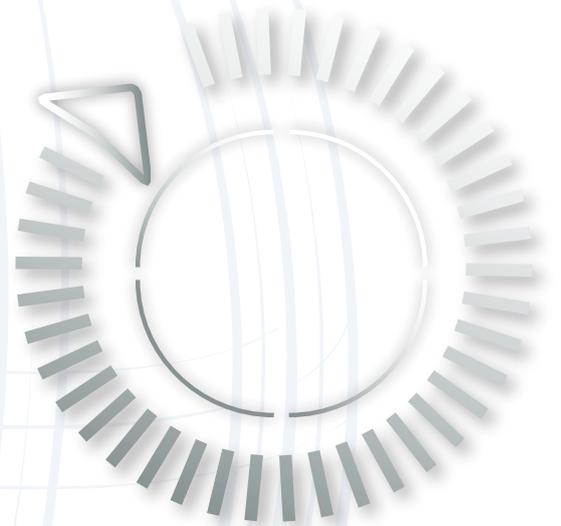




IRCA

INTERNATIONAL
REGISTER OF
CERTIFICATED
AUDITORS



Requirements for
Training Organization Approval

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1. INTRODUCTION

- 1.1 We, the International Register of Certificated Auditors (IRCA), have developed this document to help you, the Training Organization, achieve and maintain the status of an IRCA Approved Training Organization in order to achieve and maintain IRCA certification of training courses. These requirements for Training Organization approval and training course certification are designed:
- 1.1.1 **To be flexible** by focussing on outcomes rather than prescribing procedures, allowing you to manage your training the way you want.
 - 1.1.2 **To help you meet and surpass these requirements** by providing guidance and notes.
 - 1.1.3 **To be clear and easy to read.**
- 1.2 Note that approval of your Training Organization and maintenance of your training course certification(s) are interdependent, i.e.
- 1.2.1 Your training course certification is dependent upon the ongoing approval of your Training Organization, and
 - 1.2.2 Approval of your Training Organization is dependent on your organization maintaining certification of at least one IRCA course.
- You must satisfy both elements before you may present any training course as IRCA certified.
- 1.3 If you would like to apply for Training Organization approval or training course certification, please refer to document IRCA/3000, *How to Apply for and Maintain Training Organization Approval and Training Course Certification*, available on our website www.irca.org, or on request.

2. TRAINING ORGANIZATION APPROVAL REQUIREMENTS

2.1 Key Outcomes

You must define, document¹ and effectively implement processes to ensure that your IRCA certified training is:

- 2.1.1 Consistently controlled (2.2, 2.3, 2.4 and 2.5 below)
- 2.1.2 Competently presented (2.6 below)
- 2.1.3 Capable of assessing student performance (2.7 below)
- 2.1.4 Continuously Improved & Updated (2.8 below)

These processes must be measured, monitored and audited.

¹ The extent of the documentation may differ depending on the organization size, range of activity, complexity of your organization, and the competence of your personnel.

2.2 Documents and Materials

- 2.2.1 **Control.** Documents and materials must be controlled so that the administration and delivery of courses consistently achieve the *Key Outcomes* defined above and in the relevant training course criteria.²
- 2.2.2 **Changes.** You must provide your allocated Training Assessor with a copy of your current approved management arrangements and your current certified training course materials, including a record of amendments. You must maintain and make available details of any changes made since the last surveillance. Any major changes to your approved management system or your certified course(s) must be submitted to us for approval before implementation³. You must ensure that all tutors, branches and subcontractors implement any changes within a reasonable time.
- 2.2.3 **Tutor Materials.** Tutors must be provided with all the necessary materials and supporting documentation to plan, manage and present the course, and assess student performance according to our and your defined requirements.
- 2.2.4 **Student Materials.** Each student must be provided with the overall course objectives, the course programme, details of the student assessment methodology, the criteria for successful completion of the course, adequate course notes and copies of all standards relevant to the course.
- 2.2.5 **IRCA Promotional Material.** You must distribute to all your students the promotional material that we provide for this purpose, including the IRCA/167 (either in course materials or enclosed with the certificate). You must also include in your course the short presentation about IRCA that we provide.
- 2.2.6 **Issuing Certificates.** You must issue successful students with '*Certificates of Successful Completion*' as objective evidence that they have attended the complete course, passed the continuous assessment and, where applicable, passed the written examination. In the case of examination re-sits, certificates must be issued by the Training Organization with which the course was originally taken.
- a. **Period of Validity.** *Certificates of Successful Completion* are valid for three years from the last day of the course, irrespective of the date of successful completion of the examination, for meeting the training requirements for certification as an IRCA auditor. You must inform students in writing that *Certificates of Successful Completion* are only valid for three years for the purposes of auditor certification by IRCA.
- b. **Design of Certificates.** The form and content of all certificates must be sent to us for approval before you issue them.

***Certificates of Successful Completion* must:**

- Clearly state that the course is certified by IRCA and include its IRCA certification reference number.
- Include the *IRCA Training Course Mark* (see 2.3.2 below).
- Include a unique identification number for each certificate.
- Clearly show your name as the approved Training Organization, as it is approved by IRCA.

² We suggest you consider the requirements of ISO 9001 paragraph 4.2.3.

³ If you are unsure what constitutes a 'major change' please consult with us first.

- Identify the course by the full course title as stated in the relevant IRCA training course criteria, and the dates of presentation of the course.
- Include the name of the student, in the same form that the student would use to apply for certification in an auditor certification scheme.
- Include all information on a single side of the certificate.

Certificates of Attendance:

- *Certificates of Attendance* may be issued to students who have not been successful in the examination or the continuous assessment components but who have satisfied the attendance requirement.
- *Certificates of Attendance* must be clearly distinguishable from the *Certificates of Successful Completion*. They must not imply successful completion and must not include the *IRCA Training Course Mark* or the *IRCA Training Organization Mark*.
- You must inform students that *Certificates of Attendance* will not be accepted by auditor certification bodies.

- c. ***Subcontractors.*** Subcontractors may not issue *Certificates of Successful Completion* or *Certificates of Attendance*.

2.3 Advertising and Using the IRCA Marks

2.3.1 ***Using the IRCA name.*** The name of 'IRCA' may only be used in conjunction with certified courses. You must not imply that IRCA certification extends to your other courses or to presentations that are not certified. Where a course is advertised or promoted as IRCA certified, the following must be clearly stated:

- a. The name of your Training Organization.
- b. The title of the course (as on the specific training course criteria).
- c. The unique IRCA identification number of your course.

2.3.2 ***Using the IRCA Training Course Mark.*** You must include the *IRCA Training Course Mark* on certificates of successful completion of IRCA certified courses. You may also use it on course documentation and in promotional material and advertising. In all cases:

- a. The mark must not be placed in a position of such prominence that it could suggest that IRCA is involved in delivering the course presentation.
- b. The mark must be in the IRCA colour (Pantone 294), black or the colour used for text on the certificate where this is not black.





2.3.3 **Using the IRCA Training Organization Mark.** The *IRCA Training Organization Mark* may be used on your Training Organization's letterhead and stationery in which case the same rules apply as for the *IRCA Training Course Mark*. Note:

- a. The *IRCA Training Organization Mark* may only be used on your promotional and advertising materials in association with IRCA certified training courses, and in conjunction with your unique IRCA training organization number.
- b. The *IRCA Training Organization Mark* may be used on other materials, such as business cards, but you must not use the mark to imply individual certification as an auditor.
- c. The *IRCA Training Organization Mark* must only be used in association with the name of the approved Training Organization and its use must not imply that a subcontractor is the approved training organization.

2.3.4 **Pre-course information.**

- a. Your promotional and pre-course information must not lead students or potential students to conclude that successful completion of the course automatically entitles them to certification as an auditor.
- b. When potential students request information about your course presentations they must be informed of any prior knowledge/experience required to take the course.

2.3.5 **Courses in application.** Where a formal application has been made to IRCA for certification of a course but certification has not yet been awarded, your advertising relating to the course(s) may state "Application has been made to IRCA for the certification of this course". Advertisements must not state "Certification is pending" or otherwise imply that certification is guaranteed.

2.4 Subcontractors and Branches

Subcontractors. A *subcontractor* is any organization, not owned by your organization, or any person not employed by your organization that you give authority to administer or present your IRCA certified training course(s).

Branches. A *branch* is an office/site owned and controlled by your organization and authorized to market, administer or present your certified IRCA training course(s) under your name, responsibility and control.

2.4.1 **Controlling Subcontractors and Branches.** You may permit the use of your certified course material by *subcontractors* or *branches*. However:

- a. You must NOT permit any part of your own organization or any other organization to present a certified course on your behalf except where you maintain total responsibility for the effective control, administration and presentation of the course.
- b. You must have appropriate methods to monitor and measure the performance of your *subcontractors* and *branches* to ensure that our requirements are consistently met.

- c. You must provide us with written details of any *subcontractors* or *branches* that you want to authorize to present certified courses on your behalf for our acceptance in advance of any course presentations by these organizations. You must submit written details of the nature of the relationship with the *subcontractor/branch*. We will maintain a record of your approved *subcontractors* and *branches* at the IRCA offices.
- d. *Subcontractors* and *branches* may not further subcontract your course(s).

2.4.2 **Controlling Subcontractors.** A *subcontractor* must NOT imply that it has IRCA approval as a Training Organization in advertising, promotional or course material. A *subcontractor* may only claim that the course is IRCA certified if:

- a. The course is being run under your control.
- b. The relationship between the subcontracted organization and you, as the approved Training Organization, is clearly stated in all advertising and promotional literature, including your name as the IRCA approved Training Organization.

2.5 Course Facilities

2.5.1 Course facilities must be adequate.

- a. All course venues must have appropriate facilities and training equipment.
- b. When teamwork is involved, suitable rooms or areas should be arranged so that the activities and discussions of one team are not disturbed by those of other teams, or by anyone else.

2.6 Tutor Requirements⁴

2.6.1 **Competence Requirements for Tutors and Lead Tutors.** All tutors must meet the general competence requirements in Table 1 (Appendix A), and the specific additional tutor requirements detailed in the relevant training course certification criteria. Lead Tutors must meet the competence requirements in both Table 1 and Table 2 (Appendix A).

2.6.2 **Maintaining Tutor Competence.** You must ensure that the competence of your tutors is monitored and maintained.

2.6.3 **Using Interpreters.** If interpreters are used, they must be competent. An interpreter must be provided for each designated tutor who does not speak the language in which the course is presented as appropriate during the course. If interpreters are used the duration of the course must be increased to ensure that the Learning Objectives are met.

⁴ We suggest that you consider the 'Tutor Qualification Process' as a model for qualifying Tutors and Lead Tutors and the 'Maintaining Tutor Competence Process' as a model for maintaining tutor competence (see Appendix B). If you choose an alternative approach to tutor training this must result in outcomes equivalent to those defined in Tables 1 and 2, Appendix A.

- 2.6.4 **Local Experience.** At least one tutor should have current auditing experience in the country and culture in which the course is presented. If at least one tutor does not have such experience, another person who has knowledge of current local auditing requirements, culture and practices must be included on the instruction team to provide information and advice to the tutors and students at relevant points.

2.7 Continuous Assessment and Written Examinations

Students must pass the continuous assessment and (where applicable) the written examination as specified in the relevant training course criteria in order to qualify for a *Certificate of Successful Completion*.

2.7.1 Continuous Assessment.

Methods for validating each student's achievement of the Learning Objectives specified in the relevant IRCA course criteria must be designed into your course(s).

- a. Where tutors identify individual students who are not achieving the Learning Objectives, these students must be made aware in private of the shortfall in performance and, if appropriate, be provided with additional coaching outside the formal course hours.
- b. Students who fail the continuous assessment are required to retake another entire certified course in order to successfully complete the training.
- c. Students who fail the continuous assessment may take the written examination, but may not receive a *Certificate of Successful Completion*, whatever their result in the written examination.

2.7.2 IRCA Examinations (where applicable).

- a. **Security.** IRCA examination papers and solutions must be maintained, distributed, retrieved and translated (where relevant) in conditions of strictest security. Copies of IRCA examination papers, solutions or completed scripts must not be supplied to any student or any other third party for any reason without written permission from IRCA.
- b. **Discussing Examination Results with Students.** You may provide students with their overall results and their marks in each section of the paper. You may also provide an individual student with verbal feedback on his/her performance, both generally and with respect to individual questions/answers. However, students may not be supplied with copies of the question paper or their answers. You must not discuss papers or individual questions with anyone except the individual student who took the examination, unless you have written permission from that student.
- c. **Specimen paper.** You may provide students with a copy of the IRCA specimen examination paper and the typical solutions.
- d. **Selection of examination papers.** Where the course criteria require an examination, you must select, at random, one of the IRCA examination papers for a particular presentation and ensure, where possible, that the tutor(s) for that presentation are not made aware of which examination paper is to be used. (If IRCA examination papers are not yet available for a particular training

course then you are required to prepare and agree the content of alternative examination papers with IRCA.)

- e. **Invigilation.** You are responsible for ensuring, through effective invigilation throughout the full duration of the examination, that students are not provided with opportunities to copy, collude or otherwise cheat during examinations. The invigilators must explain the rules and regulations for taking the examination to the students, allow students time to read the rules and regulations and deal with any questions before the start of the examination.
- f. **Reference materials.** The only reference material allowed into the examination is a copy of the appropriate standard, the course notes provided by your Training Organization and any personal notes made by the students during the course.
- g. **Additional time for examinations taken in a second language.** Students whose first language is not the language in which the course is presented and examined and whose ability in that language requires them to work more slowly, may be permitted additional time not exceeding 30 minutes to complete the examination. They may also have an appropriate two-language dictionary. This allowance is granted at the discretion of the Lead Tutor and any such allowance must be indicated in the course records, with supporting reasons.
- h. **Additional time for students with disabilities.** Additional time, not exceeding 30 minutes, to complete the examination may be allowed for those students who suffer from particular disabilities, for example dyslexia, muscular dystrophy etc., which adversely affect their ability to complete the examination in the allotted time. The course records must indicate when and why allowances have been granted.
- i. **Marking examination papers.** At least two of your Training Organization's tutors, (or other competent persons defined by your planned arrangements) must assess the completed examination papers. One tutor must mark all of the papers, indicating any errors, allocating marks and totalling the marks scored. A second tutor must check the accuracy of the calculation of the marks allocated on each paper and re-mark all scripts where the total mark is between 60-76%. You must ensure that any significant differences in marking by first and second markers are resolved.
- j. **Competence of markers.** Your Training Organization must ensure that marking and overall grading is consistent and calibrated⁵.
- k. **Retaking the examination.** Students who fail the written examination, but pass the continuous assessment, must be allowed to retake an IRCA examination under the following conditions:
 - A student can only retake an examination once (not the previously failed examination paper) and this retake must occur within 12 months of initial examination.
 - Students who pass the continuous assessment, but fail the examination (where relevant) and a re-sit examination are required to attend another entire certified course in order to successfully complete the training.
 - Ideally, you should conduct the re-examination of students who attended your course(s). However, we acknowledge that

⁵ Consider using an old paper or papers completed by a previous student to calibrate your markers.

this may present difficulties in certain circumstances and we will consider exceptions.

- I. **Translation of examination papers.** Where the course is conducted in a language other than English, either directly or by simultaneous or sequential translation, a certified translation of the examination paper and solutions may be produced in that language. Such certified translations must be obtained at your expense. You may co-operate with other IRCA approved Training Organizations on the interchange of translations of IRCA examination papers and solutions.

2.8 Ensuring Training Is Continuously Improved and Up-to-date

- 2.8.1 **Audit Practice.** Your training must reflect current and realistic management systems audit practice and conditions.
- 2.8.2 **Management Systems.** Your training must reflect changes in the relevant management systems standards and specifications.
- 2.8.3 **Training Methods.** Your training must be designed and delivered to reflect current training practice and learning theory.
- 2.8.4 **Improving your Training.** You must have appropriate processes for gathering information and identifying ways to continuously improve your IRCA certified training. Consider the following.
 - a. Identifying appropriate methods for monitoring and, where appropriate, measuring the implementation and effectiveness of your processes and procedures. Methods for monitoring may include: analysis of complaints and appeals; analysis of student feedback forms; analysis of results of quality control and inspection activities; analysis of corrective actions; analysis of student numbers, continual assessment and examination pass rates; monitoring and review of tutor performance; other metrics and techniques, such as internal audits and audit of subcontractors/branches, as necessary.
 - b. Including a course evaluation form, requesting students to provide feedback on the course, including: the effectiveness of the course in covering the Learning Objectives; the knowledge, ability and performance of the course tutor(s); the structure and design of the course, course materials; the course facilities.
 - c. Reviewing the suitability and effectiveness of: your management processes; the design and content of your certified course(s); the delivery of certified courses, including tutor competence and improvement opportunities, and student assessment methods. Reviews may include:
 - Actions from the last review; any actions resulting from the instructions and recommendations of IRCA during audit or surveillance visits, or at other times as appropriate.
 - Results of monitoring and measurement activities.
 - Changes which might affect your training course management, the content or delivery of your courses, including changes in audit practice, standards, legislation and IRCA criteria.
 - Feedback and suggestions for improvement from course tutors and others if appropriate.

- d. Planning for the design and development of your course(s), and for the amendment and updating of existing courses. Plans should make clear the actions required and associated responsibilities and authorities, and include review points.

2.9 Training Records

2.9.1 Your records must be retained for at least 18 months or until the next annual surveillance (whichever is longer), except for continuous improvement records (see 2.8.4), pass/fail results and certificate records, which must be kept for a minimum of 3 years. You must have adequate arrangements, consistent with applicable legislation, to safeguard confidentiality of all information provided by students, and the results of student assessment and examinations. For each course delivery you must keep the following records:

- a. A summary showing:
 - The venue and dates.
 - The names of designated tutors, and any additional tutors, trainee tutors, observers and local technical experts present.
 - For each student who attended the presentation: name, continuous assessment and examination/re-examination (if relevant) results; the overall pass/fail result; details of tutors (or others) who marked the paper(s).
 - The identification number of each certificate of successful completion and the name of the student to whom it was issued.
- b. A copy of completed examination papers (including re-sits) and the completed continuous assessment records for each student.
- c. Any complaints received (see below).
- d. Course advertising material for that presentation.

2.9.2 **Complaints.** You must inform all students of their right to make a complaint or an appeal and must provide them with written details of the process for doing so, on request. In the case of a complaint or appeal, you must notify each complainant or appellant in writing of the result of the complaint or appeal and of the right to appeal against the result to IRCA.

2.10 Calculating Course Duration

2.10.1 ***Calculating Course Duration.*** Please note that the minimum duration of each course is specified in the certification criteria for that course. The following apply when calculating the total duration of your course(s):

- a. The time commences with the course introduction following student registration. Only time when the designated course tutor(s) are in attendance can be included in the calculation of total course duration.
 - a) You must include acceptable provision for refreshment breaks.
 - b) The calculation of total course duration may include:
 - The time devoted to the formal written examination.
 - A maximum of 10% of the total course duration (as defined in the specific course criteria) for refreshment breaks.
 - c) When students participate in a live audit, only the time spent conducting the audit can be included in the calculation of total course duration. Travel time to and from the audit site and time spent on arrangements such as safety briefings cannot be included.

APPENDIX A

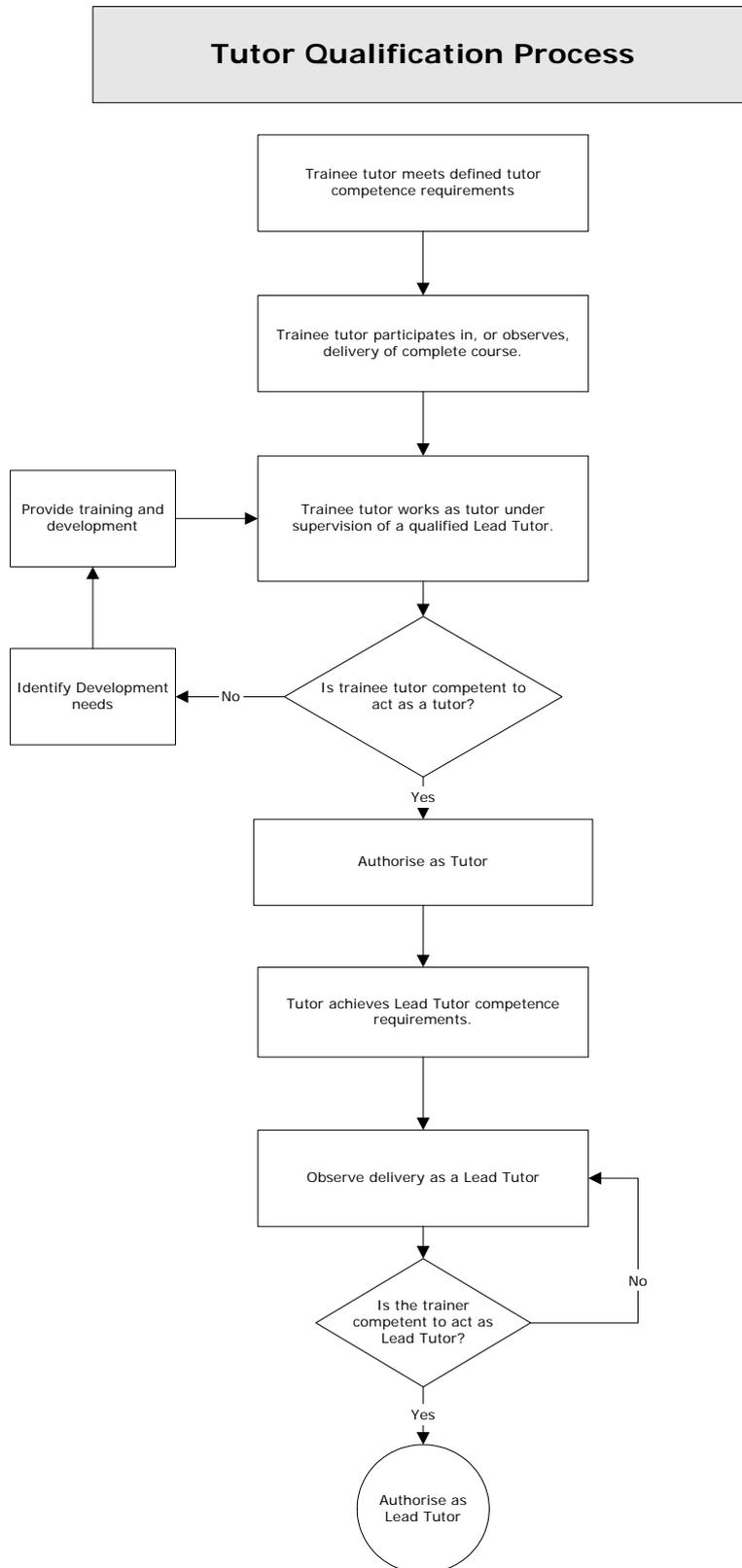
TABLE 1. COMPETENCE REQUIREMENTS FOR ALL TUTORS

A. Trainer Knowledge	B. Trainer Skills	C. Auditing Skills	D. Course Specific Skills
<p>An understanding of:</p> <p>The purpose and benefit of learning objectives and session planning.</p> <p>The difference between teaching knowledge and skills.</p> <p>Different learning styles and the implications of these on training.</p> <p>The effective use of training aids (slides, flip charts, video etc.).</p> <p>Formal and informal methods to assess student learning.</p>	<p>The ability to:</p> <p>Involve and engage students throughout the learning process.</p> <p>Effectively apply/demonstrate Trainer Knowledge requirements in A.</p> <p>Test student understanding of new information through questioning and eliciting.</p> <p>To facilitate skills-based practical activities, including the ability to give clear instructions for practical activities, to provide supportive and constructive feedback and coaching.</p>	<p>Current auditing competence:</p> <p>Tutors must meet the requirements for the specified grade of auditor defined in the relevant IRCA training course criteria.</p>	<p>For each certified course, an ability to:</p> <p>Deliver the knowledge-based materials.</p> <p>Manage the skills-based activities adequately.</p> <p>Administer the continuous assessment process.</p> <p>Manage session timings effectively.</p> <p>[See also Appendix B]</p>

TABLE 2. ADDITIONAL COMPETENCE REQUIREMENTS FOR LEAD TUTORS

A Lead Tutor must:
<p>A. Be able to plan and manage the entire course.</p> <p>B. Be able to manage, supervise and coach tutors.</p> <p>C. Be able to manage the delegate assessment process adequately, including giving feedback to and coaching failing students.</p>

APPENDIX B



APPENDIX B CONTINUED

Maintaining Tutor Competence

