CERTIFICATION SCHEME

FOR AUDITORS AND LEAD AUDITORS

ISO 9001

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1. PURPOSE AND SCOPE

This document aims to regulate the relationship between AUTENTICERT, operating as a personnel certification body, and individuals requesting voluntary third-party certification for their competencies as Auditors / Lead Auditors for international standards. Personnel certification applies to the individual applying, or to the individual for whom their company applies, and is not applicable to companies/organizations.

2. GENERAL INFORMATION

For the execution of certification activities, AUTENTICERT carries out the direct assessment of the candidate or on behalf of other selected, qualified, and approved external bodies. The certification bodies must have the premises, equipment (if applicable), tools, and technical personnel to carry out the activity. AUTENTICERT.

AUTENTICERT can certify an unlimited number of people within an organization.

3. DESCRIPTION OF AUDITORS

The professional figure of the Lead Auditor / Auditor of Quality Management Systems (QMS) is a person who plans, conducts, and reports audits of a quality management system, in accordance with the requirements of the UNI EN ISO 9001:2015 standard and the ISO 19011:2018 guidelines. The Lead Auditor / Auditor must be independent, impartial, and free from conflicts of interest, capable of collecting objective evidence and evaluating it objectively to determine conformity with the audit criteria (policies, procedures, and regulatory requirements). They are also responsible for evaluating the effectiveness of processes and the contribution of the management system to the continuous improvement of the organization's performance.

Knowledge

The Auditor / Lead Auditor must possess knowledge such as:

- Terminology, principles, good knowledge of management systems;
- Standards and normative documents, etc.;
- Customer's business sectors/areas;
- Customer products, processes, and organizational methods;
- Conformity assessment systems;
- Types of audit processes;
- Role, responsibilities, and principles of professional ethics related to the figure of the Auditor and Lead Auditor;
- Effective audit management;

- Methodologies and techniques for developing all phases of audit activity and managing meetings and the audit team;
- Risk management and application methods in the audit process;

Competencies

The Auditor / Lead Auditor must be able to:

- Apply, in different audits, the fundamental principles, procedures, and audit methods to ensure that the audit is conducted correctly and in accordance with the rules.
- Understand the context and apply the audit criteria.
- Understand the structure and organization of the audited organization.
- Operate legally according to the rules established by the organization.
- Use language understandable at all intellectual levels present in the client organization.
- Take notes and prepare written reports.
- Make presentations and conduct interviews;
- Identify laws, regulations, directives, etc., related to the organization of the audited company.

Definitions

Knowledge: Result of the assimilation of information through learning

Skills: Ability to apply knowledge to complete tasks and solve problems.

Competence - Ability to apply knowledge and skills to achieve results.

The auditor must:

- respect ethical principles (fair, impartial, sincere, honest, and confidential)
- be open-minded (to consider different ideas and viewpoints)
- be diplomatic (have tact in dealing with people)
- be attentive to details (active observer of activities and the surrounding environment);
- be vigilant (aware of situations and able to understand them);
- be versatile/chameleon (able to adapt easily to any different situation);
- be persevering (convincing and focused on achieving objectives);
- be determined (able to quickly reach conclusions based on logical analysis and reasoning);
- be self-confident (able to act and behave independently and at the same time interact effectively);
- be able to act decisively (i.e., responsibly while maintaining ethics);

- be open to improvement (eager to improve from created situations and dedicated to achieving the best results from the audit);

- be sensitive to cultural diversity (attentive and respectful of different cultures within the audited organization);

- be collaborative (able to interact effectively with others, including audit team members and personnel of the audited organization).

3.1 AUTENTICERT'S COMMITMENTS

AUTENTICERT guarantees access to its services for candidates, without discrimination of a financial nature or other unnecessary conditions. AUTENTICERT recognizes the importance of impartiality in certification: for this reason, it carries out its activities objectively, avoiding any conflict of interest. In particular, AUTENTICERT undertakes not to use as examiners for candidate evaluation individuals who may have a potential conflict of interest. This condition also extends to the examiners of any organization qualified for evaluation. All functions involved in the personnel certification process comply with the Code of Ethics. Certification is based on the positive evaluation of each candidate based on the results of written and oral tests.

3.2 CANDIDATE COMMITMENTS

By submitting the certification application to AUTENTICERT, the candidate adheres to the certification scheme and accepts it by signing the application form, agreeing to all phases of the evaluation, certification, and registration process described below. To obtain and maintain certification, the applicant must agree to comply with all requirements related to the standards required for certification, additional requirements established by AUTENTICERT and other conformity assessment bodies, as well as all requirements contained in this document. Candidates are obliged to comply with the code of ethics.

4. REFERENCES

All references to laws, standards, and AUTENTICERT documents that are not dated are to be understood as referring to the latest available revision.• References to audit assessment regulations:- ISO 19011- ISO 9001:2015 Quality Management Systems - Requirements- ISO / IEC TS 17021-3- ISO 9000 Family- IAF MD 5: Duration of QMS and Audits

AUTENTICERT references for personnel certification:

• ISO / IEC 17024 "General requirements for bodies operating certification of persons"

• Certification schemes. Etc.

5. DEFINITIONS

Certification process: Activity by which a certification body determines that a person meets certification requirements, including application, evaluation, certification/recertification decision, use of certificates and logo/symbols.

Certification scheme: Additional requirements related to the professional specification or competence categories of persons.

Knowledge: The result of assimilating information through learning

Skills: Ability to apply knowledge to complete tasks and solve problems

Competence: Proven ability to use knowledge, skills and personal capabilities in work or study situations and in professional and personal development, which can be exercised with a certain degree of autonomy, e.g. responsibility.

Certification requirements: The set of specific requests, including requirements for methodology, that must be met to obtain or maintain certification.

Scheme owner: Organization responsible for the development and maintenance of the certification scheme. (The organization may be the certification body itself, a governmental authority, or another entity.)

Certificate: Document issued by a certification body, in accordance with the provisions of the International Standard, which indicates that the designated person has met the certification requirements.

Qualification: Demonstration of education, training, and work experience, where applicable.

Assessment: Process that evaluates a person's fulfillment of the requirements of the certification scheme.

Examination: Mechanism that is part of the assessment, which measures the candidate's ability, the candidate's competence, by one or more methods; written, oral, practical and observational, as defined in the certification scheme.

Examiner: A competent person to conduct and evaluate an examination, when the examination requires professional judgment.

Invigilator: A person authorized by the certification body who administers or supervises an examination, but who does not evaluate the candidate's competence.

6. CERTIFICATION PROCEDURE

6.1 REQUIREMENTS FOR CERTIFICATION

Candidates who meet the minimum requirements specified in point 6.2 may access the examination.

6.2 BASIC REQUIREMENTS

✓ Auditor

Must hold a secondary education diploma or equivalent qualification, or a preferential diploma in technical or management disciplines.

✓ Lead Auditor

Must hold a higher education diploma.

Training

Specific Training and Courses

It is necessary to have completed a 40-hour training course and passed the exam for QMS Auditor (ISO 9001) or through a recognized and evaluated company for providing training in this field.

Work experience.

Documented experience (work book / contract / etc.) demonstrating continuous professional experience is required.

Auditor

-If holding a secondary education diploma, 3 years of professional experience in the relevant role;

-If holding a higher education diploma: 1 year of professional experience in the relevant role. Lead Auditor

- 3 years of professional experience in the relevant role;

Audit experience

✓ Auditor

Must have participated in at least 3 complete audits carried out in the last 3 years.

✓ Lead Auditor

Must have participated in at least 5 complete audits, carried out in 4 different countries.

Training

If candidates need specific training courses, AUTENTICERT will support them, taking all measures to avoid bias and conflicts of interest.

6.3 PARTICULAR REQUIREMENTS

The candidate may take the exam according to one of the following requirements.

6.3.1 The candidate who holds a valid auditor/lead auditor certification, issued by an accredited personnel certification body, and provides all documentation proving the certification, may be admitted to take only the oral exam.

6.3.2 The candidate who holds a valid Auditor/Lead Auditor certification, issued by a recognized personnel certification body, and provides all documentation proving the certification, may be admitted to take only the oral exam.

6.3.3 The candidate who is certified as a Lead Auditor and/or Auditor with a certificate issued by an accredited Personnel Certification Body, who documents the following requirements:

- Continuous experience of at least 2 years in the relevant sector.
- has attended a lead auditor course of at least 24 hours.
- has performed at least 3 complete audits in the last 2 years, not all internal, carried out in different companies, in the role of Auditor/Lead Auditor.

may be admitted to take both written tests: case study and general written exam + oral exam.

AUDITS VALID FOR CERTIFICATION PURPOSES:

For certification purposes, only audits are considered valid:

- carried out according to the requirements for the lead auditor, covering all phases described from 6.3 to 6.6 of ISO 19011, even if performed at different times, provided that the total duration of the on-site audit is not less than 8 hours (1 working day). For each valid audit, recognized as 1 working day, an additional day will be added (for each audit day) for document review and report preparation, including it in the total number of required days.

For certification purposes, the following audits are not valid:

- those concerning only the monitoring of the implementation of corrective actions and audits carried out according to standards not equivalent to the ISO 9001 standard.
- those carried out only by the technical expert.

6.4 CERTIFICATION AGREEMENT

By signing the application form, the applicant accepts the general economic conditions of the contract, the conditions of the certification body, and those deriving from the certification schemes.

In the event that the applicant does not personally pay the certification and maintenance fees, they must specify in the application form the person or entity who will be responsible for the payment (will pay the invoices). The applicant must provide the company's VAT number. The certification contract defines a duration of 3 years, which also includes certification maintenance (at least once a year), detailed in paragraph 10 of this scheme.

7 EVALUATION PROCESS

The evaluation of the candidate, from the beginning of the process until obtaining the AUTENTICERT certificate, takes place through phases/steps, defined both in terms of time and obligations for each of the following phases:

- candidate evaluation through documents, to verify compliance with the requirements of the Certification Scheme.
- Certification exam, conducted by the AUTENTICERT Examination Committee, as indicated in point 8 of this document;
- Re-evaluation of documents and exam results

- Approval of the certification proposal by the technical manager of the sector.
- Issuance of the certificate registered in the AUTENTICERT register and published on the official Autenticert website.
- Communication.

If during the evaluation of the phases one of the results is negative, the process is blocked and the candidate is notified. To proceed with the certification process, it will be necessary for the non-conformities found to be resolved within the deadlines established by AUTENTICERT.

8. EXAM PROCESS

8.1 REQUIREMENTS FOR ADMISSION TO THE CERTIFICATION EXAM

All those who, after submitting an application through the application form and documenting compliance with the minimum requirements, have been deemed eligible.

The competence evaluation according to the documentation and the correct completion of the file is carried out by the preliminary evaluator for this process together with a sector/scheme technician. (the technical evaluator does not necessarily have to be an AUTENTICERT employee but must work for it)

For candidates who do not speak Albanian, AUTENTICERT will provide an interpreter to help them understand correctly, both in the written and oral exams, and may request proof of recognized courses. The certification application indicates the Applicant / sector / IAF code of interest for which the requirements are met. Verification of technical competence takes place during the certification exam.

AUTENTICERT provides the following forms, which contain all the necessary information to verify compliance with the certification requirements:

- Audit registration form for the Quality Management System to be validated by the committee.

Facsimile/reference letter or any other document demonstrating competence in the requested field.

Audit registration form conducted under the monitoring of Lead Auditors certified by an accredited quality control body.

8.2 EXAMINATION

The purpose of the examination is the validation of the candidate's abilities and competencies as foreseen in this scheme.

The examination aims to recognize the candidate's competence, practically:

- to deepen the information presented by the candidate, verify the work experience acquired over the years, verify the documentation presented and its conformity with the scope of application; - ascertain the candidate's mastery of the indicated skills according to the documentation required and presented by the candidate;

- evaluate the candidate's competence to conduct audits in accordance with ISO 19011 and CEI EN ISO / IEC 17021 (the applicable part);
- ascertain the technical competence of the codes (IAF). The examiners are responsible for evaluating the candidate's examination tests and, for this reason, report to AUTENTICERT and to the mandatory bodies (where applicable) for all evaluation activities.

8.3 EXAMINATION PROCEDURE

Examination sessions are planned and managed by AUTENTICERT. To access the examination, the candidate must pay the fee specified in the registration/application form and present a valid identity document.

The list of candidates for the examination and their submitted documentation are checked by the examiners. The examination of candidates takes place at the venue, on the date and following the agenda communicated by AUTENTICERT (or according to procedure). Before the start of the examination, candidates are required to: - present a valid identity document, - sign the participation list, - sign the form with which they accept the "General Conditions" and the "Privacy Policy", - present the payment receipt for the fee required for participation in the examination.

8.4 EXAMINATION TOPICS AND EVALUATION CRITERIA

The evaluation of candidates takes place according to one of the methods indicated below. The evaluation of the entire process aims to verify competence in the application of ISO 9001, ISO 19011, ISO 17024 / CEI / EN ISO / IEC 17021 and CEI ISO / IEC TS 17021-3 standards, etc.

8.4.1 Criteria for certification and first recertification The candidate must demonstrate:

For certification: possession of the required prerequisites (educational qualification, training, work and field experience).

For recertification: verification of professional updating (minimum 24 hours in the last three years, see point 11).

The continuity of professional activity implies the need to demonstrate that the candidate continues to carry out their specific activity in the field of verification or evaluation of conformity of quality management systems according to ISO 9001 in a regular and sustainable manner. The candidate must document and demonstrate this continuity through audit logs, audit reports, contracts or letters of appointment, tasks performed for audits carried out, and continuous training certificates. This requirement ensures that the auditor maintains up-to-date competencies and consolidated practical experience, guaranteeing the reliability of the evaluations performed.

8.4.2 Evaluation methods for certification and first recertification

Passing the examination, which will be structured as follows:

TEST OF 30 MULTIPLE-CHOICE QUESTIONS, COMPOSED OF 4 ANSWERS OF WHICH 1 IS CORRECT TO BE COMPLETED IN 60 MINUTES. The topics covered by the written test will concern:

- ISO Standards and references
- Principles of the quality management system
- Process approach and risk-based thinking
- ISO 9000 terminology and definitions
- Audit techniques and methods (ISO 19011)
- Communication and professional conduct
- Collection and analysis of evidence
- Audit report and follow-up
- Professional experience and ethics

CASE STUDY WITH A MAXIMUM DURATION OF 45 MINUTES.

- Topics covered by the case study may include:

- Planning and preparation of a quality management system audit;
- Execution of an audit and management of objective evidence;
- Identification, classification and management of non-conformities;
- Cause analysis and definition of corrective actions;
- Evaluation of process effectiveness and performance indicators (KPIs);
- Analysis of the organizational context and risks related to processes;
- Management of communication and relations with the auditee;
- Preparation of the audit report and follow-up management.

ORAL EXAMINATION COMPOSED OF 4 QUESTIONS WITH A MINIMUM DURATION OF 20 MINUTES AND A MAXIMUM OF 30.

The oral questions cover the following areas:

- Interpretation and application of ISO 9001 requirements in different organizational contexts;

- Knowledge of audit principles according to ISO 19011 and ability to plan and execute system audits;
- Management of practical cases related to non-conformities, corrective actions, and continuous improvement;
- Evaluation of the auditor's interpersonal, ethical, and deontological competencies, including communication, conflict management, and professional conduct.

The candidate must pass the test, case study, and technical interview with a score of not less than 70/100;

After payment of the required fees, access will be granted to the relevant Autenticert personnel registers. Certification has a three-year validity starting from the certificate issue date.

8.4.3 Evaluation method for particular requirements

Particular requirements - ref. 6.3.1-6.3.2

For candidates who meet the requirements of points 6.3.1-6.3.2, the oral exam aims to:

- allow the candidate to demonstrate and present their professional competence.
- evaluate suitability, the degree of updating of specific knowledge,
- verify how the candidate manages critical situations.

Duration: 60 minutes – Max score 20 points (min 14)

Particular requirements - ref. 6.3.3

For candidates who meet the requirements indicated in point 6.3.3, the exam is structured as follows:

Written exam:

1) "case/casus" referring to a Quality Management System audit

Duration: 60 minutes - Result: max 15 points.

2) 20 general multiple-choice questions, with only one correct answer.

Duration: 45 minutes - Result: max 30 points.

Minimum score to access the oral exam: 30.5 / 45

The oral exam aims to:

- Verify basic knowledge.
- Evaluate the information presented by the candidate regarding work experience,
- evaluate the update regarding the latest versions of technical standards, IAF codes,
- verify the way situations are managed,

- evaluate the management of situations/processes according to the requirements of the standard (ISO 19011 and CEI EN ISO/IEC 17021 ISO 9001 for applicable parts) based on the role of auditor and lead auditor.
- Evaluate the degree of knowledge of IAF codes,
- evaluate the candidate's certification request (according to the required role) with the AUTENTICERT Certification Scheme.

Duration: 30 minutes - Result: maximum 20 points (min 12)

The examination board evaluates the candidate's adequacy according to the specific defined requirements and criteria.

- For those taking the full exam, the maximum score is 100 points and is calculated by the sum of the scores obtained by the candidate in the different tests. The minimum threshold to pass the exam is 70% of the total possible points in the tests provided by the candidate, max (70 points), considering that at least 55 points must be obtained in the written exam. Therefore, if the candidate does not exceed the minimum threshold of 55 points in the written tests, they will not be admitted to the oral test. It will therefore be necessary to repeat the exams (both written and oral). gojë.)

- For candidates subject to the reduced exam: (candidates who meet the conditions of par. 8.4.2), the minimum point threshold is 70% of the oral exam (14 points). For candidates of par. 8.4.3, the oral exam can only be accepted if they exceed 70% of the points in the foreseen written exam.

The Examination Board, where it deems it appropriate, may request a supplementary exam which may take the form of an interview or written test, or be integrated in such a way as to clearly understand the situation for the issue / maintenance of certification. At the end of the exam, the Board communicates the result to the candidate and the needs for improvement during the validity of the certification.

8.4 GENERAL RULES

During the written exam, the candidate is allowed to consult legal documents / standards on which no notes have been taken with the examiner's authorization, but cannot use mobile phones or exchange information with other candidates. Failure to comply with the rules is grounds for interruption of the exam.

8.5 EXAMINERS

The exam / evaluation is conducted by competent AUTENTICERT examiners who meet at least the minimum requirements described in AUTENTICERT's "Requirements for resources" document.

They are obliged to:

- maintain exam confidentiality.
- conduct the exam evaluation objectively.
- declare any conflict or interest that may jeopardize the impartiality of their assessment.

- respect this scheme.

The Examination Committee is composed of one or more examiners to cover all the competencies required to carry out the process. If the examination is conducted by external personnel, the Examination Committee may be supervised, even without prior notice, by personnel authorized by AUTENTICERT.

8.6 PRESENCE OF THE OBSERVER

During examination sessions, AUTENTICERT may request the presence of its observers, the DPA, or other competent authorities.

8.7 REPETITION OF THE EXAM

If the minimum threshold of 70% of the maximum obtainable score in the tests carried out by the candidate is not met, the exam may be repeated. Each repetition is subject to a fee.

9 ISSUANCE OF THE CERTIFICATE

To the candidate who has successfully passed the exam and met all the required conditions in accordance with the administrative aspects, AUTENTICERT issues the certificate demonstrating the person's competence and completes the relevant register.

The certificate must contain:

- The name of the certifying body (AUTENTICERT)
- Name, surname, personal number, date and place of birth of the certified person
- Certificate number - Scheme for which it was certified and/or references to standards/procedures etc.
- Start date of validity
- End date of validity
- Signature of the authorized person

9.1 REGISTRATION IN THE REGISTERS AND PUBLICATION

Registration in the AUTENTICERT registers takes place after the certificate is issued; the registration may be accessible on the AUTENTICERT website.

9.2 COMPLETION OF THE REGISTER

The person certified by AUTENTICERT, as an Auditor, may request to be certified also as a Lead Auditor or/and for other IAF codes after obtaining the certificate.

This request involves the integration of the documentation completed for the previous certification, satisfying the requirements of the next level and the payment of the established fees.

The assessment for the acceptance of the candidate takes place through mandatory and timed phases, described in paragraph 7 (Assessment Process), with the exception of the certification exam.

At the end of the phases, AUTENTICERT will ensure the update of the registers with the new information. The new certificate will be issued after the return of the previous certificate, but the certification date will not change.

9.3 DATA INTEGRITY AND PRIVACY

AUTENTICERT, as owner, guarantees that the processing of candidate data for certification takes place in accordance with EU Regulation 2016/679 and LAW No. 9887, dated 10.3.2008 FOR THE PROTECTION OF PERSONAL DATA (amended by Law No. 48/2012, O.J. 53) (amended by Law No. 120/2014, O.J. 160) and other documents relating to certification activities. Privacy is protected for all persons participating in the application. Information acquired by personnel working for AUTENTICERT, including decision-makers, is subject to confidentiality.

10. MAINTENANCE OF CERTIFICATION (SURVEILLANCE)

The validity of the certification during the 5-year contractual period (starting from the certificate issue date) depends on the positive outcome of the annual surveillance activities (period/date is defined), carried out by AUTENTICERT.

- To this end, the certified person must provide an annual self-declaration, made in accordance with the law/regulations/procedures (with forms specially prepared by AUTENTICERT), as follows: Acceptance of AUTENTICERT's policies, procedures, and documentation
- a certification attesting that they are still active in the field for which they were certified.
- a certification that has no warnings about work and has a positive evaluation, for the sector for which it was certified.

The maintenance of certification is also subject to the payment of the foreseen annual fees.

11. RECERTIFICATION

Recertification takes place upon request of the person who renews the contract and proceeds with the process. Renewal occurs before the certification expires. Recertification includes, in addition to the documentation submitted for annual maintenance, also:

Updated CV, dated and signed by the candidate themselves. All other additional documents concerning activities (training...) carried out after the first application, as well as the list of audits conducted during this period.

specific audit experience in the field of quality management:

- for Auditors: 2 complete audits or 3 surveillance audits (in at least 2 different systems).

- For Lead Auditors: 3 complete audits or 5 surveillance audits (in at least 3 different systems).
- professional development in the professional field for at least 24 hours over 3 years.

12. CRITERIA FOR SUSPENSION AND REVOCATION OF CERTIFICATION

Causes for suspension:

- Improper use of the certification mark.
- Violation of the Code of Conduct
- Failure to pay obligations
- Failure to comply with maintenance/renewal requests

Suspension methods:

- Communication with reasons, revocation conditions, and timelines.
- Maximum duration of suspension: 6 months
- In the absence of corrective actions: revocation

Effects of suspension:

- Use of the certificate and trademark is prohibited
- Obligation to inform clients if certification is decisive
- In case of violation: immediate revocation

Revocation of the certificate:

- Communicated to the Accreditation Body (for accredited registers) and published on the Autenticert website
- No refund of payments made or due
- Possibility of a new certification application after 3 months (dispute resolution)

Suspension of certification upon request:

- Possible for up to 1 year in case of voluntary interruption of activity
- Resumption of activity: communication and new verification

Exceptions:

- Possible with a reasoned request (e.g., maternity leave) for the periodicity of maintenance, subject to evaluation of the reasons for such request

The result of the evaluation is communicated in writing by Autenticert.