

CERTIFICATION REGULATION

CRITERIA FOR THE CERTIFICATION OF MANAGEMENT SYSTEMS PROFESSIONALS

Number Code: PC.R2000

Valid from: 02.12.2011

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**CERTIFICATION REGULATION OF
STAREGISTER MANAGEMENT SYSTEMS PROFESSIONALS**



STAREGISTER

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CRITERIA FOR THE CERTIFICATION OF MANAGEMENT SYSTEMS PROFESSIONALS	
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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 Ethics (§ 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:

- MS Auditors,
- MS Consultants,
- MS Managers.

Relative to the following MS Standards:

- Quality Management (ISO 9001)
- Environmental Management (ISO 14001)
- HACCP (ISO 22000)
- OHSAS (OHSAS 18001)
- Social Accountability (SA 8000)
- Risk Management (ISO 31000)
- Accreditation Systems (ISO 17020, 17021, 17024, 17025, 17065)
- Energy Management (ISO 50001)
- Information Management (ISO 27001)

Note: Yellow high-lighted schemes are not accredited.

Offering the following professional designations:

MS Auditors	MS Consultants	MS Managers	MS Experts**	MS-IT
CQMA™ - Quality Management Systems (ISO 9001)	QMCTM- Quality Management Systems (ISO 9001)	CQM™ - Quality Management Systems (ISO 9001)	CCWETM – Certified Connoisseur Wine Expert	Information Security Professionals (ISO 27001)
CEMA™ - Environmental Management Systems (ISO 14001)	CEMCTM- Environmental Management Systems (ISO 14001)	CEM™ - Environmental Management Systems (ISO 14001)	CFOOTM – Certified Friend of Olive Oil	IT Service Management Professionals (under development)
COHA™ - Occupational Health & Safety Management Systems (OHSAS 18001)	COHCTM- Occupational Health & Safety Management Systems (OHSAS 18001)	COHM™ - Occupational Health & Safety Management Systems (OHSAS 18001)	CPWETM – Certified Pro Wine Expert	
CFSA™ - Food Safety Management Systems (ISO 22000)	CFSC™- Food Safety Management Systems (ISO 22000)	CFSM™ - Food Safety Management Systems (ISO 22000)	CPOIETM – Certified Pro Olive Oil Expert	
			CS™ – Certified Sommelier	

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22000) - <i>Specialization: Wine and Olive Oil Expert*</i>		22000)	CWE™ – Certified Wine Expert	Social Media Experts:
SASA™ – Social Accountability Management Systems (SA 8000)	SASC™ – Social Accountability Management Systems (SA 8000)	SASM™ – Social Accountability Management Systems (SA 8000)	COIE™ – Certified Olive Oil Expert	CSMPB™ – Certified Social Media Professional Basic
CRMA™ - Risk Management Systems (ISO 31000)	CRMC™ - Risk Management Systems (ISO 31000)	CRMM™ - Risk Management Systems (ISO 31000)	CEST™ – Certified Expert Sommelier	
CASA™ – Accreditation Management Systems (ISO 17000)	CASC™ – Accreditation Management Systems (ISO 17000)	CASM™ – Accreditation Management Systems (ISO 17000)	CBS™ – Certified Beer Sommelier	CSMPA™ – Certified Social Media Professional Advanced
CENMA™ – Energy Management Systems (ISO 50001)	CENMC™ – Energy Management Systems (ISO 50001)	CENM™ – Energy Management Systems (ISO 50001)		CSMPETM™ – Certified Social Media Professional Expert

According to the following certification grades:

MS Auditors	MS Consultants	MS Managers
Provisional Auditor		
Auditor	Consultant	Manager
Lead Auditor		
Internal Auditor		

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.

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- 2.1.3 IPC 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 IPC MS Lead Auditor grade is awarded to applicants who have satisfied the criteria for IPC 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 are applied:

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.

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.

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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. Verification Auditor shall be an MS Lead Auditor.

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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.

	Provisional Auditor	Auditor	Lead Auditor	Internal Auditor	Consultant	Manager
Education	12years compulsory education	12years compulsory education	12years compulsory education	12years compulsory education	12years compulsory education	12years compulsory education
Personal Attributes	Yes (1)	Yes (1)	Yes (1)	Yes (1)	Yes (1)	Yes (1)
Professional Experience	N/A	3-5 years (2)	3-5 years (2)	0-1 year (2)	5-7 years (2)	3-5 years (2)
MS work Experience	N/A	0-2 years (2)	0-2 years (2)	N/A	2-4 years (2) & 4 certified MS	0-2 years (2)
MS Professional Training	40 hours* (3)	40 hours* (3)	40 hours* (3)	16 hours* (3)	40 hours* (3)	16 hours* (3)
MS Auditing Experience	N/A	20 audit days (4)	35 audit days from which 15 as Lead auditor (4)	N/A	20 audit days (4)	N/A
Exam	General Knowledge exam (Relevant Standard +ISO 19011) Personnel Attribute Test	General Knowledge exam (Relevant Standard +ISO 19011) Personnel Attribute Test	General Knowledge exam (Relevant Standard +ISO 19011) Personnel Attribute Test	General Knowledge exam (Relevant Standard +ISO 19011) Personnel Attribute Test	General Knowledge exam (Relevant Standard +ISO 10019) Personnel Attribute Test	General Knowledge exam (Relevant Standar)

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

NOTES:

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

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

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 (ISO 19011) and IPC specifications.

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3.1.1.1 IPC Specification PL-11-006 “IPC Management System Auditors (For MS Auditors and MS lead Auditors)

3.1.1.2 IPC Certification Scheme PL-14-04 “Management System Managers” (For Managers)

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

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) ISO 19011: Guidelines for auditing management systems Clause 7.2.3 Knowledge and Skills.)
- c) ISO 19011: Guidelines for auditing management systems Annex A (informative) Guidance and illustrative examples of discipline-specific knowledge and skills of auditors
- d) 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:

	Provisional Auditor	Auditor	Lead Auditor	Internal Auditor	Consultant	Manager
ISO 19011	x	x	x	x		x
IPC PL-11-006		x	x			
PL-14-04						x
IPC ML 10-005					x	
ISO 10019					x	
Applicable MS Standard	x	x	x	x	x	x

3.3 Education

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

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3.3.2 For applicants, who 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).

3.3.3 In all cases, documentary evidence of the education claimed is required. In case these documentary evidence (e.g University etc. diploma) cannot be verified. It is considered accurate based on the statement of the applicant. PC. F2000 Application Form Clause 8 declaration)

3.4 Work experience – Experience in MS

3.4.1 Applicants for MS Auditor and MS Lead Auditor 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 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 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 1 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 3 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 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.

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3.5.2 Alternatively, applicants may have successfully completed a MS training course, certified by another personnel certification body, member of IPC, which is recognized by STAREGISTER (See members of IPC from www.ipcaweb.org).

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) for a current listing of all STAREGISTER approved training organizations offering STAREGISTER certified MS training courses.

Note: STAREGISTER co-operate with other Participating Bodies in exchanging relevant information, necessary to safeguard the integrity and credibility of the certification programmes, and of the Agreement, consistent with its commitment to maintain confidentiality including appropriate details of a certified person or applicant or recognized training course; this is applicable only on request of certified person or recognized training course institute.

For more information about IPC MLA signatory www.ipcaweb.org

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, are 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 IPC MS Auditor 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).

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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 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 judgement 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 IPC 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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3.7 Exams:

3.7.1 The exams for MS professionals consists of General Knowledge Test (of the relevant Management System standard), ISO 19011 for Auditors (Lead, auditor, provisional, internal), ISO 10019 for consultants and Personnel Attribute Test of STAREGISTER.

3.7.2 The written and online exams are proctored exams. Applicants may attend the exams with proctor(s).

3.7.3 The instructions related to the exam will be given to the applicant by the proctor during the exam.

3.7.4 At the exams the applicants may not use any electronic devices may only use international standard that they applied to be MS Professional.

3.7.5 The pass grades for the MS Professionals exams are below:

Pass Grade	Provisional Auditor	Auditor	Lead Auditor	Internal Auditor	Consultant	Manager
General Knowledge exam (Relevant Standard +ISO 19011)	42 points /60 Questions	42 points /60 Questions	42 points /60 Questions	42 points /60 Questions	NA	NA
General Knowledge exam (Relevant Standart +ISO 10019) Personnel Attribute Test	NA	NA	NA	NA	42 points /60 Questions	42 points /60 Questions
Personnel Attribute	<37 points /150 Points NO Certification 38<=points<=74 Take the exam every year >74 Take the exam in recertification period.	<37 points /150 Points NO Certification 38<=points<=74 Take the exam every year >74 Take the exam in recertification period	<37 points /150 Points NO Certification 38<=points<=74 Take the exam every year >74 Take the exam in recertification period	<37 points /150 Points NO Certification 38<=points<=74 Take the exam every year >74 Take the exam in recertification period	<37 points /150 Points NO Certification 38<=points<=74 Take the exam every year >74 Take the exam in recertification period	NA

3.7.6 Failing to pass the exam:

If the applicant has failed in the written or other parts of the examination, but passed in the other, the applicant may take a new examination in the failed part within 12 months after the exam date.

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3.8 *Acceptable Alternative MS Standards*

3.8.1 Acceptable MS standards for the purpose of MS auditing experience (for ISO 9001) to attain and maintain certification are applicable MS standard and/or other standards or normative documents that address a MS.

3.8.2

S/N	STANDARD TITLE	ISSUE
1	ISO 17000 series	Last version
2	ISO 13485	Last version
3	AQAP:100 Series of standards	Last version
4	ISO/TS 16949	Last version
5	AS 9100 Series of Standards	Last version

3.9 *Transfer Certification*

The valid certificates from an accredited personnel certification body that is an IPC MLA signatory may be transferred for the schemes within STAREGISTER scopes. For the transfer of other certificates out of IPC MLA the requirements of this Regulation must be fulfilled.

For Transfer Fees please contact STAREGISTER Offices (see the Offices on www.staregister.org)

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 Certification Officer of STAREGISTER or web-site www.staregister.org 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).

The applicant should mark the grade which he/she is applying for. If the applicant has no objective evidence of audit experience he/she marks for the provisional auditor.

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This pack includes:

- a) PC. F2000 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) a form of consultancy audits/projects (PC. F2003)
- e) PC. F6000 Confidentiality Impartiality Agreement

* For annual Pricelist please ask information from STAREGISTER offices (see: www.staregister.org)

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 Office Coordinator at info@staregister.org and turkey@staregister.org

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 (or Turkish if applicable). 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.

4.1.7 If the applicant has any disability and declared it, the help needed will be provided by the examination center.

Note: For annual Pricelist please ask information from STAREGISTER offices see: www.staregister.org

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5 EVALUATION OF APPLICATION

5.1 General

5.1.1 The 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 Flowchart A).

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 (www.ipcaweb.org):

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 "CERTIFICATION SCHEME "IPC MANAGEMENT SYSTEM AUDITORS")*

5.1.5.3 *Criteria ML-10-005 "Criteria for Certification of QMS Consultants"*

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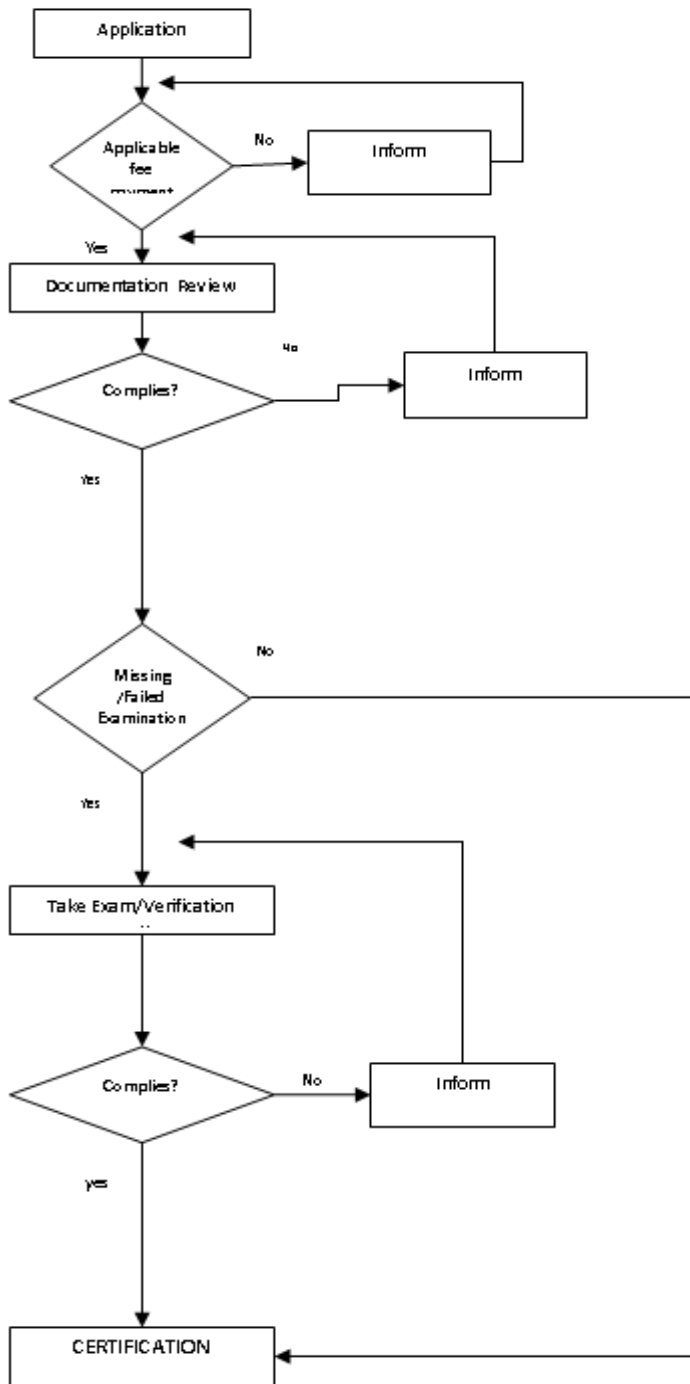
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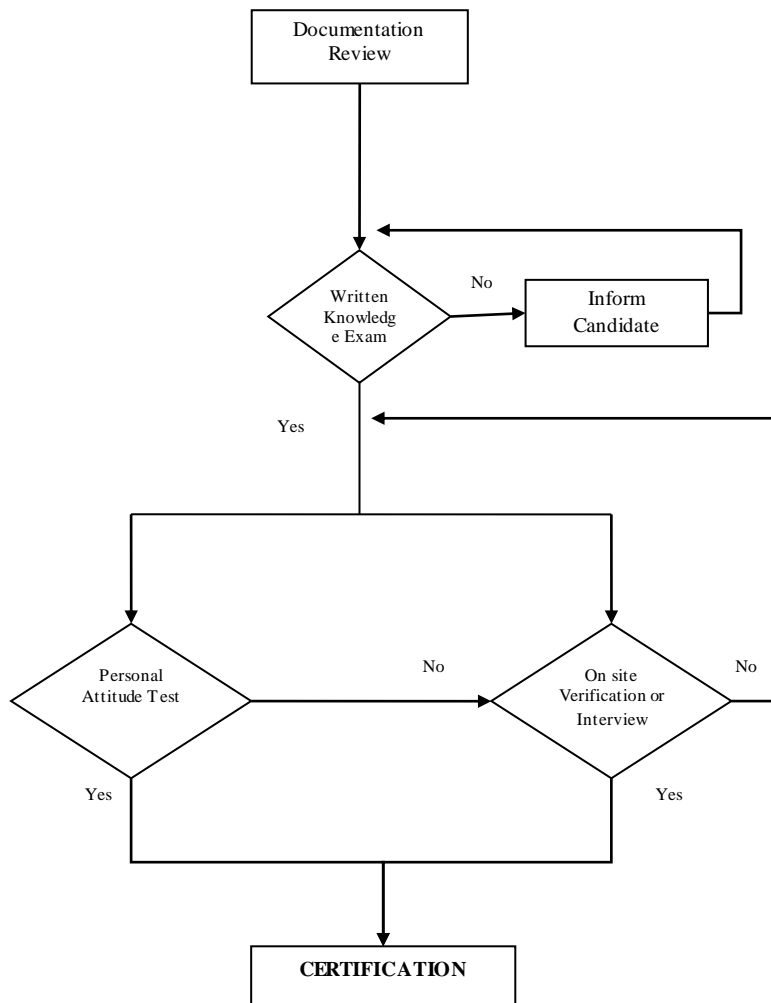
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Provisional-Internal Auditor

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Auditor-Lead Auditor

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 Office 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.

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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.

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) applicant's management,
- b) applicant's 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:

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- 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 applicant's 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.

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 PC.1002 Job descriptions
- b) maintains records of Verification Auditor reports. PC.F2009 Applicant's Verification Audit Report

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5.3.3.2 In order to provide an accurate evaluation of the competence of the applicant, STAREGISTER, during the allocation of Verification Auditors assure 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.

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.

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

5.3.5.1 CEO 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) 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) may be performed.

5.4.1 *Verification Audit*

If an on-site assessment of the candidate is required, then a PC.2009 Applicant's Verification Audit Report /Interview should be prepared.

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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,
- 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).

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 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 as a “Sector Scheme” Auditor*

6.1.1 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.

6.1.2 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) for a listing of all STAREGISTER auditor certification schemes.

6.2 *Certificates*

6.2.1 A Certificates 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.

6.2.2 The certificate 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.

6.2.3 If the applicant wishes the issue of a certificate he will be burdened with a fee (please ask from STAREGISTER offices (maybe seen www.staregister.org))

6.2.4 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.

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

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6.2.6 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.

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 (PC. F2000), 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 Ethics*

STAREGISTER as the Society of Training providers, Assessors and Registered professionals do hereby commit ourselves to the highest standards of ethical and professional conduct, and agree to be guided by this code of ethics, and encourage every STAREGISTER Certified Professional to do the same.

Thus, it is a prerequisite for all STAREGISTER certified professionals to agree to the following Code of Ethics, before awarding their Certification:

Professionalism

- I will maintain professional conduct in the workplace, and will not allow personal feelings or beliefs to cause me to treat people unfairly or unprofessionally.

Personal Integrity

- I will be honest in my professional dealings, and forthcoming about my competence and the impact of my mistakes. I will seek assistance from others when required.
- I will avoid conflicts of interest and biases whenever possible. When my advice is sought, if I have a conflict of interest or bias, I will declare it if appropriate, and recluse myself if necessary.

Privacy

- I will access private information only when it is necessary in the course of my technical duties. I will maintain and protect the confidentiality of any information to which I may have access regardless of the method by which I came into knowledge of it.

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Laws and Policies

- I will educate myself and others on relevant laws, regulations and policies regarding the performance of my duties.

Communication

- I will communicate with management, users and colleagues about computer matters of mutual interest. I will strive to listen to and understand the needs of all parties.

Integrity

- I will strive to ensure the necessary integrity, reliability, and availability of the provision of services for which I am responsible.

Education

- I will continue to update and enhance my competence and other work-related skills. I will share my knowledge and experience with others.

Responsibility to Community

- I will cooperate with the larger professional community to maintain the integrity of offered services.

Social Responsibility

- As an informed professional, I will encourage the writing and adoption of relevant policies and laws consistent with these ethical principles.

Ethical Responsibility

- I will strive to build and maintain a safe, healthy, and productive workplace.
- I will do my best to make decisions consistent with the safety, privacy, and well-being of my community and the public, and to disclose promptly factors that might pose unexamined risks or dangers.
- I will accept and offer honest criticism of technical work as appropriate and will credit properly the contributions of others.
- I will lead by example, maintaining a high ethical standard and degree of professionalism in the performance of all my duties. I will support colleagues and co-workers in following this code of ethics.

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Failure STAREGISTER Code of Ethics may result in suspension or withdrawal of 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.

7.2.1 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.

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 PC.P170 STAREGISTER Logo mark Policy

8.2 *Withdrawal of Certificates*

A STAREGISTER MS Professional certification may be withdrawn as a consequence of:

- Violation of the terms of the signed Certification Agreement
- Non-payment of fees
- Failure of STAREGISTER Code of Ethics and IPC code of conduct by Certified MS Professional.
- Incorrect use of the certification logo and mark of STAREGISTER & IPC and reference to certification.
- The misinformation of the objective evidences provided by the Certified MS Professional.
- Evidence received from authorities, etc. that could affect the status of certificate,
- Libel of STAREGISTER and IPC schemes
- The MS has voluntarily requested suspension.

The certification manager shall decide on the action to be taken, based on review of the evidence. If withdrawal of the MS Professional certification is decided, The person will be formally notified by e-mail. The certificate and other evidences of certification shall be returned to STAREGISTER Quality Office.

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

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. Recertification may be performed in the time period of 6 months prior to expiry to 6 months after expiry. After this time the certificate may not be recertified, a new examination has to be passed. The new certificate (recertified) is valid for up to 3

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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, by showing objective evidence of Continuous Professional Improvement of 16 hours and by compliance with the STAREGISTER Code of Ethics.

9.1.3 For renewal of certification, the Continuous Professional Improvement (CPI)/training log (PCF.2010) 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.

Acceptable trainings are for CPI are:

- a) technical trainings about the scopes of MS
- b) MS Standard requirements trainings
- c) Auditing technics trainings
- d) Improving of personnel attribute trainings

9.1.4 The audit experience requirement does not apply to Provisional Auditor, Manager and consultant. This grade may be maintained indefinitely on satisfactory demonstration of compliance with paragraphs 3.4-3.5 of this document. For MS Auditors shall submit documentary evidence either of having performed a minimum of 3 complete MS audits with at least 10 audit days on-site during the last 3 years. All audits shall be conducted in accordance with the principles and practices described in ISO 19011.

Lead Auditors shall submit documentary evidence either of having performed a minimum of 3 complete MS audits with at least 10 audit days on-site during the last 3 years. At least one of the audits required for certification shall be in the capacity of lead auditor, 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.

Acceptable Alternative MS Standards for ISO 9001 are mentioned at the Clause 3.8.

9.1.5 For IPC 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

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equivalent auditing experience (use the PCF.1108). 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.

9.1.6 For IPC 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 three complete MS audits (at least 6 acceptable audits should be performed throughout the 3

9.1.6.2 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.

9.1.6.3 Audits should be reasonably distributed with the 3year 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 PCF.1108). 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).

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 Managers 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 16 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 of the relevant standards 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.

9.1.11.2 Reducing the scope of certification decision is given by the certification Manager.

9.1.12 Upgrading the scope of the certification

An applicant who applies for upgrade of the STAREGISTER certificate or from Auditor to Lead Auditor, must have a valid STAREGISTER Auditor certificate or a certificate from IPC MLA, must document that the Lead Auditor requirements are met and must provide documentation that at least one of the 3 audits required for rectification has been performed in the capacity of lead auditor, leading a team of at least one other auditor.

IPC-PL-11-006 IPC Certification Scheme “IPC Management Systems Auditors”

9.1.13 Revision of standards

If the revision of the MS standard is published all the initial certification requirements except ISO 19011 training are applied and it is considered as initial certification. The recertification period is 3 years from this certificate.

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10 CERTIFICATION FEES

Fees are set annually. Current fees are detailed on the fee schedule, available from the STAREGISTER Office Coordinator (see STAREGISTER Offices : www.staregister.org)

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.

11 RECORDS

STAREGISTER maintains the necessary records to demonstrate conformance to the requirements of this regulation. These records are maintained for 3 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.

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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.

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14 HISTORY OF DOCUMENT

14.1 R.2000 Version 2.

Added specialization in FSMS Sommelier, Olive Oil and MS-IT grades for Social Media Experts

14.230.09.2015 PC. R2000 Ver 3

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

14.3 PC. R2000 Ver.4 14.03.2016

- i. Clause 3 General Requirements for applicants; The exam is added.
- ii. Clause 3.5.4 IPC MLA information is added.
- iii. Clause 3.7 The exams is added.
- iv. Clause 3.9 Transfer certification is added.
- v. Clause 10 Certification Fees: The pricelist may be asked from STAREGISTER offices see www.staregister.org .
- vi. Clause 9.1.10.1 Continuous improvement (CPI) hours increased 10 to 16 regarding to IPC criteria;

PL-11-006 "CERTIFICATION SCHEME "IPC MANAGEMENT SYSTEM AUDITORS"