



IRCA

INTERNATIONAL
REGISTER OF
CERTIFICATED
AUDITORS



Certification criteria for
OH&S Management Systems
Auditor/Lead Auditor Training Course

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1. INTRODUCTION

- 1.1 We, the International Register of Certificated Auditors (IRCA) have developed this document to help you, the Training Organization, achieve certification of an IRCA/2020 **Occupational Health & Safety (OH&S) Management Systems Auditor/Lead Auditor** training course.
- 1.2 Before designing an OH&S MS *Auditor/Lead Auditor* training course to meet the requirements of this document you should consider the following:
- 1.2.1 **The IRCA Occupational Health & Safety (OH&S) Management Systems Auditor program (IRCA/502).** To be effective, the assessment of an organization's conformance with OH&S requirements and specifications requires auditors who understand OH&S risks and are properly competent in systems audit. The purpose of our *OH&S Auditor* program is to provide confidence to organizations, regulatory authorities, accreditation bodies, certification bodies, business, and to stakeholders at large, that auditors certified to this program are competent.
- 1.2.2 **Aim of this training course.** The aim of the *OH&S MS Auditor/Lead Auditor* course is to provide students with the knowledge and skills to perform, first, second and third party audits of OH&S management systems to the current OHSAS 18001 standard in accordance with ISO 19011 Guidelines for Management System Auditing.
- 1.2.3 **Auditor certification.** Students who successfully complete this *OH&S MS Systems Auditor/Lead Auditor* training course certified by IRCA (within the three years prior to making an application to become a certificated provisional auditor) will satisfy the training requirements for initial certification as an IRCA *OH&S Provisional Auditor (IRCA/502)*.
- 1.2.4 **Prior knowledge:** We recommend that students have a basic knowledge of OH&S issues and the requirements of the current version of (BS) OHSAS 18001 before they start this course. Students that are not familiar with the purpose and intent of the OHSAS 18001 current standard should attend IRCA2121 Foundation Training before attending this course. Before accepting students for this course you must also notify them of this recommendation in writing and inform them that prospective students who are existing qualified auditors in other fields (QMS, EMS, FSMS etc.) may find the 3-day IRCA/2010 *OH&S MS Auditor Conversion* training course more appropriate.
- 1.2.5 **Flexibility in course design:** These criteria specify the requirements for training courses including the knowledge and skills to be covered during the course. Your training course must be designed and delivered in accordance with these criteria, although you may exercise flexibility in the inclusion of additional material, and in the structure and selection of specific training methods used during the course.
- 1.2.6 **Training methods.** This course may be designed to be presented in a variety of ways:
- Classroom-based over 5 days full-time (i.e. over five consecutive working days).
 - Classroom-based as a series of part-time modules over a longer period.
 - Blended as a combination of self-study (i.e. e-learning course, correspondence course etc) and classroom-based learning.

1.2.7 **Training vs Assessment.** There must be two distinct aspects to courses based on these criteria:

- a. Effective training to help students develop the knowledge and skills defined in this document.
- b. Effective assessment of each individual student's achievement of the learning objectives through objective testing based on defined outputs.

1.3 Many of the certification requirements common to all courses are detailed in IRCA/2000; Approval Requirements for Organizations Providing Certified Auditor Training. These general course requirements are in addition to the requirements of IRCA/2020 and are mandatory. It is essential, therefore, that you are familiar with the requirements of IRCA/2000.

2 LEARNING OBJECTIVES

2.1 Learning Objectives describe in outline what successful students will know and be able to do by the end of the course. By the end of the course students will be able to:

Knowledge:

- 2.1.1 Describe the purpose of an OH&S management system with reference to the Plan, Do, Check, Act (PDCA model), including the principles, processes and techniques used for Occupational Safety, the assessment of risk and the significance of these in OH&S management systems (see 3.1).
- 2.1.2 Explain the scope of OH&S management system standards and, where applicable, other criteria (e.g. OH&S legislation, regulation) against which an OH&S audit could be performed, including the requirements of (BS) OHSAS 18001 (or equivalent) (see 3.2).
- 2.1.3 Explain the role of an auditor to plan, conduct, report and follow up an OH&S management system audit in accordance with ISO 19011 (see 3.3).

Skills:

- 2.1.4 Plan, conduct, report and follow up an OH&S management system audit in accordance with ISO 19011 and by interpreting the requirements of (BS) OHSAS 18001 (or equivalent) (see 3.4).

3. ENABLING OBJECTIVES - KNOWLEDGE & SKILLS

In order for students to achieve the overall learning objectives, they will need to acquire and develop specific **knowledge** and **skills**. These are specified below and can be considered as steps to the achievement of the learning objectives.

By the end of the course students shall be able to:

3.1 **Describe the purpose of an OH&S management system, including the principles, processes and techniques used for the assessment of risk and the significance of these in OH&S management systems.**

Knowledge:

3.1.1 Explain the purpose and benefits of an OH&S management system.

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3.1.2 Explain the elements essential for the operation and documentation of an OH&S management system, including:

- a. Initial status review and its role in the development of the organization's OH&S management system.
- b. The different risk assessment tools and techniques available to organizations.
- c. OH&S management system planning techniques, including the establishment of OH&S policy and objectives.
- d. OH&S policies with respect to the health, safety and welfare obligations to employees, customers, suppliers, contractors and the public.
- e. The responsibility and accountability for OH&S within the organizational structure.
- f. Methods for the identification of appropriate national/local OH&S legislation, regulation and the procedures for ensuring full implementation and compliance.
- g. Methods for establishing appropriate controls based on the assessment of acceptable risk generated by the organization's operations.
- h. Methods for the development and implementation of emergency response and preparedness plans.
- i. Tools and techniques for measuring the performance of the OH&S management system, including audit and incident investigation.
- j. Auditing the OH&S management system and the verification of its on-site implementation.
- k. Periodic status review/management review of the effectiveness of the OH&S management system.
- l. Continuous improvement of the OH&S management system, based on the PDCA (Plan, Do, Check, Act) model.

- 3.2. **Explain the scope of OH&S management system standards and, where applicable, other criteria (e.g. OH&S legislation) against which an OH&S audit could be performed, including the requirements of (BS) OHSAS 18001.**

Knowledge:

- 3.2.1 Describe the philosophy supporting OH&S management system standards (i.e. the effective implementation and continual improvement of OH&S management systems, and the anticipation and prevention of circumstances that may result in occupational incidents, injury or ill health), and briefly describe the development of current OH&S legislation, regulation based on the principles of risk assessment and self-regulation.
- 3.2.2 Explain the purpose, structure and content of (BS) OHSAS 18001 (or international, national or other equivalents), and existing international, national and commercial OH&S management system standards, , including OHSAS 18002 Guidelines for Implementation.
- 3.2.3 Draw links between the statutory and regulatory requirements for OH&S management systems and how to audit for conformance and compliance against these requirements, including the local legislative framework where a course is delivered (as appropriate) together with any internationally accepted legislation, protocols, conventions and codes of practice.
- 3.2.4 Explain the similarities and differences between the OH&S management system standards and the international and national standards for quality and environmental management systems, and explain the rationale supporting the integration of OH&S requirements into other management systems with reference to PAS 99 Integrated Management Systems.
- 3.2.5 Explain any local OH&S requirements.
- 3.3 **Explain the role of an auditor to plan, conduct, report and follow up an OH&S management system audit in accordance with ISO 19011 and by interpreting the requirements of the OHSAS 18001 standard.**

Knowledge:

- 3.3.1 **Accredited management systems certification and auditor certification:**
- a. Explain the terms certification/registration and accreditation, describe the certification/registration and accreditation processes, and the purpose and benefits of a certified/registered OH&S management system.
 - b. Explain the role of the IRCA auditor certification schemes, auditor training, and the requirements for individual certification to IRCA/502, including Continuing Professional Development. Reference should be made to the IRCA website (www.irca.org) where all current material is available.
- 3.3.2 **Audit process:**
- a. Describe the differences in purpose and conduct between 1st, 2nd and 3rd party audits.

- b. Recognize the different types of OH&S audits and assessments, including technical, functional and management system audits, and their specific applications and relevant terminology.
- c. Referring to ISO 19011, outline typical audit activities, from initiating the audit to conducting audit follow up, including the 2-stage approach.

3.3.3 Auditor responsibilities:

- a. Describe the roles and responsibilities of auditors, lead auditors, team leaders, technical specialists, auditees and guides, in the context of OH&S management systems audits, and in accordance with ISO 19011.
- b. Explain the management responsibilities of the team leader in managing the audit and the audit team.
- c. Explain the need for effective communication with the auditee and audit team throughout the audit process.
- d. Explain the need for auditor confidentiality and describe the content and intent of the IRCA code of conduct as described in IRCA/502 Appendix III.

3.3.4 Audit planning:

- a. Describe typical forms of pre-audit contact and their purpose, including when they might be appropriate.
- b. Explain the purpose and significance of the audit scope.
- c. State the purpose of a document review/stage one audit and describe a typical document review process and outputs.
- d. Explain the use, benefits and potential limitations of checklists, and where appropriate, alternatives to checklists.

3.3.5 Conducting an audit:

- a. Describe the purpose and typical content of, and the attendees typically present at audit meetings, including opening and closing meetings, audit team meetings and auditee feedback/review meetings.
- b. Explain the process of, and different methods for, gathering objective evidence during an audit, including: sampling, observing and interviewing. Describe the benefits and limitations of these methods.

3.3.6 Reporting and following up the audit:

- a. Explain the terms corrective action and preventive action and describe the roles and responsibilities for taking and verifying corrective and preventive action.
- b. State the purpose and typical content of a non-conformity report.
- c. Describe typical systems for grading non-conformity reports and the implications and further actions required for different grades of non-conformity.

- d. Identify types of objective evidence that may be required to demonstrate effective implementation of corrective and preventive action.
- e. State the purpose and content of an audit summary report and supporting audit documentation presented to the auditee management.
- f. Explain the purpose of surveillance visits.

3.4 Plan, conduct, report and follow up an OH&S management system audit in accordance with ISO 19011 and by interpreting the requirements of (BS) OHSAS 18001.

Skills (to be practised and tested through tasks and in a real or simulated audit situation):

3.4.1 Audit responsibility:

- a. Successfully undertake the roles of an auditor and audit team leader, including management and co-ordination of the audit team.

3.4.2 Audit planning:

- a. Establish audit resource requirements.
- b. Define the scope of an OH&S audit.
- c. Prepare an on-site audit plan that is appropriate to the organization's operation and covers the elements described in 3.4.3 d. below.
- d. Produce an audit checklist (or alternative).
- e. Perform a document review or stage one audit in order to assess whether documentation meets requirements and to determine whether adequate arrangements are in place to justify proceeding with the stage two implementation audit.

3.4.3 Conducting an audit:

- a. Successfully plan, manage opening and closing meetings.
- b. Conduct an audit interview and demonstrate ability to:
 - Use a checklist (or alternative) effectively and follow audit trails.
 - Build rapport with the auditee.
 - Question, listen, observe and make notes.
 - Select sufficient and relevant samples and analyse them.
 - Provide feedback to the auditee.
 - Be able to communicate with the auditee at all organizational levels on OH&S issues.
- c. Successfully audit the OH&S management system for conformance to the relevant management system standard, including the following:
 - The identification of incidents, risk and the development of risk management controls.

- The effective implementation of risk management controls (i.e. operational procedures), and emergency response and preparedness plans.
 - Conformance to the relevant OH&S management system requirements.
 - Compliance to defined national or local legislation (as appropriate).
- d. Interpret and apply the requirements of OH&S management systems standards appropriately in an audit situation (the Training Organization will decide the OH&S MS standard to be used for this; any change of OH&S MS standard must be submitted to IRCA for review and acceptance before use), and suggest audit evidence that might satisfy these requirements. Students shall demonstrate an ability to audit the following key areas:
- An organization's identification of incidents, risk and the development of risk management controls.
 - The effective implementation of an organization's risk management controls (i.e. operational procedures), including emergency response and preparedness plans.
 - Conformance of an organization's OH&S management system against the relevant OH&S management system requirements.
- e. Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture.
- f. Analyse the information gathered in the context of OH&S requirements and the audit organization.

3.4.4 Reporting the audit:

- a. Evaluate objective evidence gathered and correctly identify conformance and non-conformity with OHSAS 18001 requirements.
- b. Recognise and report positive audit findings and opportunities for OH&S improvements with focus on occupational safety, health, hazards, training that reduce business risk.
- c. Write and grade non-conformity reports based on objective evidence obtained during the course of the audit.
- d. Write a meaningful and accurate summary of the audit.
- e. Make recommendations for certification approval based on audit findings.
- f. Present audit findings and recommendations to the client.

3.4.5 Following up the audit:

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- a. Evaluate proposals for corrective/preventive action and differentiate between correction, corrective and preventive action.

4. TRAINING METHODOLOGY

- 4.1 Your course may be presented as a wholly classroom-based course or as a blended course (in other words part self-study and part classroom-based). You may also present the course as a series of separate modules, either as full-time or part-time study.
- 4.2 In order to support and provide contexts for learning points, **your course must include images** (photographs and/or video) of the variety of facilities (factories, sites etc) that auditors will be faced with, and the variety of issues that auditor will be faced with (health, safety, work environment situations etc).
- 4.3 **Classroom-based training**
- 4.3.1 You must provide for students **an environment conducive to effective learning**. At the beginning of the course you must provide the students with a description of the learning objectives, course structure, format and programme, student responsibilities and the assessment processes and assessment criteria, and you must deal with any concerns or worries that students may have.
- 4.3.2 Your course must be based on a clear **learning cycle** (see guidance in Appendix 1) and include opportunities for students to:
- Experience new ideas and skills. (Note that tutor-led slide presentations as a sole method to help students learn new knowledge is not acceptable).
 - Reflect on their learning and identify strengths and weaknesses. (Note that your course must include methods for monitoring and providing time for tutors and students to review tasks and activities and each student's achievement of the learning objectives).
 - Address and improve on areas of weakness. (Note that your course must include provision for review and remedial work, and individual coaching, where necessary.)
- 4.3.3 Your course must include a **variety of learning methods** to suit the range of learning styles (see guidance in Appendix 1).
- 4.3.4 Your course must not rely on tutor presentations and tutor-led discussions to teach **knowledge-based learning objectives**. We expect to see students learning these elements mostly through a process that requires students to complete a task or activities, often in teams, and to produce a defined output.
- 4.3.5 All students must practise the **skill-based learning objectives** of the course (learning objective 2.1.4) through participation in appropriate tasks and activities (role play, simulation etc).
- 4.3.6 Timekeeping, planning and programme management are essential elements in the performance of an audit and, although we recognise that effective training is responsive to students' needs, deviations from the timetable must be managed so that all learning objectives are adequately covered and students are kept informed of significant changes to the programme.
- 4.3.7 You must submit **session plans** or tutor notes for each individual training session. Session plans must specify:
- learning objectives and duration for the session
 - nature of the activity and training method to be used
 - organizational arrangements, tutor and student briefing details

- deliverables required from students for practical sessions
- materials, exercises and equipment required to run the session
- where training methods or use of exercises etc. are optional, this must be clearly indicated in session plans.

Note: The format of your session plans will depend on your approach to tutor competence and the size and complexity of your organization. Medium and high complexity training organizations (see IRCA/3000 appendix) will require more comprehensive tutor notes to ensure that training in new and amended materials is controlled and effective.

4.4 **Blended courses** (a combination of self-study, including electronic media, and classroom based learning)

- 4.4.1 Only knowledge-based learning objectives 2.1.1, 2.1.2 and 2.1.3 may be covered by self-study methods.
- 4.4.2 Learning objective 2.1.4 (auditing skills) must be completed in a classroom environment in terms of practice and student assessment. See clause 4.3 of this document for requirements for the classroom element of blended learning courses.
- 4.4.3 Training methods selected should seek to involve and engage students throughout the duration of the course. Simply providing students with a set of reading materials will not be acceptable. Your self-study materials must be designed around a clearly structured learning process with:
- Theory.
 - Examples (scenarios, case studies etc).
 - Practice (activities, case studies, progress tests etc).
 - Feedback/self-assessment on activities and tests where relevant, to ensure students can self-assess their understanding and achievement of the learning objectives and identify any areas requiring further work.
- 4.4.4 Self-study course materials must be clearly presented and structured for ease of use, with appropriate navigational aids. You must make the following clear to students to help them manage their learning:
- The learning objectives for the overall self-study element of the course.
 - The learning objectives for each section within the course.
 - How the self-study element of the course links with the classroom component
 - The structure and suggested or intended sequence of the materials.
 - Instructions for the students' use of the materials, including realistic timescales
 - Examples of typical documents, reports, forms etc.
 - How, when and how often students may contact tutors for help, guidance and feedback.
 - Methods for students to assess their learning and to seek timely feedback and coaching from the tutor(s).
- 4.4.5 You must ensure that each student has timely access to a course tutor to answer questions and queries.

Note: as a guide, a response to communications from students within 24 hours would be acceptable.

5. COURSE CONTENT

- 5.1 At the beginning of the course presentation the course provider shall provide the students with a description of the learning objectives, course format, and programme, student responsibilities, student evaluation processes and criteria.
- 5.2 You must ensure that students secure a copy of the relevant standards or you must provide them with a copy for self-study (if relevant) and for classroom-based elements of the course.
- 5.3 The course shall cover:
 - 5.3.1 All aspects defined in Clause 2 Learning Objectives and amplified in Clause 3 Enabling Objectives.
 - 5.3.2 Local requirements, culture, practices or approaches to auditing and the application of OH&S standards, as appropriate for each country in which the course is presented.
 - 5.3.3 The benefits of certification as an IRCA *OH&S MS Systems Auditor*, including brief details of the IRCA *OH&S MS Auditor* certification scheme (IRCA/502), and provide students with details of how to contact IRCA and apply for certification (you may use IRCA/190 and IRCA/167 for this).

6. COURSE DURATION

6.1 Classroom-based learning

- 6.1.1 Where the course is wholly classroom-based, the total course must be at least 40 hours, calculated as detailed in IRCA/2000.
- 6.1.2 This course may be presented over a minimum of 5 consecutive days full-time or on a part-time (modular) basis over a maximum of 8 weeks.

Note: although not mandatory, we recommend that this course be residential if presented over 5 consecutive days.

6.2 Blended learning

- 6.2.1 Elements of the courses that are delivered through self-study will allow students three times longer than classroom training (i.e. approximately 80 hours for learning objectives 2.1.1 – 2.1.3).
- 6.2.2 The classroom element (i.e. the skills learning objective 2.1.4 as a minimum) must be timed to allow each student to practise and be assessed on the skills learning objective. The amount of time given to this classroom element will depend on the learning objectives being covered, however normally 60% (or 3 days, or 24 hours gross as calculated in IRCA/2000) duration will be devoted to classroom-based learning and assessment. Courses with a reduction in classroom time may be allowed if agreed in advance with IRCA. See the Appendix for guidance for instances where reduced classroom time may be allowed.
- 6.2.3 Each student must complete the both the self-study and the classroom part of the training course in no more than 90 days.
- 6.2.4 Students must complete each element of blended courses in the correct sequence. For example, for courses designed with a self-study element

that is to be followed by a classroom element, you must ensure that students who do not complete the self-study element of the course are not accepted onto the classroom-based element. You must have a process for recording and validating each student's completion of each element of blended courses to ensure students complete the course in the correct order.

6.3 Translators

6.3.1 If the course is given through translators, the time must be increased as necessary to satisfy the learning objectives.

7. TUTORS & STUDENTS

7.1 Classroom-based learning

- 7.1.1 The number of students per course shall not exceed 20, or be less than 4.
- 7.1.2 Where the number of students is 11 to 20 inclusive, the course must be run with two designated tutors, both of whom shall be present for the full duration of the course. At least one tutor shall satisfy the requirements for a lead tutor as stated in IRCA/2000.
- 7.1.3 Where the number of students is 4 to 10 inclusive, the course may be run with one designated tutor, who shall be present for the full duration of the course. That tutor shall satisfy the requirements for a lead tutor.
- 7.1.4 Where additional tutors, including trainee tutors and specialists are used the two tutors remain responsible for the entire presentation.

7.2 Self-study based learning

7.2.1 Tutors who provide educational support on self-study elements of blended learning must be competent to operate any media required.

7.3 All courses. Tutors for this course must demonstrate competence in key attributes:

- 7.3.1 Competence in Training; by satisfying the Tutor or Lead Tutor requirements as appropriate (see IRCA/2000).
- 7.3.2 Competence in Auditing against OHSAS 18001 (or equivalent); by demonstrating auditing competence as a currently certified OH&S Lead Auditor for Lead Tutors (or OH&S Auditor for Tutors) as described in IRCA/502 or meeting the requirements for such certification.
- 7.3.3 Competence to deliver training **and** student assessment on your specific course.
- 7.3.4 Knowledge of the specific local regulatory requirements in which the course is presented, or have a local expert attending at the necessary times.

8 VARIATIONS

- 8.1 Requests for variations to any of these criteria, or in respect of any special circumstances, will be considered for approval on written submission by the approved training organization in advance to IRCA. Any such request shall be made immediately upon the reason for the variation request becoming apparent.
- 8.2 We will consider the following when evaluating any request for variation:
 - 8.2.1 Reasons for the requested variation.
 - 8.2.2 Proposed modifications to the training.
 - 8.2.3 The impact on the learning and assessment processes and how this will be managed.

9 STUDENT ASSESSMENT & EXAMINATION

We regard the assessment and examination of students to be a very important part of this course.

- 9.1 **Successful Completion:** in order to satisfactorily complete the course each student must:
 - 9.1.1 Complete all elements of the course.
 - 9.1.2 Pass the Continuous Assessment (focused on the 4 Learning Objectives).
 - 9.1.3 Pass the Written Examination (focused on the 4 Learning Objectives).
- 9.2 **Conduct and Management of Continuous Assessment**
 - 9.2.1 Students must demonstrate acceptable levels of performance in the Learning Objectives. During the course you must test each student's achievement of the Learning Objectives. These tests must be based on practical tasks and activities with defined outputs that students must produce.
 - 9.2.2 You must provide tutors with model outputs and a marking scheme/guidance to assess each student's performance and outputs (see appendix).
 - 9.2.3 Tutors must provide students with feedback on their performance.
 - 9.2.4 Tutors must provide further help and guidance to students who do not initially achieve elements of the Learning Objectives. They must provide these students with an opportunity to complete further tasks to demonstrate competence.
 - 9.2.5 Each student's achievement of the learning objectives must be recorded on his/her continuous assessment record.

Note: See appendix for guidance on continuous assessment.

9.3 Conduct and Management of the Written OH&S Auditor Examination.

- 9.3.1 Students must sit one of the current issue of IRCA OH&S Auditor examination papers. IRCA OH&S Auditor examinations must be conducted in accordance with the criteria set out in IRCA/2000.
- 9.3.2 Each training organization is free to adopt a form of presentation that suits its needs. However ALL examination papers must state on every page:

“IRCA EXAMINATION PAPER NUMBER [X]” amended for use on approved course [xxxx] operated by [TO], [the date of issue and page number].

Please insert at **X** the IRCA reference number for the paper, at **TO** the name and IRCA certification number of your training organization and at **xxxx** the IRCA certification number of your course.

- 9.3.3 You may modify these examinations papers as indicated below, but must not change the structure of the paper.
- a. Minor changes in the wording may be made to reflect local language differences.
 - b. Changes in wording may be made to better reflect a specific context; e.g. a factory or a farm application. These changes must NOT represent substantive changes to either the question or the solution.
 - c. A maximum of 25% of each paper may be replaced but this must NOT change the structure of the paper.
 - d. On replacing a question, you must:
 - Provide a solution and marking scheme for the alternative question.
 - Send IRCA the alternative question (identifying clearly which question it is intended to replace) and its solution for approval before it is incorporated into the IRCA examination paper.

10. ADVERTISING & PUBLICITY

- 10.1 Advertising literature must clearly state that successful completion of the course fulfils only part of the requirements for IRCA certification as an OH&S management systems auditor.
- 10.2 Prior to the commencement of the course, you must inform potential students that IRCA recommends all students to have some understanding of the content, application and implementation of the reference standard OHSAS 18001 or equivalent.

APPENDIX A: NOTES FOR GUIDANCE

Coverage of OH&S Management Systems Standards

These course criteria require that students be able to explain the intent and requirements of each clause of BS8800 or the relevant OH&S management system standard on which the course is based. However, it is recognised that students may have knowledge of these management system requirements before attending the course, either from previous training, experience or pre-course work. Training Organizations will not be expected to present a clause by clause analysis of the management system standard, but will need to satisfy themselves and IRCA that this objective is met.

These criteria also require students to interpret and apply BS8800 or the relevant OH&S management system standard requirements, and to suggest what objective evidence might be needed to satisfy these requirements. Student ability to do this should be tested through practical exercises, although it is recognised that students will only be able to gain this practical experience on limited elements of an OH&S management system standard.

Training Organizations should ensure that training courses provide realistic practice in auditing the most important OH&S management systems standard requirements. This should be achieved through the use of case studies, workshops and role-play, supported by realistic materials, documentation and scenarios, and using pictures, videos etc. to enhance the realism where possible. The following table gives some examples of how these realistic auditing scenarios may be approached to provide adequate coverage of the most important OH&S MS standards requirements.

ACTIVITY	OBJECTIVE	EXAMPLES OF SCOPE OF ACTIVITY
Identification of risks/development of risk management controls.	To enable students to recognise methods of identifying, quantifying and prioritising risk management. To enable students to identify appropriate procedural risk controls.	Operational areas could include: pressure systems, work equipment, handling materials, scheduled & non-scheduled maintenance, electricity, fire control, work environment, noise, dust/fumes, internal transport, construction, hazardous materials, ionising radiation, confined spaces, welding, laboratories.
Auditing risk management controls (operational procedures).	To develop students' ability to audit an organization's risk management controls as outlined in established procedures and records.	Sample visual images and documentary materials relating to auditing: adequacy of risk management controls, conformance to management system procedural requirements, and corrective/preventive actions.
Auditing OHSAS 18001 requirements.	To develop students' ability to audit management system requirements.	Sample documents, observations, pictures, records, interviews relating to: conformance with OHSAS 18001 and conformance with an organization's OH&S policy and OH&S improvement programmes.
Auditing for compliance to relevant national and local legislation.	To develop students' ability to audit compliance to legislation.	Sample documents, observations, pictures, records and interviews relating to national/local legislation requirements.
Auditing emergency response & preparedness plans	To develop students' ability to audit the adequacy of emergency response and preparedness plans.	Sample documents.

Helping students learn new knowledge & skills - Accelerated Learning

We promote the use of accelerated learning approaches because they are more efficient, in terms of speed and depth of comprehension, and more effective, in terms of long-term retention of new knowledge. Therefore, you should employ practical tasks and activities to help students to understand new concepts and ideas. You should not rely on tutor-focused lecture/presentation to transfer new ideas and concepts.

1. The Learning cycle

There is a clear link between Deming's familiar Plan-Do-Check-Act and the learning cycle:

- a. ***students experience something*** (e.g. complete a task to find out about the requirements of ISO 9001)
- b. ***students reflect on what they did & identify what they learned and what they still don't fully understand or can't do*** (e.g. feedback to compare their answers to other students' answers and / or model answers, and identify any problems)
- c. ***students take action to address weak areas*** (e.g. ask tutor for help or complete task/activity again or complete another task)

Ensuring that your training sessions follow this simple model will make students' learning more effective. We referenced the learning cycle described by David A Kolb in developing these criteria and you might find it useful to consider this when developing your course.

2. Learning styles

We promote a variety of training methods in your course design. Different people learn in different ways so your sessions should follow the learning cycle and your course should include a variety of different learning activities to cater for all needs as far as possible. Honey and Mumford (*Learning Style Questionnaire*, Peter Honey Publications, ISBN 1 902899 07 5) provide one model for describing different learning styles that you may find useful as a basis.

3. Session plans

Developing session plans is a natural part of designing learning and training processes. Session plans should be simple and easy to use working documents to help your tutors manage effective learning. For organizations with only a few tutors, outline session plans are acceptable. For larger organizations with a number of branches or subcontractors, and the consequent number and turnover of tutors, we will require more comprehensive session plans. A sample session plan is provided below.

4. Continuous assessment

Continuous assessment should have a clear link between: session plans (for tutors), clear task/activity instructions with defined and measurable outputs (for students and tutors), activity marking schemes / model answers (for tutors), model answers (for students), individual student continuous assessment record (for recording student performance).

Blended Learning – course duration & tutor:student ratios

We will consider courses designed with less than 60% of the course duration (as calculated in IRCA/2000) devoted to classroom activity in circumstances where, for example, there is a smaller tutor:student ratio: for example 2 tutors and a maximum of 6 students.

Self-Study

We recommend that you consider the following documents when developing training based on information technology solutions:

BS 7988:2002 A Code of Practice for the use of information technology for the delivery of assessments

BS 8426:2003 A Code of Practice for e-support in e-learning systems

Sample Session Plan

SESSION PLAN	
<p>Course Title: OH&S (OHSAS 18001) MS Auditor/Lead Auditor</p> <p>Session Title: Preparing an audit checklist</p> <p>Session Number: 6</p> <p>Duration: 1 hr 30 minutes</p> <p>Purpose of the session: To provide students with practical experience in preparing an OH&S MS audit checklist.</p> <p>Learning Objectives:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identify documents and sources of information required to produce a checklist. <input type="checkbox"/> Produce an audit checklist to be used in audit practical later in the course. 	
Tutor Notes: Training Activities and Methods	Materials and Equipment
<ul style="list-style-type: none"> • Introduction Explain that students will be formally assessed during this session 	OHP session 6 intro
<p>Introduce exercise Talk through the exercise brief, highlighting the following points: Task: to prepare a checklist that will enable the students to conduct an effective audit of that area of the case study organization. Process:</p> <ul style="list-style-type: none"> • Group exercise. <p>Output:</p> <ul style="list-style-type: none"> • Audit checklist (either on the pro-forma sheets, or using any format preferred by the students) • A list of the documents and sources of information used in the preparation of the checklist. <p>Note The output from this exercise is part of the formal continual assessment, and will therefore be marked.</p>	<p>Handout student brief: "preparing an audit checklist"</p> <p>Flip chart process steps</p> <p>Audit checklist pro-forma sheets</p>
<p>Run exercise Tutors to monitor pairs regularly, and provide clarification, support and coaching as required. Time for exercise: 1 hour</p>	
<p>Feedback from exercise</p> <ul style="list-style-type: none"> • Collect output from students • Lead a brief discussion of the exercise, i.e., how they went about it, what was easy/difficult etc. Draw out any general points observed by tutors during the exercise. 	
<p>Marking exercise</p> <ul style="list-style-type: none"> • Mark each submission in accordance with the marking scheme. Provide feedback to students on the results of the exercise and any further points for improvement at the earliest opportunity 	Audit checklist marking scheme

Sample Audit Checklist Marking Scheme

Audit Checklist Marking Scheme: Session 6

Learning objective: Plan an audit

Enabling objectives: Produce an audit checklist.

Criteria	Marks
Checklist covers all areas within the scope of the audit	2 marks
Relevant OHSAS 18001 requirements addressed	2 marks
Checklist identifies evidence to be viewed during audit	2 marks
Reference to OH&S policy/objectives and planned results included	2 marks
Logical structure for audit, picking up relevant audit trails	2 marks

Maximum 10 marks. Students must score a minimum of 6 marks to successfully complete the exercise. Students achieving less than this will be invited to re-submit.

Sample Continuous Assessment Record (Completed)

This example document has been designed to meet the minimum requirements of IRCA/2020 and IRCA/2000.

PERSONAL CONTINUOUS ASSESSMENT RECORD

Name: **A Person** Course dates: **1- 5 April**

Competence	Day 1	Day 2	Day 3	Day 4	Day 5	Overall Score
1. Describe the purpose of an OH&S management system. Tutor Comments	4	4	6	6	7	6
1. Explain the scope of OH&S management system standards and UK OH&S legislation. Tutor Comments	N/A	6	8	N/A	N/A	8
2. Describe the principles, processes and techniques used for the assessment of risk and the significance of these in OH&S management systems. Tutor Comments	N/A	N/A	6	6/7	N/A	6
4. Interpret the requirements of OHSAS 18001 in the context of an audit. Tutor Comments	N/A	N/A	6	8	7	7
5. Effectively plan and conduct an audit of the management and operation of an OH&S MS. Report the audit, including writing valid, factual and value-adding non-conformity reports. Tutor Comments:	N/A	N/A	N/A	N/A	6	6
6. Personal attributes: manner, attitude and suitability as an auditor. Tutor Comments:	4	6	8	8	8	8
11. Attendance, punctuality and participation. Tutor Comments:	8	8	8	9	9	9

Performance in each area of competence is scored from 1-10 with the score being based on formally assessed written and/or practical student work (1-2 = unacceptable, 3-4 = poor, 5-6 = acceptable, 7-8 = good and 9-10 = excellent). To pass the course students must pass each section (i.e. score at least 6 in each section) and achieve at least 70% in the examination. Students may not be assessed on every competence area every day ('N/A' shows days when formal continuous assessment for particular learning objectives is not time-tabled). The overall score is not an average, but describes the student's overall achievement of the learning objective by the end of the course.

Tutor Signature: **A Tutor** Date: **5 April 20xx**
Tutor Signature: **B Tutor** Date: **5 April 20xx**