CERTIFICATION CRITERIA
FOR THE
ISO 9000:1994 SERIES
AUDITOR / LEAD AUDITOR
TRAINING COURSE

This document shall be read in conjunction with IRCA/2000; Approval Requirements for Organisations Providing Certificated Auditor Training.

IRCA/2145/01/1
(August 2001)
## Reference to 1994 standard & remove IATCA references

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Many of the certification requirements common to all courses are detailed in Section 2 of IRCA/2000; Approval Requirements for Organisations Providing Certificated Auditor Training. These general course requirements are in addition to the requirements of IRCA/2145 and are mandatory. It is essential therefore, that applicants for certification of, and existing providers of an IRCA certified the ISO 9000:1994 Series Auditor/Lead Auditor training course are familiar with the requirements of IRCA/2000.

Successful completion of an IRCA certified the ISO 9000:1994 Series Auditor/Lead Auditor training course will meet the training requirements for IRCA certification to all grades of ISO 9000:1994 Series Quality Management System (QMS) auditor (IRCA/102), and for IATCA Auditor and IATCA Senior Auditor. Successful completion of an IRCA certified the ISO 9000:1994 Series Auditor/Lead Auditor training course will NOT meet the training requirements for IRCA certification to any grades of ISO 9000:2000 Series Quality Management System (QMS 2000) auditor (IRCA/602).
1. **INTRODUCTION**

1.1 These criteria have been prepared by the International Register of Certificated Auditors (IRCA) to assist approved training organisations seeking certification for an ISO 9000:1994 Series Auditor/Lead Auditor training course. The criteria are in accordance with the Uniform Requirements for the Provision of Auditor Training Courses issued by the International Auditor and Training Certification Association (IATCA).

1.2 The primary objectives of this training course are to instruct potential auditors in the principles and practices of auditing for conformance with the ISO 9000:1994 series of standards (or national quality management system standards considered equivalent), so that they are aware of good current practices and to provide constructive development of audit skills through analysis and self-criticism. It is mandatory, therefore, that the content, instruction and standards of presentation offered on any such course comply with the criteria detailed in this document.

1.3 To meet the training requirements for initial certification as an IRCA ISO 9000:1994 Series QMS Auditor (IRCA/102) or an IATCA QMS auditor, applicants shall have successfully completed a training course which has been certified by IRCA or by another IATCA Multilateral Agreement (MLA) signatory as being in compliance with these criteria, within the three years prior to making application.

1.4 In preparing these criteria IRCA has been mindful of the requirement to identify the essential core elements involved in the audit of management systems. These elements shall be included in this course. However, approved training organisations may exercise flexibility in the choice of format of presentation and teaching methods, in devising team work and in teaching other additional and important skills, for example; communication, personal attributes and interview techniques, all of which give the opportunity for each approved training organisation to develop a course with individual characteristics.

2. **LEARNING OBJECTIVES**

2.1 Courses are intended to provide training for potential auditors in the principles and practices of auditing quality management systems. They shall enable delegates to evaluate good auditing practice and encourage in delegates an attitude of self-criticism and analysis of their own performance as a means of developing constructive auditor skills.

2.2 They shall relate to the ISO 9000:1994 series of standards, or to European or national quality management standards recognised as equivalent, and to ISO 10011 / ISO 19011, (when issued.)

2.3 The learning objectives shall apply primarily to second and third party audits. At the conclusion of the course a successful delegate shall be able to:

2.3.1 Understand and describe the purpose of a quality management system and its role in helping an organisation to operate with increased effectiveness, consistency and customer satisfaction;

2.3.2 Understand the purpose, intent and terminology of the auditable standards in the ISO 9000:1994 series, and how they relate to the other members of the ISO 9000:1994 series, the terminology used and the use of ISO 8402;

2.3.3 Understand the requirements of the current revision of ISO 9001:1994 and the objective evidence needed to show conformance and effectiveness of the quality management system;
2.3.4 Understand the guidelines of the current revision of ISO 10011 / ISO 19011;

2.3.5 Understand the ongoing process of change in the ISO standards, the impact that changes in the ISO 9000:1994 and ISO 10011 / ISO 19011 standards may have on the audit process, and the need for auditors to keep up-to-date;

2.3.6 Differentiate between documentation, data and records;

2.3.7 Understand the requirements for, and purpose of, quality policy, quality manual, procedures, work instructions, forms, documentation, document control, data, records and record retention;

2.3.8 Understand the content of typical ISO 9001:1994 quality management system documentation and the interrelationships between the quality manual, procedures, work instructions and quality plans;

2.3.9 Evaluate the differing needs for documentation in a variety of situations;

2.3.10 Understand the difference between legal compliance and conformance with ISO standards, and the significance of these terms when conducting audits of integrated management systems;

2.3.11 Understand the function of first, second and third party audits, the similarities and differences, and the varying roles of the auditor, the auditee and the client of the audit in each of these audits;

2.3.12 Understand the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval body, IRCA and IATCA;

2.3.13 Understand the process of certification / registration of supplier quality systems;

2.3.14 Be aware of the IRCA and IATCA certification criteria for QMS auditors, national and other auditor certification programmes and the international recognition of IATCA certification;

2.3.15 Understand the importance of scope in relation to:
   a) the accreditation of registrars / certification bodies
   b) the structure and content of the auditee's quality management system
   c) an audit plan
   d) the selection of audit team members
   and their inter-relationships;

2.3.16 Understand the need for confidentiality during all phases of the audit process;

2.3.17 Understand the etiquette of audit practice and the need for auditors to be sensitive to local customs and to conform to any rules and regulations of auditees, especially where issues of health and safety are involved;

2.3.18 Understand the IRCA auditor Code of Conduct;

2.3.19 Understand the significance of interpersonal relationships in the audit process, the role of the audit guide, the importance of good interview techniques and be able to demonstrate competency in interviewing skills;

2.3.20 Identify and undertake the responsibilities of an auditor and of an audit team leader;
2.3.21 Identify the pre-audit data required to effectively plan the duration and the resources required to conduct an audit;

2.3.22 Plan and organize all aspects of an audit including document reviews and conformance evaluation activities;

2.3.23 Understand the purpose of pre-audit visits and how to evaluate the desirability or need for such visits;

2.3.24 Produce checklists for use during an audit; understand the benefits and risks of the use of checklists during audits;

2.3.25 Manage audit opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit;

2.3.26 Understand the benefits and risks of sampling during an audit;

2.3.27 Collect and analyze evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected;

2.3.28 Understand the importance of taking audit notes during the process sufficient to provide objective evidence of system conformity as well as nonconformity with the documentation against which the audit is being conducted;

2.3.29 Write nonconformity reports based on objective evidence obtained during the course of the audit;

2.3.30 Evaluate the significance of nonconformities recorded during the audit and classify them in accordance with the systems defined by the manager of the audit programme. (The interpretations taught during the training programme shall be acceptable for this evaluation);

2.3.31 Make recommendations on the acceptability of a management system for certification/registration or for supplier approval purposes, as appropriate, based on objective evidence obtained during the audit;

2.3.32 Evaluate proposals for corrective and preventive actions proposed in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken;

2.3.33 Summarize and record the results of an audit and demonstrate the ability to produce concise reports;

2.3.34 Understand the role of ongoing surveillance audits.

2.4 The training course provider may develop more detailed learning objectives, as appropriate.

2.4.1 Delegate learning objectives shall be quantified and measurable.

3. Course Content

3.1 Early in the course presentation the course provider shall provide to the delegates a description of the course format, delegate responsibilities, how the delegates will be evaluated, and the basis for each type of evaluation.
3.2 The course shall cover:

3.2.1 All aspects defined in Clause 2 Learning Objectives;

3.2.2 Local requirements, culture, practices or approaches to auditing and the application of ISO 9001:1994, as appropriate in each country where the course is presented.

4. **COURSE DURATION**

4.1 The total course time devoted to direct instruction and to assigned team and individual activities shall be at least 40 hours.

4.2 This course shall be presented during five consecutive days, unless otherwise authorized in writing by IRCA. The following considerations will be taken into account by IRCA when evaluating any request for variation:
   a) reasons for the requested variation
   b) rationale for the requested variation
   c) modifications to the training programme/schedule
   d) assessment of impact on the learning process.

4.3 If authorized by IRCA an approved training organisation may offer a course with a minimum course time of 36 hours for delegates who have successfully completed a certified IRCA/2001, Foundation Course on the ISO 9000:1994 Series Standards, within one year prior to the commencement of the 36-hour course.

4.4 Each delegate shall be required to participate actively in workshops, case studies and auditor role playing or actual quality system audit situations as part of the structured class activities. At least 15 hours of the course time shall be used for such activities.

4.5 Training aids, such as videos, that are directly relevant may be used to supplement the training by the tutors. These may be commercial training videos or videos produced during the course to record and review the performance of delegates. No more than three hours of the total course time may be devoted to non-interactive, passive training aids.

4.6 Planning, programme and time management are essential elements in the performance of an audit. IRCA considers attention to the programme and adherence to timetables to be an important element in these training courses. Tutors shall set a good example to delegates and maintain good discipline and timekeeping throughout the course.

4.7 Although not mandatory, IRCA recommends that this course be residential.

4.8 All delegates shall be in attendance for the full duration of the course.

4.9 If the course is given through translators, the time shall be increased as necessary to meet the learning objectives.

5. **TUTORS AND DELEGATES**

5.1 The number of delegates per course shall not exceed 20, nor be less than 4.

5.2 The course shall be run with two designated tutors, both of whom shall be present for the full duration of the course. At least one tutor shall meet the requirements for a lead tutor as stated in IRCA/2000. Additional resource people or trainee tutors may be used for specific activities, however the two tutors remain responsible for the entire presentation.
5.3 Where the number of delegates is 4 to 10 inclusive, the course may be run with one designated tutor, who shall be present for the full duration of the course. That tutor shall satisfy the requirements for a lead tutor.

6. **VARIATIONS**

6.1 Variations to any of these criteria, or in respect of any special circumstances may be considered for approval upon written submission by the approved training organisation to IRCA. Any such request shall be made immediately upon the reason for the variation request becoming apparent.

7. **DELEGATE ASSESSMENT & EXAMINATION**

7.1 There are TWO independent elements in the assessment of each delegate's attainment of the learning objectives, both of which shall be satisfied if the delegate is to satisfactorily complete the course:

7.1.1 A written examination which shall be one of the IRCA set papers (reference IRCA/146 latest revision).

7.1.2 A continuous assessment by the tutor(s) of each delegate, relating directly to auditing capability, written and oral communication skills and performance as a team member and in role playing, as well as attitude and timekeeping. Refer IRCA/2000.

7.2 Delegates shall sit a written examination of two hours duration using one of the current issues of IRCA set papers. The examination paper has four sections. All questions shall be attempted, a maximum of 100 marks is available, and the pass mark shall be 70. Delegates shall be expected to achieve at least 40% in each section.

7.3 The approved training organisation may modify these examination papers as indicated below, but shall not change the structure of the paper:

7.3.1 Minor changes in the wording may be made to reflect local language differences.

7.3.2 Changes in wording to better reflect a specific context, e.g. a manufacturing or a service sector application. These changes shall NOT represent substantive changes to either the question or the solution.

7.3.3 The NCR form may be replaced by a similar form which is routinely used by the approved training organisation.

7.3.4 A maximum of 25% of each paper may be replaced as indicated below but NOT such that the structure of the paper is changed:

- **a)** Section 1: May replace 5 of the 15 questions with alternative questions, each to be worth 1 mark.
- **b)** Section 2: May replace 2 of the 5 questions with alternative questions. These questions will require a brief written answer, each of which will be worth 5 marks.
- **c)** Section 3: May replace 1 of the 3 questions with an alternative question. This question will require a detailed written answer, and will be worth 10 marks.
- **d)** Section 4: May NOT make changes except as permitted by clause 7.3.2 above, i.e. change of context.

7.3.5 On replacing a question, the approved training organisation shall:
a) Provide a solution and marking scheme for the alternative question.

b) Send to IRCA the alternative question (clearly identifying which question it is intended to replace) and its solution for approval before it is incorporated into IRCA examination papers.

8. COURSE PUBLICITY & ADVERTISING

8.1 Course advertising and promotional literature shall not state or imply that this course fulfils more than the training requirements for certification as an IATCA and IRCA QMS auditor (IRCA/102). Course advertising and promotional literature shall not state or imply that this course fulfils the training requirements for certification as an IRCA QMS 2000 auditor (IRCA/602).

8.2 Promotional material shall clearly state that, prior to the commencement of the course, all delegates are expected to have an understanding of the content, application and implementation of the ISO 9000:1994 series of standards.