



**CRITERIA FOR THE ASSESSMENT OF
TRAINING COURSE PROVIDERS
AND TRAINING COURSES**

ISSUE 1

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CRITERIA FOR THE ASSESSMENT OF TRAINING COURSE PROVIDERS AND TRAINING COURSES

Classification

This document is classified as an IATCA Criteria Document.

IATCA Criteria lay down the standard criteria which all members of IATCA undertake to adhere to in the operation of their auditor certification and / or training course approval programs. The Criteria will be the primary standards against which members will be assessed for membership in the IATCA Multilateral Mutual Recognition Agreement (MLA). Members of IATCA seeking membership of the IATCA MLA must conduct their operations in a way which complies with all the requirements of the IATCA Criteria which are relevant.

IATCA Criteria are issued on the authority of the Plenary of IATCA.

Authorization

Issue No 1	Application Date: Immediate
Prepared by: Course Criteria WG	Date: 11 November 2001
Endorsed by: IATCA Board	Date: 11 November 2001
Approved by: Members:	Date: 16 November 2001

Note: The IATCA criteria covered in this document were originally included as a part of IATCA-PL-98-012 Criteria for the Provision of Quality Management System Auditor Training Courses Issue 2. Included in that document (PL-98-012) were three distinct sets of requirements, covering the training course, the training course provider and the training course approval body. That document will be superseded by the publication of these criteria and two other companion criteria documents that deal with the other two aspects covered in PL-98-012. The details of the original criteria document are shown below as a reference.

IATCA-PL-98-012

Issue 2 - Issue Date: January 1999	Application Date: Immediate
Issue 1 – Issue Date: January 1996	Application Date: Immediate
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Enquiries and Availability

Enquiries regarding IATCA documents should be referred in the first instance to a member of IATCA or to the Secretariat. Copies of this document in English are available on the IATCA Website at <www.iatca.com>. Electronic versions of these documents are available to members of IATCA, in Word format, from the Secretariat.

Preface

The following Criteria have been prepared by IATCA for the purposes of providing students intending to be certified as IATCA auditors with a uniform, internationally-recognized, standard of training in auditing management systems.

These Criteria are intended for application by auditor training course approval bodies that intend to become, or are existing, signatories to the IATCA MLA, as a training course approval body. (Note - the term “approval” is used throughout this document as meaning the assessment for conformity of training. Alternative words such as “accreditation” or “registration” that have similar meanings may be substituted.)

These criteria have been developed using the relevant ISO reference standards, taking into account the collective wisdom of the members of IATCA and the requirements of both industry and certification bodies/registrars.

These criteria define part of the requirements that all signatories to the IATCA MLA, as training course approval bodies, undertake to apply in the operation of their training course approval programs. Their effective implementation will be assessed as part of the requirements for entry into, and continuation within, the IATCA MLA, as a training course approval body.

The authority to award IATCA recognition to auditor training course providers (and to the courses they provide) is only available to those training approval bodies that:

- are members of IATCA;
- operate an auditor training course approval program;
- operate their approval program in conformity with acceptable management control processes such as those defined in the relevant ISO/IEC Guides, other similar recognized and accepted international standards, and the IATCA: Bylaws, Memorandum of Understanding, and Multilateral Recognition Agreement;
- have successfully demonstrated by peer evaluation that they satisfy the requirements to become members of the IATCA MLA, as a training course approval body;
- are signatories to the IATCA MLA, as a training course approval body; and
- demonstrate, as required from time to time, continued conformity with the approval Criteria.

Any auditor training course provider approved by a training approval body that is a signatory to the IATCA MLA, as a relevant training course approval body, is authorised to present “Certificates of Successful Completion” of an approved IATCA auditor training course.

These certificates will be recognised by all signatories of the IATCA MLA as evidence of satisfying the relevant formal training requirement for certification as an IATCA auditor.

This recognition will preclude the need for auditor training course providers to seek multiple approvals. However, those auditor training course providers that wish to pursue multiple approvals will still be able to do so, by making separate application to each auditor training course provider approval body.

All IATCA documents are published in English. The authoritative IATCA document is the English version which has the most recent date of issue. The Secretariat will list the most recent version of all relevant IATCA criteria on the IATCA Website at <www.iatca.com>.

These criteria may be used either in the format in which they are issued by IATCA, or they may be translated into the style and format of the approval body implementing them. Approval bodies intending to take such action shall do so in accordance with the IATCA Document Control Procedure, and advise the Secretariat of the action taken.

Information

For further information on IATCA or the IATCA auditor training course criteria, contact your local member of the association, or contact the Secretariat at the following:

IATCA Secretariat
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**CRITERIA FOR THE ASSESSMENT OF TRAINING COURSE PROVIDERS AND
TRAINING COURSES****TABLE OF CONTENTS**

CONTENTS	PAGE
Classification	2
Authorization	2
Enquiries and Availability	2
Preface	3
Information	4
1. GENERAL	6
2. INITIAL ASSESSMENT	6
2.1 Language	6
2.2 Initial Assessment of the Course Provider's Management System and Administrative Procedures	6
2.3 Initial Assessment of the Course Provider's Training Course	7
3. SURVEILLANCE & RE-ASSESSMENT	8
4. SUSPENSION OR CANCELLATION	8
5. APPEALS	8
END OF CRITERIA	8

1. GENERAL

1.1 These criteria are intended for use by auditor training course approval bodies (approval bodies). They establish the requirements for assessing, and maintaining surveillance of, a course provider and any relevant training course. An approval body shall assess a training course provider (course provider) and its relevant training course with respect to the following applicable IATCA criteria:

“Criteria for Training Course Providers”, which defines the general management system requirements that must be effectively implemented by a training course provider; and

“Criteria for Management System Auditor Training Courses”, which defines the course content and structure of the various IATCA courses.

1.2 Approval of course providers has two components; approval of the management system and approval of the course content and structure of each IATCA course offered. The two approvals may occur either independently or together. In order to present an IATCA-recognized course, the course provider shall have both the management system and the course content and structure approved.

1.3 These criteria may be used either in the format in which they are issued by IATCA, or they may be translated into the style and format of the approval body implementing them. Approval bodies intending to take such action shall do so in accordance with the IATCA Document Control Procedure, and advise the Secretariat of the action taken.

2. INITIAL ASSESSMENT

2.1 Language

2.1.1 Communications, documentation and records, or translations of these, shall be in a language acceptable to the approval body.

2.2 Initial Assessment of the Course Provider’s Management System and Administrative Procedures

2.2.1 The approval body shall evaluate for conformity the documented administrative procedures of the course provider as defined in the IATCA criteria document - Criteria for Training Course Providers.

2.2.2 If the approval body determines that the course provider’s documented administrative procedures are acceptable, it shall advise the course provider in writing.

2.2.3 If the approval body determines that corrective action is required, it shall advise the course provider in writing, providing details of those areas that require remedial action.

2.2.4 Following review and final acceptance of the documentation, the approval body shall undertake a full assessment of the course provider’s management system and administration for conformity to the applicable IATCA criteria to determine effective implementation of the course provider’s procedures.

2.2.5 At the end of the visit, the approval body shall inform the course provider of the findings.

2.2.6 In the event that the course provider's management system does not conform with the IATCA requirements and corrective action is required, the approval body shall advise the course provider in writing, providing details of those areas that require remedial action. In instances where major changes are required, the approval body may undertake a further full or partial assessment of the course provider.

2.3 Initial Assessment of the Course Provider's Training Course

2.3.1 The approval body shall evaluate for conformity the training course materials and associated course documentation as defined in the applicable IATCA provision of auditor training course criteria document.

2.3.2 If the approval body determines that the course provider's course materials are acceptable, it shall advise the course provider in writing.

2.3.3 If the approval body determines that corrective action is required, it shall advise the course provider in writing.

2.3.4 After the course provider has made the necessary corrections and has submitted the appropriate documentation, and the approval body has determined that the course materials are acceptable, the approval body shall advise the course provider in writing.

2.3.5 The approval body shall attend at least one presentation of the course and shall evaluate all aspects of the course and all activities of the students and instructors for conformance to the applicable IATCA criteria and for effective implementation of the course provider's procedures.

2.3.6 In a closing meeting at the end of the course the approval body shall inform the course provider of its findings.

2.3.7 If the approval body determines that the course provider's course presentation is acceptable, it shall advise the course provider in writing.

2.3.8 If the approval body determines that corrective action is required, it shall advise the course provider in writing.

2.3.9 When the course provider has made any necessary corrections, and has submitted the appropriate documentation, an additional full or partial evaluation of a course offering may be required.

2.3.10 When the approval body has determined that the course provider's course presentation is acceptable, it shall provide written notification of its approval to the course provider.

3. SURVEILLANCE & RE-ASSESSMENT

3.1 To assess each course provider's continuing conformity to all of the applicable IATCA criteria and the effective implementation of the course provider's procedures, the approval body shall conduct as a minimum:

- a) an annual one-day surveillance of a course offering; and
- b) an annual audit of the course provider's administrative procedures, processes and records, the duration of which shall be appropriate for the size of the course provider's organization and the extent of its operations.

3.2 The approval body may require more frequent or more extensive surveillance or re-assessment.

3.3 Course surveillances and audits of the course provider's administrative processes shall be planned to ensure that different aspects of the course and the course provider's system are regularly reviewed. Course presentation surveillances shall, where relevant, involve reviewing different instructors. Over a three-year period all elements of the course provider's system shall be covered in the program of surveillance or re-assessment and the effectiveness of the system verified.

Alternative methods of evaluating acceptability, such as acceptance of audit reports from an accredited registration/certification body, may be used for this purpose.

4. SUSPENSION OR CANCELLATION

4.1 The approval body may suspend or cancel an approval for any of, but not limited to, the following:

- a) non-payment of fees;
- b) nonconformity that may result in serious or sustained failure of the course provider to meet the requirements of IATCA or of the approval body;
- c) at the course provider's request.

5. APPEALS

5.1 Any appeal against an approval body decision shall be made in writing to that body. All appeals shall be processed in accordance with the approval body's procedures.

END OF CRITERIA