

<b>CERTIFICATION REGULATION</b>	
<b>CRITERIA FOR THE CERTIFICATION OF MANAGEMENT SYSTEMS PROFESSIONALS</b>	
Number Code: PC.R2000	Valid from: 02.12.2011/30.09.2015
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**CERTIFICATION REGULATION OF  
STAREGISTER MANAGEMENT SYSTEMS PROFESSIONALS**



**STAREGISTER**

E-mail: [info@staregister.org](mailto:info@staregister.org), Web: [www.staregister.org](http://www.staregister.org)

<b>Issued by:</b> Technical Committee 1	<b>Approved by:</b> Certification Manager
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## **1 SCOPE**

The certification scheme of STAREGISTER MS Professionals is intended for:

- a) MS auditors, e.g. those employed by third party certification bodies or by organizations which provide product certification and/or expert reporting services,
- b) Professionals in MS sector, e.g. MS consultants, MS managers and other personnel like wine and olive oil experts.

Within this document, applicants and certified MS Professionals of STAREGISTER will find instructions and information about:

- a) the application and the certification process (Clauses 4 & 6),
- b) the criteria governing the certification of new applicants (Clause 3),
- c) the criteria governing renewal of certification of existing STAREGISTER certified MS Professionals, including requirements for Continuing Professional Improvement – CPI (Clause 9),
- d) types of audits acceptable for certification (§3.6.6),
- e) fees for the certification of MS Professionals (Clause ),
- f) the STAREGISTER Code of Conduct (§ 7.2).

The present certification scheme for MS Professionals offered by STAREGISTER applies only to the applicants' personal ability to provide auditing, consulting and management of Management Systems. It does not certify in any manner, or refers to, the specific area of the applicants' technical competence. The responsibility for identifying that a Professional has the necessary knowledge, experience and understanding to offer a service on a specific technical scope rests entirely with those responsible for managing service process.

The scope of certification is generic, i.e. it does not include nor does it require any industry sector specific competencies. Applicants are invited to select from a list (form PC.F2000 ) of up to 5 standard industry sectors within which they have acquired work experience. These details, although published within the registry, are self declarations and are not included in STAREGISTER's official scope of certification.

STAREGISTER provides professional certification services, without any confinements or restrictions, to all applicants who satisfy the specific requirements and certification criteria. Applicants who need extra assistance or care, may contact STAREGISTER in order to provide instructions and help (e.g. extended length of time for examination, large print examination questions e.t.c)

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## 2 INTRODUCTION

### 2.1 Stages of Professional MS certified by STAREGISTER

2.1.1 The criteria described in this document are intended for the certification of:

- a) MS Auditors,
- b) MS Consultants,
- c) MS Managers.

Relative to the following MS Standards:

- a) Quality Management (ISO 9001)
- b) Environmental Management (ISO 14001)
- c) HACCP (ISO 22000)
- d) OHSAS (OHSAS 18001)
- e) Social Accountability (SA 8000)
- f) Risk Management (ISO 31000)
- g) Accreditation Systems (ISO 17020, 17021, 17024, 17025, 17065)
- h) Energy Management (ISO 50001)
- i) Information Management (ISO 27001)

Offering the following professional designations:

MS Auditors	MS Consultants	MS Managers	MS Experts**	MS-IT
CQMA <sup>TM</sup> - Quality Management Systems (ISO 9001)	QMC <sup>TM</sup> - Quality Management Systems (ISO 9001)	CQM <sup>TM</sup> - Quality Management Systems (ISO 9001)	CCWE <sup>TM</sup> – Certified Connoisseur Wine Expert	Information Security Professionals (ISO 27001)
CEMA <sup>TM</sup> - Environmental Management Systems (ISO 14001)	CEMC <sup>TM</sup> - Environmental Management Systems (ISO 14001)	CEM <sup>TM</sup> - Environmental Management Systems (ISO 14001)	CFOO <sup>TM</sup> – Certified Friend of Olive Oil	IT Service Management Professionals (under development)
COHA <sup>TM</sup> - Occupational Health & Safety Management Systems (OHSAS 18001)	COHC <sup>TM</sup> - Occupational Health & Safety Management Systems (OHSAS 18001)	COHM <sup>TM</sup> - Occupational Health & Safety Management Systems (OHSAS 18001)	FILEOS <sup>TM</sup> – Certified Fileos	Social Media Experts: CSMPB <sup>TM</sup> – Certified Social Media Professional Basic
CFSA <sup>TM</sup> - Food Safety Management Systems (ISO 22000) - <i>Specialization: Wine and Olive Oil</i>	CFSC <sup>TM</sup> - Food Safety Management Systems (ISO 22000)	CFSM <sup>TM</sup> - Food Safety Management Systems (ISO 22000)	CPOIE <sup>TM</sup> – Certified Pro Olive Oil Expert	CSMPA <sup>TM</sup> – Certified Social Media Professional
	SASC <sup>TM</sup> – Social Accountability	SASM <sup>TM</sup> – Social Accountability	CS <sup>TM</sup> – Certified Sommelier	

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<i>Expert*</i>	Management Systems (SA 8000)	Management Systems (SA 8000)	CWE™ – Certified Wine Expert	Advanced
SASA™ – Social Accountability Management Systems (SA 8000)	CRMC™ - Risk Management Systems (ISO 31000)	CRMM™ - Risk Management Systems (ISO 31000)	COIE™ – Certified Olive Oil Expert	CSMPE™ – Certified Social Media Professional Expert
CRMA™ - Risk Management Systems (ISO 31000)	CASC™ – Accreditation Management Systems (ISO 17000)	CASM™ – Accreditation Management Systems (ISO 17000)	CES™ – Certified Expert Sommelier	
CASA™ – Accreditation Management Systems (ISO 17000)	CENMC™ – Energy Management Systems (ISO 50001)	CENM™ – Energy Management Systems (ISO 50001)	CBS™ – Certified Beer Sommelier	
CENMA™ – Energy Management Systems (ISO 50001)			CASE™ – Accreditation Management Systems (ISO 17000)	
			CENME™ – Energy Management Systems (ISO 50001)	

\*\*CCWE™ – Certified Connoisseur Wine Expert

CFOO™ – Certified Friend of Olive Oil

FILEOS™ – Certified Fileos

CPWE™ – Certified Pro Wine Expert

CPOIE™ – Certified Pro Olive Oil Expert

CS™ – Certified Sommelier

CWE™ – Certified Wine Expert

COIE™ – Certified Olive Oil Expert

CES™ – Certified Expert Sommelier

CBS™ – Certified Beer Sommelier

According to the following certification grades:

<b>MS Auditors</b>	<b>MS Consultants</b>	<b>MS Managers</b>
Provisional		
Auditor	Consultant	Manager
Lead Auditor		
Internal Auditor		

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- 2.1.2 STAREGISTER MS Provisional Auditor grade is awarded to applicants who demonstrate the appropriate personal attributes, academic, professional and technical competency but lack the required auditing experience.
- 2.1.3 STAREGISTER MS Auditor grade is awarded to applicants who have satisfied the required criteria to conduct all or any part of a MS audit, either alone or as a member of an audit team.
- 2.1.4 STAREGISTER MS Lead Auditor grade is awarded to applicants who have satisfied the criteria for STAREGISTER MS Auditor certification and, in addition, have demonstrated the competencies required to effectively manage an audit team and co-ordinate all aspects of a complete MS audit.
- 2.1.5 STAREGISTER MS Internal Auditor grade is awarded to applicants who have satisfied the required criteria to conduct all or any part of an internal MS audit, either alone or as a member of an audit team.
- 2.1.6 STAREGISTER MS Consultant grade is awarded to applicants who have satisfied the required criteria to provide consulting services regarding all or any part of a MS, either alone or as a member of a consulting team
- 2.1.7 STAREGISTER MS Manager Grade is awarded to applicants who have satisfied the required criteria to maintain and manage a MS.
- 2.1.8 STAREGISTER certification programs are not intended for use as mandatory employment requirement.

## 2.2 Definitions

For the purpose of these criteria, the following definitions apply:

**MANAGEMENT SYSTEM (MS):** A System to establish policy and objectives and to achieve those objectives.

**MS AUDIT:** A systematic and independent examination to determine whether activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

**MS AUDITOR:** A person who has the appropriate attributes to conduct management system audits.

**AUDITEE:** The organization being audited.

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**AUDIT CUSTOMER:** The person or organization requesting an audit.

**AUDIT TEAM:** One or more auditors conducting an audit, one of whom is appointed as lead auditor.

**LEAD AUDITOR:** a person who has the competencies required to effectively manage an audit team and co-ordinate all aspects of a complete MS audit.

**COMPLETE MS AUDIT:** An audit covering the entire audit process as described in ISO 19011 and including all aspects of applicable MS standard.

**AUDIT TEAM:** An audit where the auditor conducted the audit whilst leading a team of at least one other auditor.

**SOLE AUDIT:** An audit where one auditor conducted all phases of the audit.

**FIRST PARTY AUDIT:** An audit conducted within an organization by that organization's own auditing resources. Also referred to as Internal Audit.

**SECOND PARTY AUDIT:** An audit of contractors/suppliers undertaken by, or on behalf of, a purchasing organization. This may include the audit of companies or divisions supplying goods or services to others within the same group. Also referred to as a Supplier Audit.

**THIRD PARTY AUDIT:** An audit of an organization conducted by a body that is independent of the organization being audited, e.g. Certification Body.

**SPONSOR:** Persons of good character who through, acquaintance with the applicant on a professional basis, are able to attest to the applicant's personal attributes and experience.

**DOCUMENTATION REVIEW:** The evaluation by the STAREGISTER, of documentary evidence submitted by the applicant in support of his application.

**VERIFICATION:** the on-site evaluation by STAREGISTER, of the ability of the applicant to plan and conduct audits, in accordance to the requirements of this document and the ISO 19011.

**VERIFICATION AUDITOR:** A person who is authorized by STAREGISTER to evaluate the ability of applicants for their certification as STAREGISTER Auditors.

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### 3 GENERAL REQUIREMENTS FROM APPLICANT

The requirements of this section apply to all STAREGISTER MS grades are presented in the following table.

	<b>Provisional Auditor</b>	<b>Auditor</b>	<b>Lead Auditor</b>	<b>Internal Auditor</b>	<b>Consultant</b>	<b>Manager</b>
<b>Education</b>	Secondary	Secondary	Secondary	Secondary	Secondary	Secondary
<b>Personal Attributes</b>	No	Yes (1)	Yes (1)	Yes (1)	Yes (1)	Yes (1)
<b>Professional Experience</b>	N/A	3-5 years (2)	3-5 years (2)	0-1 year (2)	5-7 years (2)	3-5 years (2)
<b>MS work Experience</b>	N/A	0-2 years (2)	0-2 years (2)	N/A	2-4 years (2) & 4 certified MS	0-2 years (2)
<b>MS Professional Training</b>	40 hours* (3)	40 hours* (3)	40 hours* (3)	16 hours* (3)	40 hours* (3)	16 hours* (3)
<b>MS Auditing Experience</b>	N/A	20 audit days (4)	35 audit days from which 15 as Lead auditor (4)	N/A	20 audit days (4)	N/A

\*Could be reduced or increased justified, or not applied for distance learning programs

#### NOTES:

- (1) See clauses 3.1
- (2) See clauses 3.3 and 3.4
- (3) See clause 3.5
- (4) See clause 3.6

Olive oil and Wine Experts scopes are very specific topics and specific regulations are applicable.

In addition, applicants shall comply with the requirements described in paragraphs 3.1 to 3.5 in order to be eligible for certification.

#### 3.1 Personal Attributes

3.1.1 Applicants for certification shall be able to demonstrate the personal attributes necessary for effective and efficient performance of the audit. Desirable personal attributes for MS auditors are described in relative standards and IPC specifications:

3.1.1.1 IPC Specification BD-05-007 *“Guidance for the Development of Examinations as part of a certification scheme for MS auditors”*

3.1.1.2 IPC Specification PL-11-006 *“Evaluation Framework for the Certification of QMS and EMS Auditors”*



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3.1.1.3 IPC Criteria ML-10-005 “Criteria for Certification of QMS Consultants”

Note: For MS Managers applicable are the Personal Attributes of MS auditors

The examination process and requirements are defined by STAREGISTER Personal Attributes Manual.

**3.2 Skills and Knowledge**

3.2.1 Applicants shall, through education, training, work experience and experience, be able to demonstrate a satisfactory level of competence in all of the following areas:

- a) Management Systems and applicable MS Standards requirements,
- b) Organizational procedures, processes and documentation.
- c) Applicable Legal and Regulatory requirements related to MS Implementation.

3.2.2 Specific competence requirements are described in relevant standards and specifications and are presented in the following table:

	<b>Provisional Auditor</b>	<b>Auditor</b>	<b>Lead Auditor</b>	<b>Internal Auditor</b>	<b>Consultant</b>	<b>Manager</b>
<b>ISO 19011</b>		v	v	v	v	v
<b>IPC BD 05 MS Auditor</b>	v	v	v	v	v	
<b>IPC BD05 Lead Auditor</b>			v		v	
<b>IPC PL-11</b>		v	v		v	
<b>IPC ML 10</b>					v	
<b>ISO 10019</b>					v	
<b>Applicable MS Standard</b>	v	v	v	v	v	v

**3.3 Education**

3.3.1 Applicants shall have completed at least secondary education (typically, 12 years full-time education prior to university entrance) and, in addition, be able to provide relevant documented objective evidence.

3.3.2 For applicants, who are able to demonstrate University or post-secondary education studies awarded by an institution recognized by a national governmental body or accredited by a national professional body, reduced work experience requirements apply (see § 3.4).

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- 3.3.3 In all cases, documentary evidence of the education claimed is required.
- 3.3.4 As an alternative, applicants may be considered for certification if they can provide evidence of 10 years full time work experience and demonstrate to STAREGISTER (by an interview or other means) that they have achieved a satisfactory level of knowledge relevant to MS auditing and they possess the required personal attributes and competence.

### **3.4 Work experience – Experience in MS**

- 3.4.1 Applicants for all grades (except for Provisional Auditors and Internal Auditors) shall provide evidence of at least 5 years full-time work experience (or part time work that totals 5 years) in a technical, professional or management position involving the exercise of judgment.
- 3.4.2 For applicants, who are able to demonstrate University or post-secondary education studies awarded by an institution recognized by a national governmental body or accredited by a national professional body, reduced work experience requirements of 1 year apply.
- 3.4.3 For applicants, who are able to demonstrate post-graduate education studies awarded by an institution recognized by a national governmental body or accredited by a national professional body, related to the scheme grade, reduced work experience requirements of 2 years apply.
- 3.4.4 Applicants shall provide documentary evidence of all their work experience. This evidence must be signed by the applicant's employer and verified by STAREGISTER. Alternatively, this evidence may be presented in the form of employer references providing information on performed work, positions held, reporting levels and areas of responsibility.
- 3.4.5 The MS experience required may be concurrent with work experience, but must have been achieved in the last 6 years prior to initial certification by STAREGISTER.

### **3.5 Formal Training**

- 3.5.1 Applicants should have successfully completed (through the successful completion of an approved examination), a certified by STAREGISTER MS training course, with a minimum duration of at least 40 hours (16 hours for internal auditor and

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manager), provided by an approved by STAREGISTER training course provider. This period could be reduced or increased justified, or not applied for distance learning programs.

- 3.5.2 Alternatively, applicants may have successfully complete a MS training course, certified by another personnel certification body, member of IPC, which is recognized by STAREGISTER (See Appendix II for acceptable certification bodies of training courses, members of IPC).
- 3.5.3 This training should have taken place within the last 3 years prior to the application for MS Grade. Formal training conducted prior to this period may be accepted if the applicant is able to demonstrate appropriate field experience.
- 3.5.4 Applicants are advised to conduct STAREGISTER or refer to the STAREGISTER website ([www.staregister.org](http://www.staregister.org)) for a current listing of all STAREGISTER approved training organizations offering STAREGISTER certified MS training courses.

### 3.6 Auditing Experience

- 3.6.1 In order for the applicant to be eligible for certification, all auditing experience should have gained in the last 3 year period prior to his application.
- 3.6.2 Applicant, who satisfies the criteria of paragraphs 3.1 – 3.5 but who has insufficient, or no acceptable auditing experience, may be eligible for certification to the MS Provisional Auditor grade and/or MS Internal Auditor grade and/or MS Manager grade.
- 3.6.3 Audits required for an applicant for STAREGISTER MS grade:
  - 3.6.3.1 The auditing experience for an applicant for STAREGISTER MS grade, requiring MS auditing experience, shall include:
    - a) Each element of a MS standard, e.g. ISO 9001 or any other applicable MS standard (see § 3.7),
    - b) The entire audit process from preparation up to reporting in accordance with ISO 19011, and
    - c) Audits of whole operating facilities or business units (i.e. facility which has its own management and carries out all management functions associated with production of products or offering of services or a range of products and/or services).
  - 3.6.3.2 The applicant should have conducted as a member of an audit team, at least 4 complete MS audits. The total duration of these audits should

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amount of a minimum of 20 days on site auditing. The total auditing experience shall include documentation review, auditing activities and preparation of the audit report.

3.6.3.3 At least 2 of these audits should have involved the applicant in making an objective judgment on the overall effectiveness of the MS. This shall be a determination of whether the organization:

- a) achieved the objectives stated in the organizations MS,
- b) adheres to its own policies, and
- c) conforms to the objectives and requirements of the MS standard.

3.6.4 Audits for an applicant for STAREGISTER MS Lead Auditor grade:

3.6.4.1 Applicants for STAREGISTER MS Lead Auditor grade shall satisfy all auditing requirements of STAREGISTER MS Auditor and in addition shall have satisfactory as a Leader of an audit team,

- a) Conducted and managed a total of at least fifteen (15) audit days on site (additional to those required for the MS Auditor grade), and
- b) the audit team involved at least one other MS auditor, all
- c) in accordance with ISO 19011.

3.6.4.2 This audit experience (in addition to that required for MS Auditor grade) shall have been gained within a 3 year period prior to application.

3.6.4.3 Auditing experience shall include audits of whole operating facilities or business units (i.e. facility which has its own management and carries out all management functions associated with production of products, offering of services or a range of products or services).

3.6.5 Eligible Audits

3.6.5.1 Only independent audits may satisfy the MS auditing experience requirements. The auditor and the auditor's organization shall have independent management and operating structure from the audited organization.

Examples of acceptable audits are:

- a) a head office audit of a plant or division,
- b) one division or plant auditing another division or plant,
- c) a customer organization auditing to a supplier,
- d) a third party certification audit,
- e) a consultant contracted to provide an independent conformance audit, and

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- f) an accreditation body audit of the MS of a certification body which includes witnessing of the certification body's evaluation of a certified supplier.

See PC.F1108 Audit Log Form for analytical explanation for the above requirements.

- 3.6.5.2 All audits shall involve the entire audit process from preparation to reporting.
- 3.6.5.3 An audit day shall be not less than 6 hours on-site, excluding any breaks and no more than one audit day can be claimed in a 24 hours period.
- 3.6.5.4 For each audit submitted for certification, the applicant shall either have been conversant with the language used, or alternatively, have effectively used a competent translator during the conduct of the audit.
- 3.6.5.5 The required auditing experience shall be gained at a minimum of 4 different operating facilities or business units.
- 3.6.5.6 Auditing period is calculated considering the whole duration of both stages on a two stage audit.

### 3.6.6 Audit Log

- 3.6.6.1 Applicants for certification and for re-certification for any grade requiring auditing experience shall provide with their application an "audit log", which shall include the following information for each audit submitted:
  - a) date(s) of audit,
  - b) the duration time on-site and the total duration for the audit. These must be shown separately,
  - c) MS standard used (e.g. ISO 9001 or alternative applicable MS normative document, see § 3.7),
  - d) type of audit e.g. first (internal), second (supplier audit) or third party audit (audit by a Certification Body), consultancy or contract audit,
  - e) name and contact details (name, city and zip code, person to be contacted and phone number) for the auditee,
  - f) name and contact details (name, city and zip code, person to be contacted and phone number) for the organization that employed the auditor,
  - g) name and contact details (name, city and zip code and phone number) for the lead auditor of the audit,
  - h) number of auditors in the audit team, and
  - i) applicant's role in the audit.
- 3.6.6.2 The audit log shall be signed by either the applicant employer, the auditee or the lead auditor.

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3.6.6.3 These elements shall submitted with the complete of PC.F1108 Audit Log Form 'Audits Record'.

### 3.7 Acceptable Alternative MS Standards

- 3.7.1 Acceptable MS standards for the purpose of MS auditing experience to attain and maintain certification are applicable MS standard and/or other standards or normative documents that address a MS.
- 3.7.2 STAREGISTER maintains a catalogue of acceptable alternative to ISO 9001 standards PC.F2005 'Catalogue of acceptable alternative standards'. This catalogue is not exhaustive and it is possible that applicants may claim audits against a standard that is not included in this catalogue. The relevant Technical Committees of STAREGISTER may decide the modification of PC.F2005 form after the suggestion by any interested party and applicants are advised to contact the Ofis Coordinator for advice where they consider a standard which falls within this category.

## 4 APPLICATION

### 4.1 Submission of application

4.1.1 An application pack, with all necessary information can be obtained free of charge, from the Ofis Coordinator of STAREGISTER, following the applicants expression of interest. Alternatively, all documentation required to submit an application is available to be downloaded from the STAREGISTER website ([www.staregister.org](http://www.staregister.org)).

This pack includes:

- a) PC.F2000-2 APPLICATION FORM FOR CERTIFICATION OF MS PROFESSIONALS
- b) PC.F1108 Audit Log Form
- c) This Regulation PC.R2000 CERTIFICATION REGULATION CRITERIA FOR THE CERTIFICATION OF MANAGEMENT SYSTEMS PROFESSIONALS
- d) annual pricelist for the certification of Auditors
- e) a form of consultancy audits/projects (PC.F2003)

4.1.2 In order to apply for certification, all required forms, related material and payment of the application fee should be forwarded to STAREGISTER Ofis Coordinator at [info@staregister.org](mailto:info@staregister.org) and [turkey@staregister.org](mailto:turkey@staregister.org)

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- 4.1.3 Please note at the application stage, the certification fee must be submitted. No application will be processed without verification of applicable certification fee payment.
- 4.1.4 Applicants are strongly advised to submit all the required information, and to take care that all details are clear and correct.
- 4.1.5 All communication and correspondence in support of the application must be in the in the English language. Else should be accompanied by translations of the originals.
- 4.1.6 Any claim for qualification shall be supported by documentary evidence. An example of acceptable evidence would be a good quality photocopy of the original certificate, indicating the awarding body, the title and date of the award and the name of the awarded person. If any of this information is not available or is not clear, the applicant will be required to supply additional supporting evidence. The same applies if a copy of the certificate is not available, for example if it has been lost or destroyed. Acceptable evidence would include an official letter from the awarding body confirming the award. A transcript (i.e. an official, detailed account of the course content) of an award would also be acceptable evidence if it clearly states the date and title of the award. If no documentary evidence can be supplied by the awarding body, the qualification will not be accepted for certification purposes.

**Note:** For the certification fees see clause 10 of this document and the annual fee catalogue of STAREGISTER (form F.2000-2).

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## 5 EVALUATION OF APPLICATION

### 5.1 General

- 5.1.1 The evaluation process is described in the following flowchart and includes a review of documentation which is submitted by the applicant in support of his application (see §5.2).
- 5.1.2 This review is intended to determine the applicant's conformance with STAREGISTER requirements on education, formal training, work experience, quality experience and auditing experience, and applicant's auditing competence through personal attributes test or audit witnessing by a verification auditor (see §3.6).
- 5.1.3 All information contained in applications is treated as confidential, except where the applicant has agreed for specific information release, for example, the information contained in the Registry of Certified Professionals.
- 5.1.4 Duration of processing of the application usually is two-four weeks. However, the processing time depends significantly on the time required to verify the accuracy of information submitted within the application.
- 5.1.5 Examination of knowledge for all STAREGISTER MS certification programs is performed according to applicable IPC specifications and guidelines:
- 5.1.5.1 IPC Specification BD-05-007 *“Guidance for the Development of Examinations as part of a certification scheme for MS auditors”*
  - 5.1.5.2 IPC Specification PL-11-006 *“Evaluation Framework for the Certification of QMS and EMS Auditors”*
  - 5.1.5.3 Criteria ML-10-005 *“Criteria for Certification of QMS Consultants”*

The examination process and requirements are finalized by each relevant Technical Committee according to STAREGISTER New Schemes Validation Manual.



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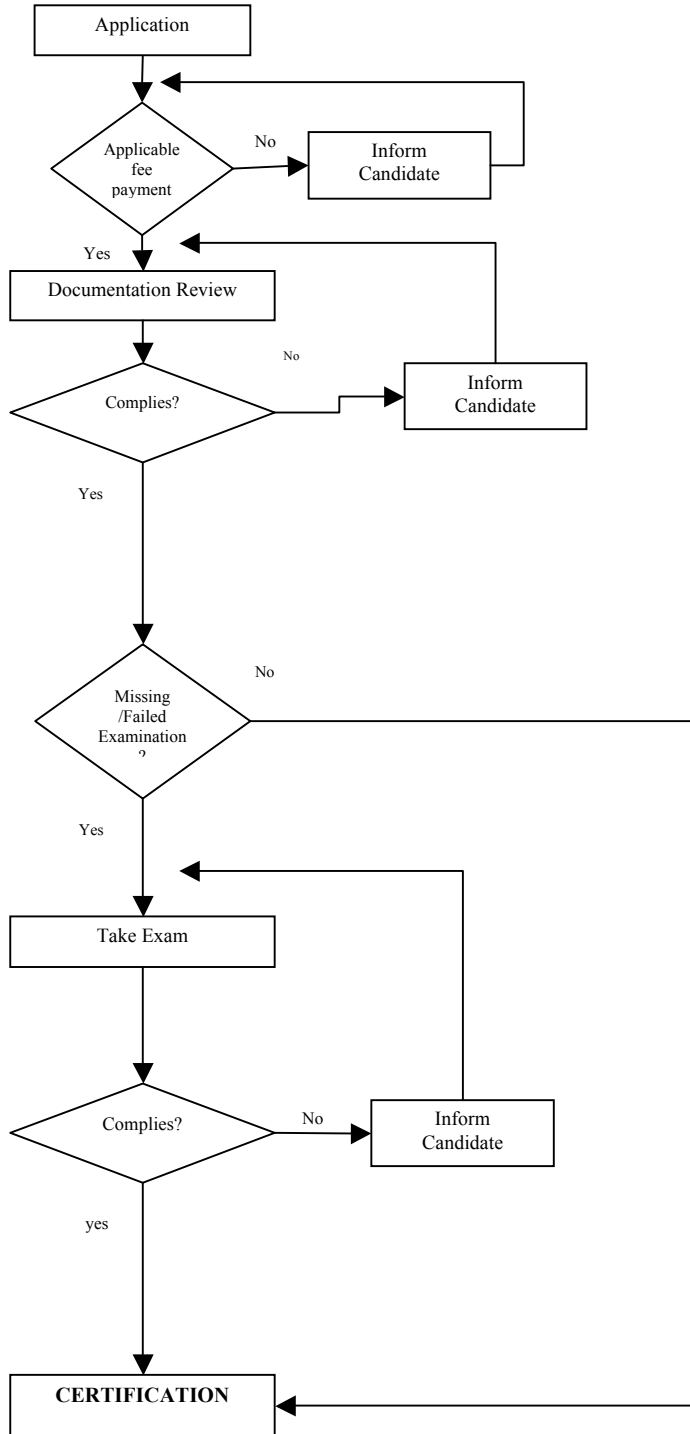
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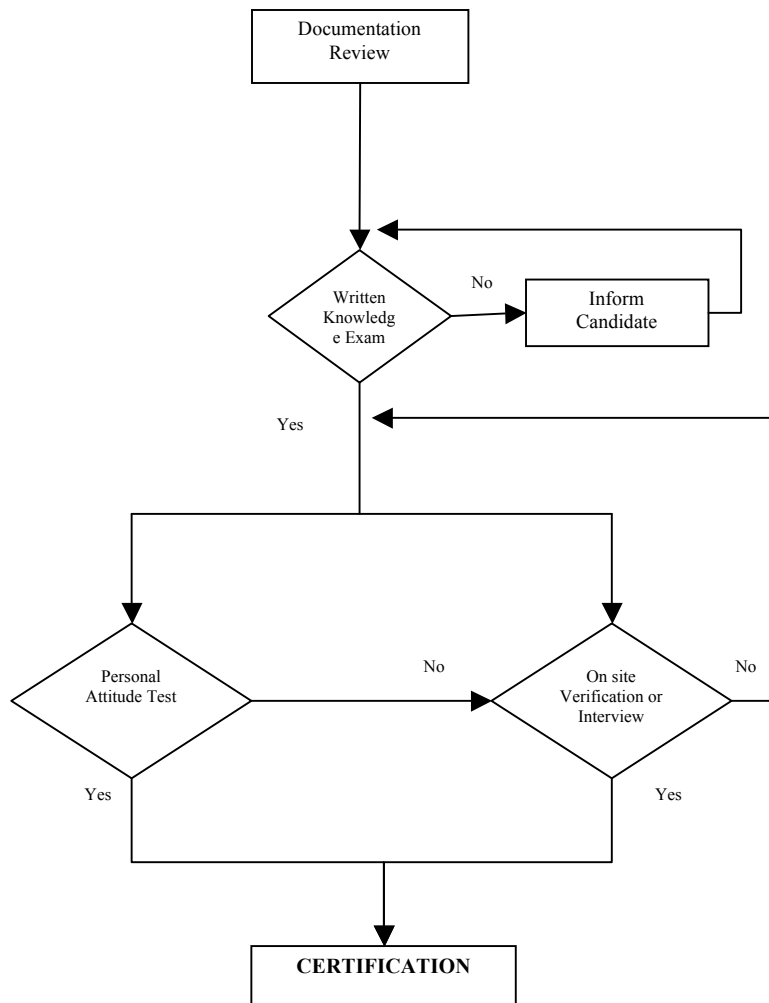
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## 5.2 Documentation Review

- 5.2.1 This section describes the process used by STAREGISTER for conducting documentation review of applications and the roles/responsibilities of the personnel involved in this process.
- 5.2.2 Documentation review process
- 5.2.2.1 All applications are initially checked by the Certification Ofis Coordinator of STAREGISTER in order to verify the completeness and accuracy of the information provided within the application. Afterwards, the folder is forwarded to the verification auditor of STAREGISTER, who conducts the documentation review.
- 5.2.2.2 The verification auditor confirms that each applicant satisfies STAREGISTER requirements as detailed in section 3 of this present regulation. All verification auditor comments are filed in the folder of each applicant.
- 5.2.3 Verification Personnel
- 5.2.3.1 Evaluation of applications for certification is conducted by persons who are free from bias and vested interest and have the capability to perform an impartial and objective evaluation. Evaluation personnel may be either employees or contractors of STAREGISTER.
- 5.2.3.2 STAREGISTER ensures that all verification auditors are suitably qualified persons who have received the necessary training to enable them to make reasoned judgments regarding the applicant's conformance with STAREGISTER requirements for qualifications and experience.
- 5.2.3.3 The verification auditors evaluate the information submitted against the certification criteria and perform verification of some or all of this information. At the conclusion of the evaluation, the verification auditors prepare a written recommendation for certification or not, to the Certification Committee.
- 5.2.3.4 STAREGISTER considers verification as an essential element supporting the overall credibility of the certification process. Consequently, great care is taken by the STAREGISTER verification auditors in reviewing and verifying applications against all aspects of the certification criteria. However, unusual educational qualifications, employers who are delaying to provide verification information and applicants that are not helpful will inevitably delay the process.

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- 5.2.3.5 For the Verification of the education and training documentation STAREGISTER requires the submission of:
- a) photocopies of the above documentation (certificates, diplomas, etc),  
or
  - b) a letter from the qualifying authority confirming that the certificate/diploma was granted.
- 5.2.3.6 STAREGISTER may obtain information from any of the following reference sources:
- a) applicants management,
  - b) applicants customers,
  - c) the applicant's employer and/or sponsor,
  - d) educational and training institutions.
- 5.2.3.7 STAREGISTER verifies that reference sources are appropriate to ensure the accuracy of the evidence submitted by the applicant.
- 5.2.3.8 Telephone interviews or other appropriate means may be used as part of the evaluation of each application. For each initial application, re-certification or upgrade, the accuracy of the following information submitted shall be verified through the documentary review:
- a) MS experience (if applicable),
  - b) work experience, including:
    - b1) the nature of the business of the organization,
    - b2) the dates of commencement and termination of employments,  
and
    - b3) the applicants responsibilities during employment.
- 5.2.3.9 For each initial application and for each application for an upgrade, the accuracy of applicant's experience information submitted shall be verified by STAREGISTER for at least one of the evidence recorded on the application form. For example, for the verification of an audit the following elements will be verified for at least one audit included in the audit log:
- a) applicant's competence in performing all phases of the audit,
  - b) audit dates and audit duration on-site,
  - c) MS standard used,
  - d) type of audit conducted (e.g. first, second or third party audit),
  - e) audit conducted in accordance with ISO 19011,
  - f) applicant's role in the audit,
  - g) number of auditors in the audit team,
  - h) name of the lead auditor, and
  - i) auditor's relationship to audited organization.

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### 5.3 Responsibilities, Selection and Monitoring of Verification Auditors

5.3.1 This clause describes the responsibilities, selection criteria and performance monitoring of verification auditors.

#### 5.3.2 Objectives of Verification

5.3.2.1 The objectives of verification are:

- a) to verify an applicant's competence in accordance with applicable requirements,
- b) to verify an applicant's ability to understand the application of an acceptable MS standard (e.g. ISO 9001), and
- c) to verify that the applicant demonstrates the required personal attributes.

5.3.3 Responsibilities of the STAREGISTER regarding the allocation of Verification Auditors

5.3.3.1 STAREGISTER:

- a) selects Verification Auditors in accordance to procedure P.035, and
- b) maintains records of Verification Auditor reports.

5.3.3.2 In order to provide an accurate evaluation of the competence of the applicant, STAREGISTER, during the allocation of Verification Auditors, assures that they:

- a) are performing in an ethical manner, and
- b) are objective and impartial in their verification.

5.3.4 Selection Criteria for Verification Auditors

5.3.4.1 Persons who can demonstrate a broad range of auditing experience may submit application as STAREGISTER Verification auditors. The required information is presented at the relative application (see P.035 & F.035-1).

5.3.4.2 Verification auditors are able to evaluate the verification objectives which described in paragraph 5.3.2.

5.3.4.3 Verification Auditors are required to understand STAREGISTER criteria for certification, including their role as a verification auditor. This may be demonstrated though:

- a) compliance according paragraph 5.3 or STAREGISTER procedures that require objective evidence of understanding of STAREGISTER criteria for certification, and
- b) training in STAREGISTER criteria and procedures.

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### 5.3.5 Role of STAREGISTER in the selection of Verification Auditors.

5.3.5.1 The Managing Director of STAREGISTER with the assistance of the Quality Manager approves the selection of each Verification Auditor.

#### 5.3.5.2 STAREGISTER:

- a) evaluates the acceptability of person selected as Verification Auditor in accordance with this document,
- b) conducts a review at least every year to assure itself that each Verification Auditor continues to keep up to date the requirements of a Verification Auditor as these are determined in this document,
- c) recognizes as Verification Auditors only persons for whom there is confidence is satisfied that they carry out the role and responsibilities of a verification auditor in a satisfactory manner.

## 5.4 Verification Audit Process

If the candidate for an auditing grade refuses to take the Personal Attributes test, or he/she fails it (Red zone categorization) then an on-site assessment (verification audit) should be performed.

### 5.4.1 Verification Audit

If an on-site assessment of the candidate is required, then a Report of Verification Process/Interview should be prepared.

5.4.1.1 The report on the applicant's competence which is prepared by Verification Auditors indicates the aspects of the audit and of the management system standard which have been observed. The report includes detailed comments on the applicant's ability in the following areas for each audit activity witnessed as applicable:

- a) maintain ethical behavior,
- b) effective communication in the language of audit either directly or through an interpreter and/or technical experts,
- c) performance of the documentation review,
- d) performance of audit planning including preparation of working documents,
- e) performance at opening meeting,
- f) maintain flexible but focused attitude during the audit,
- g) understanding of the application of each element of the standard,

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- h) interaction with the audited and suitability of data gathering,
- i) handling documents and information in a professional and confidential manner,
- j) document findings and notify to the auditee of critical non conformances,
- k) input to decision making process,
- l) participation in team meetings,
- m) performance during closing meeting,
- n) performance of audit reporting,
- o) effective management of the audit process to ensure audit requirements are met (Lead Auditor only).

See F.2000-9 form for analytical explanation of the above items.

## 5.5 Interview Process

5.5.1 STAREGISTER determines if an applicant has to be interviewed. If the candidate for Consultant or Manager grade refuses to take the Personal Attributes test, or he/she fails it (Red zone) an interview may be required.

An interview may also be required if the process of verification of the information provided within the application does not fully confirm its accuracy, or if the educational level of the applicant does not meet the requirements of Section 3 "General requirements from applicant" of this document, or for any other reason related to MS certification criteria.

5.5.2 STAREGISTER applies documented procedures for the selection and training of interviewers and for the conduct of the interviews. The interview (which is conducted based on the procedure P.O45) includes:

- a) selection of the interviewers,
- b) timing, place and duration of the interview,
- c) list of questions for the interview,
- d) process of reporting the outcome of the interview and advising the interviewee of the result,
- e) methodology for the determination of the necessary subjects of questionnaire,
- f) objections process for persons interviewed.

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## 6 CERTIFICATION

### 6.1 Certification Manager

6.1.1 The final decision on certification is taken by the Certification Manager. This process is performed independently of the evaluation process which is described in the above paragraphs.

6.1.2 The Certification Manager prepares a formal letter for each applicant who has succeeded in the evaluation. This letter will be accompanied by information regarding the annual certification fee.

**Note:** For the certification fees see clause 10 of this document and the annual fee catalogue of STAREGISTER (form F.2000-2).

### 6.2 Certification as a “Sector Scheme” Auditor

6.2.1 The criteria presented in this document are applicable for MS Professionals and they do not include any requirements for applicants regarding specific industry sector knowledge or experience.

6.2.2 STAREGISTER operates sector certification schemes that are designed to address the requirements of specific industry sectors. These are referred as sector schemes and the criteria for certification to these sector schemes are detailed separately. You can refer to the STAREGISTER website ([www.staregister.org](http://www.staregister.org)) for a listing of all STAREGISTER auditor certification schemes.

### 6.3 Certificates and Identification Cards

6.3.1 A Certification Card will be issued following the initial award of certification and reissued annually thereafter following payment of the certification fee and compliance with all stated criteria. Cards issued to certify MS Professionals are only valid for one year from date of issue.

6.3.2 The certification card is the primary evidence of certification and should be presented upon request. The certification card remains the property of STAREGISTER and must be returned upon request.

6.3.3 If the applicant wishes the issue of a certificate he will be burdened with a fee as determined in form F.2000-2 pricelist. This certificate should not be used as proof of certification, if it is not accompanied by a valid certification card.



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6.3.4 Certificates identification cards state:

- a) Auditor's name.
- b) Certification expiration date.
- c) Certification code.
- d) Certification grade.
- e) Name / logo of STAREGISTER.
- f) Certification date.

6.3.5 Details concerning certified auditors are entered into the registry of certified professionals.

6.3.6 STAREGISTER systematical updates the electronic records of its registry and prints these upon request. A charge may be applied according to the size and complexity of the registry ordered.

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## **7 OBLIGATIONS OF CERTIFIED MS PROFESSIONALS**

### **7.1 Complaints against Certified MS Professionals**

7.1.1 Applicants for initial certification and recertification as MS Professionals shall sign the application form (F.2000-6), stating compliance to the following:

- a) Maintenance and compliance with the STAREGISTER Code of Conduct (see § 7.2).
- b) Maintenance of a log with all complains concerning their professional conduct. The renewal of certification will take into consideration the nature of expressed complains.

### **7.2 STAREGISTER Code of Conduct**

7.2.1 All STAREGISTER certified MS Professionals are obliged to improve the standing of their profession by rigorously observing the following Code of Conduct. Failure to do so may result in suspension or withdrawal of certification. STAREGISTER certified MS Professionals undertaken:

- a) To act professionally, accurately and in an unbiased manner.
- b) To strive to increase the competence and prestige of their profession.
- c) To assist those under their supervision in developing their management, and professional skills.
- d) Do not undertake work they are not competent to perform.
- e) Do not represent conflicting or competing interests and do not disclose to any customer or employer any relationships that may influence their judgment.
- f) Do not discuss or disclose any information relating to their projects unless required by law or authorized in writing by their customers and/or employees.
- g) Do not accept any commission, gift or any other benefit from customer organizations, their employees or any interested party or knowingly allow colleagues to do so.
- h) Do not intentionally communicate false or misleading information that may compromise the integrity of their work,
- i) Do not act in any way that would prejudice the reputation of their professional certification or the certification process, and
- j) To co-operate fully with any inquiry in the event of any alleged breach of this code.

7.2.2 Nonconformity of STAREGISTER certified MS Professionals with this Code is evaluated by STAREGISTER Executive Council after suggestion of the Certification Manager. The decision of Executive Council is final.

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### **7.3 Complaints and Objections**

- 7.3.1 STAREGISTER certified MS Professionals and applicants for certification have the right to object to any decision taken by STAREGISTER. STAREGISTER has a documented procedure for the consideration of complains and objections against its certification, re-certification and decisions concerning the withdrawal of certification.
- 7.3.2 Similarly, complaints made by STAREGISTER certified MS Professionals against STAREGISTER, or against other certified professionals, by a customer or other PCB or by a certified course provider, will be considered accordingly to established STAREGISTER procedures.

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## **8 USE OF CERTIFICATION CREDENTIALS / WITHDRAWAL OF CERTIFICATE**

### **8.1 Use of Certificate**

STAREGISTER applies a documented procedure for the right usage of certificates P.085.

### **8.2 Cancellation and withdrawal of Certificates**

8.2.1 STAREGISTER applies a documented procedure for the cancellation of certification and the withdrawal of certificates.

8.2.2 STAREGISTER retains the right to withdraw certificates of certified MS Professionals who do not continue to comply with certification criteria.

8.2.3 Similarly, STAREGISTER retains the right to undertake action against the certification of certified MS Professionals who are found to have acted contrary to the STAREGISTER Code of Conduct. Options include suspension of certification and in instances of serious or sustained non conformities, withdrawal of certification.

8.2.4 Notices of withdrawal of certification are published by the STAREGISTER in the relevant registry.

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## 9 MAINTENANCE CERTIFICATION

### 9.1 Maintenance of Certification

9.1.1 All STAREGISTER certified MS Professionals are periodically recertified. The period between initial certification and recertification is 3 years. Each applicant for re-certification shall maintain an audit/or consulting projects log on which shall be recorded details of each audit/consulting project undertaken and details of professional development undertaken or submit a list of audits/projects performed. Alternative, he/she can submit an official letter from his/her employer stating the experience gained..

9.1.2 During the certification period, at the end of the first year, certification may be maintained by payment of the annual fee and by compliance with the STAREGISTER Code of Conduct.

**Note:** After his registration, each STAREGISTER certified MS Professionals shall be submitted in one recertification exam in every 3 year period.

9.1.3 For renewal of certification, the Continuous Professional Improvement (CPI)/training log (F.2000-3) is required to be submitted to STAREGISTER at the end of the certification period, i.e. at the end of the third complete year following initial or previous renewal of certification. STAREGISTER certified MS Professionals are advised not to submit this information until requested by letter to do so by STAREGISTER.

9.1.4 The audit experience requirement does not apply to Provisional Auditor and Manager. This grade may be maintained indefinitely on satisfactory demonstration of compliance with paragraphs 3.4-3.5 of this document.

9.1.5 For STAREGISTER MS Auditor.

9.1.5.1 For each year of the recertification period, STAREGISTER MS Auditors shall submit documentary evidence either of having performed a minimum of two complete MS audits (at least 6 acceptable audits in all the duration of the recertification period) or of having acquired equivalent auditing experience (use the F.2000-1). All audits shall be conducted in accordance with the principles and practices described in ISO 19011.

9.1.5.2 Audits should be reasonably distributed with the 3 year re-certification period. A maximum period of 18 months is permitted between audits submitted for re-certification.

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9.1.6 For STAREGISTER MS Lead Auditor:

9.1.6.1 For each year of the re-certification period, STAREGISTER MS Lead Auditor shall submit documentary evidence either of having performed a minimum of two complete MS audits (at least 6 acceptable audits should be performed throughout the 3 year duration of the recertification period) or of having acquired equivalent auditing experience. Half of the audits required for re-certification (anyone from 6 audits above) shall have been performed in the capacity of audit team leader, leading a team of at least one other auditor. All audits shall have been conducted in accordance with the principles and practices described in ISO 19011.

9.1.6.2 Audits should be reasonably distributed with the 3 year re-certification period. A maximum period of 18 months is permitted between audits submitted for re-certification.

9.1.7 For STAREGISTER MS Internal Auditor.

9.1.7.1 For each year of the recertification period, STAREGISTER MS Auditors shall submit documentary evidence either of having performed a minimum of one MS internal audits (at least 3 acceptable internal audits in all the duration of the recertification period) or of having acquired equivalent auditing experience (use the F.2000-1). All audits shall be conducted in accordance with the principles and practices described in ISO 19011.

9.1.7.2 Audits should be reasonably distributed with the 3 year re-certification period. A maximum period of 18 months is permitted between audits submitted for re-certification.

9.1.8 For STAREGISTER MS Consultant.

9.1.8.1 For each year of the recertification period, STAREGISTER MS Consultants shall submit documentary evidence either of having performed a minimum of one MS consulting project (at least 3 acceptable MS consulting projects in all the duration of the recertification period). All audits shall be conducted in accordance with the principles and practices described in ISO 19011.

9.1.8.2 MS consulting projects should be reasonably distributed with the 3 year re-certification period. A maximum period of 18 months is permitted between audits submitted for re-certification.

9.1.9 For STAREGISTER MS Manager.

9.1.9.1 For each three year recertification period, STAREGISTER MS Consultants shall submit documentary evidence of having worked as MS Manager for at least one year.

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#### 9.1.10 Continuing Professional Improvement (CPI)

- 9.1.10.1 Each STAREGISTER MS Professional shall, for each year of the re-certification period, undertaken at least 10 hours of appropriate continuing professional development. Evidence of that professional development, shall be submitted as part of the application for re-certification (also see Appendix I).
- 9.1.10.2 The professional development records shall present the duration and type of activity undertaken and details of the provider of such activity.
- 9.1.10.3 For the selection of appropriate professional development, MS professionals should consider their personal strengths and weaknesses and identify areas for personal improvement. Professional development activities undertaken shall be related to quality principles and practices or improving professional methodologies.

#### 9.1.11 Reducing the scope of certification

- 9.1.11.1 At the end of each certification cycle and if the certified professional cannot provide STAREGISTER with the required evidence for maintaining his grade, he is then offered a reduction to a lower grade, where all requirements are met.

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## **10 CERTIFICATION FEES**

Fees are set annually and apply for the calendar year (1 January – 31 December). Current fees are detailed on the fee schedule, F.2000-2, available from the STAREGISTER Ofis Coordinator or website.

### **10.1 Application fee**

All application fees are included in Initial certification fee.

### **10.2 Initial certification fee**

Applications received without this fee will not be processed. This fee covers the administration and initial certification costs. Applicants should note that this fee will not be refunded even if the application is rejected or the candidate fails examination.

### **10.3 Annual certification fee**

This fee is due on receipt dispatched at the end of each year, for the year following the initial certification.

### **10.4 Fee of application for upgrading**

10.4.1 This fee covers the administration costs which are required for the processing the application. It is due with the application for upgrading and is not refundable.

10.4.2 Upgrading applications can be evaluated at any time during the period a professional is certified.



<b>CERTIFICATION REGULATION</b>	
<b>CRITERIA FOR THE CERTIFICATION OF MANAGEMENT SYSTEMS PROFESSIONALS</b>	
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## **11 RECORDS**

STAREGISTER maintains the necessary records to demonstrate conformance to the requirements of this regulation. These records are maintained for 10 years.

## **12 CONFIDENTIALITY**

All information, correspondence and documentation submitted by applicants or by existing certified MS professionals in support of certification activities are considered as strictly confidential. However, STAREGISTER reserves the right to publish relevant details of each certified MS professionals in its registries.

All candidates, with the submission of their application, agree that all included information can be recorded in the electronic and/or written archive of STAREGISTER, according to the applicable requirements regarding the protection of personal data.

## **13 LEGAL STATUS**

The certification of MS professionals by STAREGISTER and all activities associated with the administration of the registry is governed by the US/Illinois Law and is subject to the exclusive jurisdiction of the US/Illinois Courts.

## **14 HISTORY OF DOCUMENT**

R.2000 Version 2.4      Added specialization in FSMS Beer Somelier, Friend of Olive Oil and MS-IT grades for Social Media Experts

PC.R2000    Ver 3.    The document number is changed as PC.R2000 to adopt the numeration documentation after the union of STAREGISTER and TQNet