



**CRITERIA FOR
QMS (ISO 9000:2000 Series)
AUDITOR TRAINING COURSES**

ISSUE 1 REVISION 1

Document No: IATCA-PL-01-013(1)

Issue Date: 20 January 2002

Application Date: Immediate

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CRITERIA FOR QUALITY MANAGEMENT SYSTEM (ISO 9000:2000) AUDITOR 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 that complies with all the requirements of the IATCA Criteria that are relevant.

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

Authorization

Revision 1	Date: 20 January 2002
Issue No 1	Application Date: 16 November 2001
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 That document will be superseded by the publication of these criteria and two other companion criteria documents that deal with the other two aspects covered in PL-98-012.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.

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Transitional Arrangements

These criteria, PL-01-013(1) Criteria for QMS (ISO 9000:000) Auditor Training Courses Issue 1 Revision 1, have been prepared to reflect the requirements of ISO 9001:2000, and have been issued with an effective date of 16 November 2001. They supersede the relevant sections of PL-98-012 Criteria for Approval of Quality Management System Auditor Training Courses Issue 2, which was written to reflect the requirements of the 1994 version of ISO 9001, 9002 and 9003. The transitional arrangements have been prepared to take account of the time to implement such a change throughout the market, and also to reflect the agreement between IAF, ISO/CASCO, and ISO/TC 176, which sets 14 December 2003 as the last date that certifications/registrations will be valid against the 1994 version of the ISO 9000 series of standards. Consequently, IATCA has set the transitional period for the introduction of these new criteria as 16 November 2001 to 14 December 2003.

IATCA requires all training course approval body members of the MLA to have implemented these new criteria (PL-01-013(1)) by 14 December 2003. Members may implement these new criteria immediately if they choose.

Applicants to join the IATCA MLA as training course approval bodies during the transitional period have the option of implementing these new criteria or implementing the existing criteria, PL-98-012 Issue 2.

Existing QMS training course approval body members of the IATCA MLA have the option of implementing the new criteria at any time during the transitional period. From the date of implementing the new criteria until the 14 December 2003, existing training course approval body members of the IATCA MLA may recognise training courses that have been approved against both the old criteria (PL-98-012) and the new criteria.

PL-98-012 Criteria for Approval of Quality Management System Courses Issue 2, will cease to be applicable as from 14 December 2003. All IATCA approved QMS auditor training course providers shall be required to demonstrate implementation of these new criteria at the next scheduled surveillance visit after 14 December 2003.

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 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 QUALITY MANAGEMENT SYSTEM (ISO 9000:2000)
AUDITOR TRAINING COURSE**

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1. GENERAL

1.1 These criteria are intended for use by auditor training approval bodies (approval bodies) and auditor training course providers (course providers). They establish the requirements for course content and structure of the QMS ISO 9000:2000 Series auditor training course. An approval body shall assess a training course for compliance against these criteria, and shall assess the respective training course provider (course provider) for compliance with the IATCA criteria document "Criteria for Training Course Providers".

1.2 Approval of course providers have 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 management system and the course content and structure approved.

1.3 This criteria document is intended for use with the following IATCA criteria documents:

"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 Training Course Providers", which defines the requirements for the management system of a course provider.

2. INTRODUCTION

2.1 An IATCA-conforming ISO 9000:2000 Series auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing quality management systems and of audit team management, as described in ISO 19011. For the purposes of these Criteria, where ISO 19011 is referenced it is required that ISO 10011 is to be used until the FDIS of ISO 19011 is published, at which time the use of ISO 10011 shall be discontinued.

2.2 The primary focus of the training course shall be on training students to audit quality management systems based on the ISO 9001:2000 standard, or recognized national and international equivalents.

2.3 The training course provider shall:

- a) present the body of knowledge of QMS auditing in such a way that students are able to identify and understand good auditing practice; and
- b) encourage students to analyse critically their own performance as a means for developing effective auditor skills.

3. LEARNING OBJECTIVES

3.1 A student who successfully completes the course shall be able to demonstrate that the learning objectives outlined in the section have been met.

3.2 General

3.2.1 A student who successfully completes the course shall be able to describe the purpose of a quality management system and its role in helping an organization to operate with increased effectiveness, consistency and customer satisfaction.

3.3 Standards

3.3.1 A student who successfully completes the course shall be able to:

- a) explain the purpose and intent of the ISO 9000:2000 series of standards, how they relate to each other, the concept of the “consistent pair” of standards as applied to ISO 9001:2000 and ISO 9004:2000 and the terminology used in ISO 9000:2000;
- b) describe the continuing process of development of the ISO 9000 Series and ISO 19011, the impact that these developments may have on the audit process, and the need for auditors to keep up to date;
- c) describe the eight Quality Management Principles and how they relate to ISO 9001:2000;
- d) explain the intent and requirement of each clause of ISO 9001:2000;
- e) describe the documentation required by ISO 9001:2000 and the interrelationships between the quality manual, procedures, quality planning, policy and objectives;
- f) identify the audit evidence needed to demonstrate conformity to the requirements of ISO 9001:2000;
- g) evaluate the effectiveness of an entire quality management system, including process, customer focus and continual improvement;
- h) evaluate the differing requirements for documentation in a variety of situations and understand the difference between documents and records;
- i) describe the difference between legal compliance and conformity with ISO standards, and the significance of these terms when conducting audits;
- j) describe how the product realization processes and supporting activities can be evaluated effectively in order to verify the degree of conformity and effectiveness of those activities; and
- k) explain the concept of process-based activities and associated inputs, outputs, controls and resources.

3.4 Audit Process and Responsibilities

3.4.1 A student who successfully completes the course shall be able to:

- a) describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies, and IATCA;
- b) describe the process of certification / registration of an organization's QMS;
- c) describe the requirements of the current revision of ISO 19011 (as appropriate) as applicable to the audit process;
- d) describe the function of first, second and third party audits, the similarities and differences, and the varying roles and responsibilities of the auditor, the auditee and the client of the audit in each of these activities;
- e) explain the need for confidentiality during all phases of the audit process;
- f) explain the need for auditors to be sensitive to local customs and to obey any rules and regulations of auditees, especially where issues of health and safety are involved;
- g) describe and undertake the roles and responsibilities of an auditor and of an audit team leader during the audit process;
- h) understand the IATCA certification criteria for QMS auditors, national and/or other auditor certification programs, and the international recognition of IATCA certifications; and
- i) understand the IATCA Auditors' Code of Conduct.

3.5 Planning the Audit

3.5.1 A student who successfully completes the course shall be able to:

- a) plan and organize all aspects of an audit, including document reviews, in accordance with ISO 19011;
- b) explain the importance of scope in relation to:
 - (i) the accreditation scope of certification bodies/registrars;
 - (ii) the structure and content of the auditee's QMS, including the concept of application requirements (exclusions), an audit plan, and the selection of audit team members;
- c) explain the purpose of pre-audit visits and how to evaluate the need for such visits;
- d) determine the pre-audit information required to effectively plan the duration and the resources required to conduct an audit;
- e) produce checklists based on process analysis, the QMS being audited and the relevant requirements from ISO 9001:2000 for use during an audit;
- f) describe the benefits and risks of the use of checklists during audits.

3.6 Performing the Audit

3.6.1 A student who successfully completes the course shall be able to:

- a) perform all aspects of a process audit in accordance with ISO 19011;
- b) manage audit opening and closing meetings and understand the purpose of holding interim meetings with the auditee during the audit in accordance with ISO 19011;
- c) demonstrate effective interpersonal skills and interview techniques including an ability to listen and question;
- d) take sufficient notes during the process to provide audit evidence of system conformity as well as nonconformity with the audit criteria;
- e) explain the risks and benefits of sampling during audits; and
- f) collect and analyze evidence during the audit, relate specific audit evidence to the appropriate requirements of the standard and the QMS, and objectively review the evidence collected.

3.7 Reporting and Following Up the Audit

3.7.1 A student who successfully completes the course shall be able to:

- a) summarize, record and present the results of an audit and demonstrate the ability to produce clear and concise reports based on the audit evidence obtained;
- b) evaluate evidence collected during the audit and prepare reports of conformity and nonconformity to the audit criteria;
- c) evaluate the significance of nonconformities recorded during the audit and grade them in accordance with the definitions in the audit program (for example: major, minor, observation etc.) (Note: for the purposes of evaluating student competency, the definitions taught during the training program shall be used);
- d) evaluate proposals for corrective and preventive actions prepared by the auditee in response to nonconformities recorded during an audit; evaluate the implementation and effectiveness of corrective actions taken, evaluate the implementation and effectiveness of preventive actions taken; and differentiate between corrective and preventive action;
- e) make recommendations on the acceptability of a management system for certification / registration based on audit evidence obtained during the audit;
- f) describe the roles and responsibilities of the auditor and the auditee at all stages of the corrective action process; and
- g) explain the purpose of ongoing surveillance audits.

3.8 The training course provider shall develop more detailed learning objectives, as appropriate.

3.9 The students' achievement of the learning objectives shall be measured by the training organization.

4. COURSE CONTENT

4.1 Early in the course presentation the course provider shall provide to the students a description of the course format, student responsibilities, how the student will be evaluated, and the basis for each type of evaluation.

4.2 The course shall cover:

- a) all aspects defined under Learning Objectives; and
- b) local requirements, culture, practices or approaches to auditing and the application of ISO 9001:2000, as appropriate.

5. COURSE STRUCTURE, TRAINING METHODS AND FACILITIES

5.1 Duration

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

5.1.2 If authorized by the approval body, a course provider may offer a course with a minimum course time of 36 hours.

5.1.2.1 Students attending a 36 hour course must demonstrate appropriate prior knowledge of the following:

- a) the specific requirements of the current revision of ISO 9001:2000;
- b) comparison of ISO 9001:2000 to the other members of the ISO 9000 series; and
- c) definition of terms used in ISO 9000:2000 and in ISO 9001:2000 (e.g.: customer, organization, supplier.).

5.1.2.2 The course provider shall have a process acceptable to the approval body to verify that students have the necessary prerequisite knowledge, which shall include achievement of the learning objectives from section 3 above: 3.2.1; 3.3.1a); 3.3.1b); 3.3.1c); 3.3.1d); and 3.3.1e). Evidence of successful completion of a prerequisite training course covering the learning objectives listed in this clause and authorized by the approval body would satisfy this requirement.

5.1.2.3 The date of successful completion of the prerequisite training course, or the date of other demonstration of the necessary prerequisite knowledge, must be within one year prior to commencement of the 36-hour course.

5.1.2.4 Training courses with a duration of 36 hours may omit from the course materials the following learning objectives from section 3 above: 3.2.1; 3.3.1a); 3.3.1b); 3.3.1c); 3.3.1d); and 3.3.1e). Other learning objectives shall NOT be omitted from a course.

5.1.3 If the course is given through interpreters, the time shall be increased as required to meet the learning objectives.

5.1.4 Time devoted to the examination and to meals, breaks or other free time is not included in the calculation of the course duration.

5.1.5 The course shall be presented during five consecutive days, unless otherwise authorized by the approval body.

5.2 Training Methods

5.2.1 Training courses shall be designed to have a high degree of interaction between students and instructors. Training methods shall seek to involve and engage students throughout the duration of the course.

5.2.2 The training course shall include both knowledge-based sessions (to facilitate understanding of concepts) and skill-based sessions (application of knowledge and skills in practical activities) and each student shall be subjected to realistic quality system audit practices and conditions.

5.2.3 Knowledge-based sessions may be instructor led, but shall allow for some interaction with students, enabling instructors to test learning and students to clarify their understanding, as required.

5.2.4 Skills-based sessions may be supported by instructor input to address the relevant requirements and techniques such as for managing meetings and interviews.

5.2.5 Methods for validating student achievement of the learning objectives and for providing timely feedback shall be included in the course.

5.2.6 Each student shall be required to participate in practical skills-based activities: workshops, case studies, auditor role playing or actual quality system audit situations. At least 50% of course time shall be used for such activities.

5.2.7 When students participate in actual QMS audit situations, two-thirds of the time spent conducting such QMS audits shall count towards the total course time. Transit time to and from the audit site and any delay time is not to be counted.

5.2.8 Instructors shall demonstrate effective management of the course, including attention to time schedule, course content, requirements of the standard, instructor conduct, and other course requirements.

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

5.3 Class Size; Attendance

5.3.1 The number of students in a class shall be no greater than twenty, nor fewer than four.

5.3.2 Under rare and exceptional circumstances, a course offering for fewer than four students or more than twenty students may be considered for approval in accordance with section 7.

5.3.3 Students shall be required to be in attendance for the full duration of the course.

5.4 Number of Instructors

5.4.1 Each course offering for eleven or more students shall be presented by two instructors, who shall be actively involved in either instruction or evaluation for the full duration of the course. Additional resource people or trainee instructors may be used for specific subjects or activities; however, the two instructors remain responsible for the entire course offering.

5.4.2 When the number of students is four to ten, the course may be presented by one instructor.

5.4.3 When specific activities (e.g.; written quizzes) involve neither instruction nor evaluation, and do not require the availability of the instructors for explanation, clarification or advice, only one instructor needs to be present.

5.5 Course Materials

5.5.1 Each student shall be provided with a complete set of course notes to supplement the training program.

5.5.2 The documents included in the course notes shall themselves illustrate good organization, layout and document management practices, including document revision level and appropriate page numbering.

5.5.3 The set of course notes shall prominently identify the approved course provider (e.g., cover page).

5.5.4 The student notes shall cover each session and shall include all important points of the learning objective(s) being covered.

5.5.5 Examples of typical documents, reports and forms shall be included.

5.5.6 Course notes may include typical examination questions, provided they are not used in any of the examinations, either during the course or following the course.

5.5.7 Each student shall have a copy of the current published version of ISO 9001:2000. If the standard is not supplied as part of the course notes, each student shall be required to take a copy to the course. A copy shall be made available for loan to any student who does not have one.

5.6 Facilities

5.6.1 The course provider shall ensure that suitable facilities for training are provided, including classroom, audio-visual and other training equipment, and facilities for team activities.

5.6.2 The course provider shall encourage students to be resident at or near the location of the course offering, since this enhances participation in team activities and student contact with the instructors outside the structured class setting.

6. EVALUATION OF STUDENTS

6.1 Each student shall be evaluated using the following two independent elements, both of which shall be satisfied if the student is to successfully complete the course:

- a) the continual evaluation by the instructors of each student's achievement of the Learning Objectives detailed in section 3 above; and
- b) a written examination that tests students' ability to apply audit principles and practices against the requirements of ISO 9001:2000.

6.2 Continual Evaluation

6.2.1 The continual evaluation shall be documented and shall evaluate each student's :

- a) achievement of the learning objectives to include, but need not be limited to the following learning objectives: 3.3.1f); 3.5.1a); 3.6.1a); 3.6.1c); 3.7.1a); and
- b) attendance and punctuality during the course.

6.2.2 Each student's performance shall be reviewed at the end of each day by the instructor(s). A daily grade shall be assigned for each student, reflecting the assessment of both instructors.

6.2.3 Course instructors shall identify students who appear to be having difficulty in achieving the learning objectives or who are not performing adequately in course activities. Such students shall be informed privately and in a timely manner of the instructor's observations and be given the opportunity to improve.

6.2.4 A student who fails the continual evaluation must satisfactorily complete another full training course before being eligible to receive a certificate of successful completion.

6.3 Written Examination

NB: These arrangements apply prior to the introduction of the IATCA central exam. The central exam will be issued with a detailed procedure, which will supercede these arrangements and shall be attached as Appendix A to this document.

6.3.1 The written examination shall evaluate the students' comprehension of the audit process and the application of ISO 9001:2000, and their ability to provide written justification of their evaluations.

6.3.2 The examination shall be designed so that a competent student (i.e. one who has demonstrated achievement of the learning objectives) could achieve a minimum mark of 70% in two hours.

6.3.3 The time allotted for taking the examination shall be two hours. Strict adherence to the time limit shall be maintained.

6.3.4 The instructor(s) or proctor(s) may allow a student whose primary language is not the language in which the course is conducted up to 30 minutes additional time for taking the written examination. The student may use an appropriate two language dictionary. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.

6.3.5 The instructor(s) or proctor(s) may allow a student with a particular disability that adversely affects the student's capability to complete the examination in the allotted time up to 30 minutes additional time for taking the written examination. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.

6.3.6 At least 75% of the examination grade shall be based on questions that require written responses which test the student's ability to analyze audit scenarios and understanding of how to apply the ISO 9001:2000 standard during an audit.

6.3.7 The remainder of the examination grade shall be based on multiple choice, true/false or short answer questions.

6.3.8 The minimum passing grade shall be 70%.

6.3.9 The only reference material allowed during the examination is a copy of the ISO 9001:2000 standard, the course notes provided by the course provider and any personal notes made by the student during the course.

6.3.10 The approval body may, at its discretion, specify that the examination be administered:

- a) by the course provider, or by another designated authority;
- b) at the conclusion of the training course, or at some later time, but no later than six months after the conclusion of the training course.

6.3.11 Copies of examination questions (other than those in an example examination paper), examination papers, solutions or completed examination papers shall not be supplied to any student or any other party (except to the approval body) for any reason.

6.3.12 Training course providers shall, where possible, ensure that the instructor(s) for any given course presentation, and/or any designated authority (see 6.3.10a) above) are not aware of the examination paper to be used for that presentation.

6.4 Grading: Pass/Fail Decisions

6.4.1 Each examination paper shall be graded by one of the instructors. Another instructor shall check the addition of the score allocated in each section and re-grade all examination papers with scores between 60 and 75 percent.

6.4.2 The course provider shall have procedures to resolve any differences in grading and issue final grades.

6.4.3 If the course is given through interpreters, the translators who translate the students' written examination answers shall be selected by the course provider in such a way that the course provider is confident that they provide impartial, knowledgeable and accurate translations.

6.5 Re-examination

6.5.1 A student who fails the written examination, but has passed the continual evaluation, shall be allowed one re-examination within twelve months of the last day of the course.

6.5.2 The re-examination shall normally be conducted by the same course provider that conducted the (failed) examination.

6.5.3 If the approval body gives its approval, a different body may conduct the re-examination. This should be submitted to the approval body as a variation request which shall only be granted where the approval body is confident that the examination will be administered according to the requirements in section 6.3 above.

6.5.4 A different examination paper shall be used for the re-examination.

6.5.5 The re-examination shall be taken in the presence of an approved proctor as described in the course provider's procedures.

6.5.6 A student who fails the re-examination must take a full training course again before being eligible to take another examination.

7. VARIATIONS

7.1 Variations to any of these criteria shall be considered for approval upon written submission by the course provider to approval body. Any such request shall be made immediately upon the reason for the variation request becoming known. The approval body shall respond in writing. Should the variation sought be a substantial change to the intent of these criteria, the approval body shall seek the approval of the IATCA Secretariat before agreeing to it.

7.2 When evaluating a request for variance the approval body shall take into account the course provider's:

- a) reasons for the requested variance;
- b) rationale for the requested variance;
- c) modified training plan and/or revised course outline; and
- d) assessment of impact on the learning process.

7.3 A training course can be approved as an IATCA training course if additional material is included in the course, providing:

- a) the additional material that was included was presented during additional course time; and
- b) the course to be presented covers all of the requirements as stated in the relevant IATCA training course criteria documents.

END OF CRITERIA.