**R20.41: SRI Auditor Technical Qualifications Form**

**Note**: All certificates of accreditation issued by the ANAB and RvA reference only the IAF Codes. Class 3, High Risk, is indicated by an asterisk in the IAF column.

| **IAF** | **Approved** | | **IAF Descriptions** | **QMS Processes** | **EMS Processes** | **OHS Processes** |
| --- | --- | --- | --- | --- | --- | --- |
| **ANAB** | **RvA** |
| 02 | X | X | Mining and quarrying | Production involves screening (scalping) to remove fines and waste material followed by crushing and screening to produce material with specified size grades. Crushing is carried out to reduce the size of the as quarried mineral from large blocks (up to a metre across) to a size finer than 20 to 50 mm. This size reduction is carried out in stages.  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | All EMS activities have fundamental steps to follow; 1) Review the Aspects and impacts 2) Ensure an understanding of the Legal Requirements 3) Establish necessary controls 4) Suitably address competence 5) Controls are in place 6) Review objectives and targets and programmes 7) Emergency preparedness and response 8) Emissions; spills, chemicals; training and related records; recycling; conservation of natural resources via controlled use of utilities; protection of wetlands and streams; determination and maintenance of legal regulations | All OHS activities have fundamental steps to follow and rely on auditor knowledge of particular industry and identification of applicable hazard; 1) Review Hazard Identification / related risks & opportunities. 2) Review the determination of legal / other requirements 3) Establish OH & S objectives and plan controls 4) Suitably address competence 5) Confirm controls are in place 6) Confirm Emergency preparedness and response 7) Assess Management of Change 8) Review monitoring of performance, with an emphasis on process to evaluate compliance to legal requirements 9) Evaluate Incidents and accidents investigation |
| 03\* | X |  | Food products, beverages, and tobacco Must confirm applicable food categories A through M on the Tech Quals Sheet for FSMS audits. | Inspection, incoming raw material inspection, food prep, (production, process controls, temperature, pressure,). Final product inspection. Cat A - Farming Animals Cat B - Farming Plants Cat C - Processing animal products  Cat D - Processing vegetal products  Cat E - Processing long shelf life products  Cat F - Feed production  Cat G - Catering  Cat H - Distribution  Cat I - Services  Cat J - Transport and Storage  Cat K - Equipment Manufacturing  Cat L - (Bio) Chemical Mfg  Cat M - Packaging Material | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 06 | X |  | Wood and wood products | Product identification; work instructions; process controls; tooling controls; performance testing equipment; safety testing equipment  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | EMS activities as listed above | OHS activities as listed above |
| 07 | X |  | Pulp, paper and paper products | Product identification; work instructions; process controls; tooling controls; performance testing equipment; safety testing equipment  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | EMS activities as listed above | OHS activities as listed above |
| 08 | X |  | Publishing companies | Ink/paint storage & identification; color mixing equipment w/ suitable metering and weighing; design equipment & personnel; color match testing equipment; master control; penetration of die cut; core identification and count control. Master control; control of recording levels; software control; control of recording media; (for CD and DVD - injection molding controls; application of reflective surface. | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 09 | X |  | Printing companies | Ink/paint storage & identification; color mixing equipment w/ suitable metering and weighing; design equipment & personnel; color match testing equipment; master control; penetration of die cut; core identification and count control. Master control; control of recording levels; software control; control of recording media; (for CD and DVD - injection molding controls; application of reflective surface. | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 10 | X | X | Manufacture of coke and refined petroleum products | Carborization, by product production, non-recovery coke making, thermal processing, testing, loading  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | EMS activities as listed above | OHS activities as listed above |
| 12\* | X | X | Chemicals, chemical products and fibres | Design (formulation) control; material identification; metering control (e.g., flow meters, scales); adequate laboratory with standards and material control; automatic safety devices and warnings; labeling and packaging for safety, use, etc. Clear material identification, including personal protective equipment; appropriate process controls (e.g., heat, time, pressure, vacuum, component insertion methods, filtration); material separation; processing environment controls, volumetric and/or weight controls for packaging | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 14 | X | X | Rubber and plastic products | Design control; metering controls, e.g., flow, weight, for mixing/ blending; process controls, e.g., time & temperature for mixing/blending; tooling design controls; thermo process controls, e.g., time, temperature, flow rates, pressure, cooling, post-process size controls, insertion of components; marking/printing controls, e.g., color, size, font, words, graphics; size management; as applicable, functional testing equipment and standards. | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 15 | X | X | Non-metallic mineral products | Procedures for blending/mixing; color matching and control equipment & master controls; tooling control (may include design); furnace control (temperature, gas mix if applicable); blow molding process controls. e.g.., temperature, mold time, release agents; post-heat control, e.g., holding forms, quench (if applicable); lab equipment, standard and analysis instructions; sieve size controls. | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 16 | X |  | Concrete, cement, lime, plaster, etc. | Procedures for mixing or blending; size control, e.g., for plaster board; forms and mold controls, e.g., for making highway barriers; application and adhesion controls, e.g., for applying paper cover to plaster board; lab equipment, standards and procedures as applicable. | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 17 | X | X | Basic metals and fabricated metal products | Mold/pattern making; post heat or annealing; extruding/forming; performance testing; deflashing; stamping; machining; welding  Furnace charging; melt/re-heat/anneal; alloy analysis; alloying; pouring; rolling, sizing  Plating; machining; fabrication; heat treatment | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 18 | X | X | Machinery and equipment | Receiving inspection; product identification; work instructions; process controls; tooling controls; performance testing equipment; safety testing equipment, storage, calibration; maintenance & preventive maintenance history records, document control; non-conforming material control; training and related records | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 19 | X |  | Electrical and optical equipment | Design control; material identification; testing equipment with standards and instructions; ESD (electro-static discharge) controls (effective grounding of work area and equipment). Temperature control, software development and related controls, wire-winding, post-winding impregnation, chemical segregation, mixing, application, in-process testing, extrusion controls, e.g., temperature, color, speed, cooling, cut-to-size, vacuum monitoring meters, blending/missing controls, e.g., particle size control, mixing time, mixing methods, molding/tooling controls. | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 21\* | X |  | Aerospace | Quotes and Orders, Engineering and Design, Supplier material(product and Service acquisition), Product ID, Process Controls, Manufacturing, Inspection, Testing, Assembly and Test, Shipping, Control of NCM, Doc Control | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 22 | X | X | Other transport equipment | Queuing of inventory; damage protection; work instructions; sub-assembly fixture control; uni-body fixture control; welding process controls; torque controls; as-needed in-process tests; control of functional and safety test equipment; effective post-assembly protection for subsequent transportation. | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 23 | X |  | Manufacturing not elsewhere classified | Refer to other related manufacturing  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | EMS activities as listed above | OHS activities as listed above |
| 24 | X |  | Recycling | Shredding, heating to remove contaminants, screening, bundling/packaging, shipping  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | EMS activities as listed above | OHS activities as listed above |
| 28\* | X |  | Construction | Control of architectural drawings and changes; control of destination for excess dirt, etc.; reasonable protection of materials from the elements - as applicable; defined qualifications for skilled trades; defined qualifications for un-skilled trades; permits; defined inspection points, frequencies and checklists; knowledge of applicable building codes; as applicable, licenses for specific jobs; as applicable, defined qualification criteria for equipment (size, limitations, maintenance, safety equipment) | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 29 | X | X | Wholesale and retail trade; repair of motor vehicles, motorcycles and personal and household goods | Ad copy review & control; diagnostics and repair instructions w/competent personnel; temperature control with power back-up; confidentiality of credit information; properly executed sales documents; pilfering protection; complete and correct title transfer; detailing instructions; delivery and execution of warranty actions | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 31 | X |  | Transport, storage and communications | Ownership and destination control; use of approved and/or qualified carriers; coordination of delivery with customer and destination; safe, effective loading of material into carrier vehicle; padding, skidding, crating as warranted; securing material from movement during shipment; listening to and determination of customer needs, prior to and after transaction; two-way communication - human to human, device to device or a combination of both | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 32 | X |  | Financial intermediation, real estate, renting | Accept Deposits, Make Loans, Act as Middleman, Rules, Regulations,  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | EMS activities as listed above | OHS activities as listed above |
| 33\* | X |  | Information technology | Budgeting, Service Intro, Business Continuity, HR, Monitoring Services, Purchasing, Change Management, Incident Management, Configuration Management, Security Mgmt, Document Mgmt, Capacity Mgmt, Service delivery, Supplier Management, Solution Design, Facilities Management, Service Improvement, Compliance/Internal Audit | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 34\* | X | X | Engineering services | Since this is primarily a service sector, many of the processes will be similar or identical to some that are common to manufacturing, e.g., contract review, design and purchasing.  Others: knowledge of key legal requirements; typical laboratory controls, e.g., cleanliness, calibration, test protocols, validated equipment; special credential maintenance requirements - current credentials; validation of results using an alternative, validated process; maintenance of confidentiality | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 35 | X |  | Other services | Since this is primarily a service sector, many of the processes will be similar or identical to some that are common to manufacturing, e.g., contract review, design and purchasing.  Others: knowledge of key legal requirements, e.g., accounting practices unique to state in which organization operates; special credential maintenance requirements - current credentials; validation of results using an alternative, validated process; maintenance of confidentiality | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 36 |  |  | Public Administration [of the State and the economic and social policy of the community (*occupational health and safety Unaccredited*)] | OHS activity  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | EMS activities as listed above | OHS activities as listed above |
| 37 | X |  | Education | Input from various sources, including government requirements; assurance that materials meet course requirements; background checks for instructors; determine qualifications and competency of instructors; evaluation of equipment, facilities, etc.; pre-admission qualification of students; during and post-coursework evaluation (testing) of students; adjustments based on valid inputs | EMS activities as listed above  Additional QMS criteria:  Business sector knowledge related to: a) relevant issues (internal / external) that affect its ability to achieve its intended results. b) needs of relevant interested parties. c) boundaries and applicability of the QMS to establish its scope. | OHS activities as listed above |
| 38\* | X |  | Social Work Activities | Defined procedures and/or protocols for initial intake; presence of competent personnel and test equipment; independent review of diagnosis and resultant treatment plans; security and related records for all drugs, emphasis on controlled substances; effective maintenance and preventive maintenance, including calibration of test and diagnostic equipment; process for determination of qualification and competency of all personnel; feedback system and modification as warranted; maintenance of confidentiality of patient information. | EMS activities as listed above | OHS activities as listed above |
|  | X |  | Medical Devices | Defined procedures for medical device development including, design, development, processing, testing, effective maintenance, calibration and legal compliance where required. | EMS activities as listed above | OHS activities as listed above |

**TECHNICAL QUALIFICATIONS**

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| **Name:** |  | | **Date:** |  |
| **General Education [degree(s), year(s)]:** | |  | | |
| **Specific Education in Management Systems (CQE, CQA, IQA, ISO 9000, ISO/TS 16949, etc.):** | | | | |
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The "X" below indicates that the individual meets the scope for technical expertise. Education can substitute for actual workplace experience. Auditors shall be considered qualified competent to perform assessments in a particular IAF code by meeting one or more of the following criteria;

1. A minimum of 2 years of technical/work experience in the specific IAF reference code industry. (One year with a bachelor degree or higher)

2. Three (3) audits within a specific IAF reference code, or at least three months management consulting in a particular IAF code.

3. Training in a specific sector plus one (1) audit within a specific IAF code.

| **Declared Expertise** | **IAF** | **IAF Description** | **Work** | **Audits** | **Consulting** | **Training** | **Documentation (see Key below)** |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | 02 | Mining and quarrying |  |  |  |  |  |
|  | 03 | Food products, beverages, and tobacco -food categories A through M must be completed by FSMS (ISO 22000) auditors |  |  |  |  |  |
|  |  | Cat A - Farming Animals |  |  |  |  |  |
|  |  | Cat B - Farming Plants |  |  |  |  |  |
|  |  | Cat C - Processing animal products |  |  |  |  |  |
|  |  | Cat D - Processing vegetal products |  |  |  |  |  |
|  |  | Cat E - Processing long shelf life products |  |  |  |  |  |
|  |  | Cat F - Feed production |  |  |  |  |  |
|  |  | Cat G - Catering |  |  |  |  |  |
|  |  | Cat H - Distribution |  |  |  |  |  |
|  |  | Cat I - Services |  |  |  |  |  |
|  |  | Cat J - Transport and Storage |  |  |  |  |  |
|  |  | Cat K - Equipment Manufacturing |  |  |  |  |  |
|  |  | Cat L - (Bio) Chemical Mfg |  |  |  |  |  |
|  |  | Cat M - Packaging Material |  |  |  |  |  |
|  | 06 | Wood and wood products |  |  |  |  |  |
|  | 07 | Pulp, paper and paper products |  |  |  |  |  |
|  | 08 | Publishing companies |  |  |  |  |  |
|  | 09 | Printing companies |  |  |  |  |  |
|  | 10 | Manufacture of coke and refined petroleum products |  |  |  |  |  |
|  | 12 | Chemicals, chemical products and fibres |  |  |  |  |  |
|  | 14 | Rubber and plastic products |  |  |  |  |  |
|  | 15 | Non-metallic mineral products |  |  |  |  |  |
|  | 16 | Concrete, cement, lime, plaster, etc. |  |  |  |  |  |
|  | 17 | Basic metals and fabricated metal products |  |  |  |  |  |
|  | 18 | Machinery and equipment |  |  |  |  |  |
|  | 19 | Electrical and optical equipment |  |  |  |  |  |
|  | 21 | Aerospace |  |  |  |  |  |
|  | 22 | Other transport equipment |  |  |  |  |  |
|  | 23 | Manufacturing not elsewhere classified |  |  |  |  |  |
|  | 24 | Recycling |  |  |  |  |  |
|  | 28 | Construction |  |  |  |  |  |
|  | 29 | Wholesale and retail trade; repair of motor vehicles, motorcycles and personal and household goods |  |  |  |  |  |
|  | 31 | Transport, storage and communication |  |  |  |  |  |
|  | 32 | Financial intermediation, real estate, renting |  |  |  |  |  |
|  | 33 | Information technology |  |  |  |  |  |
|  | 34 | Engineering services |  |  |  |  |  |
|  | 35 | Other services |  |  |  |  |  |
|  | 36 | Public Administration |  |  |  |  |  |
|  | 37 | Education |  |  |  |  |  |
|  | 38 | Social Work Activities |  |  |  |  |  |
|  | \* | Medical Devices |  |  |  |  |  |

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***Documentation Key:*** 1. Resume, 2. Certificate, 3. Auditor Log, 4. Affidavit, 5. Other, 6. Training

**Verification Signature**: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**\*Refer to Technical Qualification Summary Sheet, next page** Director, Certification

(This page must be completed with detailed explanations of the above selected, IAF code, technical qualification declared expertise.)

**TECHNICAL QUALIFICATIONS (Cont'd)**

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| IAF Code | Auditors shall be considered qualified competent to perform assessments in a particular IAF code by meeting one or more of the following criteria;  1. A minimum of 2 years of technical/work experience in the specific IAF reference code industry. (One year with a bachelor degree or higher)  2. Three (3) audits within a specific IAF reference code, or at least three months management consulting in a particular IAF code.  3. Training in a specific sector plus one (1) audit within a specific IAF code. |
| ***Example:***  *IAF 17* | *Fifteen years with National Steel as Director of Quality. Progressive responsibilities included quality planning and assurance. Also administered the internal audit system, production operation, operations support and subcontractors.* |
| ***Example:***  ***Medical Devices*** | *List experience as indicated under Annex A of IAF MD-9. List main Technical Area, Technical Areas and related product categories (A.1.1, A.1.2, A.1.3, A.1.4, A.1.5, A.1.6 – list associated product categories covered under the Technical Areas)* |
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