

GLOBAL

PERSONNEL CERTIFICATION SCHEME

CERTIFICATION PROGRAM

PC01 – AUDITOR



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INTRODUCTION

OBJECTIVE

This Certification Program is for the certification of Auditors, under the "Global Personnel Certification Scheme" (GLOBAL), following the requirements of ISO/IEC 17024. This Certification Program also follows, where applicable, the criteria established by IRCA or other leading institutions for registration of auditors.

Here are the rules defined for a candidate to apply for certification and how does GLOBAL to register and issue a certificate. Qualifications covered by this program are contained in the Competence of Auditor of Management System, belonging to the Competence Area of Management.

REFERENCES

AS 9100 / NBR 15100
ISO/IEC 17021
ISO/IEC TS 17021-2 e -3
ISO/IEC 17024
ISO/IEC 17025
ISO/IEC 17065
ISO 19011
ISO 9001
ISO 13485
ISO 14001
ISO 19600
ISO 20000
ISO 22000
ISO 22301
ISO 26000
ISO 27001
ISO 37001
ISO 45001
ISO 50001
ISO TS 16949
SA 8000
NIT-DICOR 054
[IAF MD 4:2018](#)
[IRCA – PR328 – LEAD AUDITOR ISO 9001](#)
[IRCA – PR315 – LEAD AUDITOR ISO 14001](#)
[IRCA – PR357 – LEAD AUDITOR ISO 45001](#)
Portaria 13 de 06/01/2017 do Ministério das Cidades
Resolução CONAMA 306/2002

Portaria 319/2003 do Ministério do Meio Ambiente
Portaria 353/2005 do Ministério do Meio Ambiente
Resolução CONAMA 381/2006

DEFINITIONS AND RESPONSIBILITIES

DEFINITIONS

Area of Competence: Groups the skills required for related occupations. It can also be called Area of Occupation.

Approved Auditor: Person that satisfies all criteria to qualify as Auditor or Lead Auditor but does not have the required audit experience to occupy these qualifications. The Approved Auditor usually is also named as Trainee Auditor.

Auditor: Person who performs audit of the entire organization, supplier or for certification bodies, as a member of an audit team, but not yet sufficiently experienced to lead the audit team.

Lead Auditor: Competent and experienced person to lead and manage audit team auditing the organization, suppliers or for certification bodies.

Internal Auditor: Person performing audit of the organization or supplier. Persons who perform audits few times a year and have the audit as part of their main normal professional duties.

Certification Program: Set of requirements and conditions for certification of the Qualification of a person in a specific Area of Competence. The Competence Committee establishes the Certification Program for each Competence and sets all process required certifying Qualifications included as part of this Competence.

Competence: Demonstrated ability to apply knowledge, skills and previous work experience, including legal and statutory character, required to perform safely and with a certain quality professional activity relevant to an occupation. Involves all the rights, obligations and duties of a person in a specific professional activity and is composed of legal and statutory requirements to this occupation and the training, skills and professional experience required.

Marketing Partner: Public or private entity recognized by GLOBAL promoting the marketing and providing the infrastructure to the Examiner to evaluate the competence and ability of Candidates. Marketing Partners use independent registered Examiners for providing the Exams.

Employer: A governmental, private or any other organization that requires one or more of its employees to have specific Qualification certified in the Scope of a Certification Program.

Qualification: Specific competence that enables a person to a occupation, considering the specific scope where he obtained the qualification.

Scope: Indicates the extent of the approved applicable Qualification when this additional level of detail of Qualification is required for professional registration.

RESPONSIBILITIES

Candidate to Certification: Person who applied for certification in a Qualification and that the process had not yet completed lacking the final decision on certification but complies with the Code of Conduct.

Certified Person: Person who meets all of the requirements of the Certification Program in which is certified and maintains compliance with these requirements throughout the period of validity, even during checks for the maintenance of certificate. The Certified Person complies with the Code of Ethics and has permanent professional performance consistent with the certification obtained.

Examiner (or Instructor or Tutor): Person accredited by GLOBAL that meets all the requirements of GLOBAL, responsible for executing the Exams relevant to the assessment of Candidates seeking certification in a Qualification. Examiners are regularly assessed to prove competence in the Qualification in which they operate, with annual reassessment. Examiners are classified as Lead Examiner or Examiner and only the Lead Examiner can provide the final evaluation of Participants of Exams.

President of GLOBAL: Establish the structure, indicating people and provide consistent resources for proper operation of

GLOBAL. The President of GLOBAL is responsible for controlling and deciding, ultimately, the Appeals and for leading the management reviews.

Registration Technician: Person belonging to GLOBAL with responsibility for controlling and executing the activities of the certification processes of persons, critically analyzing requests for registration, evaluating the Qualification of persons in accordance with the requirements of the Certification Program and preparing certification processes to allow the decision by the Technical Manager.

Deputy Technical Manager: Responsible for the decision and emission of certificates when the Technical Manager indicates conflict of interest in a process or when the Technical Manager has any impediment

Technical Manager: Manages the Certification Programs established by the Competence Committee, supporting the Committees and responsibility for issuing and controlling certificates

Watcher: Person appointed by the Competence Center to witness the examination steps in support of the Examiner, aiming to avoid the occurrence of fraud. The Watchers are assessed annually as to maintain its condition.

CERTIFICATION PROGRAM

The Certification Program for Auditors is part of the Area of Competence of Management specifically covering the following Qualifications:

- PC01Q01: QMS Approved Auditor, Auditor Lead Auditor or Internal Auditor (Quality)
- PC01Q02: EMS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q03: OHSMS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q04: Civil Construction MS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q05: ISMS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q06: CSRMS Approved Auditor, Auditor Lead Auditor or Internal Auditor

- PC01Q07: FSMS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q08: ITSMS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q09: BCMS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q10: EnMS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q11: Aeronautic MS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q12: Automotive MS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q13: Medical Products MS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q14: Laboratory MS Approved Auditor, Auditor Lead Auditor or Internal Auditor
- PC01Q15: Compliance and Anti-bribery MS Approved Auditor, Auditor Lead Auditor or Internal Auditor

This Certification Program establishes the extent of accreditation, the description of the professional activities, applicable statutory and regulatory requirements and the general requirements for Lead Auditor, Auditor, Approved Auditor and Internal Auditor. Requirements for vocational education and training, work experience and skills are established.

The Program indicates the cost of certification and the steps that a candidate to registration in a Qualifications should give, making it clear how the whole certification process is executed.

The form used to request certification and the cost are available in the site of GLOBAL (www.globalpersoncert.com)

The issues of Confidentiality, Impartiality, Use of Certification, Complaints and Appeals as well as Communication are explicitly addressed in the Program, including the Code of Conduct the applicant must sign at the time of registration and apply for the period during which the person is certified by GLOBAL are in the site of GLOBAL (www.globalpersoncert.com).

Where changes in the Program require additional evaluation of Certified Persons, including regulatory and statutory changes, these changes are documented and widely disseminated to interested parties without the need to request from them, making it clear the new requirements and how GLOBAL treat as the transition phase between the old rules and the new requirements.

Qualification evaluations of a person are planned and structured to ensure that all Program requirements are checked systematically and objectively, with retention of the records that confirm the specific Competence of the candidate to the desired Qualification. The applicable statutory and regulatory compliance is checked, not being issued certificates when non-compliance is evidenced.

The Program assures the commitment of the Code of Conduct, which is necessarily accepted by the candidate, that all certified persons report without any postponement, on matters that may affect the ability of the person certified to continue meeting all certification requirements.

MARKETING PARTNERS

This Certification Program uses only a Theoretical Exam that does not require the use of laboratories or special installations. The Exams are conducted in a classroom with no additional requirement besides the comfort of the Candidate, including the thermal conform, proper lighting and silence which is an indication that a specialized Competence Center is not required.

For the Exams of this Certification Program Marketing Partners are used to access the market and search of Candidates.

The Exams are selected by GLOBAL and applied by Examiners of Watchers authorized by GLOBAL.

EMPLOYER

The Employer can be responsible for sending the Candidate of Certification to GLOBAL, validating the personal information provided by the Candidate, including statements on education, training and professional experience.

GLOBAL can keep an Agreement with the Employer aiming collectively registering employees for whom the employer wishes to register and to certify according to this Certification Program, as long as it can demonstrate the fulfillment of all applicable requirements required by GLOBAL to do such registration and certification.

In the case of self-employed person, GLOBAL will accept the statements only if attested by third party legally or administratively empowered to attest. GLOBAL will examine each case whether to accept the documentation provided, stating the reasons and advising the Candidate when the documentation is not accepted.

The certification of a person attests the Competence of that person to perform activity related to the certified Qualification, but it is not an authorization for that person to work. The authorization to work is solely the responsibility of the Employer.

The Employer of a Certified Person is responsible for:

- a) To grant permits for operation, including ensuring the specific additional training related to the work to be performed;
- b) Issue all documents concerning work permits;
- c) Ensure the validity of the results of the activities performed by the Certified Persons;
- d) Ensure that annual tests of visual acuity and other requirements for physical fitness are effectively performed as specified;
- e) Ensure that the methods are applied continuously and properly, as required;
- f) Ensure that persons hold valid certificates for the relevant tasks;
- g) Keep appropriate records.

In the case of self-employed person, the certified person assumes by himself all the responsibilities listed above that usually applies to the Employer.

EXAMINERS

GLOBAL register individually and controls the Examiners and Exams. For this Certification Program there are no Practical Exams that require qualified Examiners. The evaluation of the practical part of auditing is performed In the Audit Course, during the performance of the simulated audit.

Exams are selected directly by GLOBAL and may be applied by authorized Examiners or Watchers or electronically, [following the criteria of the IAF MD 4: 2018 document for remote evaluations.](#)

EXAMS

Exams for the Qualification of auditors are prepared and applied by GLOBAL, with the possible participation of experts during the development.

Exams applied by other internationally recognized auditor certification organization are accepted by GLOBAL as well as those applied by other entities accredited under ISO 17024 by accreditation boards belonging to IAF.

The Exams assess the Competence in a manner consistent and objective through reliable and reproducible written exams using clearly identified the methodology and appropriate evaluation.

To this Certification Program of QMS Auditors the following Exams are applicable:

- PC01E01: QMS Approved Auditor, Auditor and Lead Auditor
- PC01E02: QMS Internal Auditor
- PC01E03: Civil Construction Internal Auditor
- PC01E04: Civil Construction Auditor and Lead Auditor
- PC01E05: EMS Approved Auditor, Auditor and Lead Auditor (Environment)
- PC01E06: EMS Internal Auditor
- PC01E07: OHSMS Lead Approved Auditor, Auditor and Auditor (Occupational Health & Safety)
- PC01E08: OHSMS Internal Auditor
- PC01E09: ISMS Approved Auditor, Auditor and Lead Auditor (Information Safety)
- PC01E10: ISMS Internal Auditor
- PC01E11: CSRMS Approved Auditor, Auditor and Lead Auditor (Corporate Social Resp.)
- PC01E12: CSRMS Internal Auditor
- PC01E13: FSMS Approved Auditor, Auditor and Lead Auditor (Food Safety)
- PC01E14: FSMS Internal Auditor
- PC01E15: ITSMS Approved Auditor, Auditor and Lead Auditor (IT Services)
- PC01E16: ITSMS Internal Auditor
- PC01E17: BCMS Approved Auditor, Auditor and Lead Auditor (Business Continuity)
- PC01E18: BCMS Internal Auditor
- PC01E19: EnMS Approved Auditor, Auditor and Lead Auditor (Energy Management)
- PC01E20: EnMS Internal Auditor

- PC01E21: AeQMS Approved Auditor, Auditor and Lead Auditor (Aerospace)
- PC01E22: AeQMS Internal Auditor
- PC01E23: AuQMS Approved Auditor, Auditor and Lead Auditor (Automotive)
- PC01E24: AuQMS Internal Auditor]
- PC01E25: MDQMS Approved Auditor, Auditor and Lead Auditor (Medical Devices)
- PC01E26: MDQMS Internal Auditor
- PC01E27: LabMS Approved Auditor, Auditor and Lead Auditor (ISO 17025)
- PC01E28: LabMS Internal Auditor (ISO 17025)
- PC01E29: CABMS Approved Auditor, Auditor and Lead Auditor (Compliance and Anti-bribery)
- PC01E30: CABMS Internal Auditor

CERTIFICATION OF AUDITORS

The certification of auditors is achieved in stages that cover the request, the execution of the initial certification and recertification after three years, the annual monitoring of maintenance of certification, the suspension and withdrawal of the certificate, the extension or reduction in coverage of the Qualification indicated in the certificate of the auditor.

The request for certification is made by filing the Form contained in Program, which is processed as soon as is evidenced the payment of assessment fee for registration. The fee is specified. The fee covers the assessment activities and is not refundable under any circumstances, even when the applicant fails to meet the requirements of registration.

The Employer of the person seeking certification may also make the request for certification, in which case an Agreement is signed between GLOBAL and the Employer. In this case it is ensured by the Employer that all requirements are met appropriately. It is also ensured that GLOBAL has the right to audit the Employer. The Employer shall inform the employee data for which seeks certification and shall comply with regard to all applicable requirements of this Certification Program.

The prerequisites for certification and how to serve them for each qualification are clearly indicated below, the items that address each specific Qualification. Candidates seeking certification declare that they completely understand these

prerequisites, being aware that is their only obligation to assess whether they are meeting the requirements. The applicant must make the request only after ensuring that he is aware of all the requirements and understands that he meets or will meet them in full in due time. GLOBAL informs and supports the candidate needing clarification regarding the Program and the prerequisites for Qualification desired.

The documentation gathered during the certification process, from request to decision, is kept as a record. This documentation is enough to GLOBAL make the decision on certification and to trace the steps of the certification, to identify each stage, what was decided and who decided.

All stages of the certification process are performed by the Registration Technician, from assessing the incoming request, the collection and analysis of information and the recommendation of certification, based on the evidence collected in accordance with the requirements of Qualification. The Technical Manager has the responsibility to decide on certification, after detailed analysis of the process and the recommendation of Registration Technician. The criteria used by the Registration Technician and the Technical Manager are set in this Certification Program for each specific professional Qualification.

Decisions on certification are communicated to the professional evaluated, maintaining the confidentiality of the data of the person evaluated and the evaluation process.

All relevant information on which the decision is based are informed to the professional evaluated, allowing the candidate to comment about it, including the items that have not been sufficiently clarified in the assessed documentation and which may have been relevant to the decision. If applicable, considering the explanations and additional information provided by the Candidate, the Technical Manager could forward the case to the Registration Technician, requesting that the new information and documents are included and new assessment to be made.

CERTIFICATES

A certificate issued to each person who meets all requirements for Qualification in a Certification Program indicates clearly the

scope of the certification of Qualification obtained. The certificate for a person certified in a Certification Program indicates:

- (1) The name of certified person;
- (2) A recent photo of the certified person, if applicable;
- (3) Identification of the Certification Program, indicating the Area of Competence, Competency and Qualification obtained, which may indicate also the scope of the Qualification, when applicable or appropriate;
- (4) The conditions of validity and limitations Qualification;
- (5) The date of certification and the validity of the certificate;
- (6) The unique identification of the certificate;
- (7) The unique identification of the applicable Accreditation or Registration Entity, including the accreditation number of GLOBAL, if applicable.

In all cases the certificate is designed to reduce the risk of fraud.

Certificates are supplied in digital format or can be printed.

QUALIFICATIONS OF AUDITORS

The certification of auditors involve the Qualifications related to audits of management system and audits in general as environmental audits, due-diligences, energy audit, inventory audit and so on...

MANAGEMENT SYSTEM AUDITORS

The Qualifications for Management System Auditors are the following:

- Quality Management System (QMS),
- Civil Construction Quality Management System,
- Environmental Management System (EMS),
- Occupational Health and Safety Management System (OHSMS),
- Information Safety Management System (ISMS),
- Corporate Social Responsibility Management System (CSRMS),
- Food Safety Management System (FSMS),
- IT Services Management System (ITSMS),
- Business Continuity Management System (BCMS),
- Energy Management System (EnMS),

- Aerospace Quality Management System (AeQMS),
- Automotive Quality Management System (AuQMS),
- Medical Devices Quality Management System (MSQMS).
- Laboratory Management System (LabQMS).
- Compliance and Anti-bribery Management System (CABMS).

The Exams required for the Qualification related to the Certification of Management System Auditors are provided Board belonging to IAF. Trainings of Lead Auditor can be provided by GLOBAL, recognized by IRCA or others accepted by GLOBAL.

The Certification of Management System Auditors include the Qualification of Approved Auditor, Auditor, Lead Auditor and Internal Auditor as defined in this Program and are related to all the sectors indicated above.

For the **Qualification as Auditor** the Candidate shall comply with the following conditions:

- 1) Education: At least a Secondary Education level.
- 2) Professional Experience: four years or three years with a degree.
- 3) Experience in the specific Management System: two years full time experience of the total experience indicated above.
- 4) Audit Training: GLOBAL certified or recognized Lead Auditor Exam in the specific Management System. IRCA certified Lead Auditor Exam in the specific Management System is recognized by GLOBAL.
- 5) Audit Experience: Four complete audits in the specific Management System with at least twenty days of experience and fifteen days on-site under the guidance and orientation of a Lead Auditor. The audits should have been completed during the last three years.

If the Candidate is already Qualified as Auditor in one Management System, the Qualification as Auditor in another Management System requires the following:

- 1) Audit Training: Approval in Exam registered or accepted by GLOBAL for the specific Management System,
- 2) Experience in the specific Management System: One year additional to the total experience in other Management System that the Candidate is already Certified.
- 3) Experience in Audits: two audits in the specific Management System, with a total of 10 days of experience and at least six

days on-site audit. The audits should have been completed during the last three years.

For the Qualification as Approved Auditor all items required to Auditor shall be satisfied with the exclusion of the audit experience.

For the Qualification of Management System Approved Auditor, Auditor or Lead Auditor, the following Exams and related Programs are applicable:

- Exam PC01E01 for QMS
- Exam PC01E05 for EMS
- Exam PC01E07 for OHSMS
- Exam PC01E09 for ISMS
- Exam PC01E11 for CSRMS
- Exam PC01E13 for SAMS
- Exam PC01E15 for ISMS
- Exam PC01E17 for BCMS
- Exam PC01E19 for EnMS
- Exam PC01E21 for AeQMS
- Exam PC01E23 for AuQMS
- Exam PC01E25 for MDQMS
- Exam PC01E27 for LabMS
- Exam PC01E29 for CABMS

For the **Qualification as Lead Auditor** the Candidate shall comply with the following conditions:

- 1) To be qualified as Auditor in the specific Management System.
- 2) To have an additional audit experience in the specific Management System of three complete audits with a total of fifteen days with at least 10 days on-site in the specific Management System and acting as Lead Auditor. The audits should have been completed during the last two years.

For a Lead Auditor Qualified in one Management System, the Qualification as Lead Auditor in another specific Management System requires only that the Candidate fulfill the Qualification as Auditor of that specific Management System

For the **Qualification as Internal Auditor** of a specific Management System the Candidate shall comply with the following conditions:

- 1) Education: at least a Secondary Education level.

- 2) Professional Experience: Four years or two years with a degree.
- 3) Experience in the specific Management System: one year full time experience of the above indicated.
- 4) Audit training: GLOBAL certified or recognized Internal Auditor Exam of the standard for the specific Management System. IRCA certified Internal Auditor Exam for the specific Management System is recognized by GLOBAL.
- 5) Audit Experience: Four internal audits in the specific Management System with duration of at least three hours each and covering all elements of the audit cycle. The audits should have been completed during the last three years.

The following Exams and related Programs are applicable for the Qualifications of the specific Management System Internal Auditors:

- Exam PC01E02 for QMS
- Exam PC01E06 for EMS
- Exam PC01E08 for OHSMS
- Exam PC01E10 for ISMS
- Exam PC01E12 for CSRMS
- Exam PC01E14 for FSMS
- Exam PC01E16 for ITSMS
- Exam PC01E18 for BCMS
- Exam PC01E20 for EnMS
- Exam PC01E22 for AeQMS
- Exam PC01E24 for AuQMS
- Exam PC01E26 for MDQMS
- Exam PC01E28 for LabQMS
- Exam PC01E30 for CABMS

AUDITORS IN GENERAL

The Certification Program of Auditors can cover auditors other than management system auditors and may include the Qualifications related to Environmental Auditor, Greenhouse Gases Auditor, etc.

At this phase, the Certification Program of Auditors is not covering the certification of these Auditors.

MAINTENANCE OF THE CERTIFICATION

The validity of the certificate is three years maximum with an annual review to verify if the conditions of certification remain valid performing an annual monitoring to ensure ongoing compliance of the certified person against the requirements of the specific Qualification.

The annual monitoring may include assessments of audits performed and consultation of interested parties related to the documentation generated. It is verified the existence of legal actions with respect to the certified person, confirmation of continuing satisfactory work record and work experience, examination, verification of skills and physical ability required to the good performance as Auditor.

RECERTIFICATION

Recertification is confirmation of compliance with the current requirements of registration for a new certification cycle, after the expiration of the previous cycle. The methods and frequency of recertification consider the regulatory requirements. For QMS Auditors it is performed at each three year or before, depending on the validity of the certificate.

The Recertification considers:

- 1) changes in statutory and regulatory requirements, in standards, in Certification Program.
- 2) The continuity of the conditions of Competence required for the certification, including the continuous professional development, if required.
- 3) The maintenance of the experience in audits.

The Recertification of Management System Auditors requires a minimum of three complete audits during the last three years.

EXTENSION, REDUCTION, SUSPENSION AND CANCELATION OF THE CERTIFICATE

The extension or reduction of the scope of a certificate can be performed only when requested by the certified person, if he meets all relevant requirements of the modification requested of the Certification Program. The request is made following the same steps of the initial request, which is now considering the extent relevant or desired reduction.

The Technical Manager critically analyzes the requested changes and, if approved with verification that all requirements are meeting the applicable Certification Program, the changes are submitted to the Technical Manager to issue the modified certificate. All other conditions being maintained on the validity of certificate and assessments already carried out for maintenance of the certificate, as prescribed in the Certification Program.

When the certified professional fails to comply with one or more requirements of the Certification Program, including those required for the maintenance of the certificate, GLOBAL immediately inform the professional, in writing, requesting that immediate action and corrective actions be taken to correct the deviation observed. If no corrective action taken consistent with what is acceptable to GLOBAL, the professional will have their certificate suspended and should immediately interrupt the execution of activities that require the professional to be certified.

The Technical Manager in accordance with what is established in the Certification Program decides the suspension of the certificate for a specified period. The period of suspension is clearly informed at the time of suspension, provided that the failure to close out the required corrective action within the stipulated time will result in cancellation of the certificate. The canceled certificate is informed in the same location of the site where the certified professionals are listed, with the name removed from the list of certified professionals. Printed copies of the certificate shall be immediately returned to GLOBAL.

As far as possible, including as to the legal, regulatory and statutory requirements applicable, GLOBAL inform stakeholders about the suspension and cancellation of the certificate.

TRANSFER OF CERTIFICATION

If requested by the certified person, GLOBAL is available to provide the necessary information required by other Personnel Certification Body accredited in the same accrediting body and to the same specific Qualification which the person is interested in transferring, considering that the certificate is still valid.