



# RABQSA International

## Criteria for Internal Auditor Certification

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## Disclaimer

While every effort is made to ensure that the process for evaluating applications for certification is effective, RABQSA International Inc does not accept liability for auditing or any other services provided by certified personnel that fail to meet the requirements of all clients of the services.

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## OVERVIEW OF RABQSA AUDITOR CERTIFICATION

### RABQSA's VISION IS

'...a virtual, e based organization demonstrating a culture that is entrepreneurial, innovative, industry focused and achieves a time to market performance that exceeds world's best practice and, through continual improvement, remains the organization of first choice for persons seeking international recognition...'

### RABQSA's MISSION IS

'...to improve the performance of industry by providing recognition to individuals who, having demonstrated competence to RABQSA International personnel certification schemes, can improve and offer a positive contribution to the performance of organizations...'

### RABQSA's VALUE GUARANTEE TO CUSTOMERS

- we will satisfy our customers and stakeholders expectations
- our services will remain of value and relevance to our customers and stakeholders
- our ideals and practices will remain consistent with the wider quality movement
- we will replace process with service outcomes
- we will communicate with our customers and stakeholders
- we will remain abreast of technology and new information systems

### WHY APPLY TO RABQSA FOR INTERNAL AUDITOR CERTIFICATION?

Certification with RABQSA International (RABQSA) provides certified persons with an internationally recognized qualification.

Internal Auditors certified under this scheme by RABQSA can demonstrate that they have been independently evaluated as meeting the standards established by RABQSA using ISO19011:2002 '*Guidelines for quality and/or environmental management systems auditing*' as guidance. This provides confidence and assurance in audit outcomes for the auditee and industry.

## SUMMARY OF INTERNAL AUDITOR CERTIFICATION REQUIREMENTS

This table provides a summary of certification requirements only. Details of these requirements are available in this document and **must be referenced** when applying for Internal Auditor certification.

### GRADES

Grade	Knowledge competencies (Section 3)	Audit Experience (Section 4)	Qualifications (education, training, work experience) (Section 5)	Verification of personal attributes (Section 7)
Internal Auditor	RABQSA-certified Auditor Training; or RABQSA-AU	20 audits in past three years	Secondary education or equivalent  <b>and</b>  At least two years work experience	Employer

### SCOPES

Scope	Knowledge competencies (Section 6)	Work and/or auditing experience (Section 6)
Quality Management System Audit (QMS) (e.g., ISO9001:2008)	RABQSA-certified QMS Auditor Training; or RABQSA-QM	At least 1 year of work experience in QMS  Audits conducted using ISO 9001:2008 standard
Environmental Management System Audit (EMS) (e.g., ISO14001:2004)	RABQSA certified EMS Auditor Training; or RABQSA-EM	At least 1 year of work experience in EMS  Audits conducted using ISO 14001
Occupational Health and Safety Management System Audit (OHSMS) (e.g., AS4801, BSI OHSAS18001, or ANSI Z-10)	RABQSA certified OHS Auditor Training; or RABQSA-OH	At least 1 year of work experience in OHS  Audits conducted using the national OHS standard
Food Safety Management System Audit (FSMS) (e.g., ISO 22000)	RABQSA-FS	At least 1 year of work experience in Food Safety.  Audits conducted using a FSMS standard

## **REQUIREMENTS FOR INTERNAL AUDITOR CERTIFICATION**

### **1 INTRODUCTION**

This certification scheme has been developed by RABQSA International, Inc. (RABQSA), to provide international recognition for internal auditors of management systems (QMS, EMS, OHSMS, FSMS).

#### **1.1 Scheme Objectives**

Confidence and reliance in the audit process depends on the competence of personnel conducting the audit. This scheme has been developed to meet the following key objectives:

- a. to ensure that internal auditors meet or exceed the auditing and related competencies defined by RABQSA, using ISO19011 as guidance, for auditors of management systems, including audits using national or international management system standards, or other management system standards recognized by RABQSA.
- b. to assist organizations in selecting appropriately qualified internal auditors; and
- c. to enhance the professional recognition of RABQSA-certified internal auditors.

#### **1.2 Grades of Certification**

In this scheme, RABQSA offers certification in one grade:

**Internal Auditor** grade recognizes that an applicant has demonstrated the requirements to conduct an internal management system audit.

#### **Note:**

Internal Auditors may be recognized for their professional and/or technical experience as defined under Scope of Certification. In establishing audit teams for any purpose, consideration of these skills in the overall make up and management of the team should be taken into account.

#### **1.3 Definitions**

For the purpose of the criteria, the definitions given in ISO 19011:2002 '*Guidelines for quality and/or environmental management systems auditing*' apply, in addition to 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:** In the internal auditor scheme, expansion is defined as addition of certification scopes via demonstration of the qualifications required for that scope.

**Qualification:** demonstration of personal attributes, education, training and/or work experience.

**QMS:** Quality Management System

**EMS:** Environmental Management System

**OHSMS:** Occupational Health & Safety Management System

**FSMS:** Food Safety Management System

#### **1.4 Requirements for Certification Applications**

Applicants must ensure that the information they provide is accurate and addresses all the requirements set out in the criteria document for the grade and scope of certification being sought.

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

Applications should be submitted on the RABQSA Internal Auditor Certification Application Form with payment of the Application Fee. The Application Fee must be received by RABQSA before processing of an application can commence. Please refer to the Fee Schedule for your region (available at [www.rabqsa.com](http://www.rabqsa.com)) for details of fees.

Applicants 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 applicants to provide verifiable documentary evidence that demonstrates compliance with these criteria.

## 2 KEY REQUIREMENTS

Education, training, work experience and audit experience are the means by which a person acquires the appropriate competencies to become an internal auditor.

For internal auditor certification, applicants must demonstrate relevant knowledge, audit experience and qualifications, and must provide details for persons who can verify information about the applicant.

The evidence required is detailed in the following sections.

## 3 KNOWLEDGE

Knowledge requirements are demonstrated through the successful completion of a training course (see 3.1 below) or an examination (see 3.2 below) by an RABQSA-Certified Training Provider.

Applicants must submit the certificate/s from RABQSA-Certified Training Provider/s demonstrating that the required training/examination has been completed within three years prior to application.

RABQSA maintains a Register of RABQSA-Certified Training Providers on the RABQSA website [www.rabqsa.com](http://www.rabqsa.com).

### 3.1 Training method

RABQSA-certified Lead Auditor, Internal Auditor, and IPC Auditor courses successfully completed within the last three years may be submitted as evidence for the knowledge requirements.

### 3.2 Examination Method

The following competency unit is the minimum required to be demonstrated:

#### *Management System Auditing (RABQSA-AU)*

- Understand the application of the principles, procedures and techniques of auditing
- Understand the conduct of an effective audit in the context of the auditee's organizational situation
- Understand the application of regulations, and other considerations that are relevant to the audit management system, and the conduct of the audit

- Practice personal attributes necessary for the effective and efficient conduct of a management system audit

## 4 AUDIT EXPERIENCE

Applicants are required to have participated in a minimum of twenty management system audits in the last three (3) years prior to application. Each audit claimed is required to be of at least three (3) hours duration.

Audit Experience is demonstrated by completing an audit log. 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](http://www.rabqsa.com).

Alternative audit logs may be accepted if they provide all information as required on the RABQSA Audit log.

## 5 QUALIFICATIONS

All Applicants for internal auditor certification must provide evidence of qualifications (education, training and/or work experience) that demonstrate the application of knowledge and skills required to conduct effective audits for the grade and scope being sought.

Applicants are required to have completed secondary education or provide evidence of equivalent competencies.

The applicant is required to demonstrate at least two (2) years of work experience in a position involving the exercise of judgment, problem solving and communication with other personnel, peers, customers and/or other interested parties.

Where an applicant is seeking a scope of certification (refer to Clause 6), the work experience required for each scope may be concurrent with the two years of work experience defined above.

Evidence of work experience must be verifiable and include:

- employer (including contact details)
- dates of employment,
- roles, responsibilities and achievements.

## 6 SCOPES OF CERTIFICATION

Internal Management System Auditors may apply for one or more scopes of certification to indicate specific

management systems expertise in Quality, Environment, OHS, and/or Food Safety.

The decision on which Scopes are appropriate will be dependent on each applicant's specialized qualifications (education, training and/or professional experience).

### **6.1 QMS audit:**

#### Knowledge

RABQSA-certified QMS Auditor, or IPC QMS Auditor courses completed within the last three years may be provided for evidence of knowledge requirements.

Alternatively, the following competency unit (completed within the last three years) is required to be demonstrated:

#### *Auditing Quality Management Systems (RABQSA-QM)*

- Understand the application of Quality Management Principles in the context of ISO 9001:2008
- Relate the quality management system to the organizational products, including services, and operational processes

#### Work Experience

At least one year of work experience in a position with direct responsibility for the implementation, operation and/or auditing of a quality management system.

### **6.2 EMS Audit:**

#### Knowledge

RABQSA-certified EMS Auditor or IPC EMS Auditor courses completed within the last three years may be provided for evidence of knowledge requirements.

Alternatively, the following competency unit (completed within the last three years) is required to be demonstrated:

#### *Environmental Management Systems (RABQSA-EM)*

- Understand the application of environmental management principles
- Understands the application of environmental science and technology
- Understand the application of environmental systems to different operational processes
- Assess the risk of significant environmental impacts and activities identified in the context of the organization's EMS management system
- Assess the effectiveness of methodologies to control environmental hazards

- Assess the EMS roles and responsibilities within the context of the organizational environment
- Determine the adequacy and effectiveness of the EMS

#### Work Experience

At least one year of work experience in a position with direct responsibility for the implementation, operation and/or auditing of an environmental management system.

### **6.3 OHSMS audit:**

#### Knowledge

RABQSA-certified OHSMS Auditor course completed within the last three years may be provided for evidence of knowledge requirements.

Alternatively, the following competency unit (completed within the last three years) is required to be demonstrated:

#### *OHS Management Systems (RABQSA-OH)*

- Understand OHS laws, principles, codes of practices, and standards
- Identify OHS hazards that are reasonably expected to occur for that business type or industry
- Assess the risk of identified hazards in the context of the organization's OHS management system
- Assess the effectiveness of methodologies to control OHS hazards
- Assess the OHS roles and responsibilities within the context of the organizational environment
- Determine the adequacy and effectiveness of an OHS management system

#### Work Experience

At least one year of work experience in a position with direct responsibility for the implementation, operation and/or auditing of an OHS management system.

### **6.4 FSMS audit:**

#### Training

The following competency unit (completed within the last three years) is required to be demonstrated:

#### *Food Safety Management Systems (RABQSA-FS)*

- Identify food safety hazards that are reasonably expected to occur for the food type/industry
- Assess the risk not identified hazards in the context of the organization's food safety management system
- Assess the effectiveness of the methodologies to control food safety hazards

- Identify all integrated Schemes and procedures used by the organization to achieve food safety objectives
- Determine the adequacy and effectiveness of a food safety Scheme
- Understand the application of HACCP theory and principles to individual food businesses
- Understand the application of food safety management systems as it relates to ISO 22000.

#### Work Experience

At least one year of work experience in a position with direct responsibility for the implementation, operation and/or auditing of a food safety management system.

## **7 PERSONAL ATTRIBUTES**

All applicants shall possess 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 will be verified by RAQSA Scheme Examiners with auditees provided on an applicant's audit log and/or employers.

## **8 CODE OF CONDUCT**

All certified personnel 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 sign their compliance to the Code at time of initial application for certification and at each period of 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.

## **9 SURVEILLANCE**

While there is a requirement for annual payment, there is no specific requirement for surveillance in this Auditor Certification Scheme. However, it is strongly recommended that audit logs and CPD logs be submitted on an annual basis to facilitate timely verification of the information provided.

## **10 RE-CERTIFICATION**

To maintain certification, all certified personnel are required to demonstrate continuing competence against the current certification criteria for the type and grade of certification awarded.

RABQSA will provide reminders with the annual invoice to all certified personnel when the date for re-certification is due and the information required.

Every three years from the date of initial certification and subsequent re-certification, certified personnel must demonstrate continuing compliance with the current certification criteria by providing:

- Audit logs, demonstrating conduct of 15 audits (each audit claimed is required to be a minimum of three hours);
- Evidence of 45 hours of Professional Development activities. Continual Professional Development

logs and guidance are available on the RABQSA website at [www.rabqsa.com](http://www.rabqsa.com);

- confirmation that the Code of Conduct has been adhered to and any complaints against performance have been resolved.

## **11 EXPANSION OF CERTIFICATION**

Certified persons can expand their scope of certification by applying to RABQSA on the Expansion Application Form. Please refer to the Fee Schedule for your region for details of the expansion fee. Expansion Application Forms are available on the RABQSA website [www.rabqsa.com](http://www.rabqsa.com).

The additional requirements, as defined in this document, for the scope applied for must be demonstrated and evidence provided with the application.

## **12 SUSPENSION**

RABQSA reserves the right to suspend certification as a result of investigations into the conduct or performance of certified persons. Refer to the Complaints Process in Section 14 for further details.

RABQSA remains the sole owner of any certificates and ID cards issued to certified persons. In the event of withdrawal of certification, the certificate and ID card issued must be returned to RABQSA.

RABQSA does not refund fees to any certified persons when suspending certification.

## **13 WITHDRAWAL**

RABQSA reserves the right to withdraw certification as a result of investigations into the conduct or performance of certified persons. Refer to the Complaints Process in Section 14 for further details.

Certified persons can withdraw their certification at any time by notification in writing to the RABQSA Scheme Examiner.

RABQSA remains the sole owner of any certificates and ID cards issued to certified persons. In the event of withdrawal of certification, the certificate and ID card issued must be returned to RABQSA.

RABQSA does not refund fees to any certified persons when withdrawing certification.

## **14 COMPLAINTS PROCESS**

All complaints shall be submitted in writing to the Manager, Certification Services, RABQSA International. For contact details, please refer to the Contacts section of the RABQSA website [www.rabqsa.com](http://www.rabqsa.com).

### **14.1 Complaints Against Auditors**

Complaints against the actions or conduct of a certified auditor will be reviewed and investigated by RABQSA using documented procedures. A valid substantiated complaint may result in suspension or withdrawal of certification.

### **14.2 Complaints Against RABQSA**

Each complaint will be reviewed, investigated, and resolved in a timely manner through a formal documented process.

In appropriate circumstances, the RABQSA Scheme Committee will investigate complaints against RABQSA.

## **15 APPEALS PROCESS**

All appeals shall be submitted in writing to the Manager, Certification Services, RABQSA International. For contact details, please refer to the Contacts section of the RABQSA website [www.rabqsa.com](http://www.rabqsa.com).

An appeal against adverse certification decisions, suspension or withdrawal of certification must be submitted in writing. The written appeal will be reviewed, investigated, and resolved in a timely manner through a formal documented process.

Appeals may be made on the following decisions:

- refusal to grant initial certification,
- refusal to grant continuation of certification,
- refusal to grant an expansion of certification
- suspension of certification, or
- withdrawal of certification

The applicant shall submit his or her appeal to RABQSA no later than 30 days after notification of the decision. The appeal shall include appropriate substantiation for the appellant's position and it shall contain any additional or updated information.

## **16 CERTIFICATION PROCESS**

For further information on RABQSA's:

- certification processes;
- applicants' rights and responsibilities;



## RABQSA International Criteria for Internal Auditor Certification

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- 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](http://www.rabqsa.com) or email [info@rabqsa.com](mailto:info@rabqsa.com).

