CERTIFIED MANAGEMENT SYSTEM AUDITOR

CERTIFICATION SCHEME
NOVEMBER 2023

Version 1.0

Contents

1   INTRODUCTION

1.1 Purpose

The competence standard is developed to provide insight into the competencies required for an Internal Audit Team Leader and an Audit Programme Manager.

The standard can be used:

1. By Internal Audit Team Leaders and Audit Programme Managers to understand the requirements and testing methods for achieving personal certification;

2. By organisations to map the existing competences and needed competence development of its employees;

3. By educators as a basis to shaping a learning path;

4. As a reference document for independant personnel certification bodies.

DNV is the scheme owner and, together with an Examination Committee and Board of Stakeholders, ensures and monitors the quality of the scheme and examination.

1.2 Scope

A Certified Management System Auditor shows the verified competence of individuals for specific audits (ie. Quality, Environmental, Information Security, etc) either at the level of Internal Audit Team Leader or Audit Programme Manager. See paragraph 1.4.1. for detailed description for each profile.

1.3 Definitions

For the purposes of this document, the following terms and definitions apply.

- ISO maintains a terminological database for use in standardization at the following address:
  - ISO Online browsing platform: available at https://www.iso.org/obp
- ISO 19011:2018 terms and definitions

1.4 Competence profiles

In this document the profiles for a Certified Management System Auditor are specified. The competence standard distinguishes two profiles of competence, namely: an Internal Auditor Team Leader and Audit Programme Manager.

Both should have specified and tangible knowledge of the specific (management system) audit that they carry out, i.e.:
- Quality (ISO 9001);
- Environmental (ISO 14001);
- Food Safety (FSSC/ISO 22000);
- Information Security (ISO 27001);
- Occupational Health & Safety (ISO 45001);
- Asset Management (ISO 55001);
- Business Continuity (ISO 22301);
- Energy Management (ISO 50001).

1.4.1 Internal Audit Team Leader

The Internal Audit Team Leader is the person who conducts an internal audit (ISO 19011 3.15). The Internal Audit Team Leader is tasked and responsible for conducting a 1st or 2nd party audit and leading the audit team (ISO 19011 6.1 through 6.7, see figure 1 below). They are assigned this responsibility by the Audit Programme Manager. The internal audit results in an audit report with which the organisation can continuously improve their management system.

1.4.2 **Audit Programme Manager**

The Audit Programme Manager is the individual responsible for managing the audit programme (ISO 19011 5.1 through 5.7, see figure 1 below). The Audit Programme Manager should assign the responsibility for conducting the individual audit to an Internal Audit Team Leader.
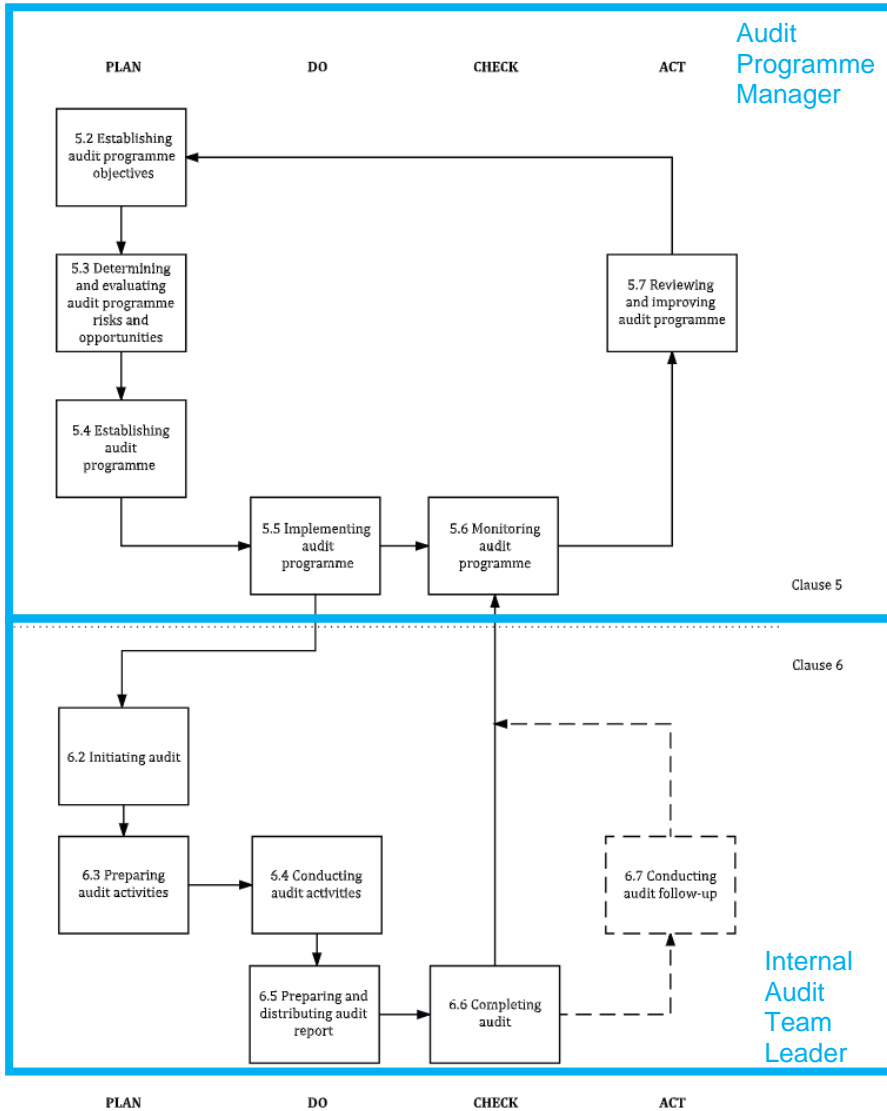
NOTE 1   This Figure illustrates the application of the Plan-Do-Check-Act cycle in this document.

NOTE 2   Clause/subclause numbering refers to the relevant clauses/subclauses of this document.

Figure 1. Process flow for the management of an audit programma (ISO 19011)

2   DEFINING COMPETENCIES

2.1 General
Taxonomy of required professional behavior and skills distinguishes various levels at which a person must be able to function. This is a hierarchical structure based on didactic/educational principles. We distinguish six (6) levels of what an individual must master to perform simple to complex tasks. The exams test at these six levels (see chapter 3). Each higher level requires mastery of the lower levels. The level of professional competence is usually determined by the verb (action verb) used.

2.2 Cognitive levels
Each competency can be classified. The following cognitive levels are distinguished:

Table 1
Cognitive levels[1]

Level 1: **Reproducing (R)**	This level involves the ability to recall or retrieve previously learned information. It includes activities such as recognizing, listing, or describing facts, concepts, or ideas.
Level 2: **Explaining (Ex)**	At this level, individuals demonstrate comprehension and interpretation of information. They can explain ideas or concepts in their own words, summarize information, or provide examples to illustrate understanding.
Level 3: **Applying (Ap)**	Applying refers to the ability to use acquired knowledge and skills in new situations or contexts. It involves using information to solve problems, carry out procedures, or apply principles to different scenarios.
Level 4: **Analyzing (An)**	Analyzing involves breaking down complex information into its constituent parts and examining the relationships between them. It includes tasks such as identifying patterns, organizing information, or comparing and contrasting different elements.
Level 5: **Evaluating (Ev)**	This level focuses on making judgments or assessments based on criteria and standards. It involves appraising information, arguments, or theories, and determining their strengths, weaknesses, or effectiveness.
Level 6: **Creating (C)**	This level involves generating new ideas, products, or solutions based on existing knowledge. It includes activities such as designing, inventing, or composing in a way that demonstrates originality, creativity, and synthesis of information.

3   REQUIRED COMPETENCIES

Every required competence is derived from a task that needs to be performed. The required competences are described objectively to clearly define what needs to be done in order to meet the competence criteria. Each competence contains a verb and describes what the Internal Audit Team Leader or Audit Programme Manager needs to be able to do. In addition, the defined competences make it possible to define assessment criteria.

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[1] Based on Bloom's taxonomy, revised by Anderson, Krathwohl and Mayer (2001). Instead of Remembering and Understanding the more measurable alternatives of Reproducing and Explaining are used.

A cognitive level is applied to each competence to indicate at which level an assessment needs to take place. In many cases Reproducing, Explaining and Analyzing can be assessed by asking questions. Asking for clarification of relevant facts provides insight into someones underlying knowledge and understanding.

Applying, Evaluating and Creating are levels at which someone needs to show that they are capable of applying the existing knowledge to practical situations. These levels are usually measured through practical oriented assignments. Practical assignments can be theoretical in nature, depending on the competences to be measured. (For instance, the competence to perform a numerical analysis, create a project plan or detailed report, etc.).

See the competency tables for each profile (Internal Audit Team Leader and Audit Programme Manager) for the theoretical exam and assessment on the following pages. The tables show which cognitive level is tested for each competency.

3.1 Competency tables and test matrices Internal Audit Team Leader

Table 2
Theoretical exam audit Internal Audit Team Leader

Column A has a unique ID
Column B describes the required competencies
Column C indicates the cognitive level
Column D shows the percentage of questions per section in exam

A	B	C	D
1	**Audit principles, processes and methods**	**2**	**52 %**
1.1	Understanding risks and opportunities, risk-based approach		
1.2	Planning and organizing of work		
1.3	Communication, oral and written		
1.4	Collecting information		
1.5	Auditing a process from start to finish		
1.6	Verification of collected information		
1.7	Documenting and reporting		
2	**Management system standards and other references**	**2**	**13 %**
2.1	Management system standards and other references		
2.2	Application of management system standards to different audit situations		
3	**The organization and its context**	**2**	**5 %**
3.1	Context		
3.2	Structure and purpose		
3.3	General business and management concepts, processes and terminology		
4	**Applicable statutory, regulatory and other requirements**	**2**	**3 %**
4.1	Statutory and regulatory requirements		
4.2	Basic legal terminology		
4.3	Contracting and liability		
5	**Discipline(s)-specific knowledge**	**2**	**13 %**
5.1	Management system requirements and principles		
5.2	Fundamentals		
5.3	Principles, methods, techniques, processes and practices		
5.4	Understanding risks and opportunities		
6	**Facilitating the audit process**	**2**	**11 %**
6.1	Managing the audit process		
6.2	Communications and reporting		
6.3	Managing the audit team		
7	**Knowledge for auditing multiple disciplines**	**2**	**3 %**
7.1	Understanding interactions and synergy		
7.2	Assessing necessary competence		
			100%

Table 3
Assessment Internal Audit Team Leader

Column A has a unique ID
Column B describes the required competencies
Column C indicates the cognitive level
Column D shows the percentage of questions per section in exam

A	B	C	D
1	**Using a consistent and systematic approach**	**5**	**65 %**
1.1	Communication, oral and written		
1.2	Collecting information		
1.3	Auditing a process from start to finish		
1.4	Verification of collected information		
2	**Facilitating the audit process**	**4**	**35 %**
2.1	Managing the audit process		
			100%

Certification scheme: Certified Management System Auditor - version 1.0

3.2 Competency tables and test matrices Audit Programme Manager

Table 4
Theoretical exam Audit Programme Manager

Column A has a unique ID
Column B describes the required competencies
Column C indicates the cognitive level
Column D shows the percentage of questions per section in exam

A	B	C	D
1 1.1	**Managing the audit programme** Managing the audit programme from start to finish	**2**	**4 %**
2 2.1 2.2 2.3 2.4 2.5	**Establishing the audit programme** Understanding audit principles, methods and processes understanding management system standards, other relevant standards and Reference/guidance documents Understanding the auditee and its context Risks and opportunities Processes and resources	**2**	**69 %**
3 3.1	**Implementing the audit programme** Operational planning and coordination	**2**	**17 %**
4 4.1 4.2	**Monitoring, reviewing and improving** Evaluation and review of the audit programme Evaluation of the performance of the audit team	**2**	**10 %** **100%**

Table 5
Assessment Audit Programme Manager

Column A has a unique ID
Column B describes the required competencies
Column C indicates the cognitive level
Column D shows the percentage of questions per section in exam

A	B	C	D
1	**Establishing the audit programme**	4	**31 %**
1.1	Risks and opportunities		
1.2	Processes and resources		
2	**Implementing the audit programme**	5	**52 %**
2.1	Operational planning and coordination		
3	**Monitoring, reviewing and improving**	5	**17 %**
3.1	Evaluation and review of the audit programme		
3.2	Evaluation of the performance of the audit team		
			100%

4 CERTIFICATION PROCESS

4.1 Initial certification

4.1.1 Entrance criteria

The entrance criteria for starting the certification process of CMSA are the following:

Entrance criteria		
Criteria	Internal Audit Team Leader	Audit Programme Manager
Certificate of passing the examination of relevant Lead Auditor Course	X	X
Resume showing at least 2 years experience in relevant technical, managerial or professional position involving the exercise of judgement, decision making, problem solving and communication with managers, professionals, peers, customers and other relevant interested parties.	X	X
Resume showing at least 2 years experience in a specific management system discipline that contribute to the development of overall competence	X	X

4.1.2 Portfolio

A candidate compiles a portfolio in DNV's portal. A candidate fills the portfolio with the following items:

Portfolio		
Items	Internal Audit Team Leader	Audit Programme Manager
Records of at least 5 (internal) audit interviews showing audit experience acquired under the supervision of an auditor competent in the same discipline	X	
One anonymised audit report demonstrating audit experience	X	
Records of at least 5 (internal) audit programmes showing experience managing the audit programme		X
One anonymised audit programme demonstrating experience in managing the audit programme		X

4.1.3 Apply

Candidate can apply for the certification process via the website of DNV.

4.2 Examination

For certification of both Internal Audit Team Leader and Audit Programme Manager, candidate will take two exams, namely: a theoretical exam and an assessment. Both will take place online.

4.2.1 The theoretical exam

After a candidate fills the portfolio and it is approved, the candidate can start the theoretical exam. This exam consists of 35 multiple choice questions, takes a maximum of 45 minutes and can be taken online, at any time. After passing the theory exam, the candidate can take the assessment.

4.2.2 The assessment

The assessment takes up to one hour (including feedback) and is conducted remotely. The candidate can choose a suitable time for the assessment among the times made available by the assessor. The assessment is an interview between candidate and assessor using the candidate's supplied audit log as input for the interview. During the assessment, situations from audits are questioned.

4.2.3 **Ceasura**

Candidate passes when he obtains 70% of the marks to be obtained in the theoretical examination and 67% of the marks to be obtained in the assessment. After this, candidate will receive the CMSA certificate at the profile of Internal Audit Team Leader and/or Audit Programme Manager.

4.3 Validity certificate and recertification

4.3.1 **Certificate effective date**

For initial review, the date of the certification decision is the effective date of the certificate.

4.3.2 **Period of validity of the certificate**

The period of validity of the Certified Management System Auditor (CMSA) personal certificate is 3 years.

4.3.1 **Recertification**

If a candidate is eligible for recertification, they may reapply for the review. The review must be completed before the expiration date of the certificate. Candidate will receive a reminder from DNV prior to recertification. For recertification, the assessment consists of a review of the portfolio and determining whether the CPD (Continuing Professional Development) points requirement has been met. See the examination regulations for explanation.

If the recertification date falls within three months prior to the expiration date of the current certificate, the expiration date is also the effective date of the continuation certificate.

4.4 Criteria for changing the level of certification

4.4.1 **Changing the profile of certification**

It is possible to change level of certification by becoming a certified Internal Audit Team Leader also obtaining a certificate as Audit Programme Manager or vice versa. Candidate must again fulfil all education and work experience criteria (if not already fulfilled) and then takes the theoretical exam and assessment.

4.4.2 **Changing the standard of certification**

It is also possible to obtain a new certificate as a certified Internal Audit Team Leader or Audit Programme Manager focused on another standard (e.g. ISO 9001, ISO 14001, ISO 22000). For this, candidate must again meet the requirements and also attend another Lead Auditor Training Course focused on the relevant standard. If candidate wants more than two certificates (aimed at three or more management system standards), from the third standard onwards a standards Awareness Training Course suffices instead of Lead Auditor Training Course. After fulfilling the requirements, candidate can take the assessment. This does not require retaking a theoretical exam.

If candidate applies for the certification process of another level of certification (changing the profile or standard), then that person has a financial advantage over the first certificate.

4.5 Suspending and withdrawing certificates

4.5.1 **Initiation of suspension or withdrawal**

Where the certificate holder operates outside the agreed conditions of personnel certification there are three possible stages of consequences:

1. Conditional suspension;
2. Unconditional suspension: temporary invalidation of certificate;
3. Withdrawal: permanent invalidation of certificate.

4.5.2 **Suspension**

DNV may institute a suspension in cases where:

1. It is established by DNV that the conditions of validity are not, or not fully, complied with;

2. Failure or incomplete compliance with an improvement measure imposed by DNV, following response to a detected deficiency;

3. For improper use of the certificate, such as misleading publications;

4. Failure by the certificate holder to inform DNV, or to inform it in full, of matters affecting the certification process. on the certification process;

5. Non-compliance by the certificate holder with DNV's "General Conditions";

6. On the basis of complaints submitted to DNV which are declared founded by DNV after verification;

7. Non-compliance with financial obligations;

8. The certification scheme indicates grounds for suspension.

4.5.3 **Withdrawal**

Depending on the seriousness of the situation, however, DNV may decide to withdraw the certificate immediately. Withdrawal of the certificate is initiated in the following cases:

1. In case of misuse of the certificate, such as falsification;

2. In case of serious deficiencies, which have been identified as such by DNV and which cannot be corrected by the certificate holder within the deadline set by DNV;

3. When the certificate holder has failed to take timely or inadequate corrective action taken on the shortcomings found by DNV;

4. Failure to meet financial obligations;

5. In case of repeated suspensions/complaints within a certain time period according to the requirements in the certification scheme;

6. When one has nevertheless performed work for which a valid certificate is required but for which one is unconditionally suspended at that time;

7. Failure to meet the certification criteria;

8. On the death of the certificate holder.