CERTIFICATION SCHEME

FOR AUDITORS AND LEAD AUDITORS

ISO 45001

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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 seeking voluntary third-party certification for their competencies as Auditor / Lead Auditor for international standards. Personnel certification applies to the individual who applies, 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 a direct assessment of the candidate or on behalf of other external bodies selected, qualified, and approved by them. 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 Occupational Health and Safety Management Systems (OHSMS) is a person who plans, conducts, and reports audits of an occupational health and safety management system, in accordance with the requirements of the UNI EN ISO 45001:2018 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 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.;
- Client's sectors/business areas;
- Clients' products, processes, and organizational methods;
- Conformity assessment systems;
- Types of audit processes;
- Role, responsibilities, and principles of professional ethics related to the Auditor and Lead Auditor roles;
- 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;
- Legal requirements related to occupational health and safety that must be complied with during the assessment;
- Civil liabilities and sanctioning measures arising from the audit/assessment report.

Competences

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 to all intellectual levels present in the client's organization.
- Take notes and draft written reports.
- Conduct presentations and interviews;
- Identify laws, regulations, directives, etc., related to the organization of the audited company.

Definitions

Knowledge: Result of assimilating information through learning

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

Adequate competence: Ability to put knowledge and skills into practice to achieve results

Personal Behavior Auditors must possess the necessary skills to manage and act correctly according to the rules and principles of auditing.

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 persistent (convincing and focused on achieving objectives);

- be decisive (able to reach conclusions quickly based on analysis and logical reasoning);

- be self-confident (able to act and behave independently while interacting effectively);

- be capable of acting decisively (i.e., responsibly while maintaining ethics);

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

- 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 audited organization personnel).

3.1 AUTENTICERT COMMITMENTS

AUTENTICERT guarantees access to its services for candidates, without financial discrimination 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 the evaluation of candidates individuals who may have a potential conflict of interest. This condition also extends to examiners from 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 according to 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 by the 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 AUTENTICERT laws, standards, and documents that are not dated are to be understood as referring to the latest available revision.

• References to regulations for audit evaluation:

- ISO 19011- ISO 45001:2018 Occupational Health and Safety Management Systems (OHSMS)- ISO / IEC TS 17021-10

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 the certification requirements, including application, assessment, decision on certification/recertification, use of certificates and logo/symbols.

Certification scheme: Additional requirements relating 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: Demonstrated 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 demands, including requirements for methodology, that must be met to obtain or maintain certification.

Scheme owner: Organization responsible for developing and maintaining the certification scheme. (The organization can 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, indicating 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: Competent person to conduct and evaluate an examination, when the examination requires professional judgment.

Invigilator: 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 attended a qualified course for Auditor/Lead Auditor in quality management systems (minimum 40 hours), in accordance with ISO 45001 and ISO 19011, with successful completion of a final exam. - And to have attended a qualified course for Auditor/Lead Auditor in occupational health and safety management systems (minimum 24 hours), in accordance with ISO 45001, with successful completion of a final exam.

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 performed in the last 3 years.

✓ Lead Auditor

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

Training

If candidates require 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 A 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 A 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 A 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 completed 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.

VALID AUDITS FOR CERTIFICATION PURPOSES:

For certification purposes, only the following audits are considered valid:

- conducted 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 (for each audit day) will be added for documentation review and report preparation, including it in the total number of required days.

For certification purposes, the following audits are not valid:

- those that only concern the monitoring of the implementation of corrective actions and audits carried out according to standards not equivalent to ISO 45001.
- 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 that will handle 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, occurs 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 sector's technical manager.
- 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 via the application form and documenting compliance with the minimum requirements, have been deemed eligible.

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

For candidates who do not speak the Albanian language, AUTENTICERT will provide an interpreter who will help with correct understanding, both in the written and oral exams, and may require evidence 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 required field.

Registration form for audits conducted under the monitoring of Lead Auditors certified by accredited TCP.

8.2 EXAMINATION

The purpose of the examination is to validate the candidate's skills and competencies as foreseen in this scheme.

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

- deepening the information presented by the candidate, verifying the work experience acquired over the years, verifying the documentation presented and its conformity with the scope of application; - ascertaining the candidate's mastery of the indicated skills according to the documentation requested and presented by the candidate;

- evaluating the candidate's competence to conduct audits in accordance with ISO 19011 and CEI EN ISO / IEC 17021 (the applicable part);
- ascertaining the technical competence of the codes (IAF).
- 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 the documentation presented by them are checked by the examiners. The examination of candidates takes place at the venue, 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 attendance list, - sign the form accepting the "General Conditions" and the "Privacy Policy", - present the receipt of payment of 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 45001, ISO 19011, ISO 17024 / CEI / EN ISO / IEC 17021 and CEI ISO / IEC TS 17021-10, etc. standards.

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 conformity assessment of management systems according to ISO 45001 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 updated competencies and consolidated practical experience, guaranteeing the reliability of the assessments performed.

8.4.2 Evaluation methods for certification and first recertification

Passing the examination, which will be structured as follows:

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

- ISO 45001:2018 Standard – Requirements and General Principles
- Principles and context of the standard
- Occupational Health and Safety Management System
- Roles, responsibilities, and leadership
- Audit and conformity assessment
- Continuous improvement
- Legal and regulatory aspects
- Documentation and data

CASE STUDY WITH A MAXIMUM DURATION OF 45 MINUTES.

- Topics covered by the case study may include:

  – Identification, classification, and management of non-conformities;

  – Root cause analysis and definition of corrective actions;

- Evaluation of process effectiveness and key performance indicators (KPIs);
- Analysis of the organization's context and process-related risks;
- Management of communication and relations with the auditee;
- Preparation of the audit report and follow-up management.

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

The oral questions cover the following areas:

- Requirements of UNI EN ISO 45001:2018 standard and their practical application in occupational health and safety management systems;
- Identification of risks, evaluation of risks and opportunities, and planning of improvement actions;
- Operational management and control of health and safety performance, including monitoring, incidents, injuries, and non-conformities;
- Execution of the OHSMS audit, communication techniques with the auditee, professional conduct, and drafting of the audit report.

The candidate must pass the test, case study, and technical interview with a score of no less than 70/100;

After payment of the required fees, access to the relevant Autenticert personnel records will be granted. Certification is valid for three years 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 examination aims to:

- allow the candidate to demonstrate and present their professional competence.
- evaluate suitability, the degree of up-to-dateness 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 examination is structured as follows:

Written exam:

1) "case/casus" referring to an OHSMS 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 45001 for the 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 suitability according to the defined specific requirements and criteria.

- For those taking the full exam, the maximum score is 100 points and is calculated by summing the scores obtained by the candidate in the various tests. The minimum passing threshold for the exam is 70% of the total possible points in the tests provided by the candidate, max (70 points), considering that they must obtain at least 55 points 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 then 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 score is 70% of the oral exam (14 points). For candidates in 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, in cases where it deems it appropriate, may request a supplementary examination 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 issuance/maintenance of certification. At the end of the examination, the Board communicates the result and any needs for improvement during the validity of the certification to the candidate.

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 interrupting the exam.

8.5 EXAMINERS

The exam/assessment 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 the confidentiality of the exam.
- conduct the exam evaluation objectively.
- declare any conflict or interest that might jeopardize the impartiality of their assessment.
- comply with 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 OBSERVER PRESENCE

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

8.7 EXAM REPETITION

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

9 CERTIFICATE ISSUANCE

To the candidate who has successfully passed the exam and met all the required conditions in accordance with 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 REGISTERS AND PUBLICATION

Registration in the AUTENTICERT registers takes place after the certificate is issued; registration can be accessed 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 and/or 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 established fees.

The evaluation for candidate acceptance occurs 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 updating of records 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 complies 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, Official Gazette 53) (amended by Law No. 120/2014, Official Gazette 160) and other documents relating to certification activities. Privacy is protected for all individuals 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 issuance 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 law/regulations/procedures (using forms specially prepared by AUTENTICERT), as follows: Acceptance of AUTENTICERT's policies, procedures, and documentation
- a certification stating that they are still active in the field for which they were certified.

- a certification that they have no warnings at work and have a positive evaluation for the sector for which they were certified.

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

11. RECERTIFICATION

Recertification occurs upon request from the person who renews the contract and proceeds with the process. Renewal takes place 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 field update for at least 24 hours in 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, conditions for revocation 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 customers 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 cessation of activity
- Resumption of activity: communication and new verification

Exceptions:

- Possible with a reasoned request (e.g., maternity) 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.