



IRATA International, First Floor, Unit 3, Eurogate,
Business Park, Ashford, Kent, TN24 8XW, UK.
Tel: +44 (0)1233 754600 Fax: +44 (0)1233 754601

Email: info@irata.org web: www.irata.org

IRATA International Standard Penalties for Elected Officers, Auditors, Assessors, Members and Technicians.

Following the Disciplinary Process the following penalties will apply in all cases.

This list of offences and disciplinary actions is not exhaustive and others that directly contravene any published and authorised guidance from the Association or its Memorandum & Articles or Bye Laws will be dealt with by the agreed Complaints and Disciplinary processes and penalties equal or greater than those shown below may result. Application of Non Conformance Report (NCR) and/or warning letter.

NCR and/or warning letter will be issued and go against an offending company’s audit record and remain in place on the company’s audit file for future reference. Further offences will be treated as second offences whether or not they are in the same category as the first offence

A Warning Letter will be issued for individual Assessors/Auditors/Elected members/Technicians.

A NCR or warning letter will detail the offence or transgression, the IRATA guidance or requirement that has been transgressed and the penalty agreed by the Association and its Executive Committee. These will remain on the individual’s record for the stated period.

Further offences will be treated as second offences whether or not they are in the same category as the first offence

Any and all third offences to have life as a penalty option.

A	Officers, Assessors and/or Auditors
	<ul style="list-style-type: none"> • Ref; Requirements & Guidance for IRATA Assessors and Assessments IRATA Form 044 • IRATA Memorandum & Articles and By-laws
	<p>Automatic removal of elected officers shall be subject to the following</p> <ul style="list-style-type: none"> • They cease to be members of the association, or the representative of a member of the association • They are found to be lunatic or of unsound mind • They are removed by a 75% or greater vote at a General meeting • By notice in writing if they resign <p>Non-Elected Officers and employees will be subject to the conditions under their terms of employment and/or contract.</p>

	Offence	Penalty
A 1	Any elected officer, assessor or auditor committing forgery or acting corruptly: e.g. deliberate forgery of audit /assessment, its content, numbers, dates or location etc.	Life removal of status, from date of recorded notification. If proprietor/director of a member company then the company shall also be subject to six monthly audits for not less than two years.
A 2	Any assessor or auditor knowingly allowing teams belonging to an IRATA member to operate without L3 supervision. This applies whether the Auditor/Assessor is working within or outside an IRATA member company.	Suspension of status, from date of recorded notification. Removal of status for three years. Second offence. Life removal of assessor status, from date of recorded notification. If an assessor and auditor, then penalties apply to <u>both</u> offices.
A 3	Any elected or co-opted officer knowingly allowing teams belonging to an IRATA member to operate without L3 supervision	Immediate removal from office. Repeat offence makes them ineligible to stand for re-election.
B	Auditors BL appendix 3 Code of Ethics for IRATA auditors	
B 1	Approaching staff of the company being audited, for recruitment purposes, without the express approval of the company being audited.	1st offence letter and warning. 2 nd offence case 12 months. All such offences remain on record.
B 2	Consulting for a membership applicant and not declaring this if appointed to audit said company.	Life removal of status, from date of recorded notification
B 3	Consulting for a membership applicant who you have audited, in order to address non-conformances post audit	Life removal of status, from date of recorded notification
B4	Using confidential information acquired in the course of the audit to approach clients of the company being audited, or its associates, to use the auditor's services for future business or to entice for commercial gain, without the express approval of the company being audited.	1st offence letter and warning. 2 nd offence case 12 months. All such offences remain on record
B 5	Disclosing or using for their own commercial gain confidential information acquired in the course of the audit, without express approval of the company	1st offence letter and warning. 2 nd offence case 12 months. All such offences remain on record
B 6	Accepting bribery in any form in connection with IRATA business. Proven by clear documented evidence, or minimum two independent witnesses.	Life removal of status, from date of recorded notification.

C	Assessors	
C 1	Approaching training staff or candidates, for recruitment purposes, without the express approval of any employers involved.	1st offence letter and warning. 2 nd offence 12 months suspension. All such offences remain on record
C 2	Using confidential information acquired in the course of the assessment to approach clients or associates of the company where assessments are being carried out, to use the assessor's services for future business, without the express approval of the company where assessments are being carried out.	1st offence letter and warning. 2 nd offence 12 months suspension. All such offences remain on record
C 3	Disclosing confidential information acquired in the course of the assessment, without the consent of the parties concerned or unless disclosure is clearly in the public interest.	1st offence letter and warning. 2 nd offence 12 months suspension. All such offences remain on record
C 4	Approaching training staff or candidates, to use the assessor's services for future business, or for commercial gain, without the express approval of any employers involved.	1st offence letter and warning. 2 nd offence 12 months suspension. All such offences remain on record
C 5	Accepting bribery in any form in connection with IRATA business. Proven by clear documented evidence, or minimum two independent witnesses.	Life removal of status, from date of recorded notification.
C 6	Assessing without insurance, putting the assessor, individual candidate and IRATA at financial risk in event of any claim.	Suspension of status, from date of recorded notification, followed by. One year removal of status. Re-application required
C 7	Assessing/Auditing whilst not remaining independent of the technician or company	1st offence letter and warning. 2 nd offence case 12 months. All such offences remain on record
C 8	Assessing whilst out of date as a L3 (and without executive committee dispensation)	Suspension of status, from date of recorded notification, followed by. 1st offence letter and warning. 2 nd offence case 12 months. All such offences remain on record
C 9	Assessing with out of date 1 st aid certification	Immediate suspension, followed by. 1st offence letter and warning. 2 nd offence case 12 months. All such offences remain on record

D	Members	
	<ul style="list-style-type: none"> • Offence by both Member Company and L3 concerned. The penalty will apply to both • All audits required after disciplinary action will be met at members full cost 	
D 1	Act so as to injure the professional reputation and prospects or business of other members	1sr offence letter and warning 2 nd offence, 6 month suspension plus re-audit
D 2	Proven to make exaggerated or unjustified claims	1sr offence letter and warning 2 nd offence, 6 month suspension plus re-audit
D 3	Offer to make payment, by way of commission or otherwise, for the introduction of business, except through accredited agents or brokers	1st offence letter and warning 2 nd offence, 6 month suspension plus re-audit
D 4	Bribery, in order to gain business	Life removal of status
D 5	Assessor witnesses proven dangerous practice and/or equipment relating to rope access during training or assessment	Minimum 1st offence letter and warning 2 nd offence, 6 month suspension plus re-audit The executive may increase these penalties depending on the severity of the act.
<u>D 6</u>	Member proven to be approving/signing off non genuine hours.	1 st offence, one re-audit. 2 nd offence, two years of six monthly audits. Further offences immediate suspension & 1 year removal of membership, followed by three years of six monthly audits.
D 7	Allowing work to be carried out without L3 supervision. Doesn't need to state "by a member company" PM	1 st offence 2 years of 6 monthly audits Further offences immediate removal of membership. Re-application allowed after 12 months
D 8	Working without insurance cover appropriate for the work involved.	Immediate suspension until proof of insurance is provided 1 st offence one year of six monthly audits. Further offences immediate suspension & 1 year removal of membership
D 9	Knowingly allowing L3s to train while out of date and without executive committee dispensation	Warning letter, which remains on record for 3 years Recurrence 1 re-audit Further offences immediate suspension & 1 year removal of membership

D 10	Knowingly allowing L3s to supervise while out of date and without executive committee dispensation	Warning letter, which remains on record for 3 years Recurrence 1 re-audit Further offences immediate suspension & 1 year removal of membership
D 11	Knowingly allowing L3s to train without valid 1 st aid and without executive committee dispensation	Warning letter, which remains on record for 3 years 2 Recurrence 1 re-audit Further offences 2 six monthly audits
D 12	Knowingly allowing L3s to supervise without valid 1 st aid and without executive committee dispensation	Warning letter, which remains on record for 3 years 2 Recurrence 1 re-audit Further offences 2 six monthly audits
E	Technicians	
	All offences will apply equally to all Technician Levels unless otherwise stated	
	L3s	
	Where offences by both member company and a L3 are concerned. Penalties to both will apply.	
E 1	Signing off non genuine hours. (<i>Forgery</i>) Fraudulent misuse or alteration of a log book	Downgrade to L1 and normal progression back to L3. 2 nd offence life ban
E 2	Forging or falsifying certificates, assessment forms and/or ID cards.	1 st offence 3 years removal of certificate. 2 nd offence life ban.
E 3	Working or behaving in a dangerous manner on a rope access site. Whether for an IRATA member or for a non-IRATA company	Downgrade to L2 or L1, at discretion, dependent on severity of the offence. Normal progression back to L3 Further Offence may lead to life removal of status
E 4	Working for an IRATA member as L3 with 1 st aid certificate or L3 cert. out of date (<i>more than one month</i>)	1 st offence. Warning letter 2 years probation. 2 nd offence. Downgrade to L2 and normal progression back to L3. <i>Prior dispensations may be given by training committee chair. For example, ill health or remote work situations.</i>
E 5	Working for an IRATA member as L3 with 1 st aid certificate or L3 cert. out of date (<i>less than one month</i>).	1 st offence. Warning letter and 1 year probation. 2 nd offence. Re-assessment to L3 possible after six months? <i>Prior dispensations may be given by training committee chair. For example, ill health or remote work situations.</i>

E 6	Working as a trainer with 1 st aid certificate or L3 cert. out of date (<i>more than one month</i>).	1 st offence. Warning letter 2 years probation. 2 nd offence. Downgrade to L2 and normal progression back to L3. <i>Prior dispensations may be given by training committee chair. For example, ill health or remote work situations.</i>
E 7	Working as a trainer with 1 st aid certificate or L3 cert. out of date (<i>less than one month</i>).	1 st offence. Warning letter and 1 year probation. 2 nd offence. Re-assessment to L3 possible after six months? <i>Prior dispensations may be given by training committee chair. For example, ill health or remote work situations.</i>
F	L2s	
F 1	Forging or falsifying certificates, assessment forms and/or ID cards, Logbook hours (<i>illegally modifying an existing entry or adding false hours</i>) or L3 signature.	1 st offence 3 years removal of certificate 2 nd offence life ban
F 2	Working or behaving in a dangerous manner, on a rope access site. Whether for an IRATA member or for a non-IRATA company	Downgrade to L1, at discretion, dependent on severity of the offence. Normal progression back to L2 Further Offence may lead to life removal of status.
F 3	"Passing off" as a L3, while holding L2	1 st offence 2 years removal of certificate 2 nd offence life ban
G	L1s	
G 1	Forging or falsifying certificates, assessment forms and/or ID cards Logbook hours (<i>illegally modifying an existing entry or adding false hours</i>) or L3 signature.	1 st offence 3 years removal of certificate 2 nd offence life ban
G 2	Working or behaving in a dangerous manner, on a rope access site. Whether for an IRATA member or for a non-IRATA company.	Range, at discretion, dependent on severity of the offence. From: Minimum. To re-train and be re-assessed. To Period of suspension (minimum 12 months) to a period of suspension until re-assessed. Further Offence may lead to life removal of status
G 3	"Passing off" as a L2, while holding L1	1 st offence 2 years removal of certificate 2 nd offence Life ban
G 4	"Passing off" as a L3, while holding L1	1 st offence 2 years removal of certificate 2 nd offence Life ban