



RABQSA International

Re-certification Requirements for Qualification-Based Auditor Certification

(including Environmental, Food Safety,
Occupational Health and Safety, and Quality)

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REQUIREMENTS FOR RE-CERTIFICATION OF QUALIFICATION-BASED AUDITOR CERTIFICATION

1 INTRODUCTION

Qualification-based certification schemes have been developed by RABQSA International, Inc. (RABQSA) to provide international recognition for auditors conducting audits using national or International management system standards, or other management system standards recognized by RABQSA.

Re-certification in the qualification-based schemes occurs every three years.

The qualification-based schemes are not included under the scope of RABQSA's accreditation. For details on the accredited competency-based certification schemes, please refer to www.rabqsa.com and select the competency-based criteria.

1.1 Definitions

For the purpose of these criteria, the definitions given in ISO 19011:2002 '*Guidelines for quality and/or environmental management systems auditing*' and ISO/IEC 17024:2003 '*General requirements for bodies operating certification of persons*' apply and, in addition, those definitions specific to RABQSA.

Audit: systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.

Audit Criteria: set of policies, procedures or requirements (used as a reference).

Auditor: person with the competence to conduct an audit.

Audit Team Leader: auditor with competence to lead an audit team that includes at least one other auditor.

Expansion: Movement from one certification grade to another and/or addition of certification scopes via demonstration of the competencies required for that grade and/or scope.

On-site Time: time spent on the actual audit, from the opening to the closing meeting.

Off-site Time: time spent on preparation, documentation, report writing, etc. This activity may take place at the site of the audit or off location, but is still considered off-site time.

1.2 Requirements for Re-certification Applications

To maintain certification, all certified personnel are required to meet re-certification requirements for the type and grade of certification awarded.

RABQSA will provide reminders to all certified personnel when re-certification is due and the information required. Certified auditors must demonstrate continuing compliance with the current certification criteria by providing:

- Audit logs showing a record of audits conducted since the last submittal. Only audit experience with complete information will be considered. Each audit must be verifiable through the auditee. (Refer to Clauses 2 and 4);
- Continuing Professional Development logs showing a record of professional development activities. Only CPD activities with complete information will be considered. (Refer to Clause 3);
- Confirmation that the Code of Conduct has been adhered to and any complaints against performance have been resolved. (Refer to Clause 5)

Auditors must ensure that the information they provide is accurate and addresses all the requirements for the type and grade of certification.

All information must be provided in English. Where translations of documents are provided, these must be independently verified for accuracy.

Auditors who have any special needs related to language and/or disabilities should contact RABQSA for advice.

To enable effective evaluation of applications, RABQSA requires all auditors to provide verifiable documentary evidence that demonstrates compliance with the criteria of auditor certification being sought.

2 AUDIT EXPERIENCE

Audit experience is demonstrated by submitting an appropriate audit log for the certification type and grade. The information on the audit log must be legible, verifiable, and include contact details of auditees.

The RABQSA Audit Log is available on the RABQSA website at www.rabqsa.com. Alternative audit logs may

be accepted if they provide all information required on the RABQSA Audit log.

2.1 Levels of Audit Experience

During a three-year recertification period, the following audit experience is required to be demonstrated:

ASSOCIATE AUDITOR

Associate Auditors are not required to provide an audit log. However, awareness of the requirements is recommended for future expansion to higher grades.

AUDITOR

An applicant must demonstrate at least six audits that total at least fifteen audit days in accordance with the conditions for audit experience.

At least two of these audits must be complete audits.

PRINCIPAL AUDITOR

An applicant must demonstrate at least six audits that total at least fifteen audit days in accordance with the conditions for audit experience.

At least two of these audits must be complete audits. At least two of these audits must be performed either solo or as an audit team leader.

LEAD AUDITOR

An applicant must demonstrate at least six audits that total at least fifteen audit days in accordance with the conditions for audit experience.

At least two of these audits must be complete audits. At least two of these audits must be performed as an audit team leader.

BUSINESS IMPROVEMENT AUDITOR

An applicant must demonstrate at least six audits that total at least fifteen audit days in accordance with the conditions for audit experience.

At least two of these audits must be complete audits. At least two of these audits must be performed either solo or as an audit team leader. The auditor must also provide evidence of application of business improvement tools and related methodologies in these audits.

Note: For all grades, a maximum of six days of off-site audit activity will be accepted in each re-certification period.

2.2 Conditions for Audit Experience

Only eligible audit experience is considered.

Only independent audits satisfy the auditing experience requirements. The auditor shall be independent from the audited organization. Examples of relationships that may be acceptable are:

- A head office audit of a plant or division
- One division or plant auditing another division or plant
- A customer organization auditing a supplier
- A third party registration audit
- A consultant contracted to provide an independent conformance audit.

All audits must be for determining conformity to the audit standard. The auditor may have no part in the set up of, ongoing development of, or maintenance of the system being audited. Audits that are combined with consulting activities cannot be used to meet the audit experience requirement.

Examples of consultancy audits include:

- Audits where advice was given on an action plan for developing/improving the system as part of the audit
- Audits where the auditor had a part in setting up the system
- Audits where the auditor was involved in the ongoing development of the system.

Audits must be recorded in calendar days, not man days. To calculate the number of eligible audit days, time spent on-site and off-site may be included, up to the defined maximum allowed.

On-site audit activity shall not be less than six hours per day.

Audits submitted must have been conducted within the re-certification period.

3 CONTINUING PROFESSIONAL DEVELOPMENT

All certified auditors are required to provide evidence of Continuing Professional Development (CPD). All auditors are required to undertake at least 45 hours of appropriate continuing professional development every three years.

In the selection of appropriate professional development, auditors need to consider their personal

strengths and weaknesses and identify areas for personal improvement. Professional development activities undertaken should be related to the field of work undertaken by the auditor. All professional development activities should be new knowledge and skills for each auditor.

The RABQSA CPD Log is available on the RABQSA website at www.rabqsa.com. Alternative CPD logs may be accepted if they provide all information required on the RABQSA CPD log.

The CPD log should show the duration and type of activity undertaken and details of the provider. The following activities are examples of acceptable CPD activities:

- a) Participation in formal/short courses
- b) Participation in in-house courses/workshops
- c) Attendance at conferences, seminars and workshops
- d) Attendance at Professional Body/Association meetings
- e) Participation in relevant committees and working groups
- f) Delivery of publicly presented papers
- g) Preparation of published articles
- h) Presenting a training course (only one time per re-certification period can be considered)
- i) Developing new training course material.

4 PERSONAL ATTRIBUTES

All certified auditors are required to demonstrate the following personal attributes, based on ISO 19011:2002. An auditor should be:

- ethical
- open-minded
- diplomatic
- observant
- perceptive
- versatile
- tenacious
- decisive
- self reliant

These personal attributes may be verified by RABQSA Scheme Examiners with auditees provided on the audit log.

5 CODE OF CONDUCT

All certified auditors have an obligation to improve the standing of their profession by observing the RABQSA Code of Conduct. Compliance with the Code of Conduct is a condition of certification and all certified personnel are required to reconfirm their compliance to the Code at each re-certification.

RABQSA Code of Conduct

- I will act professionally, accurately and in an unbiased manner.
- I will strive to increase the competence and prestige of my profession.
- I will assist those in my employ or under my supervision in developing their professional competencies.
- I will not undertake any assignments that I am not competent to perform.
- I will not represent conflicting or competing interests and will disclose to any client or employer any relationships that may influence my judgment.
- I will not discuss or disclose any information relating to any assignment unless required by law or authorized in writing by the client and/or my employing organization.
- I will not accept any inducement, commission, gift or any other benefit from client organizations, their employees or any interested party or knowingly allow colleagues to do so.
- I will not intentionally communicate false or misleading information that may compromise the integrity of any assignment or the personnel certification process.
- I will not act in any way that would prejudice the reputation of RABQSA or the personnel certification process and will cooperate fully with an enquiry in the event of any alleged breach of this code.

6 CERTIFICATION INFORMATION

For further information on RABQSA:

- certification processes;
 - applicants' rights and responsibilities;
 - complaints and appeals process;
 - conditions of use for certificates, ID cards and RABQSA logo; and
 - privacy
- please contact RABQSA via the website www.rabqsa.com or email info@rabqsa.com.



End of Re-certification Requirements