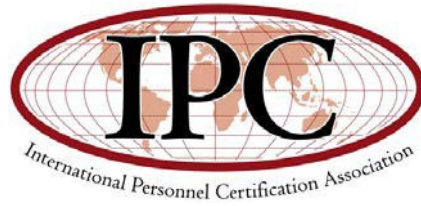


INTERNATIONAL PERSONNEL CERTIFICATION ASSOCIATION



Certification Scheme

“IPC MANAGEMENT SYSTEM AUDITORS”

ISSUE7.08b IPC-PL-11-006

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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 Management Systems Auditors” shall adhere to in the operation of their auditor certification programs. The certification scheme will be the primary standards against which IPC 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.

AUTHORIZATION

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Enquiries: IPC Secretariat Email: secretary@ipcaweb.org

AVAILABILITY

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PREFACE

This IPC Certification scheme for Management System Auditors has been prepared by the International Personnel Certification Association (IPC) to provide a common basis for the certification of Management Systems (MS) 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/IEC 17024.

IPC Certification scheme has been developed considering 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 MS auditors can be certified as IPC-graded Management System Auditors.

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

The two certification grades that IPC recognizes are IPC MS Auditor, and IPC MS Lead Auditor.

The certification of an IPC-graded auditor only indicates the individual's competence to perform MS 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 organization will still rest with those responsible for managing the audit process.

Additional information and guidance are provided at *IPC-TA-05-007 IPC JOB-TASK Analysis for the Certification Scheme for MS Auditors* and at *IPC-BD-22-05 IPC Guidelines for Certification of Management System Auditors*.

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.

For further information on the application of IPC Certification scheme, contact your local member of the Association or the IPC Secretariat at the e-mail: secretary@ipcaweb.org.

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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 harmonizing 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:

- a. IPC MS Auditor Certification.
- b. 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 an 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 aspects of a complete MS audit.

1.3 Definitions

For the purpose of this certification scheme, the terms and definitions given by ISO 19011, ISO /IEC17024 and the following ones apply:

Applicant: A person who has applied 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

MS: Management System

1.4 References

Applicable documents are the most recent versions of:

ISO 19011, Guidelines for auditing management systems

ISO/IEC 17024, Conformity assessment — General requirements for bodies operating certification of persons

ISO/IEC 17021-1, Conformity assessment — Requirements for bodies providing audit and certification of management systems – Part I: Requirements

ISO/IEC 17007-Conformity assessment — Guidance for drafting normative documents suitable for use for conformity assessment, 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, second- and third-party management system audits 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 management system audits in accordance with ISO 19011 and ISO/IEC 17021-1 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 8 years full time work experience and satisfy the PCB that they have achieved a satisfactory level of knowledge relevant to Management Systems auditing.

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 MS auditor training. The PCB shall not require the candidates to complete the PCB's own training and as an exclusive prerequisite. The training shall cover the competence required for MS auditors in this scheme. A minimum of forty (40) hours training is required. Training can be performed by in-class courses, e-learning or other suitable learning methods. 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 audits 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 the requirements of the applicable management system standard. The experience shall comprise the entire audit process from preparation to reporting, in accordance with ISO 19011 or ISO/IEC 17021-1. 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.

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 of standards. 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 behavior

4.1.1 Applicants for certification shall be able to demonstrate the personal behavior necessary for the effective and efficient performance of the audit as defined in clause 7.2.2 of ISO 19011:2018 and Annex D of ISO/IEC 17021-1:2015.

4.2 Competence

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

- a. Detailed knowledge of ISO 19011:2018
- b. Ability to apply sufficient audit methods according to ISO 19011:2018 Annex A
- c. Understanding the audit related risk-based approach
- d. How to communicate with top management
- e. How to conduct interviews
- f. Understand and evaluate the organizational structure (organogram)
- g. How to collect and verify information
- h. How to determine audit findings
- i. How to prepare audit conclusions
- j. How to differentiate between management system audit, process audit and product audit; types of audits: first, second- and third-party audit
- k. Principles, procedures, and techniques of auditing
- l. Audit related risks and opportunities
- m. How to relate the auditee management system to the audit criteria
- n. How to conduct an effective audit in the context of the auditee's organizational situation
- o. How to evaluate a process approach and process performance
- p. Regulations, and other specific considerations that are relevant to the management system to be audited including understanding of the context of the organization
- q. Personal behavior necessary for the effective and efficient conduct of a management system audit
- r. Statistical methods: sampling techniques, basic statistical methods (bar-charts, pie-charts, line-charts and trend-charts)
- s. Audit management system process related risks
- t. How to communicate effectively with the auditee and audit client
- u. How to evaluate the procedures/ processes common to the other management systems
- v. How to audit an integrated management system
- w. How to provide added value to business improvement
- x. How to evaluate the management system effectiveness
- y. How to prepare and complete the audit report.

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

All the skills and knowledge listed above for the Management Auditor and additionally:

- a. To manage an audit program according to ISO 19011:2018 item 5
- b. Competence required to fulfil the needs to generic knowledge and skills of an audit team leader according to ISO 19011:2018 item 7.2.3.4
- c. How to establish, plan and execute the activities of an audit team
- d. How to organize and direct audit team members
- e. Prepare and conduct the opening and closing meeting
- f. Ability to represent the audit team with audit client and auditee
- g. Provide direction and guidance to team members
- h. Lead the audit team to reach audit conclusions
- i. Prevent and resolve conflicts
- j. How to determine appropriate business improvement tools
- k. How to evaluate the management system effectiveness
- l. How to prepare and complete the audit report.

4.2.3 Additional information and guidance on the MS auditor competence is provided at IPC-TA-05-007 IPC JOB-TASK Analysis for the Certification Scheme for MS Auditors.

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.

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.

5.1.5 Additional information and guidance on the examination types and processes is provided at IPC-TA-05-007 "IPC JOB-TASK Analysis for the Certification Scheme for MS Auditors".

5.2 Examination of different grades of MS auditors

5.2.1 The PCB shall execute separate examinations for the Auditor and the Lead Auditor grade, as the requirement for competence is different.

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.

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 two to three 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 four to five 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. The applicant is asked to identify which ones are nonconformities, if any, and write nonconformity reports with objective evidence. 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/proctored 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 Other examination (practical/ oral/ observational)

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

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

5.4.3 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.

5.4.4 The other examination may be one or a combination of the following types:

5.4.5 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.

5.4.6 Role play audit:

The applicant receives a case description, explaining the purpose of the role play and defining their 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 must prepare for their role. The applicant shall try to achieve the objective defined in the case description of the play.

5.4.7 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 to determine the level of competence of the applicant. Typical areas are planning audits, preparation of checklists, how to report nonconformities, etc.

5.4.8 Observation / Witnessing:

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

5.4.9 A validated personal attributes test.

5.5 Failing to pass examination

5.5.1 If the applicant has failed in the written or other examination (practical/ oral/ observational) part of the examination, but passed in the other, the applicant shall take a new examination in the failed part. A different (new) examination test set has to be used in the retake exam.

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 cannot exceed three years from the date of examination.

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

6.2 Recertification

6.2.1 Recertification may be performed in the time period of six months prior to expiry to six 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 three years.

6.2.2 All IPC MS certified auditors shall provide evidence of maintaining their competence periodically by 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 three complete MS audits with at least nine audit days on-site (or fifteen audit days on and off site) during the last three 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 three complete MS audits with at least nine audit days on-site (or fifteen audit days on and off site) during the last three 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 IPC CERTIFICATES

7.1 Upgrade from IPC auditor to IPC lead auditor

7.1.1 The 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 three audits required for recertification 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 IPC-PL-14-05 "Common requirements for IPC Certification Schemes". This document contains additional, mandatory requirements to the present certification scheme.
- 8.2 PCBs shall apply a documented procedure regarding the suspension, recall or cancelation of the issued certifications.
- 8.3 PCBs shall retain the right to suspend and withdraw certificates of certified MS Professionals who do not continue to comply with certification criteria.
- 8.4 PCBs may suspend, recall or cancel certification for anyone from the following reasons, without limited only to them:
- a. Failure to provide to PCB required evidence required by the certification scheme.
 - b. Wrong usage of permissions, certificates, PCB's logo.
 - c. Libel of PCB and IPC schemes.
 - d. Acting contrary to PCB and IPC Code of Conduct
 - e. Nonpayment of certification fee
- 8.5 Notices of withdrawal or suspension of certification should be published by the PCB in the relevant registry of certified professionals, whenever applicable.

About IPC

IPC was established as a non-for-profit organization, in 1995, by the name "International Auditor and Training Certification Association (IATCA)". To adapt to the market, need for certification of professionals in a variety of categories, the role and name was changed in Chicago Annual General Meeting (2003) to "International Personnel Certification Association (IPC)". IPC's main activity is to develop certification schemes for professionals. Although the focus of IPC is personnel certification, recognition of training providers and training courses are also part of our activities.

IPC's objective is to promote the interests of our members (personnel certification bodies and other related interest parties) and serve the needs of the society for competence of professionals. IPC is also a "Scheme owner", which means that IPC develops and owns Certification Schemes (normative documents used for accreditation/certification purposes). These schemes are specifying rules and frame requirements for competence, on which the personnel certification body, member of IPC, may elaborate.

Vision

To be the prime provider of personnel certification schemes and achieve recognition of IPC brand certificates worldwide.

Mission

To provide recognition to individuals who, having demonstrated competence to IPC approved schemes, can improve the performance of organizations. IPC develops certification schemes to provide recognition for personnel in a range of fields and disciplines; the implementation of those certification schemes through its member bodies; and the evaluation of scheme implementation through accreditation to ISO/IEC17024 and IPC criteria to establish confidence in the equivalence of IPC certifications. IPC members also evaluate training providers and training courses and recognize courses fulfilling the requirements of IPC certification schemes.

Values

Transparent: Be open to its members regarding IPC proceedings including minutes from Annual General Meeting and Board of Directors meetings.

Informative: Provide information and news to its members and interested parties regarding personnel certification on the website and the "IPC in Touch" newsletter.

Inclusive: Create an "IPC family" with all members, sharing knowledge and acting like a team.

Competent: Elect Directors and administration that are competent within certification and areas of proficiency certified and attract new competent certification bodies as our members.

Brave: Have an offensive market approach, profiling IPC certification, through its member bodies.

Ambitious: Utilize its competence to achieve international recognition.

Reliable: Abide with its own rules and be predictable in its operation. Operate in a truthful manner.

Fair: Treat all members and applicants for certification in a fair manner and safeguard its impartiality.

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