



**African Organisation for Standardisation**

**ARSO-QP-02: PROCEDURE FOR REGISTRATION OF AUDITORS**

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	AFRICAN ORGANISATION FOR STANDARDISATION	ARSO-QP-01
	PROCEDURE FOR REGISTRATION OF AUDITORS	ISSUE NO. 1



AFRICAN ORGANISATION FOR STANDARDISATION

ARSO-QP-01

PROCEDURE FOR REGISTRATION OF AUDITORS

ISSUE NO. 1

**AUTHORIZATION:**

This Procedure is issued under the authority of:

NAME: ANDRREW MAIYO

TITLE/POSITION: SECRETARY GENERAL

SIGNATURE:

A handwritten signature in blue ink, appearing to read 'Andrew Maiyo', is written over a light blue horizontal line.

DATE: 19<sup>th</sup> October 2009

**DOCUMENTATION CONTROL**

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ISSUED BY: PHILIP OKUNGU

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## 1. PURPOSE

The purpose of this procedure is to outline the process for Registration and maintenance of African Auditors.

## 2. SCOPE

These procedures apply to the process of registration of auditors from application, maintenance and upgrading.

## 3. REFERENCES

- 3.1 ISO 17024:2003 Conformity assessment -- General requirements for bodies operating certification of persons.
- 3.2 ARSO-QP – 04 Procedure for Non-conforming Product and Service
- 3.4 ARSO-QP – 05 Procedure for Corrective Action
- 3.5 ARSO-QP – 06 Procedure for Preventive Action

## 4. DEFINITIONS AND ABBREVIATIONS

- 4.1 African Auditor** – An auditor dully vetted by a National Standards Body in Africa, or a national body for personnel certification and who meets the criteria given in **Appendix 2**.
- 4.2 ARCA** – African Register of Certified Auditors
- 4.3 ARSO** – African Organisation for Standardisation
- 4.4 Certification of Persons** – the process by which a certification body establishes that a person fulfils specified competence requirements, including application, evaluation, decision on certification, surveillance and recertification, use of certificates and logos/marks.
- 4.5 DIM** – Documentation and Information Manager
- 4.6 PRB** – Personnel Registration Body is a body charged with the certifications of persons in an ARSO member country (NSB or other body authorized or accredited for certification of persons).
- 4.7 Registration** – The process that ARSO uses to enlist a dully vetted person in the African Register of Certified Auditors as outlined in this procedure and the accompanying criteria.



## 5. RESPONSIBILITIES

The principal responsibility for implementing this procedure lies with the Documentation and Information Manager.

### 5.1 DIM

The DIM shall ensure that the applicants have the necessary qualifications to become African Auditors as outlined in these procedures and the accompanying criteria for registration.

### 5.2 Personnel Registration Body

The person in charge of the national Personnel Registration Body shall be responsible for evaluation of the applicant for conformity to ISO 17024:2003 prior to forwarding their names to ARSO.

## 6. PROCEDURE DETAILS

### 6.1 Application

6.1.1 Any auditor from an AU Member State above the provisional grade, and meets the criteria in Appendix 2, is eligible to apply to be considered as an African Auditor.

6.1.2 The application shall be done directly online to ARSO using the application form **ARSO-QP-F02-1**.

6.1.3 Upon receipt of the completed application form, the DIM shall check that all the particulars in the form have been filled and meet the criteria for registration. If the form is not dully filled the DIM shall write to the applicant to inform them about the deficiencies.

6.1.4 If the applicant meets the criteria in **Appendix 2**, the DIM shall write to the applicant and inform them to pay the application fees as given in **Appendix 5**. Upon payment of the fees, the DIM shall write to the PRB in the applicant's country to send records of evaluation and audit logs.

6.1.5 All the applicants whose forms have been returned to ARSO by the PRB and meet the criteria in Appendix 2 will be shortlisted for evaluation by ARSO. A record of the applicants shall be kept in form **ARSO-QP-F02-2**.

### 6.2 Evaluation

6.2.1 The applicants listed in **ARSO-QP-F02-2** shall be evaluated using the criteria in **Appendix 2**.

6.2.2 Any applicants not meeting the criteria shall be informed about the deficiencies and will not be registered until they have met the registration criteria.

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### 6.3 Registration

6.3.1 The Applicant shall pay the applicable fees as given in **Appendix 5** before any registration is made.

6.3.2 The identified applicants shortlisted in form **ARSO-QP-F02-2** shall be categorized into their respective fields and registered in the ARSO register **ARCA-01**.

6.3.3 The DIM shall forward the Register **ARCA-01** to the Secretary General for approval.

6.3.4 Once the Register has been approved the DIM shall prepare the auditor identification card (AIC) and write to the successful applicants forwarding the AIC and copies of the current code of ethics.

### 6.3 Maintenance

6.3.1 All auditors registered in ARCA shall maintain their registration by:

- a) Performing the minimum number of audits given in the Criteria for that grade of auditor (see Appendix 2).
- b) Participating in CPDs (see Appendix 3) provided by NSB's, ARSO, or other equivalent body.

6.3.2 Auditors who fail to re-apply in the subsequent year and have not been involved in any CPD, shall be suspended and their names, though they may be included in the ARCA, will not be engaged in any auditing work.

6.3.3 Auditors who fail to attend CPDs or do not re-apply for two subsequent years shall be struck off the ARCA in accordance with **clause 6.5**.

### 6.4 Upgrading

6.4.1 Auditors who have not reached the apex auditor grade (Chief Auditor) can apply for upgrading by using form **ARSO-QP-F02-1**.

6.4.2 The DIM shall verify the audit logs forwarded by the PRB against Criteria in Appendix 2 and CPD training records as basis for evaluation of the auditor and subsequent upgrading to the next grade.

6.4.3 If the auditor qualifies, s/he shall pay the applicable fees before inclusion into the ARCA-01.

### 6.5 De-registration

6.5.1 An African Auditor may be de-registered for the following reasons:

- a) Gross misconduct involving breach of the Code of Professional conduct given in **Appendix 4**.

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b) Failure to participate in audits continuously for two consecutive years

c) Failure to re-apply for two consecutive years.

6.5.2 Auditors who have been de-registered for the reasons given in 6.5.1 (a) and 6.5.1 (b) may apply for re-registration.

6.5.3 The grade at which the auditor was de-registered will not count and the applicant will be considered for the lowest ARCA grade.

6.5.4 An auditor that has been de-registered may appeal in accordance with **ARSO-QP-02** Procedure for Appeal.

6.5.5 An auditor de-registered owing to gross misconduct and whose appeal was not granted shall not be eligible for re-registration.





## **7. APPENDICES**

7.1 Appendix 1: Copy holders

7.2 Appendix 2: Criteria for Registration

7.3 Appendix 3: List of Continual Professional Development courses

7.4 Appendix 4: Auditor's code of Professional Conduct

7.5 Appendix 5: Fee Table



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### **APPENDIX 1: LIST OF COPY HOLDERS**

COPY NO.	COPY HOLDER
0	DIM
1	Master copy (For reference use only)
2	Secretary General's Copy
3	President's Copy

**APPENDIX 2: CRITERIA FOR REGISTRATION OF AUDITORS****A2.1 ISO 9001: 2008 QMS Auditor**

SL	CRITERIA ITEM	MINIMUM QUALIFICATIONS	REMARKS
1.	<b>Education</b>	Higher National Diploma(HND) or Equivalent	Entry Level for this auditor Grade is first degree. Diploma will be considered with 6 years experience.
2.	<b>Work Experience</b>	1. 6 years for Diploma 2. 4 Years for Degree 3. 3 years for advanced degree in quality related area.	
3.	<b>Training</b>	An IRCA Certified QMS Auditor/Lead Auditor Course or ARSO Certified Course or <b>accepted alternatives</b> .	<b>Accepted alternatives<sup>1</sup></b> are those certified by the National Certification Body, a National Quality Institute, those recommended by the National PRB or a Regional Certification Body/PRB.
4.	<b>Auditing Experience</b>	1. Total of 20 days in auditing as a trainee-auditor, 10 days of which were on-site. 2. Led 3 audits totalling 10 days onsite.	Refer to IAF guide and current edition of ISO 19011 for other criteria.

<sup>1</sup> The PRB or Course Provider needs to notify ARSO about the accepted alternative.

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### A2.2 ISO 9001: 2008 QMS Principal Auditor

SL	CRITERIA ITEM	MINIMUM QUALIFICATIONS	REMARKS
1.	<b>Education</b>	Higher National Diploma(HND) or Equivalent	Entry Level for this auditor Grade is first degree. Diploma will be considered with 6 years experience.
2.	<b>Work Experience</b>	<ol style="list-style-type: none"> <li>1. 6 years for Diploma</li> <li>2. 4 Years for Degree</li> <li>3. 3 years for advanced degree in quality related area.</li> </ol>	
3.	<b>Training</b>	An IRCA Certified QMS Auditor/Lead Auditor Course or ARSO Certified Course or <b>accepted alternatives</b> .	<b>Accepted alternatives<sup>2</sup></b> are those certified by the National Certification Body, a National Quality Institute, those recommended by the National PRB or a Regional Certification Body/PRB.
4.	<b>Auditing Experience</b>	<ol style="list-style-type: none"> <li>1. Led 7 audits totalling 20 onsite days or</li> <li>2. Led 4 audits if they are holders of Auditor Grade Certification or</li> <li>3. Led 3 audits where you were required to demonstrate effective audit management skills within complex and demanding situations while in possession of QMS Auditor Grade Certification.</li> </ol>	

### A2.3 ISO 14001: 2004 EMS Auditor

Same as in A2.1 and in addition refer to the current edition of ISO 19011 for specific criteria for Environmental Auditors.

<sup>2</sup> The PRB or Course Provider needs to notify ARSO about the accepted alternative.

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**A2.4 ISO 14001: 2004 Principal EMS Auditor**

Same as in A2.2 and in addition refer to the current edition of ISO 19011 for specific criteria for Environmental Auditors.

**A2.5 ISO 22000: 2005 FSMS Auditor**

Same as in A2.1 and in addition refer to ISO 22003:2007 Clause 7.2.4 for specific criteria for Food Safety Auditors.

**A2.6 ISO 22000: 2005 Principal FSMS Auditor**

Same as in A2.2 and in addition refer to ISO 22003:2007 Clause 7.2.4 for specific criteria for Food Safety Auditors.

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### APPENDIX 3: LIST OF CONTINUING PROFESSIONAL DEVELOPMENT (CPD) COURSES

<b>COURSE CODE</b>	<b>COURSE TITLE</b>	<b>DURATION (DAYS)</b>	<b>REMARKS</b>
ARSO-QALA-001	ARSO QMS Auditor/ Lead Auditor Course	5	Equivalents in respective NSB or Quality Institutes or IRCA accepted
ARSO-EALA-001	ARSO EMS Auditor/ Lead Auditor Course	5	Equivalents in respective NSB or Quality Institutes or IRCA accepted
ARSO-FALA-001	ARSO FSMS Auditor/ Lead Auditor Course	5	Equivalents in respective NSB or Quality Institutes or IRCA accepted



#### APPENDIX 4: AUDITORS' CODE OF PROFESSIONAL CONDUCT

The following principles relate to auditors.

1. **Ethical conduct:** the foundation of professionalism. Trust, integrity, confidentiality and discretion are essential to auditing.
2. **Fair presentation:** the obligation to report truthfully and accurately. Audit findings, audit conclusions and audit reports reflect truthfully and accurately the audit activities. Significant obstacles encountered during the audit and unresolved diverging opinions between the audit team and the auditee are reported.
3. **Due professional care:** the application of diligence and judgement in auditing. Auditors exercise care in accordance with the importance of the task they perform and the confidence placed in them by audit clients and other interested parties. Having the necessary competence is an important factor.

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## APPENDIX 5: FEE TABLE

SL	ITEM	FEES (USD)
1.	Application Fees	50
2.	Annual Registration	100
3.	Evaluation by PRB	As per PRB standard Fees
4.	Upgrading	100