

BSI REGISTERED AUDITOR QUALIFICATION TERMS AND CONDITIONS:

1. Definition

The status "BSI Registered Auditor" is a title granted by BSI Training to an individual who has successfully followed a course of learning and assessment provided by BSI Training.

The title will be suffixed by a reference to a standard for which the individual has qualified i.e. RA (ISO 9001)

2. Qualification

The route to qualification is detailed in the sales literature. Following completion of the process by the applicant the qualification achieved will be confirmed in writing by BSI.

3. Routes to Qualification

3.1. The BSI Registered Auditor Qualification has two grades as follows:

- Auditor
- Lead Auditor

Both grades are applicable to the following management system standards:

ISO 9001
ISO 14001
BS OHSAS 18001
ISO 27001
BS 25999

To assist you in determining which grade is right for you, below are descriptions of the characteristics of each grade. A comprehensive set of requirements is detailed within the specific requirements for each grade.

3.2. Auditor Qualification

This grade is applicable to individuals involved in conducting audits of their own organisation. In most cases, internal auditing will not be the primary work role. Prior to being qualified as a BSI Registered Auditor an applicant must meet the following requirements:

- Have successfully completed the Internal Auditor course and the Advanced Auditor course.
- Have completed at least six audits totalling 18 hours of audit activity, with six audit reports, prior to completing the Qualifying Review.
- Successfully complete a qualifying review

3.3. Lead Auditor

This grade is applicable to individuals involved in audits on a regular basis: working in larger organizations, carrying

out supplier audits, managing audit schedules or audit teams.

Certification to this grade is valuable as it recognises competence in delivering or managing audits. Generally, audits will be a primary work role.

Prior to being qualified as a BSI Registered Lead Auditor, an applicant must meet the following requirements:

- Successfully completed the Lead Auditor course and the Advanced Auditor course.
- Have completed at least six audits totalling 18 hours of audit activity, with six audit reports, prior to completing the qualifying review.
- Successfully complete a qualifying review

In addition to the Auditor Qualification requirements, a BSI Registered Lead Auditor is required to demonstrate evidence of the following:-

- Management of an audit team – for individual audits or in association with the overall audit plan.
- Planning and effective use of resources – for an individual audit team or an overall audit programme.
- Effective communication between the audit team and the auditee.
- Be able to direct audit team members.
- Provide guidance to audit trainees. (Where appropriate)
- Prevent and resolve conflict between auditors and auditees.
- Lead and support audit teams to an appropriate conclusion.
- Co-ordinate the completion of audit reports.

Evidence of the above requirements for Lead Auditor will be reviewed and recorded by the reviewer.

3.4. Multiple Standard Registrations

Where an auditor wishes to become registered to more than one standard contact us and we will outline the most effective route for you.

3.5. The Qualifying Review (applicable for all grades and standards)

BSI will conduct a qualifying review.

BSI responsibilities:-

- Observe the conduct of an audit and confirm that the required competence has been demonstrated.
- Observe that all aspects of the relevant courses are being implemented by the Registered Auditor.

- Confirm that audit techniques are appropriate, concerning, planning, conducting and reporting the audit.
- Record and report back the outcome of the review.

It is anticipated that the review will take approximately 2 - 3 hours, providing the candidate has prepared and provided all relevant information at the outset of the review.

Candidate responsibilities:-

- Make available a selection of audit reports for review. A minimum of six must be available.
- Provide a detailed audit plan prior to the event.
- Ensure that all those involved in the audit are briefed prior to the audit taking place.
- Ensure that a minimum of 1.5 hours audit time is scheduled for the review.
- Conduct the audit.

3.6. Ongoing Maintenance of Qualifications

The auditor must maintain annual evidence of ongoing audit activity. As a minimum, four audits must be completed annually. This will be reviewed at the triennial qualifying review.

Ongoing continual professional development and training in relation to audit updates must be achieved. Attendance at a BSI training course would suit, along with attendance at Registered Auditor Workshops and webinars.

Completion of attendance at an annual training event will enable the qualification certificate to be re-issued.

Every third year an independent qualifying review will be completed. The triennial qualifying review will take the same format as the initial qualifying review, confirming ongoing competence with audits conducted.

4. Use of the Registered Auditor symbol

The certificate of qualification and the right to use the BSI logo shall remain the property of BSI. The qualified auditor agrees to use the logo in accordance with terms detailed below and not to assign, charge, change, licence, transfer or otherwise deal with it in any way.

4.1 Auditor Logo

The BSI Registered Auditor logo is for individuals who have been assessed by BSI as fulfilling the requirements of the

BSI Registered Auditor qualification. It is a valuable marketing tool to promote your overall capability and we encourage you to use it fully.

As a BSI Registered Auditor You May:

- Use the mark as designed by BSI exclusively
- Print the mark in any colour as long as it is uniform
- Use the mark on personal correspondence, curriculum vitae and audit reports providing that such documents are not misleading and imply that the organisation you mention in them is registered
- Use the mark on electronic media (e.g. the internet) providing it relates to your personal details and not that of the products or services of your employer
- Add the management standard (s) (e.g. ISO 9001) beneath the mark so long as it is legible

When the Certification Mark is used alone, it is recommended that:

- The logo is no smaller than 10 x 10mm, unless it is located on a business card
- The font below the mark is Frutiger Light italics or Arial Light italics and is centred below the mark. Font size should be proportional to the size of the mark. Text can flow onto two lines if required.
- The text should be set below the mark at a distance equal to the height of the BSI lettering within the logo.

As a BSI Registered Auditor you may not:

- Use the mark on product certificates (e.g. certificates of analysis, conformity, calibration certificates or testing certificates)
- Display the mark on any products or their packaging
- Use the mark in association with any activity, service or product outside the scope of qualification

Note:

The symbol is specific to the individual registered and may not be transferred to or used by other person.

5. Renewal of Qualification

BSI will require all Qualified Auditors to renew their qualification annually in accordance with the qualification requirements.

Where the Qualified Auditor does not renew the qualification to the satisfaction of BSI, then BSI, at its discretion, may terminate the qualification. Written notification of such termination will be

provided to the Auditor. Upon delivery of such notification, Auditors must refrain from using the title. See also termination below.

6. Termination

BSI reserves the right to terminate this agreement immediately if the auditor fails to comply with its terms, or have acted in a way to bring your association into disrepute.

Upon termination all references to BSI and the BSI logo must be removed from (including but not limited to) any signs, websites, advertising material, stationery or other such material upon or in which the Auditor refers or uses the BSI name or BSI logo. If requested by BSI the Auditor shall confirm in writing to BSI that all such references have been removed. The signed original certificate and all copies must be returned to BSI within 30 days of the date of termination.

7. Fees

Fees for the qualification are directly related to the services delivered by BSI. This includes learning courses and on-site audit and qualification activity. BSI publishes fees annually.

Fees must be paid to BSI in accordance with payment terms. Failure to pay such fees will result in the termination of the qualification (or the qualification process for Applicant Auditors).

8. Complaints

BSI will require all Applicants and Qualified Auditors to notify BSI of any complaints made against the Auditor in pursuit of their audit activities.

BSI reserves the right to investigate such complaints and implement appropriate action. Where BSI considers that the Registered Auditor Qualification is brought in to disrepute BSI reserve the right to terminate the Auditor Qualification.

9. Qualification Certificates

Upon notification of qualification, BSI will provide the Qualified Auditor with a certificate reflecting the qualification obtained. Where qualification renewal requirements have been satisfied, the certificate will be reissued annually.

10. Appeals and Complaints

Applicant and Qualified Auditors may appeal against decisions relating to the qualification or complain in relation to the

operation of the qualification by writing to the BSI Training Director.

11. Confidentiality

BSI undertakes to maintain records and documents pertaining to Applicants or Qualified Auditors that relates to the Registered Auditor Qualification.

BSI undertakes to maintain confidentiality in respect of any information whether documented or undocumented, concerning the Applicant or Qualified Auditor.

The Applicant or Qualified Auditor will, upon request, be provided with access to any documented information held concerning the Applicant or Qualified Auditor.

12. Code of Conduct

It is a condition of the Registered Auditor Qualification that you agree to act in accordance with the following Code of Conduct:

1. To conduct all audit activities with honesty and integrity.
2. Disclose any conflict of interest with those involved in the audit.
3. To maintain confidentiality in relation to all audit activities.
4. Uphold the reputation of all those involved in the audit.
5. Uphold the code of conduct and not bring BSI into disrepute.
6. Not accept any give or inducement in relation to the audit.
7. Co-operate fully with BSI in any formal enquiry procedure.

13. Limitation of Liability

Except for liability for death or personal injury directly resulting from BSI's acts or omissions, BSI's liability in respect of any single event or series of events for breach of BSI's obligations in this agreement shall be strictly limited to the amounts payable by the Qualified Auditor to BSI in the 12 months preceding the date of the event or events giving rise to the loss.

14. Law

The agreement between BSI and the Applicant or Qualified Auditor will be governed by English law.