



**CRITERIA FOR  
TRAINING COURSE PROVIDERS**

**ISSUE 1**

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## CRITERIA FOR TRAINING COURSE PROVIDERS

### 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 That document will be superseded by the publication of these criteria and two other companion criteria documents that deal with the other two aspects covered in PL-98-012.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**

|                                    |                             |
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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](http://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 TRAINING COURSE PROVIDERS

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## **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) for compliance against these criteria, and shall assess its relevant training course for compliance with the relevant IATCA criteria document “Criteria for Quality Management System (or Environmental Management System) Auditor Training Courses”.

1.2 Approval of a course provider has two components; approval of the management system and approval of the course content and structure of each 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 This criteria document is intended for use with the following IATCA criteria document:

“Criteria for the Assessment of Training Course Providers and the Training Courses”, which defines the process used by the approval body in conducting the assessment for approval; and

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

## **2. MANAGEMENT SYSTEM**

### **2.1 Quality Management System (QMS)**

2.1.1 The course provider’s QMS shall meet the requirements of ISO 9001:2000, or ISO 9001/2:1994 as appropriate.

### **2.2 Administrative Procedures**

2.2.1 The course provider shall develop and maintain documented procedures for the effective administration of the course. Areas covered shall include:

- a) the design, development and evaluation of course materials and documentation to ensure conformity with the current IATCA and approval body criteria;
- b) the presentation of the course;
- c) the verification of prerequisite knowledge of students where this is required;
- d) the control of courses presented through affiliate or franchise organisations and courses presented overseas and in other languages to ensure conformity with the IATCA and approval body criteria;
- e) the control of course publicity and advertising;

- f) a document control system for maintaining the currency of procedures and course notes;
- g) the selection of, and ongoing training programs for instructors, including witnessing and evaluation annually;
- h) management reviews;
- i) records of individual students and each course offering, including analysis of statistics;
- j) student evaluation procedure, including pass/fail criteria;
- k) operation and conduct of the examination and re-examination, including security and confidentiality of examination questions and answers and marked papers;
- l) issue and withdrawal of certificates;
- m) storage and eventual disposal of marked papers and continual evaluation records;
- n) methods, such as statistical techniques, used to measure student evaluations, instructor performance and overall course performance;
- o) submission of significant changes to the course(s) to the approval body for review and acceptance before implementation; and
- p) complaints and appeals.

## **2.3 Records**

2.3.1 The course provider shall maintain records that demonstrate conformity to the requirements of these IATCA criteria.

2.3.2 Records, or translations of the records, shall be maintained in a language acceptable to the approval body.

2.3.3 Records may be in the form of any medium (hard copy, electronic, etc.) acceptable to the approval body.

2.3.4 The records for pass/fail decisions and for course certificates shall be maintained for at least three years. All remaining records shall be maintained for at least eighteen months unless otherwise specified.

2.3.5 These records shall be made available to the approval body.

2.3.6 The records for each course presentation shall include (as applicable):

- a) venue, dates, related advertisement and promotional literature;
- b) names of: instruction team members (including substitutions), together with their auditor certification status at the time of that course presentation; trainee instructors; observers;
- c) identification of the specific issue of the course documentation used;
- d) identification of the examination paper used;

- e) names of all students who attended the course, together with the continual evaluation results and the examination results for each student;
- f) all copies of marked examination papers and continual evaluation forms;
- g) the percentage of students that successfully completed the course;
- h) name of each student that took a re-examination, together with the re-examination result for each;
- i) unique identification number of each certificate of successful completion and the name of the delegate to whom it was issued.

## **2.4 Management Review**

2.4.1 The management of the course provider shall review, at a minimum, the following at least annually for effectiveness and conformity to IATCA and approval body requirements:

- a) actions outstanding from previous management review meetings;
- b) actions resulting from surveillance by the approval body;
- c) administrative procedures;
- d) course design;
- e) course presentation;
- f) performance of instructors and future training/CPD needs;
- g) complaints and appeals;
- h) analysis of student feedback and pass/fail rates.

2.4.2 Records of reviews shall be retained for at least three years.

## **2.5 Instruction Team**

2.5.1 All instructors shall have the following competencies:

- a) be thoroughly experienced in the principles and practices of auditing management systems relevant to the content of the course(s) they instruct;
- b) ability to facilitate the learning of appropriate auditing knowledge, and the development of auditing skills;
- c) ability to teach, and familiarity with the current course materials and documentation;
- d) knowledge of current auditing practices and of relevant standards.

2.5.2 Before allowing instructors to present a course, training providers shall first ensure he/she has acquired the competencies as defined in 2.5.1. As a minimum this shall involve the instructor:

- a) participating either as a delegate or observer on a complete presentation of the training organization's course;
- b) participating as an instructor under the supervision of a trained instructor, for a minimum of one course;
- c) being monitored by the training provider presenting and managing the course.

2.5.3 One instructor for each course offering shall be certified as an IATCA Senior Auditor (or alternative equivalent acceptable to the approval body) or shall have acquired auditing competencies through practical experience in leading teams of auditors on complete, relevant, management system audits.

2.5.4 Each course offering should be taught by (an) instructor(s) in the language of the students. However, if interpreters must be used, they shall be capable of providing effective interpretations.

2.5.5 An interpreter shall be provided for each instructor who does not speak the language of the students.

2.5.6 At least one instructor should have current auditing experience in the country and culture in which the course is conducted. If at least one instructor does not have such experience, another person who has current knowledge of local requirements, culture and practices shall be included on the instruction team to provide information and advice to the instructors. This adviser shall be present for parts of the course where local knowledge is relevant.

2.5.7 The course provider shall have documented procedures that ensure that all instructors meet the course provider's competence requirements and maintain satisfactory performance. These procedures shall include review, at least annually, of each instructor's performance. Records of these reviews shall be maintained by the course provider.

2.5.8 Where there has been no previous presentations of a course (i.e., where the course provider is seeking initial approval), the course provider shall have documented evidence of fulfilment of the competence requirements of the instructors before the initial presentation.

## **2.6 Certificates**

2.6.1 A certificate of "Successful Completion" shall be provided to each student who has passed both the written examination (where applicable) and the continual evaluation. The certificate shall:

- a) clearly state that the course is recognized by the approval body;
- b) include the identification mark (if any) of the approval body, and the IATCA mark. (See IATCA "Rules Governing the Use of the IATCA Logo".);
- c) include a unique identification number for each certificate;
- d) clearly show the name of the course provider, as it is registered with the approval body;

- e) identify the course by: course title, course number (if any) and dates of presentation of the course;
- f) include the name of the student, in the same form that the student would use to apply for certification in an auditor certification program;
- g) state that the student named has successfully completed the course;
- h) include all information on a single side of the certificate.

2.6.2 The wording of any certificates of "Attendance" shall make it clearly apparent that the student has only attended the course. There shall be no implication of successful completion. The IATCA mark shall not be included on such certificates.

2.6.3 Students shall be informed by the course provider that certificates of "Attendance" will not be accepted by auditor certification bodies.

2.6.5 The design and content of the certificate of "Successful Completion" and the certificate of "Attendance", and any changes thereto, shall be approved by the approval body.

## **2.7 Complaints and Appeals**

2.7.1 The course provider shall have documented procedures for managing complaints and appeals against its decisions, including provision for corrective and/or preventive action resulting from root cause analysis to be taken if required as a result of any complaint or appeal. The procedures shall include the potential for involvement of the approval body in unresolved complaints or appeals.

2.7.2 The course provider shall inform all students of the right to make a complaint or an appeal and shall provide written details of the process for doing so, on request.

2.7.3 The course provider shall notify each complainant or appellant in writing of the result of the complaint or appeal and of the right to appeal against the result to the approval body.

2.7.4 The course provider shall maintain records of all complaints and appeals, and of their resolution.

## **2.8 Franchising, Licensing or Subcontracting of Courses**

2.8.1 Course providers shall notify the approval body in writing of the identity of any organisations to whom it intends to franchise, license or subcontract an approved course.

2.8.2 If a course provider permits its approved course to be administered and/or presented by a subcontractor such as a franchisee, licensee or individual, the course provider shall ensure that such subcontractors continually conform with all requirements of the course provider and of the approval body.

2.8.3 Any advertising or other promotional materials shall clearly state the relationship between the organisation administering or presenting the course and the approved course provider.

2.8.4 As part of its initial and ongoing assessments of a course provider the approval body may conduct assessments of organisations administering or presenting courses on behalf of an approved course provider.

2.8.5 If a course provider permits the use of its course material without maintaining control of its administration and presentation, the course provider shall ensure that the organization using its materials neither states nor implies that the course is an approved IATCA course.

## **2.9 Confidentiality**

2.9.1 The course provider shall have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of all information provided by students, including the results of examinations. These arrangements shall be extended to include organizations or individuals acting on its behalf, and representatives of the course provider.

2.9.2 Except as required in these criteria, information about a student shall not be disclosed to a third party without the written consent of the student; nor shall information about a student's sponsor be disclosed without written consent of the sponsor.

## **2.10 Changes**

2.10.1 The course provider shall ensure that any major changes it intends to make to the training course are first approved by the approval body. Depending on the nature of the changes, the approval body may require re-approval of the course materials and/or the course provider's administrative system.

2.10.2 Following a decision on, and publication of changes, the course provider shall verify that each of its course instructors and each of its affiliate or franchise organisations carries out any necessary adjustments to the course and materials within a reasonable time (e.g., 30 days).

2.10.3 The course provider shall notify the approval body of any change of address or any significant changes in organization structure or provision of services.

## **END OF CRITERIA**