

International Personnel Certification Association



I P C
CERTIFICATION SCHEME

“IPC MANAGEMENT SYSTEMS AUDITORS”

ISSUE 4

International Personnel Certification Association**I P C CERTIFICATION SCHEME****“IPC MANAGEMENT SYSTEMS AUDITORS”****Classification**

This document is classified as an IPC Criteria Document.

IPC certification scheme lays down the standard framework which all members of IPC MLA for “IPC Quality/Environmental Management Systems Auditors” shall adhere to in the operation of their auditor certification programs. The certification scheme will be the primary standards against which members will be assessed for membership in the IPC Multilateral Recognition Agreement (MLA). Members of IPC seeking membership of the IPC MLA must conduct their operations in a way which conforms to all the requirements of the relevant IPC Certification scheme.

IPC Certification scheme is published on the authority of the Members of IPC.

Authorisation

Issue No. 4

Application Date:

Updated by: Olav Finsnes, QMCe

Date:17/10/2014

Endorsed by Members:

Date: 17/10/2014

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AVAILABILITY

Copies of this document in English can be accessed on the IPC Website at: www.ipcaweb.org
Members of IPC may obtain an electronic version of this document from the Secretariat.

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PREFACE

This IPC Certification scheme for Management System Auditors have been prepared by the International Personnel Certification Association (IPC) to provide a common basis for the certification of Management System Auditors. This Certification scheme can be applied by any PCB that has become a member of IPC by signing the IPC Memorandum of Understanding. It can also be utilized as an endorsed scheme for the operation of IAF MLA on ISO 17024.

IPC Certification scheme have been developed using ISO 19011, ISO 9001, ISO 14001, ISO 17024, ISO 17021 and the ISM Code as reference standards, taking into account the collective wisdom of the members of IPC, and the requirements of both industry and certification bodies/registrars. This Certification scheme may be the basis upon which Management System Auditors can be certified as IPC-graded Management System Auditors.

This endorsed IPC certification scheme may be used freely by Accreditation Bodies, signatories of IAF MLA to ISO 17024, to accredit Personnel Certification bodies. Still those accredited Personnel Certification Bodies and Certified Professionals are not permitted to use IPC name and/or logo, unless being authorized by IPC. (For more details contact IPC secretariat at: secretary@ipcaweb.org).

The two certification grades that IPC recognises are IPC Management System Auditor, and IPC Management System Lead Auditor.

The certification of an IPC-graded auditor only indicates the individual's competence to perform Management System audits. The IPC scheme does not identify the area of technical competence that an individual may have. The responsibility for identifying that an auditor has the necessary knowledge and understanding of the technical environment to perform an audit of a specific organisation will still rest with those responsible for managing the audit process.

All IPC documents are published in English. The English version with the most recent issue and version number and date of each IPC document is the definitive version. Members of IPC whose language of operation is not English have the right to translate all IPC documents into their own language of operation.

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SECTION 1 OVERVIEW

1.1 Introduction

1.1.1 This certification scheme has been developed by the IPC - International Personnel Certification Association for the purpose of harmonising the practice of Management Systems (MS) Auditors certification worldwide.

1.1.2 The principal objective of this IPC certification scheme is to provide a uniform approach to the certification of MS Auditors as the basis for a multilateral recognition framework within IPC.

1.1.3 The process used in developing this certification scheme was to establish firstly the key competence for MS Auditors and then determine the methods by which this competence can be demonstrated and evaluated.

1.1.4 This document is divided into seven sections:

| | |
|-----------|---|
| Section 1 | Overview. |
| Section 2 | Job profile of IPC management systems auditors |
| Section 3 | Prerequisites of the applicant |
| Section 4 | Competence required for each grade of IPC management systems auditors |
| Section 5 | Competence assessment |
| Section 6 | Certificate award and recertification |
| Section 7 | Upgrade of certificate |

1.2 IPC Management System Auditor Grades

1.2.1 The certification scheme described in this document is for:

IPC MS Auditor Certification;

IPC MS Lead Auditor Certification

1.2.2 The IPC MS **Auditor** grade is awarded by Accredited Personnel Certification Bodies to applicants who have demonstrated compliance to the requirements in this scheme. The IPC MS Auditor shall have competence required to perform a MS audit as a member of a team or as a sole auditor.

1.2.3 The IPC MS **Lead Auditor** grade is awarded by Accredited Personnel Certification Bodies to applicants who have demonstrated compliance to the requirement of this scheme. The IPC MS Lead Auditor shall have the competence of an IPC MS Auditor and, in addition, the competence required to effectively manage an audit team in all the aspect of a complete MS audit.

1.3 Definitions

For the purpose of this certification scheme, the terms and definitions given by ISO 19011, ISO 17024 and the following ones apply:

| | |
|------------------|---|
| Applicant | A person who has submitted an application to be admitted into the certification process |
| PCB: | Personnel Certification Body |
| APCB: | Accredited Personnel Certification Body |

| | |
|--------------------|---|
| Competence: | Ability to apply knowledge and skills to achieve intended results |
| QMS | Quality Management System |
| EMS | Environmental Management System |
| MS | Management System |

1.4 References

Applicable documents: ISO 19011; ISO 17024; ISO 17021 family, applicable management system standards, ISO 17007 and the International Safety Management Code (ISM Code) issued by International Maritime Organization, IMO, with related resolutions and guidelines.

SECTION 2 – JOB PROFILE OF IPC MANAGEMENT SYSTEM AUDITORS

2.1 IPC Management System Auditors

Based on their competence within management systems, the IPC Management Systems Auditors are able to initiate, plan, execute and report first and second party audits within quality or environment management in accordance with ISO 19011. The auditors must be able to execute an audit as a sole auditor or as a member of an audit team.

2.2 IPC Management System Lead Auditors

IPC Management Systems Lead Auditors have the competence as management systems auditors and in addition are competent to lead an audit team of one or more additional auditors or technical experts. The lead auditors are able to initiate, plan, execute and report first, second and third party audits in accordance with ISO 19011 and ISO 17021 in the role as sole auditor, member of an audit team or as audit team leader.

SECTION 3 – PREREQUISITES OF THE APPLICANT

3.1 Education

3.1.1 Applicants for certification should have completed at least secondary education (typically all the years full-time schooling prior to university entrance). Documented evidence of the education claimed will be required.

3.1.2 As an alternative, applicants may be considered for certification if they can document 10 years full time work experience and satisfy the PCB that they have achieved a satisfactory level of knowledge relevant to Management Systems auditing.

3.1.3 Alternatively to the documentation requirement in 3.1.1 and 3.1.2, the applicants can provide a signed self-declaration, giving information on education and learning institution, alternatively work actually carried out and positions held.

3.2 Work Experience

3.2.1 Applicants for certification for all grades with post-secondary education degree shall have at least 4 years full-time (or part time work that totals 4 years) work experience in a technical, professional or management position of accountability involving the exercise of judgement. This period shall be increased to 5 years for applicants with secondary education.

3.2.2 Applicants for certification shall provide documentary evidence of work experience; this evidence may be presented in the form of employer references giving information on work actually carried out and positions held.

3.2.3 As an alternative to the documentation requirement in 3.2.2, the applicants can provide a signed self-declaration, giving information on work actually carried out and positions held.

3.3 Management System Work Experience

3.3.1 Applicants for certification shall have a minimum of 2 years relevant experience in the implementation, operation, and/or auditing of management systems, which provides the practical knowledge necessary to effectively audit such management systems.

3.4 Training

Applicants for certification shall have completed relevant auditor training. The training shall cover the competence required for the auditor scheme in question. The applicant is responsible for gaining the necessary competences required according to this scheme, and ensure that the training time is sufficient. Training can be performed in courses, self-study of literature, internet study, e-learning or other suitable learning methods. Alternatively, the IPC PCB may state more specific requirements to training, see also IPC-SC-11-002 “IPC Specification on recognition of training courses and training providers”.

3.5 Auditing Experience

To be eligible for certification, all auditing experience shall have been gained in the three- year period prior to certification. Proof for having executed the required number of audit shall be presented.

3.5.1 Audits for IPC MS Auditor

3.5.1.1 The totality of auditing experience for an applicant’s IPC MS auditor grade certification shall be based on requirements of an applicable management system standard as described in the respective annex to this document.

The experience shall comprise the entire audit process from preparation to reporting, in accordance with ISO 19011 or ISO/IEC 17021. This is referred to as a complete audit.

3.5.1.2 The applicant for certification shall have acted as a member of an audit team, team leader or as sole auditor on at least 4 complete audits, the total duration of which shall be a minimum of 20 days including preparation and reporting with a minimum of not less than 8 days on site.

3.5.2 Audits for IPC MS Lead Auditor

3.5.2.1 Applicants for IPC MS Lead Auditor grade certification shall satisfy all auditing and competence evaluation requirements for IPC MS Auditor, and shall have satisfactorily performed as a team leader in at least 3 of the audits required, as described in 3.5.1.2.

The audits in which the applicant was team leader shall cover the entire audit process from preparation to reporting in accordance with ISO 19011 or the ISO/IEC 17021 family.

First party (internal audits), second party (audit of a supplier) and third party (audit by an independent organization) are acceptable audits.

SECTION 4 COMPETENCE REQUIRED FOR EACH GRADE OF IPC MANAGEMENT SYSTEMS AUDITORS

4.1 Personal behaviour

4.1.1. Applicants for certification shall be able to demonstrate the personal behaviour necessary for the effective and efficient performance of the audit as defined in clause 7.2.2 of ISO 19011:2011 and Annex D of ISO 17021:2011.

4.2 Competence

4.2.1 Knowledge and skills for all Management Systems Auditor grade certification:

- a) Detailed knowledge of ISO 19011
- b) Competence required to fulfil the needs for generic knowledge and skills for management system auditors according to ISO 19011:2011 item 7.2.3.2
- c) How to conduct interviews
- d) How to collect and verify information
- e) How to determine audit findings
- f) How to prepare audit conclusions
- g) Types of audits: management system audits, process and product audits;
- h) Principles, procedures and techniques of auditing;
- i) How to relate the auditee management system to the audit criteria;
- j) How to conduct an effective audit in the context of the auditee's organisational situation;
- k) How to evaluate a process approach and process performance;
- l) Regulations, and other specific considerations that are relevant to the management system to be audited;
- m) Personal behaviour necessary for the effective and efficient conduct of a management system audit;
- n) Statistical methods: sampling techniques, basic statistical methods (bar-charts, pie-charts, line-charts and trend-charts);
- o) Audit related risks;
- p) How to communicate effectively with the auditee and audit client;
- q) How to evaluate the procedures common to the other management systems;
- r) How to interpret an integrated management system;

4.2.2 Knowledge and skills for all Management Systems Lead Auditor grade certification:

- a) All the skills and knowledge listed above for the Management Auditor and
- b) Competence required to fulfil the needs of the audit programme according to ISO 19011:2011 item 7.2.1
- c) Competence required to fulfil the needs to generic knowledge and skills of an audit team leader according to ISO 19011:2011 item 7.2.3.4
- d) How to communicate with senior management;
- e) How to establish, plan and execute the activities of an audit team;
- f) How to organize and direct audit team members;
- g) Conduct the opening and closing meeting
- h) Represent the audit team with audit client and auditee
- i) Provide direction and guidance to team members
- j) Lead the audit team to reach audit conclusions
- k) Prevent and resolve conflicts
- l) How to read and evaluate an organization map (organogram);
- m) How to determine appropriate business improvement tools;
- n) How to evaluate the management system effectiveness;
- o) How to prepare and complete the audit report.
- p) How to interpret the financial statements.

SECTION 5 COMPETENCE ASSESSMENT

5.1 The IPC examination system

5.1.1 The IPC examination system requires that the applicant shall pass a written and an oral examination part. Both parts of the examination shall be assessed separately and have to be passed.

5.1.2 The IPC examination system is flexible and allows various examination types for both written and oral examination.

5.1.3 The IPC PCB shall maintain a database of examination questions for each examination type in use. The questions shall be adapted to national culture, industries and trades. Examination questions shall be updated regularly to reflect current requirements in standards and practice. The questions used in each examination shall be regularly changed to avoid repeating the same questions over an extended period of time.

5.1.4 The PCB shall decide if the applicant may or may not use supporting documentation during the exam. The examination questions shall be developed taking this into account.

5.2 Examination of different grades of MS auditors

5.2.1 The PCB may execute separate examinations for the Auditor and the Lead Auditor grade, as the requirements to competence is different. The PCB may however, decide to only have one examination for both, based on the Lead Auditor competence requirements. This may be desirable for PCB's with low volume of certificates or if the PCB wants to avoid a new examination when a certificate is upgraded from Auditor to Lead Auditor.

5.3 Written examination

5.3.1 The written examination may be one, or a combination of several, of the following examination methods. Questions shall be within the area of competence described in this scheme document.

5.3.2 Multiple choice questions: Multiple Choice is a form of assessment in which applicants are asked to select the right answer out of 4 possibilities.

5.3.3 Short open questions: A short open question is a form of assessment in which the applicant is asked to write the answer within a space of 2 – 3 lines. Typical questions are to describe the meaning of a concept, the purpose of a requirement or similar.

5.3.4 Long open questions: A long open question is a form of assessment in which the applicant is asked to write the answer within a space of approximately one A4 page. Typically the question asks the applicant to elaborate on a certain method, requirement in a standard or similar. The question often asks for examples. The intention of the question is often to check the applicant's ability to apply knowledge in a practical manner.

5.3.5 Situational judgment test: A situational judgment test is a form of assessment in which the applicants are presented with a scenario and asked to identify the most appropriate response, or to rank the responses in the order they feel is most effective. After a short description of a typical situation (scenario) there are (4-5) behavior related answers. Only one is correct.

5.3.6 Audit text analysis: After a short description of an organization, some audit observations are described (typically 8). The applicant is asked to identify which ones are nonconformities, if any, (typically 4 – 5 are NC's) and write nonconformity reports with objective evidence on 4 supplied forms. The intention is to test the applicant's judgment in identifying nonconformities, giving correct references to violation of requirement and express the nonconformities in writing in an understandable and professional manner.

5.3.7 The PCB shall design the written examination by choosing one or more of these question types giving the applicant a sufficient workload.

5.3.8 The written exams can also be carried out through an e-based invigilated examination: In this case the PCB must guarantee the certainty of the applicant identity and that he works without any aid, except for allowed aids to be specified by the PCB.

5.4 Oral examination

5.4.1 In the concept “oral examination” is also included witnessing, workplace observation and similar, often called practical examination.

5.4.2 To be able to handle appeals or complaints, the PCB must ensure objective evidence of the examination, for example by video recording or by using two examiners.

5.4.3 For oral examination the applicant is given adequate time to prepare for the exam.

5.4.4 Video conference is acceptable if the results of the examination remain valid. In this case the PCB must guarantee the certainty of the applicant identity and that he works without any aid, except for allowed aids to be specified by the PCB.

5.4.5 The oral examination shall be one of the following types:

5.4.6 Case study: Based on a case description, the applicant shall prepare a presentation to the audience (examiner), as described in the scenario text. Typically the text scenario describes an opening meeting introducing the purpose of the audit with audit criteria etc., or a closing meeting where the applicant shall report nonconformities or a situation during the audit. Normally the applicant does not receive questions from the examiner.

5.4.7 Role play audit: The applicant receives a case description, explaining the purpose of the role play and defining own role and tasks. After preparation, the applicant meets the other role players (other applicants or examiners) and leads the role play which is normally an audit situation. The other participants in the play also have to prepare for their role. The applicant shall try to achieve the objective defined in the case description of the play.

5.4.8 Structured interview: The applicant receives a description of the area of competence of which the interview will be based, and will be given time to prepare for interview. The interview is conducted by an examiner asking questions from a pre-prepared checklist covering the particular interview. The applicant and examiner may discuss the answers and opinions, in order to determine the level of competence of the applicant. Typical areas are planning audits, preparation of checklists, how to report nonconformities, etc.

5.4.9 Observation / Witnessing: The applicant carries out typical tasks in an audit situation. An observer (the examiner) watches, without any intervention, the applicant in carrying out the tasks. Observation can include all phases of an audit, from planning to reporting.

5.4.10 The PCB shall design the oral examination by choosing one of these examination types with appropriate workload.

5.5 Failing to pass examination

5.5.1 If the applicant has failed in the written or oral part 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.

SECTION 6 CERTIFICATE AWARD AND RECERTIFICATION

6.1 Certificate award

6.1.1 At the point of certificate award, the requirements to the applicant stated in this document shall be fulfilled. The time within an applicant shall fulfill the requirements for certification after issuing the application, shall be defined by the PCB and can not exceed 3 years from the date of examination.

6.1.2 A certificate issued according to this Scheme is valid for up to 3 years.

6.2 Recertification

6.2.1 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 years.

6.2.2 All IPC MS certified auditors shall provide evidence of maintaining their competence at recertification. Each applicant for recertification shall maintain records of professional development undertaken as described in clause 6.3.

6.2.3 For each re-certification period, IPC MS Auditors shall submit documentary evidence either of having performed a minimum of 3 complete MS audits with at least 6 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. Documentation of executed audits shall be according to the requirements in 3.5.

6.2.4 For each re-certification period, IPC MS Lead Auditors shall submit documentary evidence either of having performed a minimum of 3 complete MS audits with at least 6 audit days on-site during the last 3 years. At least one of the audits required for re-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. Documentation of executed audits shall be according to the requirements in 3.5.

6.3 Professional Development

6.3.1 Each IPC MS Auditor and IPC MS Lead Auditor shall, during the three year recertification period, undertake at least 16 hours of professional development. The development may be participation in courses or seminars, self-study or other acceptable means of professional development, and be documented to the PCB's satisfaction prior to recertification.

SECTION 7 UPGRADE OF CERTIFICATE**7.1 Upgrade from IPC auditor to IPC lead auditor**

7.1.1 Upgrade of certificates shall be done in conjunction with recertification. In special circumstances the PCB may depart from this rule.

7.1.2 An applicant who applies for upgrade of the IPC certificate from Auditor to Lead Auditor, must have a valid IPC Auditor certificate, must document that the Lead Auditor examination has been passed for both the written and oral part, 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.

SECTION 8 COMMON REQUIREMENTS FOR IPC CERTIFICATION SCHEMES

8.1 Reference is made to the document “Common requirements for IPC Certification Schemes”, No. IPC-PL-14-05. This document contains additional, mandatory requirements to the present certification scheme.

Appendix 1
Requirements to IPC Quality Auditors**Knowledge and skills for all IPC QUALITY Management System Auditors and Lead Auditors grade certification**

- a) Detailed knowledge and understanding of all parts of ISO 9001
- b) General knowledge of guideline standards: ISO 9000 and ISO 9004
- c) Quality Management Principles in the context of ISO 9001
- d) How to relate the quality management system to the organizational products, including services, and operational processes
- e) How to determine the suitability and effectiveness of the Quality Management System
- f) Understanding of competence requirements for auditors and lead auditors (ISO 19011 and ISO 17021 family)

Appendix 2

Requirements to IPC Environmental Auditors

Knowledge and skills for all IPC ENVIRONMENTAL Management System Auditors and Lead Auditors grade certification

- a) Detailed knowledge and understanding of all parts of ISO 14001
- b) General knowledge of the guideline ISO 14004
- c) Environmental management principles
- d) Environmental science and technology
- e) How to implement an environmental management system considering different operational processes
- f) How to assess the risk of significant environmental impacts and activities identified in the context of the organization's Environmental Management System
- g) How to assess the methodologies and techniques to control environmental hazards
- h) How to assess the Environmental Management System roles and responsibilities within the context of the organizational environment
- i) How to determine the suitability and effectiveness of the Environmental Management System
- j) Understanding of competence requirements for auditors and lead auditors (ISO 19011 and the ISO 17021 family)

Appendix 3

Requirements to IPC ISM Auditors

Knowledge and skills for all IPC Management System Auditors and Lead Auditors performing audits with the International Safety Management Code (ISM Code) as requirement document. The ISM code is issued by International Maritime Organization (United Nations) and is mandatory for international shipping.

- a) Detailed knowledge and understanding of all parts of the ISM Code (IMO A.741(18))
- b) Knowledge of ISO 9001 and relevant ISO 9000 terminology
- c) General knowledge of IMO A.1022(26) «Revised Guideline on implementation of the International Safety Management (ISM) Code by Administrations»
- d) General knowledge of IMO Guidelines relating to the implementation of the ISM Code, in particular
 - Guidance on the qualifications, training and experience necessary for undertaking the role of the Designated Person under the provision of the International Safety Management (ISM) Code (MSC-MEPC.7/Circ.6),
 - Guidance on near-miss reporting (MSC-MEPC.7/Circ.7)
 - Revised guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies (MSC-MEPC.7/Circ.8),
- e) General overview of maritime regulation and guidelines: SOLAS, STCW, MARPOL, ILO 147, COLREG, national maritime laws and regulation and classification society rules related to operation of ships.
- f) Understanding of competence requirements for auditors and lead auditors (ISO 19011 and ISO 17021 family)