Requirements for Certification as an IRCA Auditor

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1 Introduction to IRCA auditor certification

IRCA certificated auditors are highly valued by employers worldwide as leading auditing professionals. When you achieve IRCA auditor certification, you join over 10,000 management systems auditors in over 120 countries who share your professionalism and commitment.

IRCA auditors benefit from:

Professional recognition

- IRCA registration improves your career prospects; you will gain the title 'IRCA-certificated auditor', and can use the logo on your email and business documents. You will also be listed on our online register, which is widely used by employers to find auditors.
- IRCA auditors earn on average 23% more than non-IRCA auditors.
- IRCA registration is a way of demonstrating your commitment to ongoing career development. Continuing professional development is a key part of the IRCA journey and IRCA supports you in maintaining your knowledge and skills as an auditor.

Knowledge

- Technical updates, reports and webinars on management system standards
- The latest news from the auditing world with IRCA's e-newsletter *Inform*
- Digital and interactive resources on auditing, such as our recent webinar on ISO 9001
- Exclusive access to IRCA's online e-library, which contains thousands of journals, magazines and industry publications

Network

- Join IRCA's private LinkedIn Group, where you can discuss issues with auditors around the world

- Attend seminars and events with high-profile speakers and delegates. IRCA's global profile is growing, and technical experts have been giving seminars across Asia and Europe. Members are the first to find out about these events.

In order to become an IRCA Certificated Auditor, you are required to demonstrate the key skills, knowledge, and experience that define competence and which you, the management system auditor, need to possess and to demonstrate during an audit.

Certification is available, without restriction, to all individuals worldwide who satisfy the certification requirements set out in Section 5 of this document. You must also meet any additional requirements contained within the respective scheme-specific requirements in Appendix I.

2   Schemes

IRCA operates 13 schemes. Each is based on a key ISO or industry standard:

- Quality Management Systems (ISO 9001)
- Occupational Health and Safety Management Systems (OHSAS 18001)
- Environment Management Systems (ISO 14001)
- Aerospace (AS/EN/JISQ 9100, 9110, 9120, ISO 9001)
- Business Continuity Management Systems (ISO 22301)
- EICC
- Energy Management Systems (ISO 50001)
- Food Safety Management Systems (ISO 22000)
- Information Security Management Systems (ISO 27001)
- Information Technology Service Management (ISO 20000)
- Maritime Safety Management Systems
- Pharmaceutical Quality Management Systems
- Social Systems

Each scheme is guided by the auditing standards *ISO 19011: Guidelines for auditing management systems* and *ISO 17021: Conformity assessment: Requirements for bodies providing audit and certification of management systems*.

The schemes are intended for:

- Auditors, e.g. those for whom auditing is a significant part of their role. This may include supply chain auditors, those employed by certification bodies/registrars, and those conducting audits within their own organisations.

- Practitioners, e.g. consultants, audit programme managers, and others involved in auditing through the development and maintenance of management systems, auditor training and standards development.

3   Grades

IRCA offers the following six grades of membership:

Grade	Applicability
Provisional Internal Auditor (PIA)	Professionals who have attended an internal auditor training course but have not yet conducted sufficient audits for other grades.
Internal Auditor (IA)	For those who conduct internal partialsystem audits of a management system/s, or a supplier's management system. It is likely that an IA will not be a full-time auditor and may only audit a few times each year.
Provisional Auditor (PA)	Appropriate for professionals who have attended an auditor training course, but that do not or have not yet had the opportunity to conduct audits.
Auditor (A)	Auditors who conduct full system audits as a member of an audit team and/or as a sole auditor. Audits may be internal full system audits, second-party full system audits, or thirdparty audits for certification purposes.
Lead Auditor (LA)	Experienced professionals who lead audits and audit teams. Applies to those conducting second or third party audits.

Principal Auditor (PRA)	This grade is appropriate for senior audit professionals with an extensive and demonstrable history of conducting full system audits as lead auditors but who may no longer lead audit teams, or conduct audits on a regular basis. Principal auditors are often those who have moved to training, consultancy, or management roles. It offers highly skilled and experienced auditing professionals appropriate recognition without them being required to complete audits, which may no longer be a major part of their role.

4 How to apply

Before you apply for certification as an IRCA auditor, check that you meet the recommended minimum criteria appropriate to the grade and scheme for which you are applying.

You can find information on the recommended work experience, training and experience in Section 5, Requirements for initial auditor certification.

4.1 Completing your application form

You can download an application form from our website. Please ensure that you read the guidance notes for applicants, found at the end of the application form, before you complete it.

Your application must be submitted in English. If any of your supporting information is not available in English, you should also provide an English translation of the original text. This is particularly important for information about qualifications, training courses and work experience.

Once completed, submit your application form by email to applications@quality.org

4.2 Paying your application fee

Before we can process your application, you must pay an application fee. You can pay your fees by credit card, bank transfer, or cheque. Please refer to our website.

4.3 How your application is processed

Once we have received your application form and application fee there are three simple steps before you become and IRCA certificated auditor

Step 1: Your application will go through a two-stage assessment by a
Membership Advisor and Technical Reviewing Officer. A Membership Advisor will contact you if we require any further information to support your application.

Step 2: Once we are satisfied that you meet the relevant scheme and grade criteria we will issue a certification offer,

including your certification number, and an invoice for the initial annual fee.

Step 3: To accept this offer, simply make a payment for the initial annual fee. Instructions on how to do this will be included in your offer email.

Once we have received your initial annual fee, we will add your details to the IRCA Register of Certificated Auditors.

4.4   Code of Conduct

IRCA Certificated Auditors agree to act in accordance with the CQI Professional Code of Conduct (see Appendix II). Please ensure that you read this before submitting your application.

5 Requirements for initial auditor certification

In order to become an IRCA Certificated Auditor, you must meet the minimum recommended requirements below. These requirements are summarised in Table 1, pg.12.

You are also expected to meet the additional, scheme-specific requirements, as set out in Appendix I.

5.1 Internal Auditor

5.1.1 *Education*

Applicants should be educated to secondary education level.

5.1.2 *Work experience*

Applicants should have four years' full-time experience.

Applicants should have one year of full-time experience relevant to the auditor scheme. 5.1.3

Auditor training

Applicants must have successfully completed an IRCA certified foundation course and an IRCA certified internal auditor training course; or attended an IRCA certified auditor/lead auditor training course.

Note: IRCA may consider applications from auditors who have successfully completed an Internal Auditor course but not the respective Foundation course if they demonstrate sufficient work experience and sector understanding.

5.1.4 *Auditing experience*

Applicants should have performed at least five internal audits all of which:

- were at least three hours long

- included all elements of the audit cycle

- must not have been involved areas or activities in which you yourself perform.

IRCA may accept audits of activities for which you are directly or indirectly responsible, e.g. as a line manager. (Refer to 6.3 for guidance on what audits we will accept.)

5.2   Provisional Internal Auditor

No audit experience is required.

Education and work experience requirements are the same as those for an Internal Auditor.

5.3   Auditor

5.3.1   *Education*

Applicants should be educated to secondary education level

5.3.2   *Work experience*

Applicants should have four years' full-time experience

Applicants should have two years of full-time experience relevant to the auditor scheme

For further information about required work experience, please refer to the scheme-specific appendix

5.3.3   *Auditor training*

Applicants must have successfully completed an IRCA certified auditor/lead auditor training course

5.3.4   *Auditing experience*

Applicants should have performed at least four full management systems audits

The total duration of these audits must be at least 20 days, of which 15 must have been acquired onsite

5.4   Provisional Auditor

No audits are required.

Education and work experience requirements are the same as those for an Auditor

5.5   Lead Auditor

5.5.1   *Education*

Applicants should be educated to secondary education level

5.5.2 *Work experience*

Applicants should have four years' full-time experience

Applicants should have two years' full-time experience relevant to the auditor scheme you are applying for

For further information about required work experience, please refer to the scheme-specific appendix

5.5.3 *Auditor training*

Applicants must have successfully completed an IRCA certified auditor/lead auditor training course

5.5.4 *Auditing experience*

Applicants should have performed at least four full management systems audits

The total duration of these audits must be at least 20 days, of which 15 must have been acquired onsite

In addition, applicants must have performed three full management systems audits as the leader of an audit team

The total duration of these audits must be at least 15 days, of which 10 must have been acquired onsite

5.6 Principal Auditor

The Principal Auditor grade is for audit professionals who have extensive and demonstrable experience of auditing but who no longer carry out audits or lead audit teams routinely. It offers highly skilled and experienced auditing professionals' appropriate recognition without them being required to complete audits, which may no longer be a major part of their role.

This may include individuals who have moved into training, consultancy, or senior management positions. This could include full-time third-party auditors, audit managers, certification managers, audit training and development personnel (including management system auditor training course designers), and persons involved in the development of

relevant audit and management system standards (such as ISO 19011).

Work experience

Applicants should have eight years' full-time experience relevant to the auditor scheme.

5.6.2 *Other requirements*

At least six years as an IRCA Certificated Lead Auditor (or acceptable alternative).

5.6.1

If you have already completed two recertifications as a Lead Auditor, you may transition to Principal Auditor at any time.

Or

Three years full-time employment as a management systems' auditor with an accredited certification body (or demonstrable and significant evidence of contracted third-party audits with an accredited certification body).

Table 1 – Recommended minimum requirements for IRCA Certification

GRADE	GENERAL WORK EXPERIENCE	SCHEME SPECIFIC WORK EXPERIENCE	AUDITOR TRAINING	AUDITING EXPERIENCE
Provisional Internal Auditor	4 years full-time	1 year	IRCA certified foundation course and IRCA-certified internal auditor training course *Or* Relevant IRCA-certified auditor/lead auditor training course	n/a
Internal Auditor	4 years full-time	1 year	IRCA certified foundation course and IRCA-certified internal auditor training course *Or* Relevant IRCA-certified auditor/lead auditor training course	- 5 internal audits of at least 3 hours - Covering all elements of the audit cycle - Not including areas of business in which auditor performs
Provisional Auditor	4 years full-time	2 years	IRCA certified auditor/lead auditor course *Or* Relevant IRCA-certified auditor/lead auditor conversion course (if auditor/lead auditor in another scheme)	n/a

Auditor	4 years full-time	2 years	IRCA certified auditor/lead auditor course *Or* Relevant IRCA-certified auditor/lead auditor conversion course (if auditor/lead auditor in another scheme)	- 4 full management system audits - All elements of audit cycle - 20 days, of which at least **15 onsite**

Lead Auditor	4 years full-time	2 years	IRCA certified auditor/lead auditor course *Or* Relevant IRCA-certified auditor/lead auditor conversion course (if auditor/lead auditor in another scheme)	As for Auditor, above **PLUS** - 3 full management system audits as leader of an audit team - 15 days, of which at least **10 onsite**
Principal Auditor	8 years FT relevant to the auditor scheme	At least 6 years or more as an IRCA Lead Auditor (or acceptable alternative) *Or* Submission of evidence of three years' full-time employment as a management systems' auditor with an accredited certification body *Or* Demonstrable and significant evidence of contracted third-party audits		

6 Guidance notes

6.1 Training courses

In order to become an IRCA Certificated Auditor you must have successfully completed an IRCA Certified Training course within the five year period immediately prior to your application. The training course must be relevant to your grade and scheme.

We will consider training completed more than five years before your application if you can provide evidence of recent and relevant continuing professional development (CPD), work experience and currency of your auditing skills.

Please ensure that you send a copy of your training course certificate to support your application. We are unable to process applications that are not accompanied by a copy of your training course certificate. IRCA reserves the right to verify this information with the relevant organisation and/or individual(s).

IRCA does not accept certificates of attendance. Certificates must be of 'successful completion' of a course.

In exceptional circumstances, we may accept a course that is not IRCA certified.

Please visit our website for a list of IRCA Approved Training Organisations that offer IRCA certified training courses.

6.2 Audit experience

Your audit experience should be recorded and submitted on an IRCA audit log (IRCA/106). You may download a copy from our website.

6.3 Audits

For the purposes of certification, audits must have been performed:

- during five year period prior to applying for certification
- after successfully completing an IRCA Certified Training Course
- in accordance with the auditing guidance standard ISO 19011 or ISO 17021
- against the relevant ISO standard for the scheme for which you are applying, or an acceptable alternative.

Audits performed against alternative national, international, or company standards may be acceptable.

Audit logs must include all the information requested. IRCA reserves the right to verify the information you supply in your audit logs.

6.3.1 Combined/integrated audits:

Where two or more standards are being audited during a combined/integrated management system audit, the number of audit days will be equally distributed between the standards. We will only accept the audit days allocated to the relevant scheme for which you are applying.

6.3.2 Acceptability of internal audits for Auditor/Lead Auditor applications

We may accept internal audits for Auditor, Lead Auditor and Principal Auditor grades, provided that the audits were of the full management system covering all clauses and requirements of the applicable management system standard, and that it was of a part of the organisation from which you are entirely independent (e.g. separate business unit).

Along with your audit log, you must submit the following information for internal audits:

- an organisation structure diagram of the company, showing the auditor's independence from the system audited • a sample audit report
- any additional information which may support your application

6.3.3 Consultancy audits

We will accept consultancy audits where:

- the client (auditee) already had a fully established management system prior to the audit
- you had no part in setting up the management system being audited • the scope of the audit included all elements of the management system.

6.3.4 Surveillance (partial system) audits

We do not accept surveillance (partial system) audits for the purposes of Auditor/Lead Auditor initial certification or regrade.

6.3.5 Remote audits:

Remote audit activities are those that are performed at any place other than the location of the auditee, regardless of the distance.

IRCA will accept remote audits as a substitute for the required on-site audit days where there has been as much interaction between the auditor and the auditee as would occur during an on-site audit.

Interaction may be by video conferencing, document and record-sharing systems, etc. If you have conducted extensive remote audits that you feel are suitable, please provide additional information including the scope and nature of the audit, and, if possible, supporting documentation such as audit plans and reports.

6.3.6 Unacceptable audits

We will not accept the following audits:

- audits of the same management system that occur more frequently than once every 12 months
- audits of less than one days duration (six hours of audit activity, exclusive of breaks), except for the internal auditor grade, where we will accept audits of three hours exclusive of breaks
- gap analysis, close out or follow-up visits

Audits that you performed before successfully completing an IRCA Certified Training Course, or which were conducted more than five years prior to certification, will only be accepted under exceptional circumstances.

6.4   Acceptable alternative standards

We accept audits performed against standards that we have evaluated as being acceptable alternatives to ISO standards. A list of acceptable alternative standards for each auditor scheme is available on www.quality.org

If you want to claim audits against a standard that is not on this list, contact applications@quality.org

7   Maintaining your certification

Your certification is valid for five years. In order to maintain your certification during this period, all you are required to do is pay your annual certification fee every 12 months (starting from your initial certification date). In paying your annual fee, you agree to be bound by the CQI | IRCA Code of Conduct.

We will email you to remind you when your annual fee is due.

8   Applying for additional auditor schemes

You may apply to be certificated to as many schemes as you wish.

If you are already an IRCA Certificated Internal Auditor, Auditor, Lead Auditor or Principal Auditor and are applying for certification to an additional scheme, you must meet the same requirements as for an initial application.

To apply for an additional scheme, follow the process for making an initial application, as in Section 4. You must meet the full requirements for each scheme for which you are applying. However, 25% of your audit days may be to the scheme(s) to which you are already certificated.

9   Recertification

At the end of your five year certification period, all certificated auditors have to recertify.

You will have to submit the following which must cover the 5-year period since your previous re-certification or initial certification:

1. Evidence of audit experince (Audit log form)
2. Evidence of your continuing professional development (CPD log form)
3. Declaration of compliance with IRCA Code of Conduct

Audit logs, CPD logs and the Code of Conduct are all available to download from our website.

You can submit your completed documentation via email to auditors@quality.org

Alternatively, you may post it to:

The CQI and IRCA, Chancery Exchange, 10 Furnival Street, London, EC4A 1AB, UK

9.1   Audit requirements

In order to recertify you will need to meet the minimum audit requirements as set in the table below.

Grade	Audit requirement
Provisional Internal Auditor	*No audits required*
Internal Auditor	8 audits, 25 hours on-site
Provisional Auditor	*No audits required*
Auditor	8 audits inc. 3 full systems audits 13 days on-site
Lead Auditor	8 audits inc. 3 full system audits, 1 leading a team 13 days on-site
Principal Auditor	Evidence of continued work experience related to relevant management systems and involvement in auditing or related activities

9.2   Continuing professional development (CPD)

CPD involved maintaining, improving and broadening your knowledge, skills and personal qualities to ensure you fulfil your professional and technical duties. In other words, it enables auditors to "maintain professional knowledge and competence in order to successfully undertake their role", as required by the IRCA Code of Conduct.

In order to make the most out of the CPD process, IRCA suggests that you follow a **Plan, Do, Check, Act (PDCA)** approach.

9.2.1 **The Plan phase**

You should identify your development objectives by considering

- Changes in standards, regulations and legislation, industry, your profession

- Your job role and objectives
- Your strengths and weakness
- Any feedback you have received from colleagues, employer and clientsOrganisation and client plans and requirements

- IRCA strongly encourages all auditors to use of the [Quality Competency Framework](#)

CPD can encompass a huge variety of learning activities. It is not limited to classroombased courses, and it does not have to be specific to the scheme against which you audit. Any learning activity that supports your professional development is encouraged.

It can be audit, scheme, or industry specific or more general business or leadership skills. Courses to refresh your understanding of auditing tools and techniques, or to inform you about changes to standards are valuable ways to keep you up to date with changes in the auditing profession. Training and development offered by your employer is as applicable as that offered by training organisations.

9.2.2 The Do phase

This phase covers the learning and development activity you undertake, as identified in the planning phase.

IRCA does not prescribe a minimum number of hour or activities, and we consider all activities relevant to your profession and aimed at achieving your identified development objectives.

For guidance purposes, you should consider devoting 10-15 hours of activity to your professional development each year.

9.2.2.1 Examples of CPD activities

- Training courses, either classroom-based or online
- Seminars and lectures, including webinars
- Conferences and events
- Active engagement in relevant professional networks and forums, such as IRCA's LinkedIn group
- Reading newspapers, magazines, or online articles relevant to your industry or profession e.g. IRCA Knowledge emails, Quality World • Self-study

Through quality.org website, you have access to online resources, such as reports, articles and webinars. You can also access thousands of journals, magazines, and industry publications in our e-library. All these resources can contribute to continuing your professional development.

9.2.3 Check and Act

IRCA considers the last two phases the most important in your CPD because it allows you to reflect (Check phase) and evaluate the impact of your learning activities (Act Phase). These last two phases will help inform your further development plans.

Check: you must reflect on what you have learnt during each of the activities in your Do Phase.

Act: you must review the effect of your learning on your performance. This will also help you inform your next CPD cycle.

9.2.4 Recording and providing evidence of your CPD

You should record your CPD on as and when you undertake it. In your CPD log, you should include:

- Your development plan (Plan phase)
- A list of the activities you have undertaken (Do phase)
- For each of the activities you must provide a summary of what you have learnt (Check phase) and examples of how the learning has impacted your work, employer and stakeholder (Act phase)
- Your CPD Plan for the next 12 months.

10 How to regrade

You can apply to regrade at any time. In your initial offer letter we will inform you of the audit experience you require to attain the next grade of certification.

To apply for regrade, you should send us your audit logs, along with any additional information to support your application and your regrade fee. If you wish to regrade at the end of your five year certification period, there is no regrade fee.

Please visit www.quality.org for information about regrade fees. An application for regrade will not change your recertification date.

If you have any questions about regrading please contact the Member Retention Team on auditors@quality.org

11 How to transfer your certification

If you want to transfer your current certification to IRCA you may do so by providing us with the following information:

- A completed IRCA application form
- A copy of any relevant auditor training course certificates
- Completed audit logs
- Complete CPD logs

Auditors transferring to IRCA should meet the scheme- and grade -appropriate recommended minimum recertification requirements.

12   Terms and Conditions

12.1   Appeals and complaints

You have the right to appeal against any certification decision taken by IRCA. To do so, send an email for the attention of the Head of Membership to applications@quality.org If this fails to resolve your appeal to your and IRCA's mutual satisfaction, you will be referred to the IRCA complaints procedure.

12.2   Enforcement of certification

IRCA reserves the right to suspend or withdraw certification for three reasons:

- If you fail to meet the certification criteria for the grade to which you are certificated
- If you breach the Code of Conduct
- If you fail to pay the requisite fees

12.3   Confidentiality

We consider all information, correspondence and documentation you submit to us in support of your certification activities as strictly confidential.

We reserve the right to publish relevant details of each certificated auditor in our register, available online at www.quality.org

We reserve the right to disclose details of your certification record to other auditor certification and accreditation bodies. We will do so with discretion and only in instances where we consider withholding this information will compromise the integrity of certification.

12.4   Legal status

IRCA's certification of auditors and all activities associated with the administration of the Register are governed in accordance with the laws of England and Wales, and subject to the exclusive jurisdiction of the English and Welsh courts.

12.5   Fees

Fees are set annually and apply to the calendar year (1 January-31 December). Contact us direct or see www.quality.org for details of current fees applicable for your country.

12.6   Application and regrade fees

IRCA is unable to process applications before the application or regrade fee is paid.

Application and regrade fees are not refundable, regardless of the outcome of applications.

There is no regrade fee if we regrade you at recertification.

12.7   Annual certification fee

IRCA will invoice you for your annual certification fee when we first offer you certification, and each year thereafter. We will send you a reminder three months

before your annual certification fee is due. We will issue your IRCA card upon receipt of your fee.

Failure to pay your fees within 28 days of them being due will result in withdrawal of your certification.

12.8 IRCA reserves the right to decline applications for auditor certification.

Appendix I – Scheme specific requirements and guidance

Appendix I Part 1 - Quality Management System Auditor Scheme
Appendix I Part 2 – Environmental Management System Auditor Scheme
Appendix I Part 3 – Occupational Health and Safety System Auditor Scheme
Appendix I Part 4 – Information Security Management System Auditor Scheme
Appendix I Part 5 – Information Technology Service Management System Auditor
Scheme Appendix I Part 6 – Business Continuity Management System Auditor Scheme
Appendix I Part 7 – Energy Management System Auditor Scheme
Appendix I Part 8 – Pharmaceutical Management System GMP Auditor Scheme
Appendix I Part 9 – Aerospace Quality Management System Auditor Scheme
Appendix I Part 10 – Food Safety Management System Auditor Scheme
Appendix I Part 11 – Social Systems Auditor Scheme
Appendix I Part 12 – EICC Auditor Scheme
Appendix I Part 13 – Maritime Auditor Scheme

Appendix I Part 1 - Quality Management System Auditor Scheme Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Knowledge of basic quality management principles
- Understanding of quality management tools and techniques that are applied in organisations that will enable the auditor to assess a quality management system, and generate audit findings and conclusions
- An understanding of an organisation's operational activities and its interactions, to enable you to understand the relationship with product quality.

The QMS Scheme is based on the auditing key standard:

ISO 9001: Quality management systems – Requirements

Guidance for who this scheme is intended for

- Quality management system auditors, such as those employed by third-party certification bodies/registrars or by purchasing organisations (second-party auditors)
- Quality management practitioners, such as quality management consultants, quality managers and third-party certification managers
- Employees conducting quality management system audits within their own organisations (internal audits).

Appendix I Part 2 – Environmental Management System Auditor Scheme

Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Knowledge of environmental aspects and impacts
- Ability to judge aspect significance
- Knowledge of local environmental legislation
- Understanding of methods and techniques of environmental management that enable the auditor to examine an environmental management system, and to generate appropriate audit findings and conclusions
- Understanding of environmental science and technology that enables the auditor to understand the fundamental relationships between human activities and the environment
- Understanding of technical and environmental aspects of operations that enables you to understand the interaction of an organization's activities, products, services and operations with the environment.

The EMS Scheme is based on the auditing key standard

ISO 14001: Environmental management systems – Specification with guidance for use (latest issue)

Guidance on who this scheme is intended for

- Environmental auditors, egg those employed by third-party certification bodies/registrars or by purchasing organisations
- Environmental practitioners, e.g. environmental consultants, environmental managers and other environmental personnel
- Employees conducting environmental audits within their own organisation, i.e. internal audits

Appendix I Part 3 – Occupational Health and Safety System Auditor Scheme

Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Generic auditing skills as detailed earlier in this document (IRCA 1000)
- OH&S management methods and techniques that enable you to examine OH&S management systems, and to generate appropriate audit findings and conclusions
- OH&S technical competencies, such as the management of risk, health and safety activities in the workplace, including chemical/physical/biological hazards; legal and organisational factors within the country or area of operation, etc.

Acceptable work experience would include:
- Full-time role as manager, supervisor, engineer or technician, involved in technical aspects of facility operation in compliance with OH&S regulations
- Implementation and maintenance of OH&S or integrated management systems involving health and safety compliance management
- Monitoring compliance with health and safety law and regulation, on behalf of a regulating body
- Auditing OH&S management systems on behalf of an accredited certification body
- Assessment of supplier probity against an acceptable OH&S management system standard on behalf of an employing organisation
- Provision of appropriate consultancy services involving OH&S
- Full-time role relating to the performance of OH&S risk assessment and management of safety audits of all types (not necessarily system audits).

The OH&S Scheme is based on the auditing key standards:

BS OHSAS 18001: *Occupational health and safety management systems – Requirements* (latest issue), HSG65 and BS8800 (latest issues).

Guidance on who this scheme is intended for

- Occupational health and safety professionals intending to demonstrate a core competency in audit management performance
- Management systems auditors (e.g. quality, environmental, IT, etc.) who possess a considerable understanding and knowledge of OH&S issues, and who are able to demonstrate sufficient competence to participate in OH&S or integrated management system audits
- Occupational health and safety management system auditors who wish to have their auditing competence recognised

Appendix I Part 4 – Information Security Management System Auditor Scheme

Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Knowledge of the range of application for an ISMS
- Knowledge of information security-related legislation applicable to the country(s) of operation
- Knowledge of the techniques and tools used in information security management
- Understanding of the potential business impacts of ISMS
- Understanding the importance of asset and owner identification
- Knowledge of control objectives and how these are addressed
- Knowledge of risk assessment and identification
- Understanding of the threats, vulnerabilities and impacts
- Understanding the difference between risk assessment and risk evaluation
- Understanding of the methodology of risk treatment, application, residual risk and review of risk treatment plan
- Knowledge of the understanding of the importance of the statement of applicability in the ISMS, and how it is used
- Knowledge of the difference between an IS event and incident.

The ISMS Scheme is based on the auditing key standards:

- ISO/IEC 27001:2005 Information *technology – Security techniques – Information security management systems – Requirements*
- ISO/IEC 17799:2005 *Information t e c h n o l o g y security techniques – Code of practice for information security management*
- EA 7/03: *Guidelines for the accreditation of bodies operating certification/registration of information security management systems*
- ISO/IEC 27001:2005 which provides correspondence and alignment with ISO 9001:2000 *Quality management systems – Requirements* and ISO 14001:2004 *Environmental management systems – Requirements with guidance for use*.

Guidance on who this scheme is intended for:

ISMS auditors, e.g. those employed/contracted by third-party certification/registration bodies and those involved in first or second-party ISMS audits

- Information security practitioners, e.g. information security consultants, IT security managers and IT personnel
- Employees conducting ISMS audits within their own organisation, i.e. internal ISMS audits.

Appendix I Part 5 – Information Technology Service Management System Auditor Scheme

Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Knowledge of the role of IT service providers and their responsibilities
- Knowledge of the importance of governance in relation to the ITMS
- Basic training in IT service management knowledge (e.g. IRCA will accept the ITIL® Foundation certificate or equivalent training)
- Knowledge of ITIL®. (IRCA will accept the ITIL® Foundation certificate or equivalent training as satisfying this requirement)
- Understanding identification and management via risk analysis applied to ITMS
- Understanding of service level agreement (SLA), service management system (SMS), and service management plans and their interaction
- Understanding of release and deployment management and the importance of the agreed release policy
- Understanding configuration management and the importance of configuration items (CI)
- Understanding of the service delivery, including continuity and availability, and problem resolution process
- Understanding of the business relationship management and of the importance of SLAs.

The ITSMS Scheme is based on the auditing key standard:

ISO 20000: *Information technology – Service management* (current edition).

Guidance on who this scheme is intended for

- Employees conducting IT service management system audits within their own organisation, i.e. internal audits
- IT service management system auditors, e.g. those employed by third-party certification bodies/registrars or by purchasing organisations
- IT service management practitioners, e.g. IT service management consultants and other IT service management personnel

Appendix I Part 6 – Business Continuity Management System Auditor Scheme

Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Knowledge of business continuity management principles that cover:

    o BCM policy and programme management o Understanding the organisation – impact and risk
    o Determining BCM strategies

o Developing and implementing BCM responses o Exercising, maintaining and reviewing BCM arrangements
o Embedding BCM in organisational culture.

Note: IRCA will accept completion of the BCI Certificate Examination (CBCI) as evidence of the above.

- Understanding the core processes involved in business continuity management and the interrelationships that enable you to examine BCMS, and to generate appropriate audit findings and conclusions
- Understanding the relationship processes based on business continuity management and supplier continuity management
- Understanding resolution processes based on identifying potential threats and impacts, and handling disruptions and business continuity incidents
- Knowledge of processes and products, including services, that enable you to comprehend the business context in which the audit is being conducted
- Knowledge of relevant standards, regulatory or legal requirements pertaining to BCM, within the specific sector and geography being audited
- Understanding the need for BCM to be a top management-led embedded business process, and
- the experience to evaluate whether this is being maintained effectively
- Understanding the nature of continual improvement through the use of top management leadership, planning and performance evaluation.

The BCMS Scheme is based on the auditing key standard:

ISO 22301: *Societal security – Business continuity management – Requirements.*

Guidance on who this scheme is intended for

- BCMS auditors, e.g. those employed by third-party certification bodies/registrars or by purchasing organisations
- BCMS practitioners, e.g. senior managers, BCMS consultants and other BC personnel • Employees conducting BCMS audits within their own organisation, i.e. internal audits.

Guidance on transitioning to ISO 22301 from BS 25999

Please find guidance on transitioning to ISO 22301 from BS 25999 on the scheme page on the CQI and IRCA website

Appendix I Part 7 – Energy Management System Auditor Scheme

Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Knowledge of energy management and the principles of energy efficiency
- Understanding the principles of fuel combustion, heat transfer and energy flow
- Understanding the relevant sources of energy regulation, guidelines and standards
- Understanding the typical methods and technologies for increasing energy efficiency
- Ability to interpret energy measurement units, sources, costs, tariffs and scheduling
- Ability to scrutinise energy-use data analysis methods
- Ability to analyse energy baselines, energy targets, performance indicators, monitoring and performance measurement
- Understanding the impact of organisational processes and equipment on energy efficiency
- Understanding of methods and techniques of energy management that enable the auditor to examine an energy management system, and to generate appropriate audit findings and conclusions.

    Note: As a guide, courses such as the Energy Institute's Certificate in Energy Management Essentials (or equivalent) would meet this requirement, as would higherlevel energy management-related qualifications.

  The EnMS Scheme is based on the auditing key standard:

    ISO 50001: *Energy management systems — Requirements with guidance for use* (latest Issue).

  Guidance on who this scheme is intended for

- Energy management system auditors, e.g. those employed by third-party certification bodies/registrars or by purchasing organisations
- Energy management practitioners, e.g. energy consultants and other energy personnel
- Employees conducting energy management system audits within their own organisation, i.e. internal audits.

Appendix I Part 8 – Pharmaceutical Management System GMP Auditor Scheme

Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Understanding of the lifecycle of a pharmaceutical medicinal product
- Knowledge and understanding of pharmaceutical GMPs and the
  relevant pharmaceutical legislation, e.g. *EudraLex – Volume 4* or the 21 CRF standards associated with them.

    This should be supported by;

  a. Evidence of successful completion of a GMP awareness training course **or**

  b. Two years' demonstrable work experience in a GMP environment

- Knowledge and understanding of the pharmaceutical supply chain and the context of individual suppliers within the globalization of the pharmaceutical supply chain, and the associated storage and distribution requirements
- Knowledge of ICH Q8 (current edition) and the interaction of ICH Q9 *Quality risk management* (current edition) and ICH Q10 *Pharmaceutical quality system* (current edition).

    This should be supported by;

  a. Evidence of successful completion of a GMP awareness training course **or**

  b. Two years' demonstrable work experience in a GMP environment

- Understanding of patient risk and general risk management to establish the control strategy that can include parameters and attributes related to drug substance, finished product, starting materials and components. This should embody a working relationship with applicable GMP
- Understanding the requirements of a Pharmaceutical Quality Management System, and the importance of this in maintaining control and facilitating continual improvement throughout the product lifecycle
- Understanding of the required GMPs for the processes that the auditor is intending to audit, for example: o an auditor who is responsible for assessing the conformance of suppliers of active pharmaceutical ingredients must be familiar with EudraLex – Volume 4 Part 2: ICH Q7 *Manufacture of drug substances*, and ICH Q11 if the drug substances are being developed as well

    o an auditor performing internal audits on behalf of a biotech company must be familiar with EudraLex – Volume 4 (Good manufacturing practice guidelines) and with Annex 2: Manufacture of biological medicinal products for human use.

Audit requirements

For Internal Auditor grade, for initial certification and renewal of certification, all GMP audits will be accepted, including those that are not full management system audits.

For Auditor/Lead Auditor grades, for initial certification and renewal of certification, only full management system GMP audits will be accepted.

> Note: Please indicate on the audit log any audits that are full management system audits.

The Pharmaceutical GMP Auditor Scheme is based on the auditing key standards:

In Europe – The GMP Directive 2003/94/EC and *EudraLex – Volume 4*

In the USA – CFRs Title 21, Parts 210 and 211

ICH Q10: *Pharmaceutical quality system* (current edition) ICH Q9: *Quality risk management* (current edition)
ICH Q8: *Pharmaceutical development* (current edition)

ICH Q7: *Good manufacturing practice guide for active pharmaceutical ingredients*

ISO 19011: *Guidelines for auditing management systems* (current edition)

ISO 17021: *Requirements for bodies providing audit and certification of management systems* (current version).

Guidance on who this scheme is intended for:

- Internal auditors who conduct full or partial GMP and pharmaceutical quality management system audits within their own organisation.
- Pharmaceutical auditors conducting audits of:
    - suppliers of starting materials and packing components o contract service providers o manufacturing operations o packing operations o testing laboratories
    - warehouse and distribution operations
- Third-party pharmaceutical auditors working for clients within the pharmaceutical industry
- Pharmaceutical quality practitioners – consultants, audit programme managers and other related personnel
- Audits of pharmaceutical operations performed by regulators to ensure compliance
- Pharmaceutical auditors working for third-party certification bodies/registrars who complete full
- GMP and pharmaceutical quality management system audits of suppliers, including:
    - audits of raw material and component suppliers

- o audits of different phases of the product lifecycle (i.e. research and development, clinical trial manufacture, commercial manufacture, distribution and supply, and product discontinuation).

Note: If you are seeking auditor training or auditor certification to the PQG supplier standards for packaging and excipients, you should visit the **CQI's Pharmaceutical Quality Group's website** for further information.

Appendix I Part 9 – Aerospace Quality Management System Auditor Scheme

Scheme specific (additional) requirements

Within the sector understanding and work experience sections of the application form, all applicants are required to demonstrate knowledge and competence in the application of aerospace requirements. This means services and products that have airworthiness, regulatory, legal or aerospace-specific requirements. It will not be sufficient for you to have experience of products such as seats and cabin equipment, simple fasteners, general forgings, castings, fabrications or machined parts that, while used in aerospace applications, are subject to general engineering requirements rather than the airworthiness requirements detailed below.

You should demonstrate on the form knowledge and competence in the majority of the following aerospace industry-specific aspects of aerospace industry quality, regulatory and/or military aerospace requirements:

- First article inspection
- Airworthiness and safety requirements
- Aerospace material traceability requirements
- Aerospace subcontractor approval and control
- Variation management of key characteristics
- Flow-down of aerospace QMS requirements
- Foreign object damage/debris (FOD) prevention
- Use of customer-supplied products
- Calibration controls and positive recall systems
- Acceptance authority media
- Nonconforming material management
- Sampling inspection/statistical process control requirements and limitations
- Special processes
- Configuration management/requirements control
- Aerospace manufacturing techniques
- Tool control
- Design development verification and validation.

Auditor training requirements

For all aerospace auditor grades, you must have successfully completed (at a minimum) an IRCA-certified
QMS Auditor training course appropriate to the grade for which you wish to apply.

For all aerospace auditor grades, your work experience must have been within the last five years unless you have successfully completed an aerospace-specific auditor course within the last five years, such as the AS 9100 Auditor training course, in which case your work experience may still be accepted.

Adding additional aerospace scopes to your registration: 9100/9110/9120

Auditors who wish to have the 9100/9110/9120 aerospace auditing scopes added to their certification shall undertake recognised AQMS 9100/9110/9120 courses in order to have these certifications. Self-study is not acceptable.

Additional audit requirement

For all grades: If you wish your aerospace certification scopes to include the 9100/9110/9120 aerospace standards, the audits you submit must cover some or all of these. (Scopes assigned to you will be aligned to the audits submitted.)

CPD requirements

For all grades other than Internal Auditor and Provisional Internal Auditor:

IRCA does not prescribe a minimum number of hour or activities, and we consider all activities relevant to your profession and aimed at achieving your identified development objectives. For guidance purposes, you should consider devoting 10-15 hours of activity to your professional development each year. Examples of acceptable ways of keeping up-to-date might include:

Examples of acceptable ways of keeping up-to-date might include:

- Audits in aerospace companies while employed by a certification body or consultant
- Attendance on aerospace QMS training courses, such as AS/EN9100, AS/EN9110 and EASA Part 21 or Part 145
- Courses run by aerospace primes for their suppliers, other training courses, or membership of a quality group run by the CQI or similar.

Guidance on acceptable work experience
Note 1
Acceptable 'aerospace experience' means employment in an organisation that is an aerospace prime or major supplier to a prime, designing or producing engine parts, avionics, landing gear, airframe components or auxiliary equipment, or a repair/maintenance organisation that has one or more of the following:
- AS9100/EN9100 certification
- AS9110/EN9110 certification
- FAR/EASA Part 21 or Part 145 approval
- CAA, JAA or FAA approval to airworthiness standards
- ISO 9001, where the applicant can clearly show the experience was not of products such as seats, fasteners, general forgings, castings or fabrications that, while used in aerospace, are subject to general engineering requirements rather than the airworthiness requirements detailed above.

Employment in one of the following is also considered as satisfying the aerospace work experience requirements:

Civil, military (including armed forces personnel) or space organisations such as a national aviation authority (NAA), European space agency (ESA), NASA, or a government ministry or department of defence (MOD/DoD) where the prime responsibility was for aerospace.

Note 2

For acceptable 'aerospace experience' within the organisation as described in Note 1, the applicant's role is required to have been related to the Aerospace QMS. Examples would include quality manager or engineer; production or manufacturing engineer, if involved in setting quality standards or validating compliance of products or methods of manufacture in accordance with design intent; design engineer, if working with airworthiness requirements; supplier quality engineers, if evaluating suppliers QMS or products in compliance with aerospace requirements; applicants working in a national aviation authority (NAA), space agency or government department of defence, having responsibility for monitoring the design, manufacture and procurement of aerospace products from appropriately approved aerospace prime organisations or suppliers to prime organisations, the assessment and approval of such organisations' quality management systems and compliance with airworthiness requirements. Also, armed forces personnel who have direct experience of the repair and maintenance of military aircraft and associated aircraft systems and subsystems.

The Aerospace QMS Scheme is based on the auditing key standards:

- ISO 9001: *Quality management systems – Requirements (latest edition)* **or**

- AS/EN/JSIQ 9100: *Quality management systems – Aerospace – Requirements* (latest edition) **or**

- AS/EN 9110: *Quality management systems – Aerospace – Requirements for maintenance organisations* (latest edition).

Note a): AS9120: *Quality management systems – Aerospace – Requirements for stockist distributors* also exists, but is not deemed to be comprehensive enough for the IRCA Aerospace Sector Scheme, and so audits to this standard alone are not acceptable audit experience.

Note b): The IRCA Aerospace QMS Scheme must not be confused with the International Aerospace Quality Group ICOP Scheme. The IRCA Scheme is not sufficient for auditors conducting certification audits to the standards referenced above to gain entry on to the OASIS database.

Guidance on who this scheme is intended for

- QMS auditors expected to check the effectiveness and compliance with aerospace requirements, such as those employed by third-party certification bodies/registrars (but not for ICOP certification), or to conduct second-party audits on behalf of purchasing organisations, or on behalf of organisations carrying out firstparty audits of a size or complexity beyond the capability of internal auditor grades

- Quality practitioners, e.g. quality consultants, quality managers and other quality personnel that require the greater understanding or professional standing conferred by the grade
- Technical personnel/airworthiness surveyors etc. with employment experience with civil aerospace regulatory authorities and government military aerospace organisations

Appendix I Part 10 – Food Safety Management System Auditor Scheme

Important notes:

· For Part 1 of this scheme, all of the IRCA auditor grades are available (see table on p.5)
· For Part 1 of this scheme, the generic auditor criteria apply (Section 5)
· For Part 2 of this scheme, only one grade is available – ISO 22003: *Auditor*
· For Part 2 of this scheme, all the generic criteria for auditor grade apply (see Section 5.2).

Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

For Part 1 of FSMS Scheme:

• Experience of working within the food chain, preferably with an understanding of implementing and/or operating a management system
• Understanding the food sciences associated with food safety programmes
• Knowledge of relevant key food safety legislation
• Understanding prerequisite programmes
• Knowledge of relevant good practice guides, such as GMP, GHP, GAP, GVP, etc.
• Understanding the principles of HACCP, as defined by the Codex Alimentarius
• Understanding the principles of food safety risk management and risk mitigation, including the processes used for determination of risk levels
• Understanding of methods and techniques of food safety management that enable the auditor to examine a food safety management system, and to generate appropriate audit findings and conclusions.

For Part II of FSMS Scheme

As with Part 1, plus the following:

• Acceptable qualifications corresponding to post-secondary education, within general microbiology and general chemistry, in the category in which you are seeking certification (see categories below). This may be part of a science-based degree or near degree qualification, or a separate award by a recognised institution. Each additional category requires this qualification.
• For those meeting the training requirements through an FSMS Auditor Conversion course, a minimum of a one-day course in HACCP principles, hazard assessment and hazard analysis, and food safety management principles including relevant prerequisite programmes (PRPs) of the Codex Alimentarius.

Part II: Auditing experience

• For initial certification to your first category, you need to have performed a minimum of 12 FSMS audit days and all under the direction and guidance of a Lead Auditor (or similarly

qualified) competent to attest to your competence. The audits must have been conducted within four different organisations in the category you are applying for.

- Each additional category requires four FSMS audits under the direction and guidance of a qualified auditor in the new category.

Part II: Renewal of certification

- You need to have completed at least five external audits per year, including at least two FSMS audits
  or
- A minimum of four FSMS on-site external audits per year **or**
- Ten FSMS audit days per year.

The FSMS Scheme is based on the auditing key standards:

Part I: ISO 22000: *Food safety management systems – Requirements for any organisation in the food chain* (latest issue).

Part II: As with Part I, but including additional requirements based on ISO/TS 22003, for auditors who only carry out third-party certification audits. **Guidance on who these schemes are intended for**

Part I:

- Environmental health officers
- Quality, environmental or health and safety management systems auditors who possess a considerable understanding and knowledge of food safety issues, and who are able to demonstrate competence to participate in food safety or integrated management system audits
- Food safety auditors who wish to have their auditing competence recognised.

Part II:

- Auditors conducting third-party audits on behalf of an accreditation or certification body, and performing audits to ISO 22000 (latest issue) and ISO/TS 22003 (latest issue) or an acceptable alternative.

FSMS Scheme Part II – Food chain categories (as per ISO/TS 22003)

Category code	Categories	Examples of sectors
A	Farming 1 (animals)	Animals, fish, egg production, milk production, beekeeping, fishing, (Animals) hunting and trapping
B	Farming 2 (plants)	Fruits, vegetables, grain, spices and horticultural products

C	Processing 1	Meat, poultry, eggs, dairy and fish products (Perishable animal products, including all activities after farming, e.g. slaughtering)
D	Processing 2	Fresh fruits and fresh juices, preserved fruits, (Perishable vegetable fresh vegetables and preserved vegetables products)
E	Processing 3	Canned products, biscuits, snacks, oil, drinking (Products with long shelf life at an ambient temperature), water, beverages, pasta, flour, sugar and salt
F	Feed production	Animal feed and fish feed
G	Catering	Hotels and restaurants
H	Distribution	Retail outlets, shops and wholesalers
I	Services	Water supply, cleaning, sewage, waste disposal, development of product, process and equipment, and veterinary services
J	Transport and storage	Transport and storage
K	Equipment manufacturing	Process equipment and vending machines
L	(Bio)chemical	Additives, vitamins, pesticides, drugs, fertilizers, manufacturing cleaning agents and biocultures
M	Packaging material	Manufacturing packaging material

Appendix I Part 11 – Social Systems Auditor Scheme

Scheme specific (additional) requirements

In the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Internationally accepted human rights norms, laws and regulations relating to labour and ethics issues
- Relevant industry codes of practice, legal requirements, guidelines and standards relating to labour, ethics, health and safety, and environmental issues
- Relevant international, national and local judicial systems and legislative frameworks
- Relevant social responsibility and labour culture, trade unions, non-governmental organisations (NGOs) and other interested parties within the country or area of operation.

Auditors are required to have the ability to:

- Plan, conduct and report a social systems audit
- Communicate responsibly and clearly, both orally and in writing, with personnel at all levels of an organisation, including workers
- Apply methods and techniques to gather and evaluate objective evidence (including payroll) and determine the conformance of a system designed to meet the audit criteria
- Generate accurate, appropriate and responsible audit findings and conclusions
- Uphold the principles of proper ethical conduct, fair presentation and due professional care.

The Social Systems Auditor Scheme is based on any of the following audit criteria:

- The Worldwide Responsible Accredited Production (WRAP) programme
- The Ethical Trading Initiative (ETI) Base Code performed in accordance with the SEDEX Members
- Ethical Trade Audit (SMETA) – Best Practice Guidance
- The current versions of the EICC Validated Audit Process (VAP) Audit Criteria, using the Electronic Industry Code of Conduct (EICC) and performed in accordance with the EICC VAP Audit Operations Manual
- Any suitable proprietary scheme that includes the following United Nations (UN) and International Labour Organization (ILO) Conventions and core management principles.

Relevant UN Conventions:

- Universal Declaration of Human Rights adopted and proclaimed by the General Assembly of the United Nations in resolution 217A (iii) 1948
- UN Convention on the Rights of the Child 1924/1959 and 1989
- UN Convention on All Forms of Discrimination Against Women 1979
- ILO Tripartite Declaration of Principles Concerning Multinational Enterprises and Social Policy 2000

Core ILO Conventions:

- ILO Conventions 29 and 105 and Recommendation 35 (Forced and Bonded Labour)
- ILO Convention 87 (Freedom of Association)
- ILO Convention 98 (Rights to Organise and Collective Bargaining)
- ILO Conventions 100 and 111 and Recommendations 90 and 111 (Equal Remuneration for Male and Female Workers for Equal Value; Discrimination in Employment and Occupation
- ILO Convention 138 and Recommendation 146 (Minimum Age)
- ILO Convention 135 and Recommendation 143 (Workers' Representatives)
- ILO Convention 155 and Recommendation 164 (Occupational Safety and Health)
- ILO Convention 159 and Recommendation 168 (Vocation Rehabilitation and Employment of Disabled Persons)
- ILO Convention 177 and Recommendation 184 (Home Working)
- ILO Convention 170 (Safe Use of Chemicals)
- ILO Convention 110 (includes reference to Provision of Housing for Migrant Workers). (A total of 185 ILO Conventions are published and others may be relevant.)

Core management principles:

- The requirement for management commitment, including establishing policies relating to social and labour issues, and appointing a member of management to be responsible for its implementation
- The requirement for defined operational controls to address the audit criteria and relevant industry and legislative requirements
- The requirement for effective organisation controls, definition of documentation, operational controls and crisis management
- The requirement for monitoring and measurement, audits, corrective and preventative action, and management review
- The requirement for improvement based on monitoring and review activities
- The requirement for record-keeping to demonstrate that audit criteria are being met.

Note: Audits performed to the standard SA8000, developed by Social Accountability International (SAI), may also be used to demonstrate audit experience.

Guidance on who this scheme is intended for

Certification to this scheme is generic and relevant to social systems audits performed within any industry, and therefore does not require any industry sector-specific competencies. There is a specialist scheme for social systems auditors operating within the electronics industry, which requires specific auditor training and sector competence as defined within the EICC Auditor Scheme. The purpose of both these Social System Auditor Schemes is to provide confidence that auditors who are certified are competent to audit for a variety of stakeholders, including:

- Purchasing organisations
- Supplier organisations
- Regulatory authorities
- NGOs
- Contracted verification agencies.

Note: EICC Auditor training courses are accepted for registration onto this scheme

Appendix I Part 12 – EICC Auditor Scheme

Important note: This scheme only has three grades – Provisional Auditor, Auditor and Lead Auditor. The generic criteria still apply.

Scheme specific (additional) requirements

The certification grades applicable to this scheme are limited and fall into two scopes, as below:

Grade	Scopes *
Provisional Auditor	As a Provisional Auditor you must meet the requirements for <u>at least one</u> of these: · Labour and ethics scope and/or · Environmental, health and safety scope.
Auditor	As an Auditor you must meet the requirements for <u>at least one</u> of these: · Labour and ethics scope and/or · Environmental, health and safety scope.
Lead Auditor	As a Lead Auditor it is <u>mandatory</u> that you meet the requirements for the labour and ethics scope. You may also meet the requirements for the environmental, health and safety scope.

Scope requirements	Labour and ethics scope for all grades	Environmental, health and safety scope for all grades
Qualifications/ experience	Five years' general work experience, including either: • Two years of relevant labour and ethics work experience or • Qualification(s) in a closely related field	Five years' general work experience, including either: • Two years of relevant environmental and health and safety systems work experience or • Qualification(s) in a closely related field

Auditor training	Either	Either
	• EICC Labour and Ethics Lead Auditor course or • EICC Environmental, Health and Safety Lead Auditor course, **plus** EICC Labour and Ethics Conversion course.	• EICC Environmental, Health and Safety Lead Auditor course or • EICC Labour and Ethics Lead Auditor course, **plus** EICC Environmental, Health and Safety Conversion course.

Within the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Internationally accepted human rights norms, laws and regulations relating to labour and ethics issues
- Relevant industry codes of practice, legal requirements, guidelines and standards relating to labour, ethics, health and safety, and environmental issues
- Relevant international, national and local judicial systems, and legislative frameworks
- Relevant social responsibility and labour culture, trade unions, non-governmental organisations
- (NGOs) and other interested parties within the country or area of operation.

Auditors are required to have the ability to:

- Plan, conduct and report an EICC audit
- Communicate responsibly and clearly, both orally and in writing, with personnel at all levels of an organisation, including workers
- Apply methods and techniques to gather and evaluate objective evidence (including payroll) and determine the conformance of a system designed to meet the EICC requirements
- Generate accurate, appropriate and responsible audit findings and conclusions
- Uphold the principles of proper ethical conduct, fair presentation and due professional care.

The EICC Scheme is based on the following audit criteria key documents:

- *Electronic Industry Code of Conduct* (current version)

  The EICC Code of Conduct establishes standards to ensure that working conditions in the electronics industry supply chain are safe, that workers are treated with respect and dignity, and that business operations are environmentally responsible. The EICC Code of Conduct encourages broad adoption of CSR best practices by all ICT companies and suppliers, through guidelines for performance and compliance with critical CSR policies. The EICC Code of Conduct is the primary reference document for

the EICC Audit Criteria. EICC provides the tools for audit compliance with the code and helps companies report progress, hence the significance of the following two key criteria documents;

o *EICC Validated Audit Process (VAP) Audit Criteria* (current version) o *EICC VAP Audit Operations Manual* (current version).

Guidance on who this scheme is intended for

Certification to this scheme is specific to social systems audits performed within the electronics industry, and therefore requires industry sector-specific competencies. If you don't meet this requirement and your experience is in other industry sectors, you will find the IRCA social systems generic scheme more suitable for your needs. The purpose of this EICC Auditor Scheme is to provide confidence that auditors who are certified to it are competent to audit for a variety of stakeholders:

- • Purchasing organisations
- • Supplier organisations
- • Regulatory authorities
- • NGOs
- • Contracted verification agencies.

Appendix I Part 13 – Maritime Auditor Scheme

Scheme specific (additional) requirements

Within the sector understanding and work experience sections of the application form, you are required to demonstrate the following knowledge and competencies:

- Knowledge of ship management and/or ship operations
- Related experience in quality assurance, marine safety or environmental management
- Knowledge of relevant maritime legislation/documentation, e.g. SOLAS, MARPOL, IMDG and STCW to latest IMO amendments and resolutions
- Understanding of methods and techniques of marine management that enable the auditor to examine a maritime safety management code system, and to generate appropriate audit findings and conclusions.

Work experience

You must have four years' work experience in any of the positions below:

- Master, chief engineer, first mate, second engineer, superintendent or manager engaged in organising, managing and operating ships, surveying ships, or providing specific marine consultancy

- Deck and engineer officers sailing as chief mate or second engineer, having obtained their master and/or chief engineer certificates/qualifications

- Principal or senior lecturer in a marine college, teaching the above relevant marine courses and with supporting records of sea service.

Note 1: Sea time is most important, and IRCA will not only review qualifications and work experience but also records of sea-time experience, so please make sure this is made clear in your application.

Note 2: Experience as a cargo surveyor, shipbuilder, ship designer, ship repairer or a ship inspector is not acceptable.

Academic qualifications

Applicants are expected to hold at least one of the following:

- A degree in Nautical Science, Marine Engineering or Naval Architecture
- Under STCW 95 basic training; Deck Officer Certificate II/2 or Engineering Officer Certificate III/2 or a recognised equivalent.

Auditor training

All applicants must have successfully completed a QMS Auditor/Lead Auditor training course and a two-day approved ISM Code training course OR an approved combined QMS

Auditor/Lead Auditor/ISM Code training course, within a five year period immediately prior to any application for certification. Such training courses must meet the requirements of ISO 19011:2011.

Audit experience

Auditor

Requires a minimum of five audits, consisting of a maximum of four against the ISM code for the issue of the Ship's Safety Management Certificate, and a maximum of two audits for the purpose of issuing the Document of Compliance for the shipping company. Applicants shall state on their audit log sheets (IRCA/106) which certificate has been issued for each audit, and further details of at least five audits shall be included on the Supplementary Audit log form (IRCA/150).

Lead Auditor

Requires a minimum of a further five audits (in addition to those specified above) as team leader, leading a team of two or more auditors. The overall total of 10 audits shall include one audit (as team leader) for issuing the Document of Compliance to a company managing a minimum of 10 vessels, or include two audits (as team leader) for issuing the Document of Compliance for companies managing less than 10 vessels.

Note: Details of the above audits must be included on the Supplementary Audit form IRCA/150.

Renewal of certification

The generic requirements for renewal of certification apply (see Section 6), although all qualifying audits shall have been performed against a management system that includes all the elements of the ISM code. In addition to the IRCA/106 audit log sheet, all auditors are required to complete the IRCA/150 Supplementary Maritime (ISM) audit log form for each audit claimed.

The maritime scheme is based on the following key document:

ISM Code: *The International Management Code for the Safe Operation of Ships and for Pollution*
Prevention (latest issue)*.*

Guidance on who this scheme is intended for

Maritime auditors, such as those employed by:

- Flag administrations
- Recognised organisations
- Third-party certification bodies/classification bodies/registrars
- Charterers, oil majors or P&I clubs.

Maritime practitioners, such as:

- Marine consultants
- Ship managers
- Other marine personnel.

Employees conducting ISM code audits within their own organisation, i.e.:

- Internal audits
- Second-party audits.

Appendix II – The CQI Professional Code of Conduct

For the purposes of this code "members" refers to all individuals whose competence is recognised formally by The Chartered Quality Institute (The CQI). This includes but is not restricted to CQI members, IRCA registered auditors and individuals on other CQI registers, as well as all members of the Board of Trustees, Advisor y Council and other governance bodies.

Statement of Personal Responsibility

It is the ethical and professional responsibility of all members to demonstrate the required professional competence and behaviours in discharging the responsibilities of their role. Members must uphold the highest ethical standards and integrity in exercising their professional duties or other activities which might impact on the reputation of the profession and of the CQI. In support of these aims all members are expected to understand and comply with this code of conduct. Furthermore, the CQI reserves the right to suspend or withdraw membership and all associated benefits from members who fail to comply with this code of conduct, in accordance with the Enforcement Processes detailed below.

Professional Competence and Behaviour

In recognising the values and requirements of this code of conduct members shall:

1.1. Maintain professional knowledge and competence in order to successfully under take their role

1.2. Act with due skill, care and diligence and with proper regard for professional standards

1.3. Under take appropriate continuing professional development and record it in an appropriate manner

1.4. Ensure that clients, employers and others who may be affected by their activities are not misled or ill-informed with regard to their level of competence and capability to successfully discharge their responsibilities

1.5. Seek appropriate support whenever they are aware that their level of competency (knowledge, skills, behaviours and experience) might be lacking with respect to the responsibilities they are assigned

1.6. Accept responsibility and accountability for their own professional actions and decisions

1.7. Always act in a way which supports and upholds the reputation of the Quality profession

1.8. Work to ensure that the credibility and reputation of the CQI and all of its stakeholders is protected

1.9. Be mindful of the distinction between acting in a personal and in a professional capacity

1.10. When managing a team, ensure that those working for them have the appropriate level of competence, super vision and support

1.11. Co-operate fully with the Institute in assuring the effective implementation of this Code of Conduct

(including investigation and resolution of any alleged or actual breaches)