Experts, Consultants & Auditors of Quality Management System (QMS)

PEOPLECERT

Certification Regulation Criteria

PEOPLECERT
GROUP

CONTENTS

1. INTRODUCTION

ABOUT PEOPLECERT

PEOPLECERT is a global personnel certification body providing certification to professionals (or professionals to be) and to Training and Examination Centres. With a leading position in the European market and dynamic international presence, PEOPLECERT delivers its certification products through a state-of the art fully automated administration and examination mechanism. More than **2,200,000 certificates** were issued worldwide during the last decade through a network of more than 8,000 examination centres. Additionally, PEOPLECERT's **accreditation to ISO 17024**, offers to its certificates an internationally recognized "credibility passport" guarantying, in parallel, the fairness, the validity, the flexibility and the reliability of its examinations.

PEOPLECERT certification schemes are conforming to the applicable requirements of International Organization for Standardization (ISO) standards, International Accreditation Forum (IAF) guidelines and International Personnel Certification Association (IPC) specifications.

PEOPLECERT CERTIFICATION MODEL

In today's competitive market, modern employees look for means to differentiate themselves and establish a competitive advantage over others. Through this process, they seek specialized knowledge and certification; qualities required for their personal and professional progression.These qualities are extensively covered in PEOPLECERT's model of certification schemes, which constitutes of 5 stand-alone segments. The allocation of certification schemes per segment is shown to the figure below:

Certification Schemes per segment
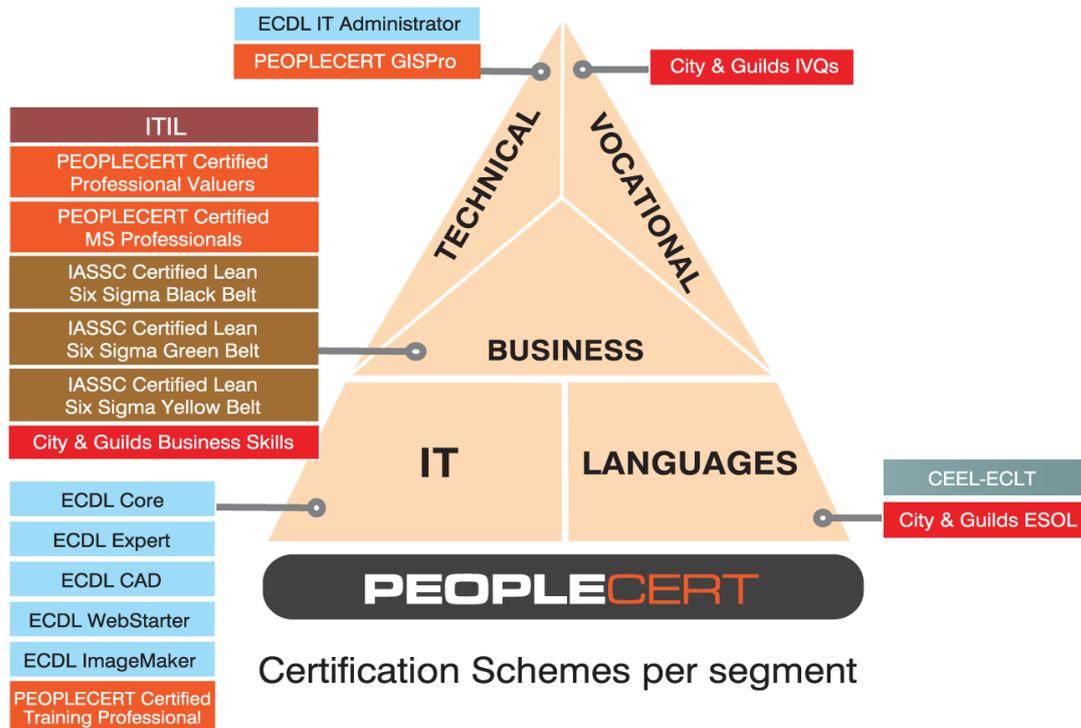
2. SCOPE

2.1 Levels and Grades of certification

This certification scheme of PEOPLECERT Quality Management Systems is intended for the certification in 3 distinct _**levels**_:

a) **_QMS Expert Certification_** is designed for the professionals wishing to demonstrate their knowledge according the requirements of the Quality management system.

QMS Expert Certification consists of **_2 grades_**:
- ✓ **Foundation Level**, the entry level certification
- ✓ **Professional Level**, the advanced level certification

b) **_QMS Auditor Certification_** is designed for the professionals wishing to demonstrate their competences as Quality Management Systems Auditors. This certification scheme requires at least one Expert level Management System certification, plus examination of competences as required by ISO 19011 standard.

QMS Auditor Certification consists of **_4 grades_**:
- ✓ **Provisional Auditor**, the entry level certification
- ✓ **Auditor**, the middle level certification
- ✓ **Lead Auditor**, for experienced professionals
- ✓ **Internal Auditor**, for the professionals who wish to perform audits in their organizations

c) **_QMS Consultant Certification_**, designed for the professionals wishing to demonstrate their **competences** as Quality Management Systems Consultants. This certification scheme requires at least one Expert level Quality Management System certification, plus examination of competences as required by ISO 10019 standard.

QMS Consultant Certification consists of **_3 grades_**:
- ✓ **Junior Consultant**, the entry level certification
- ✓ **Consultant**, the middle level certification
- ✓ **Senior Consultant**, for experienced professionals

2.2 Certification specializations

Candidates can also enhance their QMS certification by demonstrating their competences in the following specializations:
- ✓ ISO10005, Quality management systems -- Guidelines for quality plans
- ✓ ISO10006, Quality management systems -- Guidelines for quality management in projects
- ✓ ISO10007, Quality management systems -- Guidelines for configuration management
- ✓ ISO10012, Measurement management systems -- Requirements for measurement processes and measuring
- ✓ IWA 1, Health care service
- ✓ IWA 2, Education-training experts. Guidelines for the application of ISO 9001:2000 in educational organizations
- ✓ ISO10015, Quality management systems-- Guidelines for training

- ✓ IWA 4, Quality management systems -- Guidelines for the application of ISO 9001:2000 in local government
- ✓ ISO 10001 Quality management Customer satisfaction -- codes of conduct for organizations
- ✓ ISO 10002, Quality management -- Customer satisfaction -- Guidelines for complaints handling in organizations
- ✓ ISO 10003, Quality management -- Customer satisfaction -- Guidelines for dispute resolution external to organizations
- ✓ ISO 10004, Quality management -- Customer satisfaction -- Guidelines for monitoring and measuring
- ✓ ISO 10013, Guidelines for quality management system documentation
- ✓ ISO 10014, Quality management -- Guidelines for realizing financial and economic benefits
- ✓ ISO 10017, Guidance on statistical techniques for ISO 9001:2000
- ✓ ISO 10018, Quality management -- Guidelines on people involvement and competences

Within this document, applicants and certified QMS auditors of PEOPLECERT will find instructions and information about:

a) The application and the certification process

b) The criteria governing the certification of new applicants

c) The criteria governing renewal of certification of existing PEOPLECERT certified QMS experts, auditors and consultants, including requirements for Continuing Professional Improvement

d) The required Prerequisites and Competences per category

e) Fees for the certification of QMS experts, auditors and consultants

f) The relevant Code of Conduct applicable.

3. SCHEME INTRODUCTION

3.1 Limitations

The present certification scheme for QMS experts, auditors and consultants offered by PEOPLECERT has the following limitations:

a. For the QMS Expert applies only to its ability to understand the QMS standard (ISO9001).

b. For the QMS Auditors applies only to the applicants' personal ability to understand the QMS standard (ISO9001) and to conduct audits of Quality Management Systems according to ISO 19011. It does not certify in any manner, or refers to, the specific area of the applicants' technical competence. The responsibility for identifying that an auditor has the necessary knowledge, experience and understanding to conduct an audit of a specific technical scope rests entirely with those responsible for managing the audit process.

c. For the QMS consultants applies only to its ability to understand the QMS standard (ISO9001), the relevant to Management Systems audits standard (ISO 19011) and the relevant to the Quality Management Systems Consultants standard (ISO 10019)

3.2 Provision of services

PEOPLECERT provides professional certification services, without any confinements or restrictions, to all applicants who satisfy the specific requirements and certification criteria.

3.3 Stages of certification per level

3.3.1 QMS Experts certified by PEOPLECERT

The criteria described in this document are intended for the certification of the following grades of QMS Experts:

a. *Foundation Level,*
b. *Professional Level.*

Requirements for each grade

- PEOPLECERT QMS Foundation Level Expert grade is awarded to applicants who demonstrate the appropriate knowledge of the QMS (ISO9001) at an entry level.
- PEOPLECERT QMS Professional Level Expert grade is awarded to applicants who demonstrate the appropriate knowledge of the QMS (ISO9001) at an advance level.

3.3.2. QMS Auditors certified by PEOPLECERT

The criteria described in this document are intended for the certification of the following grades of QMS Auditors:

a. QMS Provisional Auditor,
b. QMS Auditor,
c. QMS Lead Auditor.
d. QMS Internal Auditor

Requirements for each grade

- PEOPLECERT *QMS Provisional Auditor* grade is awarded to applicants who demonstrate the appropriate personal attributes, academic, professional and technical competency but lack the required auditing experience.
- PEOPLECERT *QMS Auditor* grade is awarded to applicants who have satisfied the required criteria to conduct all or any part of a QMS audit, either alone or as a member of an audit team.
- PEOPLECERT *QMS Lead Auditor* grade is awarded to applicants who have satisfied the criteria for PEOPLECERT QMS 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.
- PEOPLECERT *QMS Internal Auditor* grade is awarded to applicants who have satisfied the required criteria to conduct all or any part of a QMS audit in their Organization, either alone or as a member of an audit team.

3.3.3. QMS Consultants certified by PEOPLECERT

The criteria described in this document are intended for the certification of the following grades of QMS consultants:

    d. Junior Consultant

    e. Consultant

    f. Senior Consultant

- PEOPLECERT *QMS Junior Consultant* grade is awarded to applicants who demonstrate the appropriate personal attributes, academic, professional and technical competency but lack the required work experience.

- PEOPLECERT *QMS Consultant* grade is awarded to applicants who have satisfied the appropriate personal attributes, academic, professional and technical competency and have the required work experience in order to perform the Consultant profession.

- PEOPLECERT *QMS Senior Consultant* grade is awarded to applicants who have satisfied the criteria for PEOPLECERT QMS Consultant certification and, in addition, have demonstrated the competencies required to effectively manage a consultant's team and co-ordinate all aspects of a QMS set up and implementation.

4. DEFINITIONS

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

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

QUALITY MANAGEMENT SYSTEM (QMS): A System to establish quality policy and quality objectives and to achieve those objectives.

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

QMS AUDITOR: A person who has the appropriate attributes to conduct quality 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.

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

COMPLETE QMS AUDIT: An audit covering the entire audit process as described in ISO 19011 and including all aspects of ISO 9001 or an equivalent alternative 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 an 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.

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

QMS REALIZATION: Process of establishing, documenting, implementing, maintaining and continually improving a quality management system

Note: QMS realization can include:

a. identifying the processes needed for the quality management system and their application throughout the organization;

b. determining the sequence and interaction of these processes;

c. determining criteria and methods needed to ensure that both the operation and control of these processes are effective;

d. ensuring the availability of resources and information necessary to support the operation and monitoring of these processes;

e. monitoring, measuring and analysing processes;

f. implementing actions necessary to achieve planned results and continual improvement of these processes

QMS CONSULTANT: A person with the competence to assist QMS realization or a part of QMS realization.

COMPLETE QMS: A Quality Management System that includes all aspects of ISO 9001 or an equivalent alternative QMS standard.

CERTIFICATION BODY: For the purpose of these PEOPLECERT Criteria the term "certification body" refers to a certification body operating certification schemes for persons (ref. ISO/IEC 17024)

DESK-TOP REVIEW: The evaluation by PEOPLECERT of documentary evidence submitted by the applicant in support of the application.

CONSULTANT EXAMINER: A consultant examiner is a person designated by the PEOPLECERT to review the relevant documentation of the QMS designed by the applicant and to verify the competence of applicants for certification to PEOPLECERT Consultants.

EXPERT: An Expert is a person who has the appropriate competencies related to the understanding and application of a QMS standard (i.e. ISO9001)

5. GENERAL REQUIREMENTS FROM APPLICANT

The requirements from applicants for the Levels QMS Expert, QMS Consultant and QMS Auditor and their Grades are shown in Table **1** *(Prerequisites)* and Table **2** *(Required Competences).*

TABLE 1 PREREQUISITES OF THE APPLICANT

	EDUCATION		WORK EXPERIENCE		QUALITY EXPERIENCE		FORMAL TRAINING		AUDITING EXPERIENCE	
	PREREQUISITES	VERIFICATION	PREREQUISITES	VERIFICATION	PREREQUISITES	VERIFICATION	PREREQUISITES	VERIFICATION	PREREQUISITES	VERIFICATION
QMS PROVISIONAL AUDITOR	Table 3, Item 1	Documentary evidence	Not required	Not required	Not required	Not required	Table 3, Item 4	Documentary evidence	Not required	Not required
QMS AUDITOR	Table 3, Item 1	Documentary evidence	Table 3, Item 2	Documentary evidence	Table 3, Item 3	Documentary evidence	Table 3, Item 4	Documentary evidence	Table 3,Items 5.1,5,4-5.6	Documentary evidence
QMS LEAD AUDITOR	Table 3, Item 1	Documentary evidence	Table 3, Item 2	Documentary evidence	Table 3, Item 3	Documentary evidence	Table 3, Item 4	Documentary evidence	Table 3,Items 5.2, 5,4-5.6	Documentary evidence
QMS INTERNAL AUDITOR	Table 3, Item 1	Documentary evidence	Table 3, Item 2	Documentary evidence	Table 3, Item 3	Documentary evidence	Table 3, Item 4	Documentary evidence	Table 3, Items5.3	Documentary evidence
QMS JUNIOR CONSULTANT	Table 5, Item 1	Documentary evidence	Table 5, Item 2a	Documentary evidence	Not required	Not required	Table 5, Item 4.a	Documentary evidence	Not required	Not required
QMS CONSULTANT	Table 5, Item 1	Documentary evidence	Table 5, Item 2b	Documentary evidence	Table 5, Item 3b	Documentary evidence	Table 5 ,Item 4.b	Documentary evidence	Table 5, Item 4.biii	Documentary evidence
QMS SENIOR CONSULTANT	Table 5, Item 1	Documentary evidence	Table 5, Item 2c	Documentary evidence	Table 5, Item 3c	Documentary evidence	Table 5, Item 4.b	Documentary evidence	Table 5 ,Item 4.biii	Documentary evidence
QMS EXPERT FOUNDATION LEVEL	Not required	Not required	Not required	Not required	Not required	Not required	Not required	Not required	Not required	Not required
QMS EXPERT PROFESSIONAL LEVEL	Not required	Not required	Not required	Not required	Not required	Not required	Table 7 Item1	Documentary evidence	Not required	Not required

TABLE 2: COMPETENCES OF THE APPLICANT

	PERSONAL ATTRIBUTES		KNOWLEDGE COMPETENCES		SKILL COMPETENCES	
	PREREQUISITES	VERIFICATION	PREREQUISITES	VERIFICATION	PREREQUISITES	VERIFICATION
QMS PROVISIONAL AUDITOR	Not required	Not required	Table 4, Item 2a1	Table 4, Item 2b Test Required	Not required	Not required
QMS AUDITOR	Table 4 ,Item 1a	Table 4, Item 1b Test Required	Table 4, Item 2a2	Table 4, Item 2b Test Required	Table 4, Item 3a1	Table 4, Item 3b1
QMS LEAD AUDITOR	Table 4, Item 1a	Table 4, Item 1b Test Required	Table 4, Item 2a3	Table 4, Item 2b Test Required	Table 4, Item 3a2	Table 4, Item 3b2
QMS INTERNAL AUDITOR	Not required	Not required	Table 4, Item 2a4	Table 4, Item 2b Test Required	Not required	Not required
QMS JUNIOR CONSULTANT	Not required	Not required	Table 6, Item 2a1	Table 6, Item 2b Test Required	As in the knowledge competence	As in the knowledge competence
QMS CONSULTANT	Table 6, Item 1a	Table 6, Item 1b Test Required	Table 6, Item 2a2	Table 6, Item 2b Test Required	As in the knowledge competence	As in the knowledge competence
QMS SENIOR CONSULTANT	Table 6, Item 1a	Table 6, Item 1b Test Required	Table 6, Item 2a3	Table 6, Item 2b Test Required	As in the knowledge competence	As in the knowledge competence
QMS EXPERT FOUNDATION LEVEL	Not required	Not required	Not required	Not required	Not required	Not required
QMS EXPERT PROFESSIONAL LEVEL	Not required	Not required	Table 7,Item 2a2	Table 7, Item 2b Test Required	Not required	Not required

TABLE 3: PREREQUISITES OF THE APPLICANT TO BE ADMITTED TO THE COMPETENCE EVALUATION OF QMS AUDITORS

1	Education	a. Applicants shall have completed at least <u>secondary education</u> (typically, all the years full-time education prior to university entrance) and, in addition, be able to provide relevant documented objective evidence. b. For applicants, who are able to demonstrate <u>post-secondary education</u> studies awarded by an institution recognized by a national governmental body or accredited by a national professional body, reduced work experience requirements apply. In all cases, documentary evidence of the education claimed is required. c. As an alternative, applicants may be considered for certification if they can demonstrate 10 years full time work experience and satisfy to PEOPLECERT (by an interview or other means) that they have achieved a satisfactory level of knowledge relevant to QMS auditing and they possess the personal attributes, the competence, and the communication skills necessary to conduct and/or manage audits. *Note:* As "communication skills", PEOPLECERT considers the ability to communicate effectively both orally and in writing in the language of the audit.
2	**Work experience** *(not applicable for Provisional Auditors)*	a. **Applicants covering 1a of education prerequisites** • Applicants for the grades of QMS Auditor and QMS 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. • Applicants for the grades of QMS Internal Auditor shall provide evidence of at least 2 years full-time work experience (or part time work that totals 2 years) in a technical, professional or management position involving the exercise of judgment. b. **Applicants covering 1b of education prerequisites** • Applicants for the grades of QMS Auditor and QMS Lead Auditor shall provide evidence of at least 4 years full-time work experience (or part time work that totals 4 years) in a technical, professional or management position involving the exercise of judgment. • Applicants for the grades of QMS Internal Auditor shall provide evidence of at least 1 year full-time work experience (or part time work that totals 1 year) in a technical, professional or management position involving the exercise of judgment. c. **Applicants following in 1c of education prerequisites** • Applicants for the grades of QMS Auditor and QMS Lead Auditor shall provide evidence of at least 10 years full-time work experience (or part time work that totals 6 years) in a technical, professional or management position involving the exercise of judgment. • Applicants for the grades of QMS Internal Auditor shall provide evidence of at least 3 years full-time work experience (or part time work that totals 3 years) in a technical, professional or management position involving the exercise of judgment.

3	Quality Experience	a. **Applicants covering 1a and 1b of education prerequisites**
		Within the required work experience years, the applicant shall demonstrate work experience in positions where quality and quality issues formed the major part of his/her job as follows:
		a) QMS Provisional Auditor: not required
		b) QMS Auditor: 2 years professional experience required in quality
		c) QMS Lead Auditor: 2 years professional experience required in quality
		d) QMS Internal Auditor: 1 years professional experience required in quality
		b. **Applicants following in 1c of education prerequisites**
		Within the required work experience years, the applicant shall demonstrate work experience in positions where quality and quality issues formed the major part of his/her job as follows:
		a)QMS Provisional Auditor: 1 years total professional experience required in quality
		b)QMS Auditor: 3 years total professional experience required in quality
		c)QMS Lead Auditor: 4 years total professional experience required in quality
		d)QMS Internal Auditor: 1 year total professional experience required in quality
		In both cases, such experience shall provide the applicant with the practical knowledge necessary to audit quality management systems effectively. Applicants shall provide documentary evidence of all their work experience. This evidence must be signed by the applicant's employer and examined by PEOPLECERT. 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. The QMS experience required may be concurrent with work experience, but must have been achieved in the last 6 years prior to initial certification by PEOPLECERT.
4	Formal Training	a. Applicants should have successfully completed (through the successful completion of an approved examination), a certified by PEOPLECERT QMS auditor training course, with a minimum duration of at least 40 hours, provided by an approved by PEOPLECERT training course provider. (Courses of this type cover all ISO 9001 standard requirements).
		b. Alternatively, applicants may have successfully complete a QMS Auditor training course, certified by another personnel certification body, member of IPC, which is recognized by PEOPLECERT (See Appendix II for acceptable certification bodies of training courses, members of IPC).
		This training should have taken place within the last 3 years prior to the application for QMS relevant Auditor Grade. Formal training conducted prior to this period may be accepted if the applicant is able to demonstrate appropriate field experience.
		Applicants are advised to conduct PEOPLECERT or refer to the PEOPLECERT website (www.peoplecert.org) for a current listing of all PEOPLECERT approved training organizations offering PEOPLECERT certified the relevant QMS Auditor training courses.
5	Auditing Experience General	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. Applicant, who satisfies the criteria of 1,2,3,4 above but who has insufficient, or no acceptable auditing experience, may be eligible for certification to the QMS Provisional Auditor grade.

5.1	Audits required for an applicant for PEOPLECERT QMS Auditor grade	The auditing experience for an applicant for PEOPLECERT QMS auditor grade shall include: • Each element of a QMS standard, e.g. ISO 9001 or an acceptable alternative QMS standard • The entire audit process from preparation up to reporting in accordance with ISO 19011, and The applicant should have conducted as a member of an audit team, at least 4 complete QMS audits. The total duration of these audits should amount of a minimum of 20 days auditing (one day for the audit planning and audit report preparation is recognized for each audit). The total auditing experience shall include documentation review, auditing activities and preparation of the audit report. At least 2 of these audits should have involved the applicant in making an objective judgment on the overall effectiveness of the QMS. This shall be a determination of whether the organization: • Achieved the objectives stated in the organizations QMS, • Adheres to its own policies, and • Conforms to the objectives and requirements of the QMS standard
5.2	Audits for an applicant for PEOPLECERT Lead Auditor grade	Applicants for PEOPLECERT QMS Lead Auditor grade shall satisfy all auditing and verification requirements of PEOPLECERT QMS Auditor and in addition shall have satisfactory experience as a team leader under the direction of a competent QMS lead auditor. a) Conducted and managed 3 complete QMS audits, b) Spent a total of at least fifteen (15) audit days (one day for the audit planning and audit report preparation is recognized for each audit), c) The entire audit process from preparation to reporting in accordance with ISO 19011. This audit experience (in addition to that required for QMS Auditor grade) shall have been gained within a 3 year period prior to application. 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).
5.3	Audits for an applicant for PEOPLECERT Internal Auditor grade	Applicants for PEOPLECERT QMS Internal Auditor grade shall satisfy all auditing and verification requirements of PEOPLECERT QMS Internal Auditor and in addition shall have satisfactory conducted 3 complete Internal QMS audits.

5.4	**Eligible Audits**	Only independent audits may satisfy the QMS auditing experience requirements. The auditor and the auditor's organization shall have independent management and operating structure from the audited organization. Examples of eligible 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
		f) An accreditation body audit of the QMS of a certification body which includes witnessing of the certification body's evaluation of a certified supplier.
		All audits shall involve the entire audit process from preparation to reporting.
		All audits shall be for the purpose of determining conformance, not combined with provision of advice regarding development/improvement of QMS (i.e. consulting).
		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.
		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.
		The required auditing experience shall be gained at a minimum of 4 different operating facilities or business units.
		Auditing on site includes the opening and closing meeting and the conformance auditing phase, but excludes planning, documentation review and preparation of the audit report even when these functions are performed on the premises of the auditee.
5.5	**Audit Log**	Applicants for certification and for re-certification for any grade shall provide with their application an "audit log", which shall include the following information for each audit submitted:
		a) Date of audit,
		b) The duration time on-site and the total duration for the audit. These must be shown separately,
		c) QMS standard used (e.g. ISO 9001 or an acceptable alternative normative document)
		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.
		The audit log shall be signed by the applicant employer, the auditee or the lead auditor.
		These elements shall be submitted by completion of the relevant form 'Audits Record'.
5.6	**Acceptable Alternative QMS Standards**	Acceptable QMS standards (others than ISO9001) for the purpose of QMS auditing experience are rigorous enough that experience in auditing to the alternative documents can be readily transferred to auditing to ISO 9001. PEOPLECERT maintains a catalogue of acceptable alternative to ISO 9001 standards. This catalogue is not exhaustive and it is possible that applicants may claim audits against a standard that is not included in this catalogue. The relevant Technical Committees of PEOPLECERT may decide the modification of the catalogue after the suggestion by any interested party and applicants are advised to contact the PEOPLECERT Examination Division for advice where they consider a standard which falls within this category.

TABLE 4: COMPETENCE REQUIRED FOR QMS AUDITORS AND EVALUATION METHODS

| 1 | **Personal Attributes**

(not applicable for Provisional and Internal Auditors) | **a. Competences**

Applicants for certification shall be able to demonstrate the personal attributes necessary for effective and efficient performance of the audit. Desirable personal attributes for QMS auditors are described in ISO 19011:

• Ethical, i.e. fair, truthful, sincere, honest and discreet
• Open-minded, i.e. willing to consider alternative ideas or points of view
• Diplomatic, i.e. tactful in dealing with people
• Observant, i.e. actively aware of physical surroundings and activities
• Perceptive, i.e. instinctively aware of and able to understand situations
• Versatile, i.e. adjusts readily to different situations
• Tenacious, i.e. persistent, focused on achieving objectives
• Decisive, i.e. reaches timely conclusions based on logical reasoning and analysis
• Self-reliant, i.e. acts and functions independently while interacting effectively with others
• Professional, i.e. exhibiting a courteous, conscientious and generally business like demeanour in the workplace
• Morally-courageous, i.e. willing to act responsibly and ethically even though these actions may not always be popular and may sometimes result in disagreement or confrontation
• Organized, i.e. effective time management, prioritisation, planning and efficiency

b. Evaluation Method

The Applicant Personal Attributes is evaluated through an appropriate "Psychological Test Examination" by an e-based examination. PEOPLECERT guarantee the certainty of the candidate identity and that he works without any aid. Further PEOPLECERT guarantee that the examination facilities satisfy the needs for the Disable persons to be examined without any problem. |
| 2 | **Knowledge Competencies** | **a. Competences**

1. QMS Provisional Auditor

The Applicants for all QMS Auditor grade certification **shall know and understand** the following Competency Units:
1.1 General knowledge for MS
  i. Standardization issues
  ii. Certification issues
  iii. Program Management practices
  iv. Internal auditing practices

2. QMS Auditor
The Applicants for all QMS Auditor grade certification **shall know and understand** the following Competency Units:

2.1 General knowledge for all MS

  i. *All the skills and knowledge listed above for the Provisional Auditor and*
  ii. Types of audits: management system audits, process and product audits;
  iii. Principles, procedures and techniques of auditing.
  iv. How to relate the auditee management system to the audit criteria. |

		v. How to conduct an effective audit in the context of the auditee's organisational situation.
		vi. How to evaluate a process approach based management system
		vii. Regulations, and other specific considerations that are relevant to the management system to be audited.
		viii. Personal attributes necessary for the effective and efficient conduct of a management system audit.
		ix. Statistical methods: sampling techniques, basic statistical methods (bar-charts, pie-charts, line-charts and trend-charts), Statistical Process Control, FMEA
		x. How to communicate effectively with the auditee and audit client;
		xi. How to consider the procedures common to the other management systems
		xii. How to interpret an integrated management system
		xiii. How to interpret the financial statements and ratios;

3. QMS Lead Auditor

The Applicants for all QMS Auditor grade certification **shall know and understand** the following Competency Units:

3.1 General knowledge for all MS

i. *All the skills and knowledge listed above for the Management Auditor* and
ii. How to communicate with senior management
iii. How to establish, plan and task the activities of an audit team;
iv. How to organize and direct audit team members
v. How to read and evaluate an organizational business plan;
vi. How to determine Human Resources (HR) best practice;
vii. How to determine appropriate business improvement tools;
viii. How to evaluate the management system effectiveness
ix. How to prepare and complete the audit report.

4. QMS Internal Auditor

4.1 Common knowledge for all MS

i. *All the skills and knowledge listed above for the Provisional Auditor and*
ii. Types of audits: management system audits, process and product audits;
iii. Principles, procedures and techniques of auditing
iv. How to relate the auditee management system to the audit criteria
v. How to conduct an effective audit in the context of the auditee's organisational situation
vi. How to evaluate a process approach based management system
vii. Regulations, and other specific considerations that are relevant to the management system to be audited.
viii. Personal attributes necessary for the effective and efficient conduct of a management system audit.
ix. Statistical methods: sampling techniques, basic statistical methods (bar-charts, pie charts, line charts and trend –charts), Statistical Process Control, FMEA.
x. How to communicate effectively with the auditee and audit client;
xi. How to consider the procedures common to the other management systems
xii. How to interpret an integrated management system
xiii. How to interpret the financial statement and ratios;

xiv. How to communicate with senior management

xv. How to establish, plan and task the activities of an audit team;

xvi. How to read and evaluate an organizational business plan;

xvii. How to determine Human Resources (HR) best practice;

xviii. How to determine appropriate business improvement tools;

xix. How to evaluate the management system effectiveness

xx. How to prepare and complete the audit report.

b. **Evaluation Method**

The above knowledge competencies shall be evaluated through written exams. For each grade of Auditor a different test will be applied. The written exams can be carried out by the examiners appointed by PEOPLECERT and selected according to the requirements of this regulation

The written exams shall be composed, at least, of:

- 40 multiple choice questions based on the above knowledge competencies. Duration: 60 min. Each question shall have a minimum of 4 answers.

- Additionally, open questions may be added based on the knowledge competencies related to different topics from the multiple choice questions.

The written exams shall be carried out through an e-based examination and the PEOPLECERT guarantee the certainty of the candidate identity and that he works without any aid. Further PEOPLECERT guarantee that the examination facilities satisfy the needs for the Disable persons to be examined without any problem.

3	**Skill Competencies** *(not applicable for Provisional and Internal Auditors)*	**a.1 QMS Auditor Skill Competences**
		a) Audit implémentation
		b) Maintain communication during audit
		c) Conduct interviews
		d) Collect and verify information
		e) Generate audit findings
		f) Prepare audit conclusions
		g) Keep discretion between the auditee, client and audit team members
		b.1 QMS Auditor Skill Competences Evaluation
		The skill competencies shall be evaluated through the Psychometric evaluation in combination with the evaluation method of knowledge competences where a written exercise related to the phase of the audit planning will be included.
		a.2 QMS Lead Auditor Skill Competences
		a) Audit implémentation
		b) Maintain communication during audit
		c) Collect and verify information
		d) Conduct interviews
		e) Generate audit findings
		f) Prepare audit conclusions
		g) Conduct the closing meeting
		h) Represent the audit team with audit client and auditee
		i) Organize and direct audit team members
		j) Provide direction and guidance to team members
		k) Lead the audit team to reach audit conclusions
		l) Prevent and resolve conflicts
		b.2 QMS Lead Auditor Skill Competences Evaluation
		The skill competencies shall be evaluated through the Psychometric evaluation in combination with the evaluation method of knowledge competences where a written exercise related to the phase of the audit planning will be included.

TABLE 5: PREREQUISITES OF THE APPLICANT TO BE ADMITTED TO THE COMPETENCE EVALUATION OF QMS CONSULTANTS

1	Education	a. Applicants shall have completed at least _secondary education_ (typically, 12 years full-time education prior to university entrance) and, in addition, be able to provide relevant documented objective evidence. b. For applicants, who are able to demonstrate _University or post-secondary education_ studies awarded by an institution recognized by a national governmental body or accredited by a national professional body, reduced work experience requirements apply. In all cases, documentary evidence of the education claimed is required.
2	Work experience	The quality management system consultants should have relevant work experience in managerial, professional and technical aspects of the consultant services to be provided. This work experience can involve the exercise of judgment, problem solving and communication with all interested parties. Verifiable references to past work experience and achievements are important and should be made available to PEOPLECERT. The consultant's relevant experience can include a combination of some or more of the following. i. practical work experience, ii. experience in management, iii. experience in quality management, iv. experience in quality management system auditing, v. experience in implementing a quality management system, in one or more of the following capacities: - providing consultant services, - as a quality management system management representative, - performing a function related to the management of quality Per grade of Consultants the required work experience is: **a. Junior Consultants** - Applicants having at least _secondary education_ shall provide evidence for at least 3 year work experience - Applicants having _post-secondary education_ shall provide evidence for at least 1 year work experience **b. Consultants** - Applicants having at least _secondary education_ shall provide evidence for at least 7 year work experience - Applicants having _post-secondary education_ shall provide evidence for at least 5 year work experience **a. Senior Consultants** - Applicants having at least _secondary education_ shall provide evidence for at least 7 year work experience - Applicants having _post-secondary education_ shall provide evidence for at least 5 year work experience
3	Quality Management Experience	The totality of QMS implementation/realization experience for an applicant's QMS Consultant shall include: **a.** _Junior Consultants_ : not required **b.** _Consultants_ : at least 2 years Quality Management experience including: - realization/implementation of 4 complete QMS ISO 9001:2008 - no more than 2 of the above 4 QMS can be realized by the applicant **as a member** of a consultancy team under the coordination of a project leader competent as a QMS Senior Consultant. In this activity, the applicant shall have: • carried out autonomously the tasks assigned by the project leader, • participated in all of the periodical and final meetings of the consultancy team to verify the progress and the consistency of the works in relation with the customer agreed objectives. • carried out training of personnel involved in the QMS **c.** _Senior Consultants_ : at least 4years Quality Management experience including:

		- realization/implementation of 4 complete QMS ISO 9001:2000 - no more then 2 of the above 4 QMS can be realized by the applicant as a **team leader** of a consultancy team under the coordination of a project leader competent as a QMS Senior Consultant. In this activity, the applicant shall have: • executed the coordination and guiding of his team • carried out autonomously the tasks assigned by the project leader, • participated in all of the periodical and final meetings of the consultancy team to verify the progress and the consistency of the works in relation with the customer agreed objectives. • carried out training of personnel involved in the QMS.
4	Formal Training	Per grade of Consultants the required formal training is: **a. Junior Consultants :** should have successfully completed (through the successful completion of an approved examination), i. a certified by PEOPLECERT QMS training course (ISO9001), with a minimum duration of at least 16 hours, provided by an approved by PEOPLECERT training course provider and ii. a certified by PEOPLECERT ISO 10019 standard training course, with a minimum duration of at least 8 hours, provided by an approved by PEOPLECERT training course provider and **b. Consultants and Senior consultants:** should have successfully completed (through the successful completion of an approved examination), i. a certified by PEOPLECERT QMS training course (ISO9001), with a minimum duration of at least 16 hours, provided by an approved by PEOPLECERT training course provider, ii. a certified by PEOPLECERT ISO 10019 standard training course, with a minimum duration of at least 8 hours, provided by an approved by PEOPLECERT training course provider and iii. a certified by PEOPLECERT ISO 19011 standard training course, with a minimum duration of at least 16 hours, provided by an approved by PEOPLECERT training course provider

TABLE 6: COMPETENCE REQUIRED FOR QMS CONSULTANTS AND EVALUATION METHODS

1	Personal Attributes *(not applicable for Junior Consultants)*	**a. Competences** Applicants for certification shall be able to demonstrate the personal attributes necessary for effective and efficient performance of the consulting activity. Desirable personal attributes for QMS consultants are described in ISO 10019: • Ethical, i.e. fair, truthful, sincere, honest and discreet • open minded - willing to consider alternative ideas or points of view • Observant, i.e. actively aware of physical surroundings and activities • Perceptive, i.e. instinctively aware of and able to understand situations • Versatile, i.e. adjusts readily to different situations • Tenacious, i.e. persistent, focused on achieving objectives • Decisive, i.e. reaches timely conclusions based on logical reasoning and analysis • Self-reliant, i.e. acts and functions independently while interacting effectively with others • Communicative: able to listen to, and effectively interface with, all levels of an organization, confidently and with sensitivity to its culture, • Practical: realistic and flexible with good time management • Accountable: able to take responsibility for his/her own actions, • Facilitative: able to assist an organization's management and employees through the quality management system realization **b. Evaluation Method** The Applicant Personal Attributes is evaluated through an appropriate "Psychological Test Examination" by an e-based examination. The PEOPLECERT guarantee the certainty of the candidate identity and that he works without any aid. Further PEOPLECERT guarantee that the examination facilities satisfy the needs for the Disable persons to be examined without any problem.
2	Knowledge and skills Competencies specific to QMS	**a. Competences** **1. Junior Consultants** **General knowledge for MS** • Standardization issues • Certification issues • Program Management practices • Internal auditing practices **Relevant standards** • ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing; **National and international certification/registration and accreditation systems** Quality management system consultants should have general knowledge of: i. the standardization, certification and accreditation systems at national and international level, and the requirements for certification for such systems (e.g. ISO/ICE Guide 62) and, **General quality management principles, methodologies and techniques** Quality management system junior consultants should have knowledge of, and be able to apply, appropriate quality principles, methodologies and techniques. The following list indicates such fields where the junior consultant's experience and ability may be valuable: i. quality management principles,

Organization specific knowledge and skills

No such skills required by applicants.

Product, process and organization requirements

Quality management system junior consultants should have a reasonable knowledge of the organization's products, processes and customer expectations prior to initiating their consulting services, and should understand the key factors relevant to the product sector in which the organization operates.

i. to identify the key characteristics of the organization's processes and related products,
ii. to understand the sequence and interaction of the organization's processes and their effect on meeting product requirements,
iii. to understand the nature of the structure, functions and relationships within the organization,

Management practices

Quality management system junior consultants should have knowledge of relevant management practices to understand how the quality management system integrates and interacts with the overall management system of the organization, including its human resources, and how it will be deployed to secure the goals and objectives of the organization. Therefore, applicants shall have knowledge of relevant management practices such as:
• effective communication and training
• information & communication technology
• personal computer utilization

2. **Consultants**

General knowledge for MS

- Standardization issues
- Certification issues
- Program Management practices
- Internal auditing practices

Relevant standards

- ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing;

National and international certification/registration and accreditation systems

Quality management system consultants should have general knowledge of:
i. the standardization, certification and accreditation systems at national and international level, and the requirements for certification for such systems (e.g. ISO/ICE Guide 62) and,
ii. the processes and procedures for national certification of products, systems and personnel.

General quality management principles, methodologies and techniques

Quality management system consultants should have knowledge of, and be able to apply, appropriate quality principles, methodologies and techniques. The following list indicates such fields where the consultant's experience and ability may be valuable:
i. quality management principles,
ii. continual improvement tools and techniques,
iii. appropriate statistical techniques,
iv. auditing methodologies and techniques,

  v. principles for economics of quality,
  vi. team work techniques,
  vii. PDCA (Plan-Do-Check-Act) methodology,
  viii. policy deployment methodology,
  ix. process mapping techniques,
  x. problem solving techniques,
  xi. techniques for monitoring customer/employee satisfaction,
  xii. brainstorming techniques

Organization specific knowledge and skills

Applicants shall demonstrate the ability to recognize the existence and the significance of the relevant statutory and regulatory requirements (e.g. local, regional, national or international) applicable to the organization's activities.

In particular applicants shall demonstrate how they recognized these to be applicable to the organization's activities where they provided consulting services.

Product, process and organization requirements

Quality management system consultants should have a reasonable knowledge of the organization's products, processes and customer expectations prior to initiating their consulting services, and should understand the key factors relevant to the product sector in which the organization operates.

 i. to identify the key characteristics of the organization's processes and related products,
 ii. to understand the sequence and interaction of the organization's processes and their effect on meeting product requirements,
 iii. to understand the terminology of the sector in which the organization operates,
 iv. to understand the nature of the structure, functions and relationships within the organization,
 v. to understand the strategic linkage between business objectives and competence resource needs.

Management practices

Quality management system consultants should have knowledge of relevant management practices to understand how the quality management system integrates and interacts with the overall management system of the organization, including its human resources, and how it will be deployed to secure the goals and objectives of the organization. Therefore, applicants shall have knowledge of relevant management practices such as:

• effective communication and training
• human resources management
• marketing (customer focus, customer needs)
• information & communication technology
• personal computer utilization

3. **Senior consultants**

General knowledge for MS

- Standardization issues
- Certification issues
- Program Management practices
- Internal auditing practices

Relevant standards

- ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing;

National and international certification/registration and accreditation systems

Quality management system senior consultants should have general knowledge of:

i.   the standardization, certification and accreditation systems at national and international level, and the requirements for certification for such systems (e.g. ISO/ICE Guide 62) and,

ii.   the processes and procedures for national certification of products, systems and personnel.

General quality management principles, methodologies and techniques

Quality management system senior consultants should have knowledge of, and be able to apply, appropriate quality principles, methodologies and techniques. The following list indicates such fields where the consultant's experience and ability may be valuable:

    i.   quality management principles,
    ii.   continual improvement tools and techniques,
    iii. appropriate statistical techniques,
    iv. auditing methodologies and techniques,
    v.   principles for economics of quality,
    vi. team work techniques,
    vii. PDCA (Plan-Do-Check-Act) methodology,
    viii. policy deployment methodology,
    ix. process mapping techniques,
    x.   problem solving techniques,
    xi. techniques for monitoring customer/employee satisfaction,
    xii. brainstorming techniques

Organization specific knowledge and skills

Applicants shall demonstrate the ability to recognize the existence and the significance of the relevant statutory and regulatory requirements (e.g. local, regional, national or international) applicable to the organization's activities.
In particular applicants shall demonstrate how they recognized these to be applicable to the organization's activities where they provided consulting services.

Product, process and organization requirements

Quality management system senior consultants should have a reasonable knowledge of the organization's products, processes and customer expectations prior to initiating their consulting services, and should understand the key factors relevant to the product sector in which the organization operates.

    i.   to identify the key characteristics of the organization's processes and related products,
    ii.   to understand the sequence and interaction of the organization's processes and their effect on meeting product requirements,
    iii. to understand the terminology of the sector in which the organization operates,
    iv. to understand the nature of the structure, functions and relationships within the organization,
    v.   to understand the strategic linkage between business objectives and competence resource needs.

Management practices

Quality management system senior consultants should have knowledge of relevant management practices to understand how the quality management system integrates and interacts with the overall management system of the organization, including its human resources, and how it will be deployed to secure the goals and objectives of the organization. Therefore, applicants shall have knowledge of relevant management practices such as:

• planning

- effective communication and training
- human resources management & Team management
- marketing (customer focus, customer needs)
- information & communication technology
- personal computer utilization

a. Evaluation Method

The above knowledge and skills competencies shall be evaluated through written exams. For each grade of Consultant a different test will be applied. The written exams can be carried out by the examiners appointed by PEOPLECERT and selected according to the requirements of this regulation

The written exams shall be composed, at least, of:

- 40 multiple choice questions based on the above knowledge competencies. Duration: 60 min. Each question shall have a minimum of 4 answers.
- Additionally, open questions may be added based on the knowledge competencies related to different topics from the multiple choice questions.

The written exams are carried out through an e-based examination and the PEOPLECERT guarantee the certainty of the candidate identity and that he works without any aid. Further PEOPLECERT guarantee that the examination facilities satisfy the needs for the Disable persons to be examined without any problem.

TABLE 7: PREREQUISITES AND COMPETENCE REQUIRED FOR QMS EXPERTS

1	Formal Training	Per grade of Experts the required formal training is:
		1. Foundation Level Expert : Not Required
		2. Professional Level Expert: should have successfully completed (through the successful completion of an approved examination),
		   i. a certified by PEOPLECERT QMS (ISO9001) training course, with a minimum duration of at least 16 hours, provided by an approved by PEOPLECERT training course provider,
		   ii. a certified by PEOPLECERT ISO 10019 standard training course, with a minimum duration of at least 8 hours, provided by an approved by PEOPLECERT training course provider and
		   iii. a certified by PEOPLECERT ISO 19011 standard training course, with a minimum duration of at least 16 hours, provided by an approved by PEOPLECERT training course provider

2	Knowledge Competences	**a. Competences**
		
		1. Foundation Level Expert : Not Required
		2. Professional Level Expert
		   General knowledge for MS
		   • Standardization issues
		   • Certification issues
		   • Program Management practices
		   • Internal auditing
		   Relevant standards
		   • ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing;
		
		General quality management principles, methodologies and techniques
		Quality management system consultants should have knowledge of, and be able to apply, appropriate quality principles, methodologies and techniques. The following list indicates such fields where the consultant's experience and ability may be valuable:
		   i. quality management principles,
		   ii. continual improvement tools and techniques,
		   iii. appropriate statistical techniques,
		   iv. auditing methodologies and techniques,
		   v. team work techniques,
		   vi. PDCA (Plan-Do-Check-Act) methodology,
		   vii. techniques for monitoring customer/employee satisfaction,
		
		b. Evaluation Method
		The above knowledge competencies shall be evaluated through written exams. For each grade of Experts a different test will be applied. The written exams can be carried out by the examiners appointed by PEOPLECERT and selected according to the requirements of this regulation
		The written exams shall be composed, at least, of:
		40 multiple choice questions based on the above knowledge competencies. Duration: 60 min. Each question shall have a minimum of 4 answers.
		Additionally, open questions may be added based on the knowledge competencies related to different topics from the multiple choice questions.
		The written exams shall be carried out through an e-based examination and the PEOPLECERT guarantee the certainty of the candidate identity and that he works without any aid. Further PEOPLECERT guarantee that the examination facilities satisfy the needs for the Disable persons to be examined without any problem.

6. APPLICATION

An application pack, with all necessary information can be obtained free of charge, from the PEOPLECERT Examination Division, following the applicants expression of interest. Alternatively, all documentation required to submit an application is available to be downloaded from the PEOPLECERT website (www.peoplecert.org).

This pack includes:

a) An application form
b) The present Certification Regulation.
c) An annual PEOPLECERT pricelist for the certification of QMS Experts, Auditors or Consultants respectively, and

In order to apply for certification, all required forms, related material and payment of the application fee should be forwarded to PEOPLECERT Examination Division.

Address of PEOPLECERT Hellas is:

PEOPLECERT

3 Korai Street, 7th floor, Athens

Athens, Area Code 115 23

Tel: +30 (210) 3729100, Fax: +30 (210) 3729101

Email: **info@peoplecert.org**, Internet: **www.peoplecert.org**

Please note that at the application stage; only payment of the application fee is required. Applicants are advised not to submit any additional fee in respect to their initial certification. Should the application for certification be successful, a fee notice for the initial certification fee will be enclosed with the offer letter.

Applicants are strongly advised to submit all the required information, and to take care that all details are clear and correct.

All communication and correspondence in support of the application must be in English language or other languages accepted by PEOPLECERT (Please consult PEOPLECERT Examination Division for accepted languages). Else should be accompanied by unofficial translations of the originals.

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 stages the date and title of the award. If no documentary evidence can be supplied by the awarding body, the qualification will not be accepted for certification purposes.

Note: For the certification fees see clause 12 of this document and the annual fee catalogue of PEOPLECERT

7. EVALUATION OF APPLICATIONS

7.1 Auditors

7.1.1 General

PEOPLECERT has a documented process for the effective evaluation of an applicant's competencies. The evaluation process has the following distinct components:

a. Desktop review of documentation submitted by the applicant in support of the application. The review is intended to determine the applicant's conformance with PEOPLECERT prerequisites (Table 3) related to education, formal training, work experience , quality experience and auditing experience;

b. Review of proofs related to the successful accomplishment of the tests required by PEOPLECERT in order to prove their competences (Table 4 paragraphs 1, 2 and 3).

Submission of documents is as follows:

a. originals which may be returned after having been seen by an examiner; or

b. photocopies of the above, or

c. a letter from the qualifying authority confirming that the award was granted.

The official languages of PEOPLECERT are English and Greek. If the documents are in another language applicants may submit an unofficial translation. PEOPLECERT keep the right of verifying this translation with own means.

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.

Duration of processing of the application usually is four weeks. However, the processing time depends significantly on the time required to verify the accuracy of information submitted within the application.

7.1.2 Desktop Review Process

This section describes the process used by PEOPLECERT for conducting documentation review of applications, to determine the applicant's conformance with PEOPLECERT prerequisites (Table 3) related to education, formal training, work experience, quality experience and auditing experience

7.1.2.1 Evaluation of the education, formal training, work and quality experience

All applications are initially checked by the PEOPLECERT Examination Division in order to verify the completeness and accuracy of the information provided within the application. Afterwards, the folder is forwarded to the Examiner Division Manager of PEOPLECERT, who allocates the work to one Examiner. The Examiner conducts the documentation review.

The Examiner confirms that each applicant satisfies PEOPLECERT requirements as detailed in section 3 of this present regulation. If the documentation review is successful the applicant is informed for the deposit of initial certification fee. All Examiner reports are filed in the folder of each applicant.

Note: PEOPLECERT Examiner, may, if considered necessary, obtain information from any or all of the following reference sources:

a) Applicants lead auditors,

b) Auditee's,

c) The applicant's employer and/or sponsor,

d) Educational and training institutions.

PEOPLECERT confirm that reference sources are appropriate to verify the accuracy of the evidence submitted by the applicant. Where PEOPLECERT is not able to obtain information from all the above reference sources the reasons are documented.

7.1.2.2 Evaluation of the relevant documentation for the Auditing Experience.

For each initial application and for each application for an upgrade, the accuracy of the audit experience information submitted shall be verified by PEOPLECERT for at least two of the audits recorded on the audit log. This shall include verification of all of the following:

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.

7.1.2.3 Review of proofs for competences

If the desk top reviews (Para. 7.1.2.1 and 7.1.2.2) are successful for the applicant, the Examiner is seeking for the proofs that the applicant has successfully pass the required test as determined in Table 4 paragraphs 1, 2 and 3.

7.1.3 Evaluation personnel

PEOPLECERT ensures that *the personnel of the* Examiners Division are suitably qualified persons who have received the training necessary to enable them to make reasoned judgments regarding the applicant's conformance with the requirements of this regulation for qualifications and experience.

PEOPLECERT has the following role and responsibilities:

    a. to select auditors examiners

    b. to develop procedures for selection of auditors examiners and for the examination processes used by consultant examiners;

    c. to maintain records of auditors examiners' reports;

d. to assures that the Examiners perform in an ethical manner;

e. to assures that are objective and impartial in their examination,

f. to conduct a review at least every three years to assure itself that each auditor examiner continues to meet the requirements of such role as defined in this document;

PEOPLECERT examiners are responsible for the performance of the examination activities and, in addition:

a. to identify to their employer, the applicant's employer and the applicant any possible conflicts of interest in the execution of examinations to ensure they are able to provide an unbiased assessment;

b. to assess the applicant's ability to perform competently in accordance with the objectives of this regulation, through a Desk-top review and evaluation of the relevant documentation

c. to provide the applicant and/or the applicant's employer, and their own employer with a report for each examination of the applicant's competence against the objectives of this regulation and a statement of the applicant's acceptability for certification.

7.2 Consultants

7.2.1 General

PEOPLECERT has a documented process for the effective evaluation of an applicant's competencies. The evaluation process has the following distinct components:

a. Desktop review of documentation submitted by the applicant in support of the application. The review is intended to determine the applicant's conformance with PEOPLECERT prerequisites (*Table 5)* related to   education, formal training, work experience and quality management experience;

b. Review of proofs related to the successful accomplishment of the tests required by PEOPLECERT in order to prove their competences (*Table 6 paragraphs 1 and 2).*

Submission of documents is as follows:

a. originals which may be returned after having been seen by an examiner; or

b. photocopies of the above, or

c. a letter from the qualifying authority confirming that the award was granted.

The official languages of PEOPLECERT are English and Greek. If the documents are in another language applicants may submit an unofficial translation. PEOPLECERT keep the right of verifying this translation with own means.

Information contained in applications are treated by PEOPLECERT as confidential except where the applicant has agreed to specific information being released, for example, the information contained in the register of certified consultants.

Duration of processing of the application usually is four weeks. However, the processing time depends significantly on the time required to verify the accuracy of information submitted within the application.

7.2.2 Desktop review process

This section describes the process used by PEOPLECERT for conducting documentation review of applications.

7.2.2.1 Evaluation of the education, formal training and work experience

All applications are initially checked by the PEOPLECERT Examination Division in order to verify the completeness and accuracy of the information provided within the application. Afterwards, the folder is forwarded to the Examiner Division Manager of PEOPLECERT, who allocates the work to one Examiner. The Examiner conducts the documentation review

The Examiner confirms that each applicant satisfies PEOPLECERT requirements as detailed in section 4 of this present regulation. If the documentation review is successful the applicant is informed for the deposit of initial certification fee. All Examiner reports are filed in the folder of each applicant.

Note: PEOPLECERT Examiner, may, if considered necessary, obtain information from any or all of the following reference sources:

> a. QMS consultant project team leader;
>
> b. organizations client of the applicant ;
>
> c. the consultant's employer(s).

PEOPLECERT confirm that reference sources are appropriate to verify the accuracy of the evidence submitted by the applicant. Where PEOPLECERT is not able to obtain information from all the above reference sources the reasons are documented.

7.2.2.2 Evaluation of the relevant documentation for the QM Experience.

For each initial application, the applicant shall send the relevant QMS documentation of the required by table 5 paragraph 3 number of projects of QMS (Manual and principal procedures) designed by him.

The information need is:

> a. applicant's role in each QMS design
>
> b. QMS standard used
>
> c. dates of the beginning of the project and its duration;
>
> d. number of consultants in the team;
>
> e. name of the project leader (where applicable);
>
> f. name of the client's representative; and
>
> g. all documentation developed for the project

PEOPLECERT Examiners Division Manager appoints one examiner to evaluate the above-mentioned documentation in order to determine the conformity of the system, as documented, with the reference normative.

7.2.2.3 Review of proofs for competences

If the desk top reviews (Para. 7.2.2.1 and 7.2.2.2) are successful for the applicant, the Examiner is seeking for the proofs that the applicant has successfully pass the required test as determined in Table 6 paragraphs 1 and 2.

7.2.3   Evaluation personnel

PEOPLECERT ensures that *the personnel of the* Examiners Division are suitably qualified persons who have received the training necessary to enable them to make reasoned judgments regarding the applicant's conformance with the requirements of this regulation for qualifications and experience.

PEOPLECERT has the following role and responsibilities:

- g.   to select consultant examiners

- h.   to develop procedures for selection of consultant examiners and for the examination processes used by consultant examiners;

- i.   to maintain records of consultant examiners' reports;

- j.   to assures that the Examiners perform in an ethical manner;

- k.   to assures that are objective and impartial in their examination.

- l.   to conduct a review at least every three years to assure itself that each consultant examiner continues to meet the requirements of such role as defined in this document;

PEOPLECERT examiners are responsible for the performance of the examination activities and, in addition:

- a. to identify to their employer, the applicant's employer and the applicant any possible conflicts of interest in the execution of examinations to ensure they are able to provide an unbiased assessment;

- b. to assess the applicant's ability to perform competently in accordance with the objectives of this regulation, through a Desk-top review and evaluation of the relevant documentation,

- c. to provide the applicant and/or the applicant's employer, and their own employer with a report for each examination of the applicant's competence against the objectives of this regulation and a statement of the applicant's acceptability for certification.

7.3 Experts

7.3.1 General

PEOPLECERT has a documented process for the effective evaluation of an applicant's competencies. The evaluation process has the following distinct components:

    c.   Desktop review of documentation submitted by the applicant in support of the application. The review is intended to determine the applicant's conformance with PEOPLECERT prerequisites (Table 7 paragraph1) related to formal training;

    d.   Review of proofs related to the successful accomplishment of the tests required by PEOPLECERT in order to prove their competences (Table 7 paragraph 2).

Submission of documents is as follows:

    a. originals which may be returned after having been seen by an examiner; or

    b. photocopies of the above, or

    c. a letter from the qualifying authority confirming that the award was granted.

The official languages of PEOPLECERT are English and Greek. If the documents are in another language applicants may submit an unofficial translation. PEOPLECERT keep the right of verifying this translation with own means.

Information contained in applications are treated by PEOPLECERT as confidential except where the applicant has agreed to specific information being released, for example, the information contained in the register of certified Experts.

Duration of processing of the application usually is four weeks. However, the processing time depends significantly on the time required to verify the accuracy of information submitted within the application.

7.3.2   Desktop review process (applicable only to Professional Level)

This section describes the process used by PEOPLECERT for conducting documentation review of applications.

7.3.2.1 Evaluation of the formal training

All applications are initially checked by the PEOPLECERT Examination Division in order to verify the completeness and accuracy of the information provided within the application. Afterwards, the folder is forwarded to the Examiner Division Manager of PEOPLECERT, who allocates the work to one Examiner. The Examiner conducts the documentation review

The Examiner confirms that each applicant satisfies PEOPLECERT requirements as detailed in section 4 of this present regulation. If the documentation review is successful the applicant is informed for the deposit of initial certification fee. All Examiner reports are filed in the folder of each applicant.

7.3.2.2 Review of proofs for competences

If the desk top review (Para. 7.3.2.1) is successful for the applicant, the Examiner is seeking for the proofs that the applicant has successfully pass the required test as determined in Table 7 paragraphs 2.

7.3.3   Evaluation personnel

The evaluation personnel are selected among the Auditors or consultants examiners.

8. CERTIFICATION

8.1   Award of Certification

The final decision on certification is taken by the Manager of the Examiners Division.

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

Note: For the certification fees see clause 12 of this document and the annual fee catalogue of PEOPLECERT.

8.2   Specializations of the QMS Experts, Auditors and Consultants

PEOPLECERT operates specialization certification schemes that are designed to address the requirements of specific skills described in a number of Guides issued by relevant international organizations.

The certification of any or more specialization schemes **is not obligatory** for the PEOPLECERT certified QMS Experts, Auditors and Consultants but they can also enhance their QMS certification by demonstrating their competences in these specializations.

An applicant who is being certified in one or more specialization schemes maintains his certification for ever, as long as the relevant normative document is not changed, and he is keeping its certification as a QMS Expert and/or Auditor and/or Consultant.

You can refer to the PEOPLECERT website (www.peoplecert.org) for a listing of all PEOPLECERT QMS Expert/Auditor/Consultant certification schemes.

8.3   Certificates and Identification Cards

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

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

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

Certificates identification cards state:
a)   QMS Expert/ Auditor/Consultants name.
b)   Certification expiration date.
c)   Certification code.
d)   Certification grade.
e)   Name / logo of PEOPLECERT.

f)   Certification date.

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

PEOPLECERT 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.

9. OBLIGATIONS OF CERTIFIED QMS EXPERTS, AUDITORS and CONSULTANTS

9.1   Auditors

9.1.1   Complaints against Auditors

Applicants for initial certification and recertification as Auditors shall sign the relevant PEOPLECERT application form, stating compliance to the following:

a) Maintenance and compliance with the Auditor's Code of Conduct
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.

9.1.2   Code of Conduct of Auditors

All auditors are obliged to improve the standing of the auditing profession by rigorously observing the following Code of Conduct. Failure to do so may result in suspension or withdrawal of certification.
Auditors undertaken:

a) To act professionally, accurately and in an unbiased manner.
b) To strive to increase the competence and prestige of the auditing profession.
c) To assist those under their supervision in developing their management, professional and auditing skills.
d) Do not undertake audits 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 an audit unless required by law or authorized in writing by the audited and the auditing organization.
g) Do not accept any commission, gift or any other benefit from audited 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 any audit or the auditor certification process,
i) Do not act in any way that would prejudice the reputation of PEOPLECERT, and
j) To co-operate fully with any inquiry in the event of any alleged breach of this code.

Nonconformity of Auditors with this Code is evaluated by PEOPLECERT Certification Council after suggestion of the Examiner Division Manager. The decision of Certification Council is final.

9.1.3 Complaints and Objections

Certified Auditors and applicants for certification have the right to object to any decision taken by PEOPLECERT. PEOPLECERT has a documented procedure for the consideration of complains and objections against its certification, re-certification and decisions concerning the withdrawal of certification.

Similarly, complains made by certified auditors against PEOPLECERT, or against other certified auditors, by an auditee or other body for certified auditors or by an organization for a certified course provider, will be considered accordingly to establish PEOPLECERT procedures.

9.2 Consultants

9.2.1 Complaints against Consultants

Applicants for initial certification and recertification as Consultants shall sign the relevant PEOPLECERT application form, stating compliance to the following:

a) Maintenance and compliance with the Consultant's Code of Conduct

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.

9.2.2 Code of Conduct of Consultants

All consultants are obliged to improve the standing of the consulting profession by rigorously observing the following Code of Conduct. Failure to do so may result in suspension or withdrawal of certification.

Consultants undertake:

     a. to act professionally, accurately and in an unbiased manner;

     b. to strive to increase the competence and prestige of the consultancy profession;

     c. to assist those in their employment or under their supervision in developing their management, professional and consultancy skills;

     d. to avoid the offering of services where they do not have the necessary competence;

     e. to avoid the creation of unnecessary dependence on their services;

     f. to maintain the confidentiality of information provided by or acquired from the organization;

     g. to provide realistic cost estimates for their consulting services, based on the scope, nature and extent of the services to be provided ;

     h. to avoid and/or declare any conflict of interest that may affect the work to be carried out;

     i. to maintain independence from QMS certification or accreditation bodies;

     j. to maintain impartiality in an organization's selection of certification bodies/registrars;

     k. not to act in any way that would prejudice the reputation of PEOPLECERT and to co-operate fully with an inquiry in the event of any alleged breach of this code.

Nonconformity of Consultants with this Code is evaluated by PEOPLECERT Certification Council after suggestion of the Examiner Division Manager. The decision of Certification Council is final.

9.2.3 Complaints and Objections

Certified Consultants and applicants for certification have the right to object to any decision taken by PEOPLECERT. PEOPLECERT has a documented procedure for the consideration of complains and objections against its certification, re-certification and decisions concerning the withdrawal of certification.

Similarly, complains made by certified Consultants against PEOPLECERT, or against other certified Consultants, by an auditee or other body for certified Consultants or by an organization for a certified course provider, will be considered accordingly to establish PEOPLECERT procedures.

9.3 Experts

9.3.1 Complaints against Experts

Applicants for initial certification and recertification as Experts shall sign the relevant PEOPLECERT application form, stating compliance to the following:

a) Maintenance and compliance with the Expert's Code of Conduct

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.

9.3.2 Code of Conduct of Experts

All Experts are obliged to improve the standing of the consulting profession by rigorously observing the following Code of Conduct. Failure to do so may result in suspension or withdrawal of certification.

Experts undertake:

a. to act professionally, accurately and in an unbiased manner;

b. to assist those in their employment or under their supervision in developing their management, professional and consultancy skills;

c. to avoid the offering of services where they do not have the necessary competence;

d. to avoid the creation of unnecessary dependence on their services;

e. to maintain the confidentiality of information provided by or acquired from the organization;

f. to avoid and/or declare any conflict of interest that may affect the work to be carried out;

g. not to act in any way that would prejudice the reputation of PEOPLECERT and to co-operate fully with an inquiry in the event of any alleged breach of this code.

9.3.3 Complaints and Objections

Certified Experts and applicants for certification have the right to object to any decision taken by PEOPLECERT. PEOPLECERT has a documented procedure for the consideration of complains and objections against its certification, re-certification and decisions concerning the withdrawal of certification.

Similarly, complains made by certified Experts against PEOPLECERT, or against other certified Experts, by an auditee or other body for certified Experts or by an organization for a certified course provider, will be considered accordingly to establish PEOPLECERT procedures.

10. USE OF CERTIFICATION CREDENTIALS / WITHDRAWAL OF CERTIFICATE

10.1 Use of Certificate

PEOPLECERT applies a documented procedure for the right usage of certificates.

10.2 Cancellation and withdrawal of Certificates

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

PEOPLECERT retains the right to withdraw certificates of QMS Experts, Auditors and Consultants who do not continue to comply with certification criteria.

Similarly, PEOPLECERT retains the right to undertake action against the certification of QMS Experts, Auditors and Consultants who are found to have acted contrary to the PEOPLECERT Code of Conduct. Options include suspension of certification and in instances of serious or sustained non conformities, withdrawal of certification.

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

11. MAINTENANCE CERTIFICATION

11.1 Maintenance of Certification of Auditors

All certified auditors are periodically recertified. The period between initial certification and recertification is 3 years. Each applicant for re-certification shall maintain an audit log on which shall be recorded details of each audit undertaken and details of professional development undertaken.

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

Note: After his registration, each auditor shall be submitted in one on-site audit in 3 year period.

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

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

For PEOPLECERT QMS Auditor,

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

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.

For PEOPLECERT QMS Lead Auditor:

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

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.

Continuing Professional Improvement (CPI)

For renewal of certification, the Continuous Professional Improvement (CPI)/training log is required to be submitted to PEOPLECERT at the end of the certification period, i.e. at the end of each complete year following initial or previous renewal of certification.

Each PEOPLECERT certified Auditor shall, for each year of the re-certification period, undertake at least 20 hours of appropriate continuing professional development. Evidence of that professional development, verified by the provider, or the applicant's employer, shall be submitted as part of the application for re-certification.

For the other PEOPLECERT certified Auditor, each one shall, for each year of the re-certification period, undertake at least 10 hours of appropriate continuing professional development. Evidence of that professional development, verified by the provider, or the applicant's employer, shall be submitted as part of the application for re-certification.

The professional development records shall present the duration and type of activity undertaken and details of the provider of such activity.

For the selection of appropriate professional development, certified Auditor should consider their personal strengths and weaknesses and identify areas for personal improvement. Professional development activities undertaken shall be related to quality principles and practices or improving valuation methodologies.

11.2 Maintenance of Certification of Consultants

All certified consultants shall periodically re-certify. The period between initial certification and re-certification shall not exceed three years. Each applicant for re-certification shall maintain a written declaration from the client of each QMS realization undertaken and details of professional development undertaken, during the above-mentioned period.

For each year of the re-certification period, PEOPLECERT QMS Consultants shall submit documentary evidence either of having performed a minimum of:

For PEOPLECERT Senior Consultant:

2 complete QMS project realization or of having acquired equivalent QMS consultancy experience.

For PEOPLECERT Consultant:

1 complete QMS project realization or of having acquired equivalent QMS consultancy experience.

Professional Development

The PEOPLECERT Consultant shall, in each year of the re-certification period, undertake at least 15 hours of appropriate continuing professional development. Evidence of that professional development, verified by the provider, or the applicant's employer, shall be submitted as part of the application for re-certification.

The professional development records shall show the duration and type of activity undertaken and details of the provider.

In the selection of appropriate professional development, consultants should consider their personal strengths and weaknesses and identify areas for personal improvement.

Further guidance on professional development can be obtained from the certification body.

12. CERTIFICATION FEES

Fees are paid annually and applicable for a calendar year (1 January – 31 December). Current fees are available from the PEOPLECERT Examination Division or website.

12.1 Application fee

Application fee shall accompany all application forms. Applications received without payment of this fee will not be evaluated. This fee covers the administration costs involved in processing the application. Applicants should note that this fee will not be refunded even if the application is rejected.

12.2 Initial certification fee

Initial certification fee is due on receipt of the invoice accompanying the certification offer letter sent to each successful applicant. The certification will be awarded only after the payment of initial certification fee.

12.3 Annual certification fee

Annual certification fee is due on receipt dispatched at the end of each year, for the year following the initial certification. Recertification does not conclude any additional fee.

12.4 Fee of application for upgrading

Fee of application for upgrading covers the administration costs which are required for the processing of the application. It is due with the upgrade application and is not refundable. In case which an application for submission of upgrade is successful, not additional cost is required.

Upgrading applications can be evaluated at any time during the certification period of an auditor.

Upgrading, offered as a result of objective evidence provided in support of the 3 year renewal of certification process, does not require completion of any form neither submission of any upgrade fee.

Contact PEOPLECERT for the exact price list.

13. RECORDS

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

14. CONFIDENTIALITY

All information, correspondence and documentation submitted by applicants or by existing certified auditors in support of certification activities are considered as strictly confidential.

However, PEOPLECERT reserves the right to publish relevant details of each certified auditor in registries. All candidates, with the submission of their application, agree that all included information can be recorded in the electronic and/or written archive of PEOPLECERT, according to the requirements of EU Directive 95/46 and its amendments, for the protection of personal data.

15. LEGAL STATUS

The certification of auditors by PEOPLECERT and all activities associated with the administration of the registry is governed by the Hellenic Law and is subject to the exclusive jurisdiction of the Hellenic Courts.

16. HISTORY OF DOCUMENT

Number of issue / Date	Change
Version 01.0 / 21.09.2010	Initial Version

17. APPENDIX

17.1 Background

PEOPLECERT recommends to the certified Experts, Auditors and Consultants to enhance their evaluation skills. It is now accepted within most professions that the base skills and attributes gained at the outset of an individual's career are insufficient to support continued, optimum competence throughout his career. Professionals working in environments subject to frequent changes, require supplementary training and knowledge enhancement in order to maintain their competence. PEOPLECERT considers that the continuing professional improvement recommends an effective means whereby auditors maintain update of their knowledge and their skills relevant to evaluation.

17.2 The Approach

PEOPLECERT assigns to each certified Expert, Auditor and Consultant the responsibility to select the approach that is best suited to his or her aspirations and professional needs. Certified Experts Auditors and Consultants may choose to follow this PEOPLECERT guidance or of another body with which they are associated. However, PEOPLECERT intends to ensure that, the Continuing Professional Improvement requirements are sufficiently flexible to be relevant to all Experts, Auditors and Consultants at all stages of their careers.

17.3 Questions and Answers

The following questions and answers are designed to provide the information Experts, Auditors and Consultants require in order complying with the CPI requirements. For more information, please contact PEOPLECERT.

Does this apply to all certified Auditors?

All PEOPLECERT certified Experts Auditors and Consultants, irrespective of grade or scheme, are required to comply with this requirement. Each PEOPLECERT certified Lead Auditors/Senior Consultants shall, for each year of the re-certification period, undertake at least 20 hours of appropriate continuing professional development. Each PEOPLECERT certified Auditors/Consultants shall, for each year of the re-certification period, undertake at least 10 hours of appropriate continuing professional development.

What is CPI?

CPI is continuously updating professional knowledge, personal skills and competencies throughout the certified Auditor's professional life.

The underlying principles of CPI are that:
a) The Experts, Auditors and Consultants should always be actively seeking to improve performance,
b) Development is primarily a personal matter and should be owned and managed by the individual,
c) Development goals should be clearly defined and should be accompanied by specific measures of what will constitute a successful result,
d) Investment in training, development and learning should be regarded as a fundamental principle of enhancing professional and commercial success.

What are the benefits of CPI?

CPI ensures that the professional credibility of Experts Auditors and Consultants is maintained in today's working environment where new ideas, concepts and practical tools are constantly evolving.

CPI enables Experts Auditors and Consultants to practice, on a personal level, the basic quality principle of continuing improvement.

CPI will provide each Experts Auditors and Consultants with the framework to manage individual development and enable each to aspire to improve performance above and beyond the requirements of his or her current position.

17.4 Continuing Professional Improvement Examples

Continuing professional improvement examples recommend the following:

a) Continuing education

b) Participation (as delegate or instructor) in seminars, lectures, meetings, etc

c) Writing of articles, books, forms, publications etc.

The above list is not binding.