



**IRCA**

INTERNATIONAL  
REGISTER OF  
CERTIFICATED  
AUDITORS



Certification criteria for  
Social Systems Auditor Conversion  
Training Course

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## APPENDIX

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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 Organisation, achieve certification of an IRCA/2030 **Social Systems Auditor Conversion** training course.
- 1.2 Before designing a *Social Systems Auditor Conversion* training course to meet the requirements of this document you should consider the following:
- 1.2.1 **The IRCA Social Systems Auditor programme (IRCA/302).** To be effective, the assessment and assurance of an organization's conformance with social responsibility specifications requires auditors who understand labour and social issues and are properly competent in systems audit. The purpose of our *Social Systems Auditor* programme is to provide confidence to purchasing organizations, regulatory authorities, accreditation bodies, certification bodies, business, and to stakeholders at large, that auditors certified to this programme are competent.
- 1.2.2 **Aim of this training course.** The aim of the *Social Systems Auditor Conversion* course is to help auditors of other management systems (QMS, EMS etc.) to transfer their skills to auditing social systems.
- 1.2.3 **Auditor certification.** Students who successfully complete this *Social Systems Auditor Conversion* training course certified by IRCA (within the three years prior to making an application to become a certificated auditor) will satisfy the training requirements for initial certification as an IRCA Social Systems Auditor (IRCA/302), on condition that they have completed the pre-requisite prior training.
- 1.2.4 **Auditing Protocols.** The social responsibility auditor's task is often a complex and sensitive one. Audit activity has to take into account many different systems, practices and procedures that support compliance to labour and social responsibility legislation and other requirements. In the absence of specific guidance on auditing in this context, these course criteria are based on the guidance in ISO 19011:2000. There are many considerations specific to social responsibility auditing concerned, for example, with the auditor's own social responsibility when performing and reporting audits and these will be included in courses
- 1.2.5 **Audit Criteria.** The **audit criteria** described and used within IRCA certified social systems auditor courses must as a minimum incorporate:
- **Relevant UN Conventions:**
    - Universal Declaration of Human Rights- adopted and proclaimed by the General Assembly of the United Nations in resolution 217A (iii) 1948
    - UN Convention on the Rights of the Child- 1924/1959 & 1989
    - UN Convention on all forms of Discrimination against Women- 1979
    - ILO Tripartite Declaration of Principles Concerning Multinational Enterprises and Social Policy- 2000
  - **Core ILO Conventions:**
    - ILO Conventions 29 & 105 & Recommendation 35 (Forced and Bonded Labour)
    - ILO Convention 87 (Freedom of Association)
    - ILO Convention 98 (Rights to Organise and Collective Bargaining)
    - ILO Conventions 100 & 111 & Recommendations 90 & 111 (Equal Remuneration for Male and Female workers for Equal Value; Discrimination in Employment and Occupation)
    - ILO Convention 138 & Recommendation 146 (Minimum Age)

- ILO Convention 135 & Recommendation 143 (Workers' Representatives)
- ILO Convention 155 & Recommendation 164 (Occupational Safety and Health)
- ILO Convention 159 & Recommendation 168 (Vocation Rehabilitation & Employment of Disabled Persons)
- ILO Convention 177 & Recommendation 184 (Home working)
- ILO Convention 170 (Safe Use of Chemicals)
- ILO Convention 110 (includes reference to Provision of Housing for migrant workers)
- A total of 185 ILO Conventions are published and others may be relevant
- **Core Management Principles**
  - The requirement for management commitment, including establishing policies relating to social and labour issues and appointing a member of management to be responsible for its implementation.
  - The requirement for defined operational controls to address the audit criteria and relevant industry and legislative requirements.
  - The requirement for effective organization controls, definition of responsibilities, training, communications, documentation, operational controls, and crisis management.
  - The requirement for monitoring and measurement, audits, corrective and preventive action and management review.
  - The requirement for improvement based on monitoring and review activities.
  - The requirement for record keeping to demonstrate that audit criteria are being met.

1.2.6 Core management principles may be addressed in audit criteria in a variety of ways. Firstly, international standards such as SA8000 and the ISO guide (once this is published) incorporate the social issues from the ILO Conventions and management issues in a holistically and therefore stand alone way. International industry codes, such as the Electronics Industry Code of Conduct developed in 2004, can also follow this model. Secondly, sector schemes, such as the Ethical Trading Initiative (ETI) base code, address only the social issues in the ILO Conventions and are supplemented by contractual specification for management control in the supply chain. Thirdly, individual organizations have developed their own proprietary global sourcing code of conduct that can adopt hybrid form incorporating elements of the first two cases. Whichever approach you take in your course design, the core management principles as defined in the knowledge based enabling objective clause 4.2 must be fully included.

1.2.7 You may decide to design your course so as to be flexible to address different audit criteria as defined above to suit different markets. If this is the case you must notify us and provide details of the process to be used for substitution of materials under different circumstances along with details of how tutors are trained for such eventuality. We will judge the effectiveness of your approach in ensuring consistent delivery incorporating these course criteria before granting approval for such variants.

1.2.8 **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. Many of the certification requirements common to the management and control of courses are detailed in IRCA/2000, Requirements for training organization approval.

These requirements are in addition to the requirements of IRCA/2013 and are mandatory. It is essential, therefore, that you are familiar with the requirements of IRCA/2000.

- 1.2.9 **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.

## 2. PRIOR KNOWLEDGE REQUIREMENT

- 2.1 This course is designed for experienced management systems auditors who seek an understanding of the additional knowledge and skills required to audit social systems.
- 2.2 You must inform prospective students of the required pre-course knowledge and provide clear guidance for tutors, who find that they have students lacking this prior knowledge, to ensure that this does not adversely affect other students' learning on this course. All students must:
- 2.2.1 Have successfully completed an IRCA certified (or equivalent) 5-day Lead Auditor training course in another discipline (QMS, EMS, OH&S etc)<sup>1</sup>.
  - 2.2.2 Have a basic understanding of relevant key labour / social issues and legislation (this may be specific to their industry context and location).

## 3. LEARNING OBJECTIVES

- 3.1 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:**

- 3.1.1 Describe the potential range of social and ethical issues that face organizations and auditors, and the range of conventions, specifications, codes of conduct and other initiatives (see 4.1).
- 3.1.2 Explain the purpose, content and interrelationship of: the audit criteria (see 1.2.5); local industry practice; the relevant legislative framework (see 4.2).

### **Skills:**

- 3.1.3 Plan, conduct, report and follow up a social system audit in accordance with ISO 19011 and by interpreting the requirements of the audit criteria (see 1.2.5 & 4.3).

## 4. ENABLING OBJECTIVES – KNOWLEDGE & SKILLS

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<sup>1</sup> Note that students who successfully complete this course and wish to apply for certification as an Social Management Systems Auditor must be able to demonstrate to IRCA that he/she has completed this course.

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 as Enabling Objectives and can be considered as steps to the achievement of Learning Objectives.

**4.1 Describe the potential range of social and ethical issues that face auditors, and the range of conventions, management systems specifications, codes of conduct and other initiatives.**

**Knowledge**

4.1.1 Social issues (from the auditor's point of view)

- a) Employees: child labour (including remediation); forced labour; contracts of employment and regular work; fair working hours and remuneration (including payroll issues); discrimination; discipline and harassment; health, safety and welfare; freedom of association.
- b) Supplier and subcontractor control: fair contracts; reasonable notice of significant changes; complaint resolution etc.
- c) Interaction of business with local communities, society in general and the environment.
- d) Relationships with local and central governments of host countries; non-governmental organizations (NGOs); trade unions; other interested parties.
- e) The relationship between local and national legislation and the audit criteria.

4.1.2 Range of conventions, specifications, codes of conduct and other initiatives:

- a) International Labour Organization (ILO) conventions (see the Appendix).
- b) Government and international programmes, and the status of ISO standards.
- c) Supply chain standards and codes of conduct (such as the Ethical Trade Initiative Base Code, SA 8000, Worldwide Responsible Apparel Production, the Code for Production of Cut Flowers, sector / other varieties of codes of conduct for global sourcing by individual organizations as appropriate to the target students for a particular course).

**4.2 Explain the purpose, content and interrelationship of: the audit criteria; local industry practice; the relevant legislative framework.**

**Knowledge**

4.2.1 Describe the purpose, business benefits and social benefits of a social management system.

4.2.2 Describe the differences and commonalities between voluntary social management systems standards and enforced codes of conduct.

4.2.3 From the point of view of an auditor and with regard to the audit criteria, explain:

- a) The specific social and labour requirements (as outlined in 4.1.1 above).

- b) The requirement for management commitment including establishing policies relating to social and labour issues and appointing a member of top management to be responsible for its implementation. The requirement for defined operational controls to address the audit criteria and relevant industry and legislative requirements.
- c) The requirement for effective organization controls, definition of responsibilities, training, communications, documentation, operational controls, and crisis management.
- d) The requirement for monitoring and measurement, audits, corrective and preventive action and management review.
- e) The requirement for improvement based on monitoring and review activities.
- f) The requirement for record keeping to demonstrate that audit criteria are being met.
- g) Outline how an auditor may check for continuing compliance to the framework of relevant national legislation, industry codes of practice etc.

4.3 **Plan, conduct, report and follow up a social systems audit in accordance with ISO 19011 and by interpreting the requirements of the audit criteria**

**Knowledge**

- 4.3.1 Briefly outline the audit process from initiating an audit to conducting audit follow up as described in ISO 19011, including the 2-stage approach.
- 4.3.2 Describe the specific techniques required to audit social systems, including:
  - a) The different methods for, gathering objective evidence during a social systems audit, including methods and approaches for interviewing workers.
  - b) The social and ethical implications for the auditor during the audit and when reporting the audit including awareness of the importance of body language and interpersonal skills in a cross-cultural setting.
  - c) Separate from the documented system that the auditor may or may not encounter, describe the range of documents that an auditor may be required to review and use during the audit to establish audit trails. These would include but not be limited to; contracts of employment, employee handbook, wage and hours policy, wage slips, time cards, fire certificates, employee liability insurance certificate, factory layout and floor plans, evacuation plans, accident book, business and regulatory licenses, factory and dormitory rules, list of chemicals used and their analysis sheets.
  - d) Describe the design and use of questionnaires that may be used to augment face-to-face interviews and when their use may be appropriate
  - e) Describe methods for researching local labour and employment laws and relevant NGO activity in the country and location where an audit will be performed.
- 4.3.3 Describe the IRCA code of conduct, referencing the Principles of Auditing in ISO 19011, clause 4.

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

**4.3.4 Audit responsibility**

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

**4.3.5 Audit planning**

- a) Perform a review of documents in order to assess whether the audit criteria have been addressed and to determine whether adequate arrangements are in place to justify proceeding with the implementation audit.
- b) Write an audit scope.
- c) Identify the pre-audit information required to plan the duration and resources needed to conduct the on-site audit and identify the legislative and regulatory labour and social issues appropriate to the specific industry and region.
- d) Prepare an on-site audit plan that is appropriate to the organization's activities, their social and labour issues.
- e) Prepare the necessary work documents: e.g. audit checklist, sampling plan, forms, questionnaires, etc.

**4.3.6 Conducting the audit.**

- a) Undertake the role of an auditor to manage and conduct an audit to evaluate an organization's effective implementation of policies and procedures for conformance with the audit criteria.
- b) Conduct effective audit interviews with managers and supervisors, individual workers, focus groups of workers and external NGOs as appropriate in order to establish and/or follow up audit trails:
  - Establish confidentiality
  - Build rapport with the auditee
  - Use appropriate types of questions
  - Listen effectively
  - Be aware of non-verbal indications (body language)
  - Make notes, use a checklist effectively and follow audit trails
  - Be sensitive to the needs and expectations of the auditee, including the local customs and culture.
  - Be sensitive to the timing, location, content, duration of planned interviews and the status/gender of the auditors conducting the interviews
- c) Audit:
  - The appropriateness of the organization's policies and procedures.
  - The appropriateness of operational control of specific labour and social issues (as outlined in 4.1.1 above).
  - The appropriateness of monitoring and measurement of the organization's operational controls to ensure the effectiveness of the management system.

d) Make sense of the information gathered in the context of the audit criteria by:

- Selecting sufficient and relevant samples.
- Reviewing appropriate documents, including payroll records.
- Differentiating between documentation and records.
- Exercising objectivity in the review of evidence collected.

#### 4.3.7 Reporting the audit:

a) Evaluate objective evidence gathered:

- Correctly identify conformance and non-conformance with requirements.
- Recognize and report positive audit findings and opportunities for improvements.
- Write a meaningful and accurate summary report of the audit including graded non-conformity reports based on objective evidence obtained during the course of the audit.
- Make recommendations for certification/supplier approval based on audit findings.

b) Present audit findings and recommendations to the auditee through the conduct and control of a closing meeting.

#### 4.3.8 Following up the audit:

a) Evaluate proposals for corrective action and differentiate between correction, corrective and preventive action

b) Establish what follow-up activities will be required after the audit

## 5. TRAINING METHODS

5.1 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.

5.2 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, farms etc) that auditors will be faced with, and the variety of issues that auditor will be faced with (health, safety, work environment situations etc).

### 5.3 Classroom-based training

5.3.1 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.

5.3.2 Your course must be based on a defined **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.)

5.3.3 Your course must include a **variety of learning methods** to suit the range of learning styles (see guidance in Appendix 1).

5.3.4 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.

5.3.5 All students must practise the **skill-based learning objectives** of the course (learning objective 3.1.1) through participation in appropriate tasks and activities (role play, simulation etc).

5.3.6 Timekeeping, planning and programme management are essential elements in the performance of an audit and, although we recognize 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.

5.3.7 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 that the format of your session plans will depend on your approach to tutor competence and training 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.

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

5.4.1 Only knowledge-based learning objectives 3.1.1 and 3.1.2 may be covered by self-study methods.

5.4.2 Learning objective 3.1.3 (auditing skills) must be completed in a classroom environment in terms of practice and student assessment. See clause 5.3 of this document for requirements for the classroom element of blended learning courses.

5.4.3 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.
- 5.4.4 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).
- 5.4.5 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.

## 6. COURSE CONTENT

- 6.1 At the beginning of the course presentation you must provide the students with a description of the learning objectives, course format and programme, student responsibilities and student evaluation processes and criteria.
- 6.2 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.
- 6.3 The course must cover:
- 6.3.1 All aspects defined in Clause 3 Learning Objectives and amplified in Clause 4 Enabling Objectives.
- 6.3.2 Local requirements, culture, practices or approaches to auditing and the application of the audit criteria and any specific industry requirements appropriate for each country in which the course is presented. You must demonstrate that your course will meet this requirement for each national/regional context in which it is presented.
- 6.3.3 The benefits of certification as an IRCA *Social Systems Auditor*, including brief details of the IRCA *Social Systems Auditor* certification scheme (IRCA/302), and provide students with details of how to contact IRCA and apply for certification (you may use IRCA/190 and IRCA/167 for this).

## 7 COURSE DURATION

**7.1 Classroom-based learning**

- 7.1.1 Where the course is wholly classroom-based, the total course must be at least 24 hours, calculated as detailed in IRCA/2000.
- 7.1.2 The course may be presented over a minimum of 3 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 3 consecutive days.

**7.2 Blended learning**

- 7.2.1 Elements of the courses that are delivered through self-study will allow students three times longer than classroom training (i.e. approximately 40 hours for learning objectives 3.1.1 & 3.1.2).
- 7.2.2 The classroom element (i.e. the skills learning objective 3.1.3 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 2 days, or 14 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.
- 7.2.3 Each student must complete the both the self-study and the classroom part of the training course in no more than 90 days.
- 7.2.4 Students must complete each element of blended courses in the correct sequence. For example, for courses designed with a self-study element 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.

**7.3 Translators**

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

**8. TUTORS & STUDENTS**

**8.1 Classroom-based learning**

- 8.1.1 The number of students per course shall not exceed 20, or be less than 4.
- 8.1.2 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.
- 8.1.3 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.
- 8.1.4 Additional, tutor resource will normally be required to manage the practical audit interview elements of the course.

**8.2 Self-study based learning**

- 8.2.1 Tutors who provide educational support on self-study elements of blended learning must be competent to operate any media required.
- 8.3 **All courses.** Tutors for this course must demonstrate competence in key attributes:
  - 8.3.1 Competence in Training; by satisfying the Tutor or Lead Tutor requirements as appropriate (see IRCA/2000).
  - 8.3.2 Competence in auditing against the audit criteria; by demonstrating auditing competence as a currently certified SS Lead Auditor for Lead Tutors (or at least Auditor grade for Tutors) as described in IRCA/302 or meeting the requirements for such certification.
  - 8.3.3 Competence to deliver training **and** student assessment on your specific course.
  - 8.3.4 Knowledge of the specific local regulatory requirements in which the course is presented, or have a local expert attending at the necessary times.

## 9. VARIATIONS

- 9.1 We will consider requests for variations to any of these criteria, or in respect of any special circumstances. In this situation you should submit a **written** request to us immediately the requirement for the variation becomes apparent.
- 9.2 We will consider the following when evaluating any request for variation:
  - 9.2.1 Reasons for the requested variation.
  - 9.2.2 Proposed modifications to the training.
  - 9.2.3 The impact on the learning and assessment processes and how this will be managed.

## 10. Student Assessment & Examination

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

- 10.1 **Successful Completion:** in order to satisfactorily complete the course each student must:
  - 10.1.1 Complete all elements of the course.
  - 10.1.2 Pass the Continuous Assessment (focused on the 3 Learning Objectives).
  - 10.1.3 Pass the Written Examination (focused on the 3 Learning Objectives).
- 10.2 **Conduct and Management of Continuous Assessment**
  - 10.2.1 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.

- 10.2.2 You must provide tutors with model outputs and a marking scheme/guidance to assess each student's performance and outputs (see appendix).
- 10.2.3 Tutors must provide students with feedback on their performance and provide students who do not initially achieve elements of the Learning Objectives with further help and guidance, and provide them with an opportunity to complete another task to demonstrate competence.
- 10.2.4 Each student's achievement of the learning objectives must be recorded on his/her continuous assessment record (see appendix).

**10.3 Conduct and Management of the Written SS Auditor Examination.**

10.3.1 Students must sit one of the current issue of IRCA set SS Auditor examination papers (when issued). IRCA SS Auditor examinations must be conducted in accordance with the criteria set out in IRCA/2000.

10.3.2 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 organisation and at **xxxx** the IRCA certification number of your course.

10.3.3 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 production or a retail 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.

**11. COURSE PUBLICITY & ADVERTISING**

11.1 Your course advertising and promotional literature must not state or imply that this course satisfies more than the training requirements for certification as an IRCA Social Systems auditor.

11.2 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 relevant audit criteria and that all students should have completed a lead auditor course in another discipline.

## APPENDIX: NOTES FOR GUIDANCE

### A. Helping students learn new knowledge & skills

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).

Continued...

## **B. 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

**C. Example Session Plan**

<b>SESSION PLAN</b>		
<b>Session Title:</b> Preparing an audit checklist	<b>Session Number:</b> 6	<b>Duration:</b> 1 hr 30 mins.
<p><b>Purpose of the session:</b> To provide students with practical experience in preparing an audit checklist.</p> <p><b>Learning Objectives:</b></p> <p>a. Identify documents and sources of information required to produce a checklist.</p> <p>b. Produce an audit checklist to be used in audit practical later in the course.</p>		
<b>Tutor Notes: Training Activities and Methods</b>		<b>Materials / Equipment</b>
<p><b>Introduction (5 minutes)</b></p> <p>Explain to students that:</p> <p>This session builds on the previous session in which the preparation of an audit checklist was discussed and demonstrated.</p> <p>Students will be formally assessed during this session.</p>		<p><b>OHP session 6 introduction view slides 6 &amp; 7</b></p>
<p><b>Briefing (5 minutes)</b></p> <p>Hand out brief &amp; talk through the exercise brief, highlighting the following points:</p> <p><b>Task:</b></p> <p>To prepare a checklist that will enable the students to conduct an effective audit of that area of the case study organization.</p> <p><b>Process:</b></p> <p>Organise the students into teams.</p> <p>If the students require further help on how to approach the exercise, highlight suggested steps that they might follow in order to accomplish the task. Tutor should monitor their progress.</p> <p><b>Output:</b></p> <p>Audit checklist (either on the pro-forma sheets, or using any format preferred by the students)</p> <p>A list of the documents and sources of information used in the preparation of the checklist.</p> <p><b>Continuous Assessment:</b></p> <p>The output from this exercise is part of the formal continual assessment, and will therefore be marked.</p>		<p><b>Student instruction sheet: "Preparing an Audit Checklist" ref: WI06 &amp; Case study document pack &amp; Audit checklist pro-forma sheets</b></p>
<p><b>Run exercise (50 minutes)</b></p> <p>Tutors to monitor teams regularly, and provide clarification, support and coaching as required.</p> <p><b>Time for exercise:</b> 5 min. to review brief, 30 min. to analyse exhibits, 30 min. to complete checklist and 5 min. to review their own output.</p>		
<p><b>Feedback from exercise (maximum of 20 minutes)</b></p> <p>Groups compare outputs (10 minutes).</p> <p>Collect output from students and 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 (20 minutes).</p>		
<p><b>Marking exercise</b></p> <p>Mark each submission in accordance with the marking scheme.</p> <p>Provide feedback to students on the results of the exercise and any further points for improvement at the earliest opportunity.</p>		<p><b>Audit checklist marking scheme (see below)</b></p>

**D. Example Audit Checklist Marking Scheme**

**AUDIT CHECKLIST MARKING SCHEME: SESSION 6**

Learning Objective: Plan and undertake an audit

Enabling Objectives:

Identify key food safety aspects for auditing & produce an audit checklist

<b>Criteria</b>	<b>Marks</b>
Checklist covers all areas within the scope of the audit	2 marks
Relevant audit criteria addressed	2 marks
Checklist identifies evidence to be viewed during audit	2 marks
Checklist identified people to be interviewed during audit	2 marks
Reference to social policy/objectives and planned results included	2 marks
Logical structure for audit, picking up relevant audit trails	2 marks

Maximum 12 marks. Students must score a minimum of 8 marks to successfully complete the exercise. Students achieving less than this may be invited to re-submit.

**E. Example Continuous Assessment Record (Completed)**

This example document has been designed to meet the minimum requirements of IRCA/2013 and IRCA/2000. This is only a minimum example, and you may use any format you wish that meets the IRCA requirements.

<b>PERSONAL CONTINUOUS ASSESSMENT RECORD</b>		
<b>Name:</b> _____ <i>A Person</i>		<b>Course dates:</b> _____ <i>1- 3 April</i>
<b>Learning Objective</b>	<b>Tasks</b>	<b>Achieved</b>
Describe & undertake the role of an auditor and/or team leader to plan an audit.  Describe and interpret the requirements of the ETI Base Code in the context of an audit.	Complete a desktop review: Make the appropriate recommendation.	<b>C</b>
	Prepare an appropriate audit plan and define: The correct audit scope The sequence of audit activities Adequate resources	<b>C</b> <b>C</b> <b>C</b>
Describe & undertake the role of an auditor to manage and conduct an audit to evaluate an organization's conformance with the ETI Base Code.  Describe and interpret the requirements of the ETI Base Code in the context of an audit.	Prepare a checklist for a defined audit activity, to include as necessary: Areas/activities to audit Documents and records to review People to interview The potential negative impacts of the audit and how to manage these.	<b>C</b> <b>C</b> <b>C</b> <b>C</b>
	Conduct either an effective management interview or an effective worker interview demonstrating the ability to: Structure interviews and use the audit checklist Follow appropriate trails Gather appropriate information and evidence, and make appropriate notes Ask appropriate questions	<b>C</b> <b>C</b> <b>C</b> <b>C</b>
	Communicate effectively during the audit so that: The auditee is aware of audit progress and any concerns Interviewees understand the purpose of the audit and are as open and relaxed as possible The audit team works effectively together so that the audit plan is followed and that audit trails are followed up	<b>C</b> <b>C</b> <b>C</b>
	Identify conformance and any non-conformance and produce: Correct, clear and accurate non-conformance reports. A report on positive audit findings and opportunities for improvements. An appropriate recommendation for certification/supplier approval of the system	<b>NYC</b> <b>NYC</b> <b>NYC</b>
Describe & undertake the role of an auditor to report an audit.  Describe and interpret the requirements of the ETI Base Code in the context of an audit.	Manage a closing meeting demonstrating the ability to: Manage a meeting to an appropriate agenda Communicate and support audit findings	<b>C</b> <b>NYC</b>
	Correctly evaluate proposed corrective actions.	<b>C</b>
Performance in each area of competence is marked a) competent or b) not yet competent. To pass the course students must achieve 'competent' pass in each section.		
Tutor Signature: _____ A Tutor _____ Date: _____ 3 April _____		
Tutor Signature: _____ B Tutor _____		

## **F. Background to international norms and conventions**

The United Nations **Universal Declaration of Human Rights of 1948** is a defining document that describes the issues of concern within a workplace.

The International Labour Organisation (ILO) is the entity within the United Nations that takes the lead on social issues and has created a number of core Conventions on human rights. In June 1998 all 174 ILO member states adopted the ILO Declaration on Fundamental Principle and Rights at Work contained within the **Core ILO Conventions**, which are listed at the end of this section. In an employment situation, **National Laws** support these Conventions, as does the ILO Tripartite Declaration of principles concerning Multinational Enterprises and Social Policy of 2000 together with the Guidelines for Multinational Enterprise, which was developed by the Organisation for Economic Co-operation and Development (OECD).