

Approved by: Managing Director



PSA

Document Title : Table B - Lead Auditor qualifications and competencies

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#1	First edit	April

Subject: Table B – Lead Auditor qualifications and competencies

In addition to the requirements of tables A, **lead auditors** conducting ASC farm audits shall possess the following qualifications and competencies.

Qualification/Competency	Requirement
B18. Audit Experience	<p>The individual shall initially have completed a minimum of 25 days of onsite audit experience in conducting audits (either for social or environmental compliance).</p> <p>The individual shall have undertaken at least two satisfactory audits as an acting audit team leader, shadowed by and under the supervision of a competent lead auditor.</p> <p>The individual shall have conducted at least three (3) ASC audits or have been a member of an audit team for ten (10) audit days, for equivalent aquaculture audits at more than one (1) production facility.</p> <p>The individual shall have conducted at least three (3) management system audits (for multi-site and group certification).</p>
B19. Audit principles and techniques	<p>The individual shall be able to apply audit principles, procedures and techniques associated with management systems and possess a detailed knowledge of compliance issues commonly experienced with aquaculture and associated processing operations.</p> <p>The individual shall be able to prioritize and focus on matters of significance and understand the appropriateness and consequences of using sampling techniques for auditing.</p> <p>The individual shall be able to verify the accuracy of collected information and be aware of the significance and appropriateness of audit evidence to support audit findings and conclusions.</p> <p>The individual shall understand and assess those factors that can affect the reliability of the audit findings and conclusions. The individual shall be able to apply audit principles in the conduct of a social audit.</p>

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B20. Audit Training	<p>The individual shall have successfully completed of a Lead Assessor training course based on ISO 19011 principles that have a minimum duration of thirty-seven (37) hours. The certificate must specify the course content and duration. Successful completion must be indicated on the certificate.</p> <p>The Lead Assessor training course must cover: applicable standards on quality auditing, auditing techniques, focus of the audits (psychological aspects and communication) and reporting, and it must also include a practical case study.</p>
B21. Auditor training	<p>The individual shall have undertaken and successfully completed an ASC approved auditor training course or courses in relation to specific standards, as required by the ASC.</p> <p>The individual shall have undertaken and successfully passed the 'ASC Farm Traceability' or CoC training at the MSC online training platform⁶.</p> <p>The individual shall complete the ASC training for new requirements as specified by the ASC within the deadlines set by ASC.</p> <p>The individual shall have successfully completed an IRCA management system lead auditor course (for multi-site or group certification).</p> <p>The individual shall undertake additional training on changes to legislation, specific standards, codes or conventions as appropriate.</p> <p>The individual has had an audit peer witnessed by a qualified ASC lead auditor no less than once in each two (2) year period.</p> <p>The individual shall lead no less than two (2) ASC audits per year to maintain ASC lead auditor qualification.</p>

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B22. Decisive	<p>The individual shall be able to reach timely conclusions based on logical reasoning and analysis, and in the case of possible conflict, be confident to manage and control discussions.</p> <p>The individual shall assume the leadership role during discussions and other situations in order to resolve issues.</p>
B23. Detection skills	<p>The individual shall have knowledge and investigative skills to detect and document evidence of non-conformities.</p> <p>The individual shall have the investigative skills to determine the authenticity of information and to evaluate allegations made by other sources.</p>
B24. Ethically and morally courageous	<p>The individual shall act professionally and ethically and make decisions even though these actions and decisions may result in disagreement, confrontation or appeal proceedings.</p>
B25. Facilitating meetings	<p>The individual shall effectively control and manage meetings during the audit.</p>
B26. Fraud detection	<p>The individual shall understand and has the skills to detect commonly used methods of document manipulation, fraudulent actions and fraudulent practices.</p>
B27. Interpersonal skills	<p>The individual shall have skills to ensure effective communication between themselves and other people.</p> <p>The individual shall have good people management skills.</p> <p>The individual shall have good communication skills in relation to a situation which warrants careful information gathering such as issues relating to gender, race, culture, discrimination and worker/management dispute.</p>

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B28. Interviewing	<p>The individual shall be experienced in different types of interviewing techniques.</p> <p>The individual shall understand the principles of sampling techniques with respect to group or individual interviews and cultural considerations.</p> <p>The individual shall have the ability to interview personnel without compromising the source of information.</p> <p>The individual shall deal discreetly with personnel who may feel compromised or feel uncomfortable being interviewed.</p>
B29. Language	<p>Unless accompanied by an independent interpreter, the individual shall be a fluent speaker and reader of the language(s) used by managers, administrators and workers of the organisation being audited.</p> <p>The individual shall communicate effectively through an interpreter.</p>
B30. Logical judgement	<p>The individual shall make correct decisions based on objective and verifiable evidence.</p>
B31. Management systems and reference documents	<p>The individual shall have a general knowledge of management systems standards (such as ISO 9001), applicable procedures or other management systems documents used as audit criteria.</p>
B32. Oral presentation	<p>The individual shall have good oral communication skills, which makes him/her understood by the intended audience.</p> <p>The individual shall provide clear and accurate oral representation on audit findings at closing meetings and clearly articulate these in relation to legal requirements and relevant codes.</p>
B33. Organisational situations	<p>The individual shall have knowledge of general business processes and shall understand the workings of organisations in relation to size, structure, function and relationships.</p> <p>The individual shall understand the social, economic and cultural relationships in worker communities.</p>

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B34. Organisational skills	The individual shall effectively plan, prioritise and adjust the activities to auditee needs as far as possible, without adversely affecting the audit. The individual shall have good organisational and time management skills.
B35. Self-reliant	The individual shall be able to act effectively and function independently during audits
B36. Technical language	The individual shall have knowledge of the technical language employed in aquaculture and processing of aquaculture products.
B37. Work experience	The individual shall have industrial experience relevant to the business being audited.

ASC Certification and Accreditation Requirements, Version 2.1 [Multi-site certification requirements are effective from 1st December 2017](#)