

# INTERNATIONAL QUALITY AWARDS 2018

## IRCA CERTIFICATED AUDITOR OF THE YEAR

First name of applicant

Last name of applicant

Job title

Name of organisation

Headline Partner

 SAI GLOBAL

# IRCA Certificated Auditor of the Year



We are delighted that you want to enter for an award.  
Before completing the form below, please read the Guide for Applicants.

As you fill out your form, please bear in mind how we will be marking each section – the marking scheme alongside the form explains this.

If you would like further advice or have any problems with the entry process, please email us at  
[InternationalQualityAwards@quality.org](mailto:InternationalQualityAwards@quality.org)

**First name of applicant**

**Last name of applicant**

**Job title**

**Name of organisation**

**Are you a member of the CQI or IRCA?**      YES      NO      **Membership number**

**If so which member grade?**

**Work telephone number**

**Mobile number**

**Email address**

**Name of person supporting your entry**

**Title of person supporting your entry**  
(typically your line manager)

# IRCA Certified Auditor of the Year



Criteria

Please do not exceed 1,500 words in total. You may support your application with 6 PowerPoint slides. The CQI Competency Framework underpins the questions you will have to answer below. Please indicate with an asterisk any particularly sensitive information.

## Analytical and critical thinking

Marking scheme 10 marks approach | 10 marks results |

How have you applied analytical and critical thinking to the evaluation of audit evidence and the determination of audit findings? Provide evidence to show that your application of analytical and critical thinking has been successful. Please support your answers with concrete data.	Official comments Official use only

Communication skills

Marking scheme | 10 marks approach | 10 marks results |

<p>How have you used your communication skills to build effective relationships with your audit client, the auditee and other relevant interested parties? Provide evidence to show that you have successfully established these relationships. Please support your answers with concrete data.</p>	<p>Official comments</p> <p>Official use only</p>

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## Determination of audit evidence

Marking scheme 10 marks approach | 10 marks results |

How have you employed appropriate digital technology and analytical techniques to interrogate raw data and derive audit evidence? Provide evidence to show that your approach was successful. Please support your answers with concrete data.

**Official comments**  
Official use only

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## Risk based approach

Marking scheme	10 marks approach	10 marks results
How have you employed risk-based thinking in planning, conducting and reporting of audits? Provide evidence of the benefits to your audit client, auditee and other relevant interested parties due to your adopting a risk-based approach. Please support your answers with concrete data.		<b>Official comments</b> Official use only

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## Business acumen

Marking scheme	10 marks approach	10 marks results
How have you used business acumen to deliver a more relevant audit for your audit client? Provide evidence to show that you have been successful. Please support your answers with concrete data.		<b>Official comments</b> Official use only

# IRCA Certificated Auditor of the Year



For official use only

Final comments

Total marks

Selected for interview



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# TERMS AND CONDITIONS FOR APPLICANTS

This agreement (“the Agreement”) is between the Chartered Quality Institute (“the CQI”), a registered charity in England and Wales (charity no. 259678), and each Applicant for one or more awards that may be announced at the 2018 CQI International Quality Awards (“the Awards”). The Awards Process is set by the CQI Executive Director of Policy (“the EDP”). The EDP assembles one or more Judging Panels that decide the finalists and winners of each award through a Judging Process that is part of the overall Awards Process.

## Applications

The Applicant may make one or more applications for the Awards across the available categories. Where an Applicant submits more than one application for a category of Award, only the latest submission before the final deadline for submitting applications for that category of Award will be considered by a Judging Panel.

The Applicant agrees to comply with all rules set by the EDP regarding the Applicant's entry for the Awards. For example, the Applicant agrees to evidence a current, fully-paid CQI or IRCA membership, for awards categories that are restricted to members.

The Applicant agrees that failure to comply with any relevant rule may lead to disqualification of the Applicant's entry to the Awards. For example, the Applicant understands that failure to evidence a current, fully-paid CQI or IRCA membership, for awards categories that are restricted to members, will result in the disqualification of the Applicant from those awards. Applicants will be disqualified from receiving any Award that is sponsored by their employers.

The Applicant warrants that the work submitted by the Applicant for consideration in the Awards is the work of the Applicant.

The Applicant agrees to procure, from the Applicant's employers or former employers, any permission that may be needed to submit an application, before that application is submitted.

## The Judging Process

The Applicant understands that the Judging Panel will only consider the first 1,500 words of any entry for the Awards, and the first 6 PowerPoint-compatible slides. Text or slides over this limit will not be provided to the Judging Panels or otherwise considered. No other information will be considered during the Judging Process unless it is otherwise specifically required by the award category in question.

The Applicant understands that decisions of a Judging Panel with respect to the merit of an application are final and non-judicable.

Complaints with respect to the Judging Process may be submitted to the EDP, who will establish any parameters for the investigation of such complaints. The Applicant agrees that the decision

of the EDP is determinative in the case of a complaint regarding any aspect of the Judging Process. There is no process of reconsideration or appeal from the final decision of the EDP.

The CQI may take any measures in response to a complaint that it deems necessary, at its sole discretion, to preserve the integrity or the reputation of the Awards. In particular, the CQI has the right to terminate this Agreement at any time. For example, the CQI may terminate this Agreement if an Applicant is linked in any way, directly or indirectly, to any situation that could bring the CQI or the Awards into disrepute. There is no process of reconsideration, appeal or arbitration from the decision of the CQI to terminate this Agreement, and the Applicant agrees that any such decision of the CQI is determinative.

The Judging Process commences on the date specified by the EDP, and ends 90 days after the conclusion of the Awards Ceremony, unless a complaint is received that implicates the Judging Process. If a complaint is received that implicates the Judging Process, the Judging Process does not end until that complaint has been addressed and resolved by the CQI.

The CQI warrants that they will endeavour to ensure that each of the categories of the Awards receives sufficient entries of good quality to allow a shortlist to be created and a winner to be selected. However, if this is not the case upon review of the entries, the CQI reserve the right to withdraw any category from the Awards. This means that judging may be curtailed at any stage of the Awards Process, and / or there may be no winner announced at the Awards Ceremony. In such circumstances, the CQI will inform all Applicants for that category of Award as soon as it is practical to do so.

## Case Studies

The CQI may process the personal data of any Applicant who is designated a finalist or a winner in any category of Award – including but not limited to data concerning competence, experience and achievement that were submitted in the relevant application – to create one or more Case Studies.

If a Case Study is to be published, the CQI will provide to the Applicant an opportunity to review the Case Study for accuracy of the material before publication. The CQI agrees not to publish personal data of a sensitive nature without the approval of

the Applicant. The Applicant agrees to procure, from their employers or other third parties implicated in a Case Study, any necessary approvals for publication.

## Personal Data Processing

The CQI warrants that they will process all personal data of the Applicant in line with their obligations under the General Data Protection Regulation (“GDPR”). The personal data of the Applicant will be securely held at all times. The CQI requires from the Applicant only such personal data as is necessary for the objectives of the Judging Process to be met.

The Applicant has a right of access to these data under the GDPR that may be exercised by submission of a corresponding request to the EDP.

The Applicant understands that the CQI may include the Applicant's name, job title and employer in information that may be published about the Awards, including but not limited to publications about the award process, the finalists and the winners of Awards. The CQI agrees not to publish any personal data about Applicants who are neither finalists nor winners of Awards.

The personal data of the Applicant will be held until the conclusion of the Judging Process. These data will be securely disposed of when the Judging Process concludes, with the following exceptions:

- a. if the Applicant is a finalist or winner; the Applicant's name, job title and employer; and
- b. any personal data that are included in publications to which the Applicant consented.

The personal data in exceptions (a) and (b) are the minimum needed to document the Awards and will be kept in perpetuity.

All personal data of the Applicant will be removed from the applications, and from the corresponding forms or notes about the applications that are written during the Judging Process, within one (1) month of the completion of the Judging Process. The anonymised data will be kept in perpetuity to allow the CQI to learn from and improve the Judging Process, the creation of Case Studies, and future iterations of the CQI International Quality Awards. The Applicant will have no right of access to data that are anonymised in this way.



 CQI |  IRCA

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2018**