

Competence of Auditors

This information note provides an updated specification for the competences required of an auditor when undertaking audits of diving contractors, and replaces information notes IMCA D 18/01 and IMCA D 10/10 which have now been withdrawn. Two types of auditor have been identified:

- ◆ DESIGN-type audit of the dive system;
- ◆ Safety management/company audit of diving contractor.

For a DESIGN (Diving Equipment Systems Inspection Guidance Note) audit, the auditor would be expected to follow the appropriate IMCA document; either **IMCA D 023** – for surface orientated (air) systems, **IMCA D 024** – for saturation (bell) diving systems, **IMCA D 037** – for surface supplied mixed gas diving systems, **IMCA D 040** – for mobile/portable surface supplied diving systems and **IMCA D 053** – for hyperbaric evacuation systems (in preparation).

As advertised in **IMCA D 011** – *Annual auditing of diving systems*, a risk assessment should be carried out to identify the number of personnel and specialist disciplines requested to undertake the full DESIGN audit, or to verify the DESIGN report, and this will depend on the complexity of the system.

The auditors would be expected to have appropriate operational knowledge of the type of diving system to be audited and to have undergone formal training in auditing techniques.

For a company audit aimed at evaluation of the health and safety management/company management systems of a diving contractor, the auditor would normally have an auditing qualification and, where the auditor does not have technical diving expertise, be supported by a technical assessor.

All current auditors who have been actively involved in the diving industry during the previous two years and who have in the past carried out either type of audit should be able to continue to carry out such audits, provided that they can provide evidence of audit experience and demonstrate competence as set out in the attached competence tables.

Any new auditor would be expected to carry out two audits accompanied by an auditor experienced in the type of audit, and to meet the competences set out in the appropriate accompanying table before the new auditor would be eligible to carry out audits unaccompanied.

Before becoming a lead auditor, any auditor should have undertaken three similar diving system audits or three safety management system (SMS)/company audits as appropriate.

The competence assurance table for a dive system auditor is attached at Appendix 1 and that for a SMS/company auditor is attached at Appendix 2.

Job Function: Dive System Auditor (DESIGN)

Code	Competence	Knowledge	Ability	Demonstration
P/P01/000/01	Safety	<ul style="list-style-type: none"> ◆ Personal safe working practices and safety procedures on-board the vessel and/or installation ◆ All relevant legislation and guidance ◆ Company safety management systems ◆ Relevant IMCA/industry guidance including: <ul style="list-style-type: none"> - IMCA D 023 – DESIGN for surface orientated (air) systems - IMCA D 024 – DESIGN for saturation (bell) diving systems - IMCA D 037 – DESIGN for surface supplied mixed gas diving systems - IMCA D 040 – DESIGN for mobile/portable surface supplied diving systems - IMCA D 053 – DESIGN for hyperbaric evacuation systems (in preparation) - IMCA D 011 – Annual auditing of diving systems - IMCA D 018 – Code of practice on the initial and periodic examination, testing and certification of diving plant and equipment - IMCA D 014 – IMCA international code of practice for offshore diving (ICoP) 	<ul style="list-style-type: none"> ◆ Apply technical knowledge to undertake dive system audit safely ◆ Follow emergency procedures ◆ Adhere to company safety management systems ◆ Raise concerns when observing or identifying non-compliance that may affect safety of personnel or the environment 	<ul style="list-style-type: none"> ◆ Approved assessment by company official ◆ Approved and documented in-service experience

Code	Competence	Knowledge	Ability	Demonstration
P/P01/000/02	Auditing and administration	<ul style="list-style-type: none"> ◆ Common audit processes and procedures and those unique to DESIGN audits including the meaning of terms used in DESIGN context such as: <ul style="list-style-type: none"> - examinations - function tests - testing - validity periods - modifications - detail sheets ◆ Contracts and agreements relevant to the audit process ◆ DESIGN document requirements for the type of system being audited ◆ Quality management systems, principles and tools ◆ Relevant administrative terminology, techniques and systems ◆ Processes, products, including services of the audited party ◆ Organisational size, structure, functions and relationships of the audited party 	<ul style="list-style-type: none"> ◆ Apply audit principles, procedures and techniques ◆ Apply DESIGN document requirements for the type of system being audited ◆ Comply with the audit terms of reference ◆ Accurately record all information required and maintain confidentiality and security of the information obtained ◆ Plan the audit and make effective use of resources ◆ Conduct the audit and submit reports in appropriate formats within agreed procedures and timescales ◆ Collect objective audit evidence verify accuracy of collected information ◆ Prioritise and focus on matters of significance ◆ Verify accuracy of collected information and report non-conformances ◆ Evaluate adequacy of audit evidence and other factors affecting audit findings and conclusions ◆ Take into account/be aware of broader issues, e.g. HSE concerns during the audit ◆ Ensure the DESIGN report is accurate, meaningful and comprehensive 	<ul style="list-style-type: none"> ◆ Current certification as recognised by the International Register of Certificated Auditors (IRCA) or similar and proof of formal training attended ◆ Approved assessment by company official ◆ Approved and documented in-service experience

Code	Competence	Knowledge	Ability	Demonstration
P/P01/000/03	Diving operations, systems and equipment	<ul style="list-style-type: none"> ◆ Diving techniques and practices and the environment in which the plant is to be used ◆ Examinations and tests relevant to the systems and equipment to be tested ◆ Specific type of diving system and equipment to be audited including: <ul style="list-style-type: none"> - dive panels - chambers - launch and recovery systems - diving equipment - umbilicals - diver heating systems - gas storage, compression and reclaim systems - planned maintenance systems (PMS) ◆ Relevant IMCA/industry guidance including: <ul style="list-style-type: none"> - IMCA D 023 – DESIGN for surface orientated (air) systems - IMCA D 024 – DESIGN for saturation (bell) diving systems - IMCA D 037 – DESIGN for surface supplied mixed gas diving systems - IMCA D 040 – DESIGN for mobile/portable surface supplied diving systems - IMCA D 053 – DESIGN for hyperbaric evacuation systems (in preparation) - IMCA D 011 – Annual auditing of diving systems - IMCA D 018 – Code of practice on the initial and periodic examination, testing and certification of diving plant and equipment - IMCA D 014 – IMCA international code of practice for offshore diving (ICoP) - OGP 411 – Diving Recommended Practice 	<ul style="list-style-type: none"> ◆ Apply operational knowledge to audit process ◆ Satisfy themselves that the necessary examinations and tests have been carried out in accordance with appropriate standards required for DESIGN audit ◆ Satisfy themselves that the design or construction of diving plant makes it suitable for use ◆ Make an independent judgement on the safety of what is being tested or examined or the activity that is being supervised ◆ Follow relevant regulations, standards, codes, guidelines, flag state requirements and 'in house' management systems relating to the diving system being audited 	<ul style="list-style-type: none"> ◆ Approved assessment by company official ◆ Approved and documented in-service experience

Code	Competence	Knowledge	Ability	Demonstration
		<ul style="list-style-type: none"> - DMAC 15 – Medical equipment to be held at the site of an offshore diving operation - DMAC 28 – The provision of emergency medical care for divers in saturation 		
P/P01/000/04	Personal skills and communication	<ul style="list-style-type: none"> ◆ Principles of effective verbal and written communication techniques ◆ Principles of effective questioning ◆ Cultural, social and organisational customs of the audited party 	<ul style="list-style-type: none"> ◆ Communicate effectively with all appropriate personnel in order to carry out and complete DESIGN audits ◆ Communicate audit approach findings clearly with the audited party and produce satisfactory reports ◆ Interface with lead auditor if applicable ◆ Identify and communicate early any potential conflict of interest situations ◆ Recognise any limitations of their competence and when to request specialist assistance as needed 	<ul style="list-style-type: none"> ◆ Approved assessment by company official ◆ Approved and documented in-service experience ◆ Review completed reports

Job Function: Safety Management/Company Auditor

Code	Competence	Knowledge	Ability	Demonstration
P/P02/000/01	Safety	<ul style="list-style-type: none"> ◆ Personal safe working practices and safety procedures in the offices and/or workshop/warehouse facilities ◆ Relevant legislation and guidance ◆ Company safety management systems 	<ul style="list-style-type: none"> ◆ Follow emergency procedures ◆ Adhere to company safety management systems ◆ Raise concerns when observing or identifying non-compliance that may affect safety of personnel or the environment 	<ul style="list-style-type: none"> ◆ Approved assessment by company official ◆ Approved and documented in-service experience
P/P02/000/02	Management systems	<ul style="list-style-type: none"> ◆ Specific type of management systems to be audited ◆ Requirements of <i>IMCA D 014 – IMCA international code of practice for offshore diving (ICoP)</i> and applicable guidance notes 	<ul style="list-style-type: none"> ◆ Apply operational knowledge to audit process ◆ Follow relevant regulations, standards, codes, guidelines, flag state requirements and ‘in house’ management systems relating to the system being audited 	<ul style="list-style-type: none"> ◆ Approved assessment by company official ◆ Approved and documented in-service experience
P/P02/000/03	Auditing and administration	<ul style="list-style-type: none"> ◆ Common audit processes and procedures ◆ Contracts and agreements relevant to the audit process ◆ Relevant document requirements for the type of system being audited ◆ Quality management systems, principles and tools ◆ Relevant administrative terminology, techniques and systems ◆ Processes, products, including services of the audited ◆ Organisational size, structure, functions and relationships of the audited party 	<ul style="list-style-type: none"> ◆ Apply audit principles, procedures and techniques ◆ Apply relevant document requirements for the type of system being audited ◆ Comply with the audit terms of reference ◆ Accurately record all information required and maintain confidentiality and security of the information obtained ◆ Plan the audit and make effective use of resources ◆ Conduct the audit and submit reports in appropriate formats within agreed procedures and timescales ◆ Collect objective audit evidence verify accuracy of collected information ◆ Prioritise and focus on matters of 	<ul style="list-style-type: none"> ◆ Current certification as recognised by the International Register of Certificated Auditors (IRCA) or similar and proof of formal training attended ◆ Approved assessment by company official ◆ Approved and documented in-service experience

Code	Competence	Knowledge	Ability	Demonstration
			significance ◆ Verify accuracy of collected information and report non-conformances ◆ Evaluate adequacy of audit evidence and other factors affecting audit findings and conclusions ◆ Take into account/be aware of broader issues, e.g. HSE concerns during the audit ◆ Ensure the audit is accurate, meaningful and comprehensive	
P/P02/000/04	Personal skills and communications	◆ Principles of effective verbal and written communication techniques ◆ Principles of effective questioning ◆ Cultural, social and organisational customs of the audited party	◆ Communicate effectively with all appropriate personnel in order to carry out and complete audits ◆ Communicate audit approach findings clearly with the audited party and produce satisfactory reports ◆ Interface with lead auditor if applicable ◆ Identify and communicate early any potential conflict of interest situations ◆ Recognise any limitations of their competence and when to request specialist assistance as needed	◆ Approved assessment by company official ◆ Approved and documented in-service experience ◆ Review completed reports