



Personnel Certification Program

ISO 9001 (QMS) / ISO 14001 (EMS)

INDEX

Auditor Certification Quality or Environmental Program	Pg 3-4
Certification Status Levels	Pg 4-5
Initial Certification	Pg 6-8
How to Apply	Pg 8-9
Application Review	Pg 9-10
Certification Period	Pg 10
Auditor Directory	Pg 10
Certificates & Wallet Cards	Pg 10
How to Upgrade Certification	Pg 11
Annual Maintenance	Pg 11
Renewal of Certification	Pg 11-12
Fees	Pg 12
Suspension & Withdrawal	Pg 12
Complaints & Appeals	Pg 12-13
Application Supporting Documentation	Pg 13

The information detailed within this document was correct at the time of publication.

TRA Certification International - Personnel Certification Program

Our Auditor Certification Program offers assurance to businesses that the certified QMS or EMS Auditor conducting audits in their facilities is competent and qualified to perform auditing activities in a manner that is in compliance with the applicable standard(s).

As a part of the program for third-party auditors and lead auditors, the applicant's skills, knowledge and experience are evaluated, on the criteria of the International Personnel Certification Association (IPC) scheme (IPC-PL-11-006) and the principles of ISO 19011:2011 (*Guidelines for Auditing Management Systems*). A similar program is offered for candidates for certified internal auditors.

These programs are intended for:

- ❖ Quality or Environmental auditors employed by third party certification bodies / registrars;
- ❖ Quality or Environmental consultants, managers and/or other personnel in quality or environmental venue or experienced; and
- ❖ Employees conducting internal quality or environmental management system audits within their own organization or supplier of organizations audits.

The granting of certification by TRA Certification International means the applicant has been recognized and is competent to:

- ❖ Uphold the principles of proper ethical conduct, fair presentation and due professional care
- ❖ Communicate clearly orally and in writing
- ❖ Plan and organize a QMS/EMS Audit
- ❖ Accurately report findings and conclusions
- ❖ Lead the audit team and manage the audit process
- ❖ Audit a management process

The scope of certification is general and does not include nor require any industry sector specific knowledge or competencies and is available, without restriction to all individuals who satisfy the certification requirements.

Once an applicant is certified as a Quality or Environmental Auditor, thru TRA Certification International, certain information about that auditor will be included in the public registry which will be available on line.

****Note:** This document provides information and instruction regarding:

- (1) Certification and Application;
- (2) Requirements for Initial Certification;
- (3) Requirements for Certification Renewal;
- (4) Code of Conduct; and
- (5) Fees.

Certification Status Levels

There are several levels of certification offered thru the TRACI Quality or Environmental Auditor Certification Program.

➤ **Internal Auditor QMS or EMS**

An individual who conducts internal audits at their place of business may consider the QMS or EMS Internal Auditor Certification. Generally this person is not a full-time auditor but does conduct internal audits a couple of times per year.

Minimum requirements:

- ❖ At least secondary education
- ❖ Work Experience of 5 years, or 4 years with a degree or near degree
- ❖ One year of work experience in the field of Quality or Environmental management
- ❖ Successful completion of TRACI approved ISO 9001:2008 or ISO 14001:2004 training or TRACI approved QMS or EMS Internal Auditor training
- ❖ Conduct 5 internal audits totaling at least 15 hours
- ❖ Completion of a QMS or EMS knowledge based examination (Competency Based Only)
- ❖ Personal attributes and behavior evaluation exam (Competency Based only)

➤ **Provisional Auditor QMS or EMS**

This is the entry level for individuals who intend to make a career of auditing. This level recognizes that the individual has the proper personal attributes, education and professional / technical competencies but have not had the opportunity to meet the auditing experience required for certification to higher levels.

Minimum Requirements: (provisional auditor continued)

- ❖ At least secondary education
- ❖ Work Experience of 5 years, or 4 years with a degree or near degree
- ❖ Two years of work experience in the field of Quality or Environmental management
- ❖ Successful completion of TRACI approved QMS or EMS Auditor / Lead Auditor training
- ❖ Completion of a QMS or EMS knowledge based examination (Competency Based only)
- ❖ Personal attributes and behavior evaluation exam (Competency Based only)
- ❖ No auditing experience is required

➤ Auditor QMS or EMS

This is the natural progression from the QMS or EMS Provisional Auditor level for individuals who are making a career of auditing. An application for certification is to be filed by the Provisional Auditor once the minimum requirements of this level are met.

Minimum Requirements:

- ❖ At least secondary education
- ❖ Work Experience of 5 years, or 4 years with a degree or near degree
- ❖ Two years of work experience in the field of Quality or Environmental management
- ❖ Successful completion of TRACI approved QMS or EMS Auditor / Lead Auditor training
- ❖ Four (4) audits as an auditor-in-training totaling 20 days with a minimum of 16 of those days on site
- ❖ Completion of a QMS or EMS knowledge based examination (Competency Based only)
- ❖ Personal attributes and behavior evaluation exam (Competency Based only)

➤ Lead Auditor QMS or EMS

This is the natural progression from the QMS or EMS Auditor level. An application for certification is to be filed by the QMS or EMS Auditor once the minimum requirements of this level are met.

Minimum Requirements:

- ❖ At least secondary education
- ❖ Work Experience of 5 years, or 4 years with a degree or near degree
- ❖ Two years of work experience in the field of Quality or Environmental management
- ❖ Successful completion of TRACI approved QMS or EMS Auditor / Lead Auditor training
- ❖ Three (3) audits as lead auditor-in-training totaling 15 days with a minimum of 12 days on site
- ❖ Completion of a QMS or EMS knowledge based examination (Competency Based only)
- ❖ Personal attributes and behavior evaluation (Competency Based only)

Initial Certification

Individuals will file an application to TRA Certification International and each application will be evaluated based on the individual's demonstration of the competencies needed for effective QMS or EMS auditing. These competencies should be demonstrated through a combination of education, work experience, training and audit experience.

➤ Education

For all levels of certification an applicant is required to have completed a minimum of secondary education.

➤ Work Experience

5 years of general, relevant work experience is required for all levels unless the applicant holds a degree or near degree. In this case, the experience requirement is lowered to 4 years. Relevant work experience is considered to be technical, managerial or professional positions that require use of judgment, problem solving, and communication with management, employees, customers and stakeholders.

➤ Quality Work Experience

Quality work experience is also required, where quality and quality issues formed the major part of the job. (Internal Auditor levels = 1 year experience; All other levels = 2 yrs experience). Such experience must have provided the applicant with the practical knowledge necessary to audit quality management systems effectively and may be included as part of the 4 or 5 year general work experience.

➤ Environmental Work Experience

Environmental work experience is also required, where environmental and environmental issues formed the major part of the job. (Internal Auditor levels = 1 year experience; All other levels = 2 yrs experience). Such experience must have provided the applicant with the practical knowledge necessary to audit environmental management systems effectively and may be included as part of the 4 or 5 year general work experience.

➤ Auditor Training

For the level of **Internal Auditor level**, the applicant must complete TRACI approved foundation training or the training requirement for any other grade.

For **all other levels**, an applicant must successfully complete a QMS or EMS Auditor/Lead Auditor training or program which encompasses the knowledge competence requirements of QMS or EMS auditors. The training or program must be at least 40 hours duration and may include on-site training, self learning, distance learning, and/or e-learning and meet the content requirements of the IPC QMS or EMS auditor scheme annex available on line at www.personnelcertification-tra.com/scope-of-certification-scheme or IPC's site link: www.ipcaweb.org/userfiles/file/Documents/IPC_Approved_Schemes/IPC_PL_11_006_Final_issue_3.pdf.

➤ Personal Attributes Evaluation

For initial applicants an assessment of personal attributes and behavior is required. Personal attributes and behavior provides us an assessment of your attitude towards quality or environmental auditing. The applicant shall supply a copy of the TRA Personal Attributes & Behavior report from the on-line examination. Pass or Fail of this examination is announced on screen at the time of completion and continues to show in the results section of their online account.

➤ Knowledge Exam QMS or EMS

This QMS or EMS Knowledge examination is required, which provides an overall evaluation of your quality or environmental management systems auditing knowledge. Some audit training may not cover all aspects; it is our goal to promote a well versed knowledge on and for quality or environmental management systems auditing. The questions in this open book exam are based on ISO 9001 or ISO 14001 Standard(s) and ISO 19011 Guidelines. Be familiar with these standards and you will do well. For this exam a Proctor **MUST** be present! Detailed information on proctored exams is provided in TRA's Proctoring Administrative Guidelines FM-PC5002a. Proctors will ask Candidate to complete an "Auditor Candidate ID Form" FM-PC5003. Pass or Fail of this examination is announced on screen at the time of completion and continues to show in the results section of their online account. We do have a Retesting Policy for QMS or EMS Exam only, available on our www.personnelcertification-tra.com/required-traci-examination.

➤ Auditing Experience

- ❖ For the **Provisional Auditor level**, there is no requirement for auditing experience.
- ❖ For the **Internal Auditor level**, the applicant must have completed 5 internal or second party audits which have each been at least 3 hours in duration and must have included all elements of the audit cycle; audit planning, document review, auditing, interviewing, audit reporting and must not have involved areas or activities that are performed by the auditor.
- ❖ For the **Auditor level**, the applicant must have completed at least 4 complete audits. Auditing activity must include document review, preparation and performance of on-site audit activities and audit reporting. The total duration of these audits must not be less than 20 days with at least 16 days being on site.
- ❖ For the **Lead Auditor level**, the applicant must have completed the 4 full audits that are required for the Auditor level plus 3 acceptable audits as the leader. The duration of the 3 lead audits must not be less than 15 days with at least 12 days being on site.

It is recommended that the audits required for Auditor and Lead Auditor levels be completed under the direction and guidance of an auditor that has been certified as a team leader however it is acknowledged that this may be difficult and costly to arrange. TRACI will accept a minimum of 1 audit under these conditions and may require the team leader from that 1 audit to attest to the competence of the applicant, to audit as a team member or team leader.

Guidelines for Acceptable Audits for Fulfilling the Auditing Experience Requirement:

➤ Accepted:

- ❖ For all certification levels that require auditing experience, audits must have been performed subsequent to the formal auditor training. These audits must be performed in accordance with the auditing guidance standard ISO 19011 and against ISO 9001, ISO 14001, or an alternative standard that TRACI accepts as equivalent.

➤ Not Accepted:

- ❖ Surveillance (partial system) Audits are not accepted for initial Auditor Certification but will be accepted for Certification Renewal.

(not accepted continued)

- ❖ Audits of the same QMS or EMS that are repeated more frequently than once every 12 months
- ❖ Audits of less than one day duration (with the exception of the Internal Auditor level)
- ❖ GAP Analysis, close out or follow up visits
- ❖ Audits conducted as a consultant
- ❖ Audits performed before successful completion of training requirement

How to Apply

- 1) Go online at www.personnelcertification-tra.com or tracert.memberclicks.net, download printable version, and prepare your responses for an online submission.
- 2) TRACI will provide an application package free of charge upon request.

Mail: TRA Certification Int'l
P.O. Box 1081
700 E. Beardsley Ave
Elkhart, IN 46515

Phone: (800) 398-9282 or Local (574) 264-0745
Fax: (574) 264-0740
E-Mail: mmerrill@trarnold.com

- 3) Complete and submit "On line" the application form and upload the supporting documents. Complete the forms as outlined in the instructions which will be enclosed in the application package.
- 4) Online Application will require Fee Payment before submission is complete. If mailing in be sure to complete all sections required on Application Form, send along with the application fee, to TRACI for review.
- 5) All applications are to be submitted in the English language or be accompanied by certified translations of the originals.
- 6) Completion of 2 examinations: personal attribute and behavior evaluation; QMS or EMS knowledge exam. Email to TRA upon receipt of exam certificates.

All qualifications must be supported by documented evidence. Examples 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 person to whom the award was made. If any of this information is not available or is not clear, additional documentation may be requested.

(how to apply continued)

- ❖ An official letter from the awarding body confirming the award which includes the title and date of the award, the name of the person the certificate was awarded to and the date of the award.
- ❖ A transcript of an award would also be acceptable evidence if it clearly states the date and title of the award
- ❖ Work history in a resume with references and contact information
- ❖ Audit log with contact information

Application Review

TRACI will verify that all required documentation has been submitted for the review process. If any documentation or the application fee is not included in the submission package, the applicant will be advised and the package will be put aside pending further information.

Once all required documentation is received, the application and supporting documents will be evaluated against the requirements and some or all of the information will be verified.

Verification is considered to be a very important aspect of the certification approval process which could cause some delays in the final recommendation if verifiable information is difficult to obtain. At the conclusion of this evaluation, a recommendation for certification will be forwarded to the TRACI Director of Certification.

TRA requires two examinations for competency based certification: These examinations provide us an overall feel of individual's code of conduct and knowledge of the quality or environmental management systems for auditing.

1st Personal Attributes and Behavior Evaluation

2nd Knowledge Exam QMS or EMS (quality or environmental management systems)

The final decision for certification is made by the TRACI Director of Certification. The certification decision is performed independently of the evaluation activity detailed above.

If the Director of Certification makes the decision to award certification, a formal approval of certification is provided in writing to the applicant. Included in this letter will be the request for the first annual fee.

Once that fee is received, the certification will be awarded, information is added to the certified auditor database and a certificate and wallet card will be forwarded to the newly certified auditor.

Certification Period

Certification is for 3 years beginning the month that the favorable certification decision was made. At the end of each 3 year period, it is required that certifications be renewed prior to the indicated expiration date on the issued certificate and wallet card.

Auditor Directory

Each Certified Auditor will be listed in the TRACI on line directory unless an auditor specifically requests that they not be listed. Each entry will include:

- Auditor Name
- Telephone &/or Fax Numbers
- Certification Grade
- Date of Expiration
- Address
- E-Mail Address
- Date of Certification
- Availability for Hire

A printed directory is also available on request.

Certificates and Wallet Cards

A certificate and wallet card of 'certification' will be issued to auditors upon initial certification and renewal. The wallet card is evidence of certification and should be available, upon request, for presentation at any and all audits conducted. This card is issued to the auditor, but it remains the property of TRACI and must be returned to TRACI upon request.

How to Upgrade Certification

At any time, an individual can upgrade from one status level to the next. To apply for an upgrade, a certified individual can complete and submit supporting documentation to TRACI for review. If the upgrade is requested at any time other than renewal, an upgrade fee applies. If the upgrade is requested at the same time as a 3-year renewal, there is no additional fee.

The documents will be reviewed by the Director of Certification and he/she will either allow or disallow the upgrade. Upon this decision a communication will be prepared and forwarded to the applicant.

- If the upgrade is approved, the current 3-year renewal date in effect at the same time will not change.
- If the upgrade is not approved, the applicant will be provided with the reasons for denial.

Annual Maintenance

Certifications are to be annually maintained thru the following:

1. Compliance with & restatement of agreement to the Code of Conduct & commitment declaration
2. Payment of Annual Fees
3. Submission of Audit Logs
4. Submission of Continued Professional Development (CPD).

Renewal Certification

Certifications must be renewed every 3 years. A letter or email will be forwarded to each certified individual approximately 60 days prior to the expiration date of their certification.

The following 5 requirements will be assessed during the review process for decision to renew:

1. **Continuing Professional Development:** Each auditor seeking renewal of certification to QMS or EMS Auditor or QMS OR EMS Lead Auditor must have successfully completed a minimum of 45 hours of appropriate continued professional development training and provide evidence of completion.
2. **Audit Experience:** Each auditor seeking renewal of certification to respective Auditor level status must complete a minimum of audits set for the below. These audits must have been performed during the 3 year period directly preceding the application for renewal ...
 - ❖ **Lead Auditor:** 5 acceptable audits and have been the leader during at least 2 of those audits.
 - ❖ **Auditor:** 5 acceptable audits.
 - ❖ **Internal Auditor:** 5 audits which total a minimum of 15 hours.
3. **Declaration of Complaints:** The auditor seeking renewal to all levels must report any complaints that have been made against them. All complaints will be investigated during the review process. Failure to report such complaints could result in suspension or withdrawal of certification if discovered from another source.
4. Compliance with the TRACI **Code of Conduct & Declaration of Commitment.**
5. **Payment of Annual Fees:** Payment records will be reviewed to ensure that all annual fees have been paid in a timely manner. Recertification will not be granted if there are outstanding fees due. *(See Appendix A)*

Fees

Fees are reviewed and set annually and apply for the calendar year (Jan 1 thru Dec 31). (See Appendix A for a current list of fees)

- ❖ Application Fee – This fee is paid at the time of application to become certified and should be forwarded along with the original application.
- ❖ Annual Certification Fee – This fee covers the annual cost of administering an individual's certification. The fee will be invoiced upon approval of certification and again each year one month prior to the due date.
- ❖ Application for Upgrade Certification – This fee covers the cost of evaluating the upgrade application and should be forwarded with the original application form.
- ❖ 3-Year Renewal Fee – The 3-Year renewal fee is to be forwarded with the supporting evidence that is required for a certification renewal.

Suspension and Withdrawal of Certification

A certification may be suspended or withdrawn if:

- ❖ An auditor fails to meet the certification criteria for the status level to which he/she is certified.
- ❖ Breach of Code of Conduct.

COMPLAINTS AND APPEALS

➤ Complaints Against Auditors:

Complaints received regarding the actions or conduct of a certified auditor will be reviewed and investigated according to TRACI documented procedures. A valid substantiated complaint may result in the suspension and/or withdrawal of certification.

➤ Complaints Against TRACI:

Complaints received against TRACI may be submitted in writing to the TRACI Auditor Certification Department. Each complaint will be reviewed, investigated and resolved in a timely manner through a formal documented process.

➤ Appeals: (complaints and appeals continued)

An appeal against adverse certification or recertification decisions or cancellation of certification must be submitted in writing. The written appeal will be reviewed, investigated and resolved in a timely manner through a formal documented process.

Appeals may be made on the following decisions:

- ❖ Refusal to grant initial certification
- ❖ Refusal to grant the continuation of certification
- ❖ Refusal to grant an upgrade of certification
- ❖ Reduction in certification grade
- ❖ Suspension or Withdrawal

All appeals shall be submitted in writing to the TRACI Auditor Certification Department. The applicant shall submit his or her appeal to TRACI no later than 30 days after notification of the decision. The appeal shall include appropriate substantiation for the appellant's position and it must contain additional or updated information.

APPLICATION SUPPORTING DOCUMENTATION

Accompanying the application the applicant must provide objective evidence that each of the requirements has been met. Completion of the training and knowledge examination may be certified by a nationally certified training provider. Education and experience requirements can be documented in a resume or *curriculum vitae* with sufficient references to enable verification.