

## CER/GD/02: PERSONNEL CERTIFICATION SCHEME- KEBS CERTIFICATION BODY (CB)

### SUMMARY STEPS FOR AUDITOR REGISTRATION/CERTIFICATION PROCESS

#### **A. The following steps and requirements shall apply to a person (the candidate) interested to be registered as an auditor by KEBS-CB:**

1. Minimum academic background requirement is a diploma to be eligible to audit at any industry sector except at university for ISO 9001 QMS and ISO/IEC 27001 ISMS audits that require a degree.
2. The candidate shall have been trained in implementation of the standard in the area(s) of interest (ISO 9001, ISO 14001, ISO 22000, ISO 27001, ISO 45001, ISO 30401, ISO 22301, ISO 37001, ISO 21001 etc). Evidence for having attended **Implementation Course** in the area of interest will be required.
3. The candidate shall have been trained **at least as an internal auditor for at least 16 hours** in any of the management systems standards (Lead auditor training is not a requirement for registration but it is an added advantage). Evidence for training as an **auditor** will be required.
4. The candidate shall forward evidences for items 1 to 3 above by contacting the Personnel Certification via [personnelcertification@kebs.org](mailto:personnelcertification@kebs.org) who will reply the email with a 'code of conduct for audit personnel' attached for candidate to sign before attachment of the candidate to KEBS audit teams as a trainee auditor.
5. The candidate shall take **initiative** to contact [cb@kebs.org](mailto:cb@kebs.org) and request them for a chance to be attached to KEBS audit team as a trainee auditor in **at least 3 complete** audits (one complete audit includes from opening to closing meeting of the audit) and also to indicate date(s) when he/she is available to conduct audit(s).
6. It shall be responsibility of the candidate to ensure receipt of formal appointment for auditing from the concerned CO and the candidate shall prepare an audit checklist accordingly.
7. The trainee auditor (candidate) shall be under control of the experienced auditor in the team and in all attachments as a trainee, the candidate will ask at least 2 audit questions per audit area/department or as directed by the experienced auditor. Audit questions shall be based on the normative standard (E.g. ISO 9001, ISO 14001, ISO 22000, ISO 27001, ISO 45001, ISO 30401, ISO 22301, ISO 37001, ISO 21001 among others). Audit log, checklist and findings shall also be filled and forwarded to PCO after **every audit**. They can be forwarded online.
8. **Application for auditor Certification:** The applicant will be eligible to apply **only after completing attachments as a trainee auditor** and application will be made online on <https://ims.kebs.org>. The candidate shall use address [personnelcertification@kebs.org](mailto:personnelcertification@kebs.org) to request for application forms required to be filled and uploaded on IMS. Applicants who are not KEBS staff shall be required to pay certification fee (Kshs 11,600 for the first standard and Kshs 5,800 for every other standard, VAT inclusive). KEBS reserves the right to revise the fees.
9. **Candidate Competence evaluation:** PCO together with the candidate shall arrange for evaluation of the candidate and the candidate will be appointed for an audit for this purpose, and evaluator name and contact will be communicated to the candidate. It is the responsibility of the candidate to request the concerned appointing CO for client documentation in order to prepare for the audit and the evaluation.

10. Evaluator shall fill the evaluation form and forward results to PCO. The candidate shall forward to evaluator his/her **own audit checklist and audit findings** within 5 days after the audit.
11. PCO shall again arrange for further evaluation of the candidate by an evaluator based on form CER/F/62 requirements. This evaluation may take the form of either an oral interview, written exam, role-play, witnessing or a combination thereof as necessary.
12. Once PCO receives all evaluation results, the same shall be presented to the Personnel certification decision committee and the decision shall be communicated by email to the candidate plus any necessary instructions.
13. PCO and/or certification committee may identify the need for the candidate to be evaluated further using other methods before registration can be considered.
14. If the decision is to register the candidate, the person shall sign a contract with KEBS and a certificate issued to him/her. The contract and certificate are renewable after every 3 years.
15. After registration, the name of the new auditor shall be added on the list of certified auditors and circulated to COs.
16. The new auditor can declare interest to PCO to conduct audits on behalf of KEBS in which case the auditor will sign another one year contract renewable and once engaged by KEBS the auditor is compensated.
17. The candidate shall use the formal KEBS audit forms provided by PCO or concerned CO.
18. The person is expected to adhere to **Auditor Code of Conduct** at all times during attachments and after registration as an auditor, and especially with respect to **confidentiality of client information** including all audit findings, audit reports, client documents, etc.
19. **For those who are not KEBS employees:** At all times the person shall introduce him/herself as attachés at KEBS-Certification Body (before registration as auditor) or as auditor from KEBS-Certification Body (in case of a registered auditor) whenever the person is working with KEBS formally appointed audit teams.

***Note:** Sometimes confirmed audit dates can change later due to unavoidable circumstances. Therefore, the person should closely monitor the dates with CO.*

#### **B. Applicant's rights and duties of a certified person**

1. The person shall give KEBS competence evaluators the access to information regarding qualifications and competence which are the subject of certification with prior notification during the normal working hours of the person involved.
2. The person shall avail him/herself to be evaluated by KEBS on mutually agreed date(s).
3. The person shall abide by the KEBS code of conduct for audit personnel CER/CODE/01. The person shall;
  - a) Act solely in the best interest of the KEBS and its clients, in the performance of their duties;
  - b) Conduct themselves professionally, with truth, accuracy, fairness and responsibility;
  - c) Not misrepresent their qualifications, competence or experience, nor undertake assignments beyond their capabilities;
  - d) Treat in a confidential and private manner all information gained in relation to any of the KEBS identified activities of certification of specific organizations or individuals; unless authorized in writing to disclose such information by the KEBS and its clients (when applicable), and shall not;

- discuss such information with anyone except those who have a need to know the information for legitimate purposes of the certification processes;
  - disclose any details of audit findings, neither during nor after the audit process ;
- e) Treat in a confidential and private manner all information gained in relation to any of KEBS activities wherein such information may include, inter alia:
- any device, graphics, written material or other information in tangible or intangible form, clearly identified as “confidential”, relating to the activities of KEBS;
  - any device, graphics, written material or other information in tangible or intangible form, identifiable as private by the nature of its content and/or context;
- f) Not communicate false or misleading information which may compromise the integrity of the certification processes or decisions therein.
- g) Be able to act professionally under adverse pressure from KEBS and its clients
- h) Strive to increase the competence and prestige of the auditing profession
- i) Assist others in developing management, professional and auditing skills
- j) Make fair presentations of audit findings based on verifiable audit evidence and not intentionally communicate false or misleading information that may compromise the integrity of any audit or the auditor certification process; and
- k) Not to act in any way that would prejudice the reputation of the personnel certification body or the auditor certification process and to co-operate fully with an inquiry in the event of any alleged breach of this contract
- l) Be neat, well groomed, and decently dressed
- m) Observe ‘no drunkenness rule’ during auditing period