze docume	ntali):	
	<ul> <li>la frequenza ed il superamento del Corso di formazione per Auditor/Lead Auditor (minimo 40 ore o 24 ore nel caso di corso Auditor settore aggiuntivo) qualificato da AXE REGISTER e superamento 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);</li> <li>potrà accedere ai relativi registri AXE REGISTER</li> </ul>		
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.	Change from other records of the CB of the personnel  The candidate who demonstrates (through documentary evidence):  - 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 documen - possession of at least 15 years of generic work expessions at least 7 pertaining to activities on Quality activities on Environmental Management Systems; - at least 30 Audits per 100 working days.	rience, of which, in relation to the requested	
	E REGISTER, after satisfying the aforementioned and passing the technical interview of the PV		
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).		



MINIMUM CRITERIA				
	Auditor	Lead Auditor		
Validity	The duration of the certification is four-year.  The certified person is required to carry out the maintenance required annually and every three years for renewal, as described below.			
	MAINTENANCE AND RENEWAL OF THE	CERTIFICATION		
Maintenance of certification, subordinate to	<ul> <li>self-declaration without complaints, duly comp</li> <li>payment of planned fees.</li> </ul>	leted and signed;		
- for Auditors: 10 Audits during the three-year renewal by scheme, of w part III (eg Quality, for example, producing Audit lists signed and stamp Audit Log, statements by the client company); for Lead Auditor 10 Audit renewal by scheme, as indicated above, of which at least 3 carried out - maintenance of skills / professional updating: minimum 24 hours in the documentable and traceable to at least 24 hours (produce Certificates managers, etc.) for participation in seminars, meeting of adjudicators, Register, training related to the IAF scheme or sectors of competence shops, etc., or participation, as a teacher / speaker at the events indicated books or sector articles, active participation in development groups of the sector. Note: for registration and attestation of the indicated updated module (present in the area reserved for certified professionals: in "Ot Note: for the renewal of the certification which will be confirmed only after compliance with the required requirements by the AXE REGISTER bodies in all the necessary documentation at least 1 month before the expiry of the compliance with the required in EUROPEAN FORMAT, to be attached to necessary for renewal.		It lists signed and stamped by the CB Supervisor, or Lead Auditor 10 Audits during the three-year th at least 3 carried out as Lead Auditor. In thinimum 24 hours in the last three years, is (produce Certificates, declarations by training eeting of adjudicators, CB Compliance, Compliance sectors of competence, conferences, meetings, work ker at the events indicated above or publication of development groups of schemes and / or standards in nof the indicated update, it is possible to use the Log ed professionals: in "Other documents" on the site). De confirmed only after the assessment of IXE REGISTER bodies in charge, it is important to send after the expiry of the certification.		
	REQUIREMENTS FOR TRANSFER BETWEEN AX	E REGISTER REGISTERS		
From Auditor to Lead Auditor	registers, downloadable from the site) from Aududits, carried out after the certification, to me	et the requirements, not before 6 months.  "after not being recognized as a Lead Auditor during least 3 II or III part Audits as Lead Auditor.  s will be confirmed only after the assessment of		



	MINIMUM CRITERIA				
	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	<ul> <li>For the assignment of IAF sectors, in the certification phase, it is necessary to meet one of the following requirements:</li> <li>a) 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.</li> <li>b) 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).</li> <li>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).</li> </ul>				
Extension of IAF Sectors (after registration in the register)	<ul> <li>The CURRICULUM VITAE updated in EUROPEAN FORMAT, to be attached to the Application for certification</li> <li>For the extension to other sectors, after certification, one of the following requirements must be met: <ul> <li>a) 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).</li> <li>b) 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).</li> </ul> </li> </ul>				
IAF sector maintenance, to the three-year renewal of the certification	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:  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).  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.				



# 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:

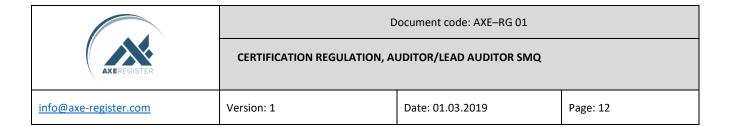
- 5 years when in possession of a vocational secondary degree
- 3 years for Bachelor degree
- 2 years for Master degree

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.



# **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.

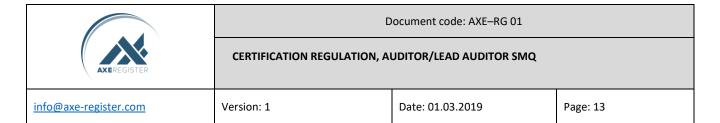
Are considered not valid for certification purposes audits that:

- 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.



- 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.

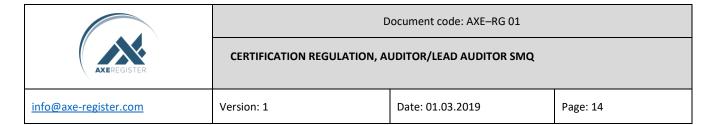
The certification contract duration is 4 years and includes the necessary activities for the maintenance of the certification detailed in the Agreement signed between AXE REGISTER and the certified personnel.

#### **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



### 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**

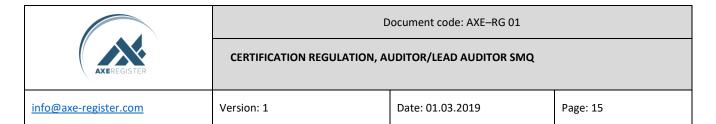
The purpose of the examination is to evaluate the candidate's practical skills and knowledge.

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



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

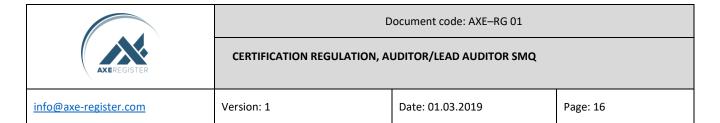
4) 20 general questions with 5 choices from which only one is correct

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)



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.

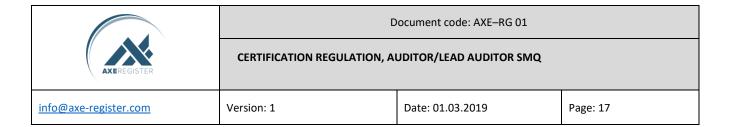
#### 16. EXAMINERS

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.



#### 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

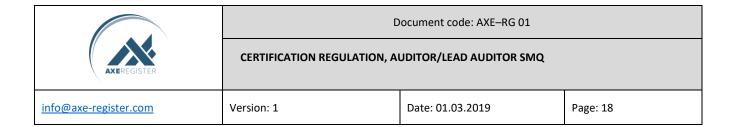
The registration in AXE REGISTER will be done upon receipt of the certificate. The register can be consulted on the AXE REGISTER certification body website.

#### 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.



# 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