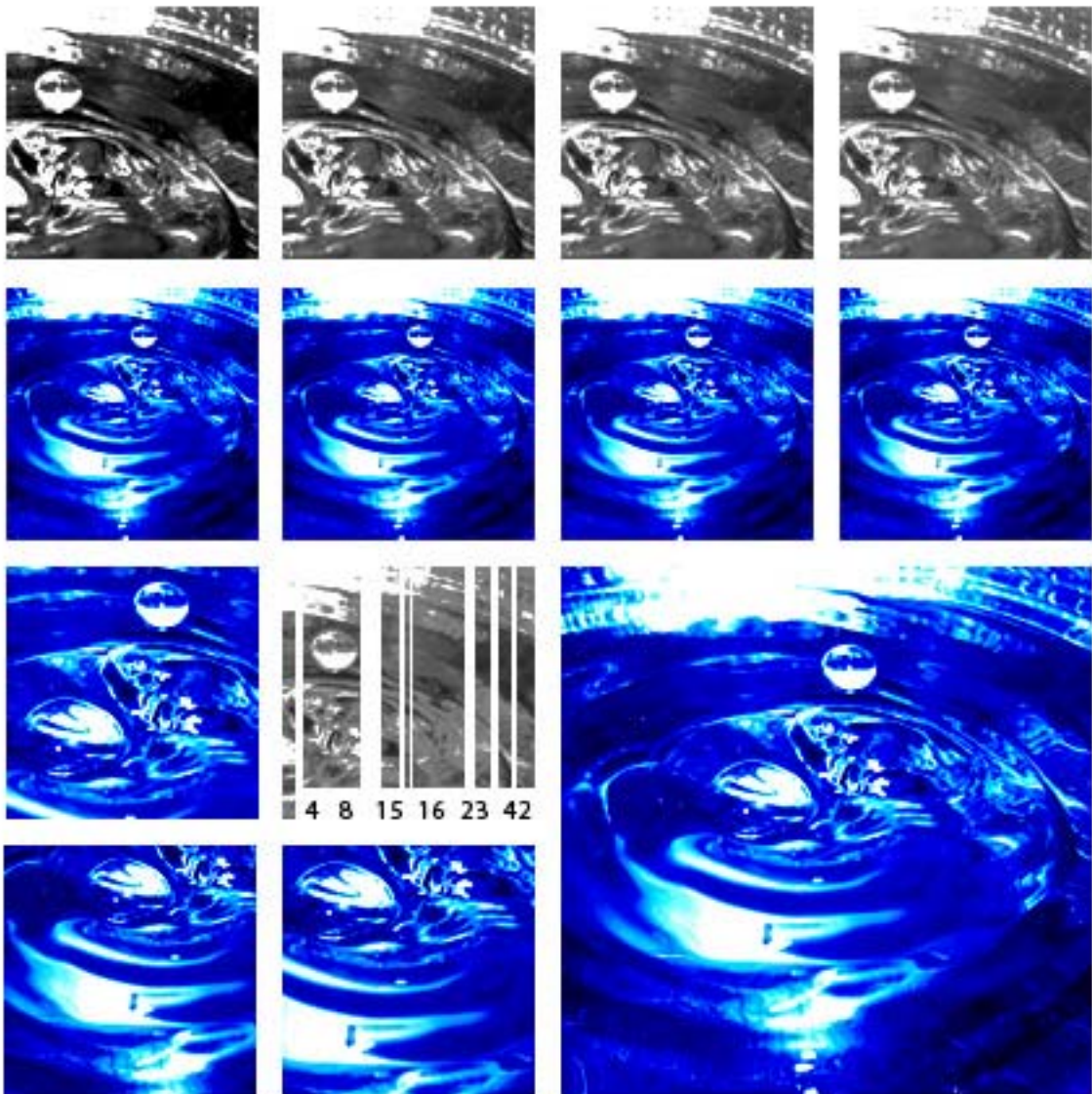


DRINKING WATER QMS AUDITOR CERTIFICATION SCHEME CERTIFICATION REQUIREMENTS

Edition 2





RABQSA International, Inc (RABQSA) is accredited by the Joint Accreditation System of Australia and New Zealand (JAS-ANZ) as meeting the requirements of the international standard for personnel certification bodies, ISO/IEC 17024:2003 'General requirements for bodies operating the certification of persons'.

Application will be submitted to JAS-ANZ to include this scheme under RABQSA's scope of accreditation.

Disclaimer

While every effort is made to ensure that the process for evaluating applications for certification is effective, RABQSA International Inc does not accept liability for the performance, conduct or services provided by the certified person.

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Introduction

The **Drinking Water-Quality Management System (DW QMS) Auditor Certification Scheme** (Scheme) has been developed by RABQSA International, Inc (RABQSA) in conjunction with Victorian Department of Human Services, the Water Services Association of Australia and the Victorian Water Industry Association. These three organisations form the Scheme Committee that oversees the management of the Scheme.

The Scheme will provide international recognition for auditors who conduct audits to ensure that drinking water service providers can demonstrate that they are managing risk in accordance with the risk management framework as set out in the Australian Drinking Water Guidelines (ADWG).

Confidence and reliance in the audit process depends on the competence and management of personnel conducting the audit.

The Scheme has been developed to meet the following key objectives:

- To achieve the requirements of the International Standard for personnel certification ISO/IEC 17024:2003 (17024);
- To ensure that auditors meet or exceed the audit and related competencies defined by RABQSA, using ISO19011:2002 (ISO 19011) and ADWG as guidance;
- To meet the specific requirements of regulatory agencies and the drinking water industry in Australia;
- To assist drinking water service providers in selecting competent auditors; and
- To enhance the professional recognition of RABQSA certified auditors.

How To Use This Document

This document has been designed to provide the information required for RABQSA certification, in a clear and easy-to-follow format.

Applicants for certification to the Drinking Water QMS Auditor Certification Scheme will be required to provide evidence of specific knowledge and skill based competence; defined qualifications and work experience; and the ability to demonstrated defined personal attributes.

There are two grades of DW QMS auditor certification; DW QMS Auditor and Lead DW QMS Auditor.

An overview of the certification requirements is outlined at Annex G on [Page 29](#)

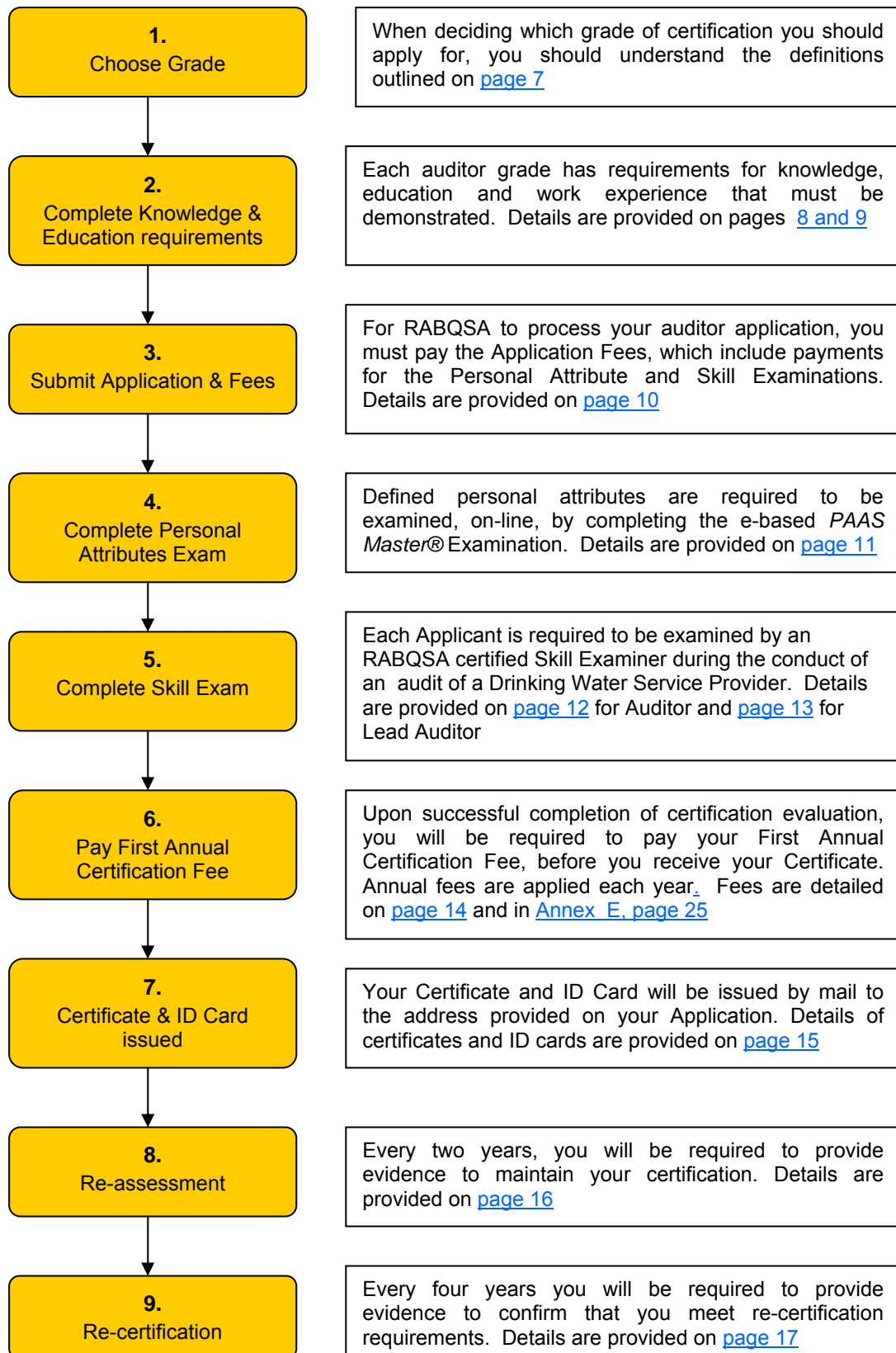
Definitions and Abbreviations used in this document are available at Annex A on [Page 19](#)

Electronic versions of this document have links embedded to enable direct access to selected pages as well as page references. Hard copy versions have page references only.

Essentially, the Applicant follows the step-by-step process as outlined down the right hand side of the page, commencing with Applying for Certification at [Page 6](#)

An EXAMPLE Application Form is available at Annex F on [Page 30](#). For your convenience a Microsoft Word version of the Application is available for download from the [RABQSA web site](#).

Applying for DW QMS Auditor Certification



Choosing Your Grade

In this DW QMS Auditor Certification Scheme, there are two grades of certification. The grade that you choose depends on the type of audit work you expect to undertake and/or the competency you currently have or are able to gain prior to application for DW QMS auditor certification.

The two DW QMS auditor certification levels are:

DW QMS Auditor

DW QMS Auditors are recognised as competent to undertake audits of the management of drinking water quality using the Australian Drinking Water Guidelines (NHMRC 2004) Chapter 3—Framework for Management of Drinking Water Quality as the reference document, either as an auditor working alone or as member of an audit team

DW QMS Auditors are **not** recognised as competent to lead an audit team. Audit teams are defined as consisting of the team leader and at least one other person undertaking audit activities.

Lead DW QMS Auditor

Lead DW QMS Auditors are recognised as competent to undertake audits of the management of drinking water quality using the Australian Drinking Water Guidelines (NHMRC 2004) Chapter 3—Framework for Management of Drinking Water Quality as the reference document, either as an auditor working alone or as leader of an audit team.

[**NOW GO TO PAGE 8**](#)

Knowledge Requirements

All Applicants must provide evidence of knowledge competency defined by RABQSA in the following competency units.

- **Management Systems Auditing: RABQSA-AU**
- **Management Systems for Drinking Water Quality: RABQSA-DW**

In addition, Applicants for Lead DW QMS Auditor must provide evidence of knowledge competency in the RABQSA competency unit:

- **Leading Management System Audit Teams: RABQSA-TL**

Note:

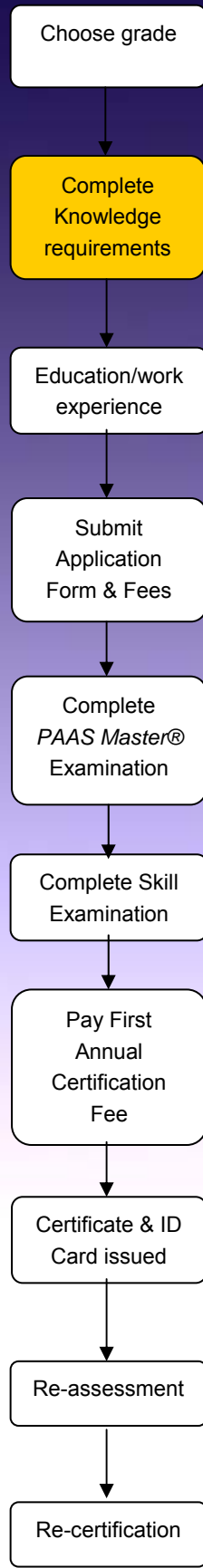
Details of these competency units are available at Annex F on [page 28](#).

Evidence of knowledge competency

Applicants must demonstrate the required knowledge competency through successful completion of an examination conducted by a training provider certified by RABQSA under the Training Provider and Examiner Certification Scheme (TPECS) for the applicable competency modules. Please contact RABQSA for details of training providers.

Applicants must submit the certificate/s of attainment from an approved Training Provider/s. This evidence must confirm that the required competency has been demonstrated by the Applicant within three years prior to their application for DW QMS auditor certification.

RABQSA maintains a Register of RABQSA certified Training Providers on the [RABQSA website](#).



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Education and Work Experience Requirements

Education

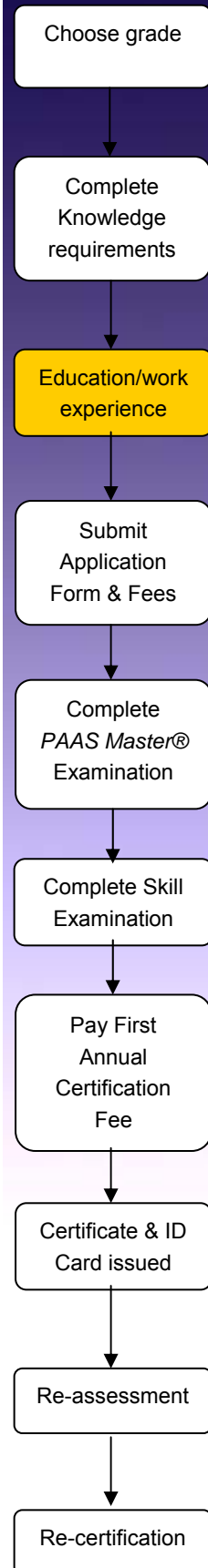
All Applicants are required to hold a degree or diploma, that is recognised in Australia, in the fields of engineering, science or medicine.

Work Experience

All Applicants are required to provide details of at least seven years full time work experience in at least **two of the three** following areas.

- Experience in the water industry, either employed directly in the water industry or being a consultant to the water industry (as an engineering, laboratory or environmental consultant).
- Experience in establishing, reviewing or running systems for quality management, environmental management, risk management or HACCP.
- Experience in undertaking audits of systems for quality management, environmental management, risk management or HACCP.

Applicants should note that the required experience does not need to be continuously gained, provided that accumulated experience demonstrates a total of at least seven years relevant work experience as detailed above.



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Submit Application Form and Fees

To apply for certification, you will need to:

- complete the Application Form, available in the RABQSA website www.rabqsa.com,
- submit your completed Application Form to RABQSA with the Application Fees as shown below (refer to Fee Schedule at Annex E, [page 25](#), of this document); and
- provide evidence of your knowledge competency, education and work experience as defined (refer to [pages 8 & 9](#) for details).

Knowledge competencies required for all Applicants are:

Management Systems Auditing: RABQSA-AU

Drinking Water Services Auditing: RABQSA-DW

In addition, Applicants for Lead DW QMS Auditor require:

Leading Management System Audit Teams: RABQSA-TL

Application Fees are:

Administration Fee AU\$ 132.00

PAAS Master® Examination Fee AU\$ 33.00

Skill Examination Fee AU\$ 880.00

Total AU\$1045.00

Please note that all fees are quoted in Australian dollars and include GST.

Note:

Skill Examiner expenses, such as travel, accommodation and incidentals, are not included in the fees above. Refer to Fee Schedule at Annex E, [page 25](#), for details.

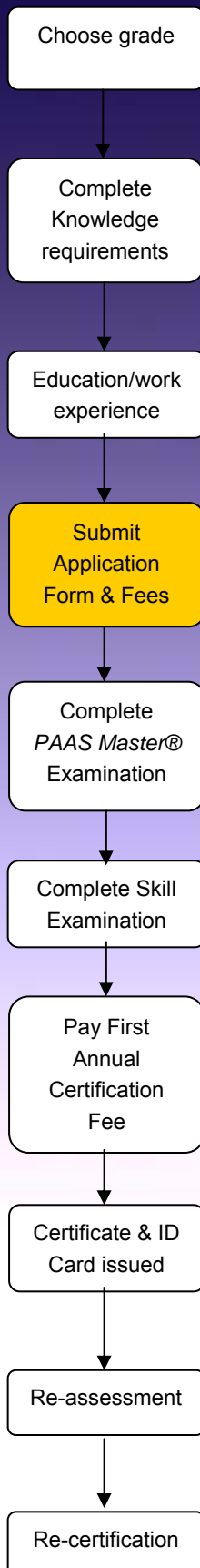
To enable effective evaluation of Applications, RABQSA requires all Applicants to provide verifiable documentary evidence that demonstrates compliance with these certification requirements for the grade of certification being sought.

Applicants must ensure that the information they provide in their Application is accurate and complete, or delays may occur in the processing of their Application.

All Application information must be provided in English. Where translations of documents are provided, these must be independently verified for accuracy.

Applicants who have any special needs related to language and/or disabilities should contact RABQSA for advice.

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Examination of Personal Attributes

All Applicants must provide evidence that they possess appropriate personal attributes, as shown. The attributes examined by RABQSA are related to those defined in ISO 19011:2002 *Guidelines for quality and/or environmental management systems auditing*.

- **Ethical** – fair, truthful, sincere, honest and discreet;
- **Proactive and Organised** – takes the initiative with issues, and is personally organised;
- **Systematic** – shows a balanced affiliation for both tasks and people;
- **Logical** – makes decisions based on facts and reasoned logic;
- **Decisive** – expedites decisions methodically;
- **Observant** – shows the ability to identify both patterns and exceptions in complex situations;
- **Diplomatic** – relates to others and shows tact in appropriate situations;
- **Flexible** – shows a balanced global and detail focus;
- **Process focused** – demonstrates the ability to follow a pre-determined method;
- **People Sensitive** – is sensitive to and can identify a person's emotional state;
- **Adaptable and Resourceful** – adapts to, and works with, different types of people in a range of situations and copes with change; and
- **Confident** – demonstrates certainty and competency, and reacts well to a variety of challenges, i.e. demonstrates calm and poise in challenging situations.

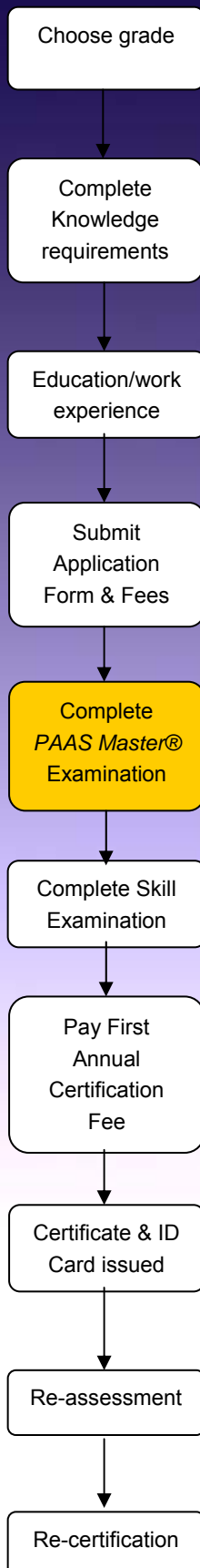
Applicants are required to demonstrate these personal attributes through completion of the e-based *PAAS Master*[®] Examination. Details to enable the completion of the *PAAS Master*[®] Examination will be provided to each Applicant when RABQSA receives his/her Application.

PAAS Master[®] Examination Fees are submitted with the Application Fees for Certification.

If an appropriate *PAAS Master*[®] Examination has been successfully completed within the four years prior to application, a further Examination is not required. Applicants are required to note the details of the Examination on the Application Form.

Further information on *PAAS Master*[®] Examination is available on the [RABQSA website](#) prior to application if desired.

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Examination of Skill for DW QMS Auditors

All Applicants must provide evidence of the skill competency defined by RABQSA. Competency is to be demonstrated under auditing (on-site) conditions during an audit of a Drinking Water Service Provider. The Skill Examination will be conducted by an RABQSA-certified DW QMS Skill Examiner.

The Skill Examiner examines and reports on the competencies defined in the RABQSA Skill Examination for DW QMS Auditors.

Applicants must provide a copy of the completed Skill Examination Report, signed by both the Skill Examiner and the Applicant, as evidence of demonstration of the required skill competency. Skill Examination Report forms are available on the RABQSA website under Personnel Certification/Drinking Water QMS Auditors.

RABQSA Skill Examination for DW QMS Auditors

- Follow the prepared audit plan
- Maintain communication during the audit
- Collect and verify information
- Conduct interviews
- Generate audit findings
- Prepare audit conclusions

It is the responsibility of each Applicant to arrange for a Skill Examination. Contact details of Skill Examiners to enable Applicants to arrange the Skill Examination will be provided to the Applicant when RABQSA receives the Application.

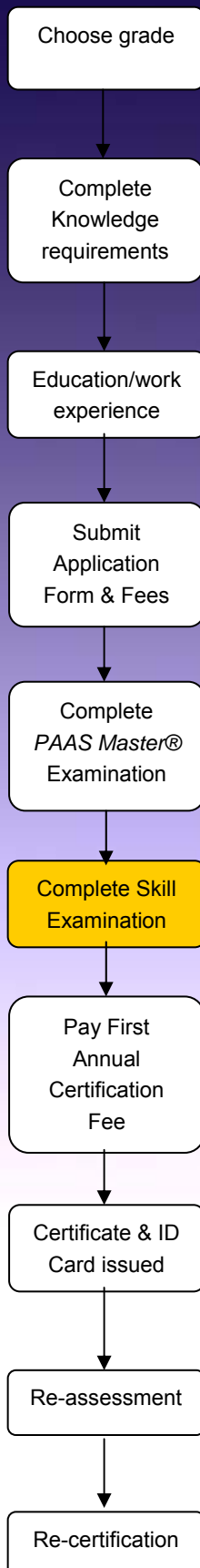
Skill Examination Fees are submitted with the Application Fees for Certification.

Note:

Skill Examiner expenses, such as travel, accommodation and incidentals, are not included in the fees above. Refer to Fee Schedule on [page 25](#) for details.

Please refer to Annex C on [page 21](#) for details of certification requirements for Skill Examiners.

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Examination of Skill for Lead DW QMS Auditors

All Applicants must provide evidence of the skill competency defined by RABQSA. Competency is to be demonstrated under auditing (on-site) conditions during an audit of a Drinking Water Service Provider. The Skill Examination will be conducted by an RABQSA-certified DW QMS Skill Examiner. The Skill Examiner examines and reports on the competencies defined in the RABQSA Skill Examination for DW QMS Auditors.

IMPORTANT: To obtain Lead Auditor grade, the Applicant must perform as the leader of a team during the skill examination.

Applicants must provide a copy of the completed Skill Examination Report, signed by both the Skill Examiner and the Applicant, as evidence of demonstration of the required skill competency. Skill Examination Report forms are available on the RABQSA website under Personnel Certification/Drinking Water QMS Auditors.

RABQSA Skill Examination for Lead DW QMS Auditors

Management System Auditing Skills

- Follow the prepared audit plan
- Maintain communication during the audit
- Collect and verify information
- Conduct interviews
- Generate audit findings
- Prepare audit conclusions

Team Leader Skills

- Implement the prepared audit plan
- Organise and direct audit team members
- Maintain communication during audit
- Lead the audit team to reach audit conclusions
- Conduct closing meeting
- Prevent and resolve conflicts

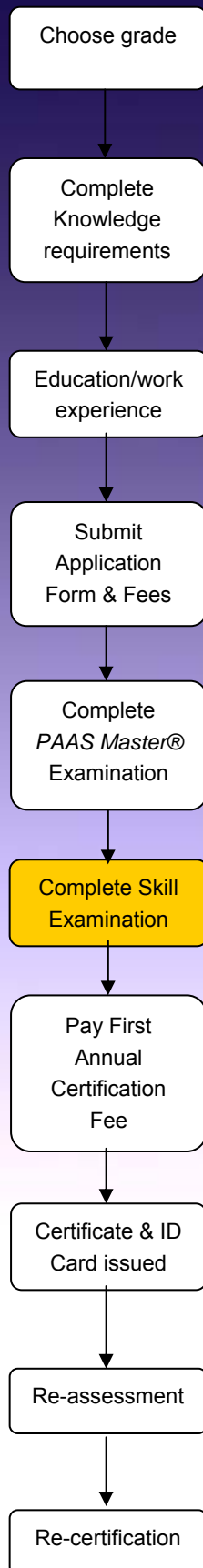
It is the responsibility of each Applicant to arrange for a Skill Examination. Contact details of Skill Examiners to enable Applicants to arrange the Skill Examination will be provided to the Applicant when RABQSA receives the Application.

Note:

Skill Examiner expenses, such as travel, accommodation and incidentals, are not included in the fees above. Refer to Fee Schedule on [page 25](#) for details.

Skill Examination Fees are submitted with the Application Fees for Certification. Please refer to Annex C on [page 21](#) for details of certification requirements for Skill Examiners.

[NOW GO TO PAGE 14](#)



Payment of First Annual Certification Fee

When all certification requirements have been demonstrated, RABQSA will notify the Applicant that the Application has been approved. An invoice for the First Annual Certification Fee will be provided with this notification.

Details on accepted methods of payment are provided on the invoice.

Payment of this invoice must be received by RABQSA before certification is confirmed.

Annual Certification Fees are due each year on the anniversary of initial certification. RABQSA will provide an invoice for the amount due approximately 1 month prior to the due date.

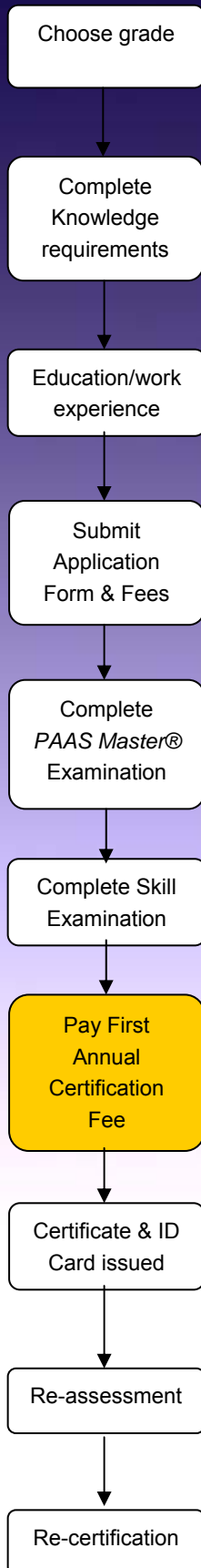
Annual Certification Fees for each grade are shown.

DW QMS Auditor AU\$297.00

Lead DW QMS Auditor AU\$308.00

Please note that all fees are quoted in Australian dollars and include GST.

Refer to Fee Schedule at Annex E on [page 25](#) for details.



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Certificates and ID Cards

When payment for the First Annual Certification Fee has been received by RABQSA, a Certificate and ID Card is issued to the Auditor.

The Certificate includes the following information:

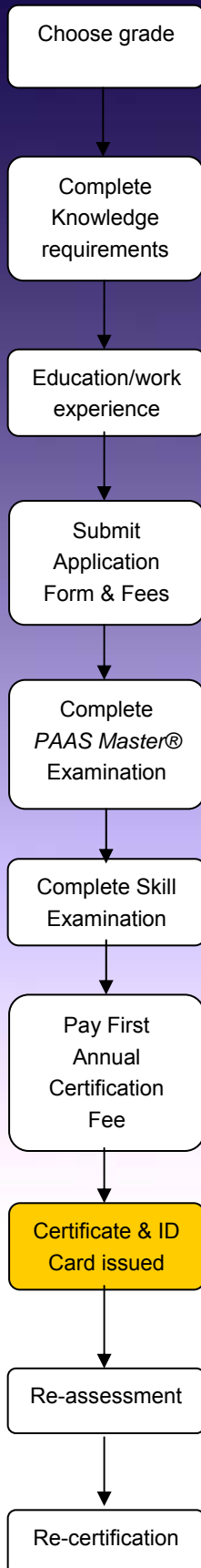
- Certified Auditor's name
- RABQSA customer number
- Type and Grade of certification
- Date certification awarded
- Date certification expires
- JAS-ANZ logo, as recognition as an accredited Scheme (if applicable)

The ID Card includes the following information:

- Certified Auditor's name
- RABQSA customer number
- Type and Grade of certification
- Date certification awarded
- Date certification expires
- JAS-ANZ logo, as recognition as an accredited Scheme (if applicable)

Certificates and ID Cards remain the property of RABQSA and must be returned if certification is suspended or withdrawn. Auditors are required to immediately notify RABQSA if a Certificate or ID Card is lost or stolen.

Updated Certificates and ID Cards will be issued at each re-certification.



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Re-assessment

To maintain certification, all certified auditors are required to demonstrate continuing compliance with the current certification criteria for the certification awarded. RABQSA will provide reminders with the invoice for Annual Certification Fee to all certified auditors when the date for re-assessment (surveillance) is due and the information required to be provided to RABQSA.

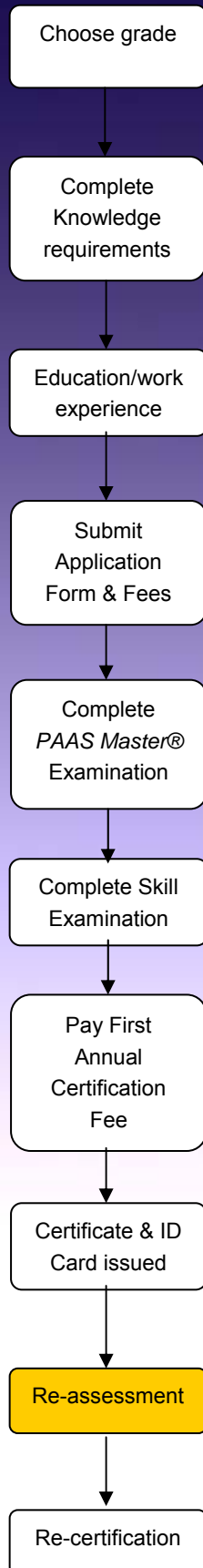
Every two years from the date of initial certification or each re-certification, auditors must demonstrate continuing compliance with the current certification criteria by providing:

- evidence of current knowledge-based competency through successful completion of the relevant RABQSA e-based examination for the type and level of certification; and
- confirmation that the RABQSA Code of Conduct has been adhered to and any complaints against performance have been resolved.

The Annual Certification Fee includes the cost for re-assessment (surveillance).

Note:

RABQSA will maintain a number of e-based examinations of knowledge competency relevant to the Scheme. These examinations will be reviewed for content regularly and amended as required to ensure that changes in requirements relating to the scheme and each auditor grade.



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Re-certification

To maintain certification, all certified Auditors are required to demonstrate continuing compliance with the current certification criteria for the level of certification awarded. RABQSA will provide reminders with the invoice for Re-certification Fee when the date for re-certification is due and the information required.

Every four years from the date of initial certification and each subsequent re-certification, certified Auditors must demonstrate continuing compliance with the current certification criteria by providing:

- evidence of examination of skill competency by an RABQSA-certified DW QMS Skill Examiner;
- evidence of evaluation of personal attributes by successful completion of the RABQSA *PAAS Master®* Examination within the previous four years;
- confirmation that the RABQSA Code of Conduct has been adhered to and any complaints against performance have been resolved.

RE-CERTIFICATION FEES

These Fees are payable every 4th anniversary of initial certification and each subsequent re-certification. The Re-certification Fee includes the Annual Certification Fee. The applicable Fee will be invoiced by RABQSA.

Re-certification Fee for each grade:

DW QMS Auditor	AU\$297.00
Lead DW QMS Auditor	AU\$308.00

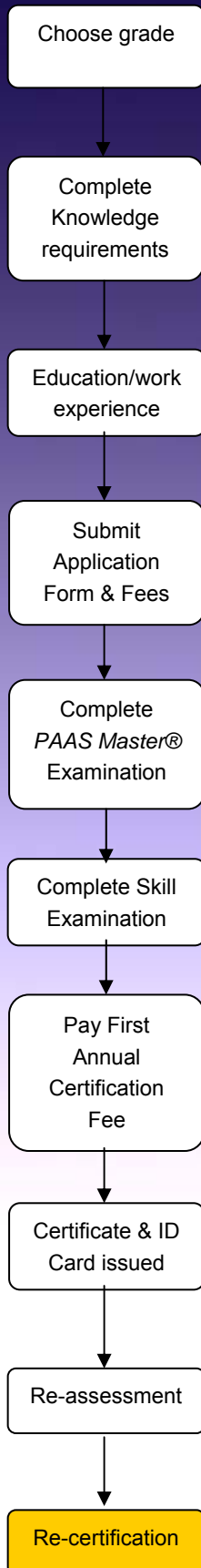
Plus the following Fees (not included on the invoice) where applicable

Skill Examination Fee	AU\$880.00
<i>PAAS Master®</i> Examination Fee	AU\$33.00

Please note that all Fees are quoted in Australian dollars and include GST. Refer to Fee Schedule at Annex E on [page 25](#) for details.

Note:

Skill Examiner expenses, such as travel, accommodation and incidentals, are not included in the fees above. Refer to Fee Schedule on page 25 for details.



Expansion of Certification

DW QMS Auditors can apply for expansion of certification by seeking an upgrade to Lead DW QMS Auditor at any time. To apply for an expansion of certification, auditors are required to:

- complete the Expansion Application Form (available on the RABQSA website www.rabqsa.com);
- submit this to RABQSA with the Expansion Fee as shown below (refer to Fee Schedule at Annex E on [page 25](#) for details);
- provide evidence of the requirements for Lead DW QMS Auditor, as defined in this document.

Expansion Fee: AU\$110.00.

Please note that all Fees are quoted in Australian dollars and include GST.

Note:

Applicants for Lead DW QMS Auditor will also be required to complete a Skill Examination of the additional competencies required for Lead DW QMS Auditors. The Skill Examination fee of \$440.00 will be applicable.

Refer to Fee Schedule at Annex E, [page 25](#), for details.

Certified Lead DW QMS Auditors may apply to reduce their certification to DW QMS Auditor grade at any time by notification in writing to the RABQSA DW QMS Scheme Examiner. RABQSA will not provide any refund on fees already submitted.

Definitions and Abbreviations

For the purpose of these certification criteria, the definitions given in ISO 19011:2002 '*Guidelines for quality and/or environmental management systems auditing*' and ISO/IEC 17024:2003 '*General requirements for bodies operating certification of persons*' apply, in addition to those definitions specific to RABQSA. Definitions and abbreviations relevant to this document are shown.

ADWG: Australian Drinking Water Guidelines (National Health & Medical Research Council and Natural Resource Management Ministerial Council, 2004); Chapters 2 & 3 Framework for Management of Drinking Water Quality.

Audit: systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.

Auditor: person with the competency to conduct an audit.

Competency: demonstrated ability to apply knowledge and skills, and demonstrate the required personal attributes.

Expansion: Movement from Auditor grade to Lead Auditor grade via demonstration of the competency required for that grade.

RABQSA-certified Skill Examiner: a person certified by RABQSA as competent to conduct an examination of RABQSA-defined skill competency for Applicants.

RABQSA Scheme Examiner: Employee of RABQSA with responsibility for management of designated Schemes and evaluation of Applications.

Scheme Committee (SC): Committee established by RABQSA with responsibility for the development and maintenance of personnel certification Schemes offered by RABQSA International. The SC shall fairly and equitably represent the interests of all parties significantly concerned with the certification Schemes, including the consideration of public interest.

Sub-Scheme Committee (SSC): Committee established by RABQSA with responsibility for the development and maintenance of a specific personnel certification Scheme, offered by RABQSA International. The SSC shall fairly and equitably represent the interests of all parties significantly concerned with the certification Scheme, including the consideration of public interest.

TPECS: Training Provider and Examiner Certification Scheme, offered by RABQSA.

End of Annex A

Transition Arrangements

Initial RABQSA certified Skill Examiners

To enable Applicants to meet requirements for certification, there needs to be a pool of RABQSA-certified DW QMS Skill Examiners (Skill Examiners).

Initial Applicants for Skill Examiner will be approved for a **maximum period of 2 years** if the following requirements are demonstrated:

- a degree or diploma, that is recognised in Australia, in the fields of engineering, science or medicine;
- At least 7 years of accumulated full-time work experience in either of the following areas:
 - ◇ the water industry, either employed directly in the industry or consulting to it;
 - ◇ establishing, reviewing or running quality management systems, environmental management systems, risk management systems or HACCP-based systems in any related industry;
- Experience in auditing quality management systems, environmental management systems, risk management systems or HACCP-based systems in any related industry;
- A detailed understanding of the risk management framework for drinking water quality set out in the ADWG (2004);
- Successful completion of *PAAS Master®* examination within the four years prior to application;
- Successful completion of RABQSA-AS: *Assessment or* Cert. IV Assessment & Workplace Training;
- Successful completion of RABQSA-SE: *Skill Examination Process*

After termination of the transition period **all** certified Skill Examiners will be required to be certified Lead DW QMS Auditors.

Note:

Fee for *PAAS Master®* examination is A\$33.00 (incl. GST)

Annual Certification fee for Skill Examiners is A\$55.00 (incl. GST)

End of Annex B

RABQSA Certified Skill Examiners

Auditors seeking recognition as an RABQSA-certified DW QMS Skill Examiner (Skill Examiner) must apply to RABQSA and provide evidence to demonstrate that the requirements defined in the Skill Examiner Certification Scheme are met. These requirements include:

- current RABQSA certification as Lead DW QMS Auditor;
- Demonstration of competency in RABQSA-AS: *Assessment or Certificate IV Assessment & Workplace Training*;
- Demonstration of competency in RABQSA-SE: *Skill Examination Process*

Applicants should refer to the Criteria for Skill Examiner Certification available on the RABQSA website.

Note:

Annual Certification fee for Skill Examiners is AU\$55.00 (inc. GST)

RABQSA maintains a register of Skill Examiners with the appropriate competency to conduct DW QMS Skill Examinations.

Please note that there are some exemptions to these requirements during the Transition Period as defined in Annex B on [page 20](#).

End of Annex C

Terms and Conditions

RABQSA has defined Terms and Conditions for certification, as defined in this Annex.

Code of Conduct

All certified auditors have an obligation to improve the standing of their profession by observing the RABQSA Code of Conduct (Code). Compliance with the Code is a condition of certification and all Applicants are required to sign their agreement to comply with the Code at time of application for certification. All certified auditors are required to confirm that they have complied with the Code at each period of re-assessment and re-certification.

RABQSA Code of Conduct

- I will act professionally, accurately and in an unbiased manner.
- I will strive to increase the competency and prestige of my profession.
- I will assist those in my employ or under my supervision in developing their professional competency.
- I will not undertake any assignments that I am not competent to perform.
- I will not represent conflicting or competing interests and will disclose to any client or employer any relationships that may influence my judgment.
- I will not discuss or disclose any information relating to any assignment unless required by law or authorised in writing by the client and/or my employing organisation.
- I will not accept any inducement, commission, gift or any other benefit from client organisations, their employees or any interested party or knowingly allow colleagues to do so.
- I will not intentionally communicate false or misleading information that may compromise the integrity of any assignment or the personnel certification process.
- I will not act in any way that would prejudice the reputation of RABQSA or the personnel certification process and will cooperate fully with an enquiry in the event of any alleged breach of this code.

Continued over page

Terms and Conditions (Cont)

Reduction of Certification

Certified persons can reduce their certification at any time by notification in writing to the appropriate RABQSA Scheme Examiner.

A reduction in certification may also be advised to an Applicant by the RABQSA Scheme Examiner after evaluation of the Application. Acceptance of a reduction of certification must be provided in writing. RABQSA does not refund fees to any certified persons when reducing certification.

Suspension

RABQSA reserves the right to suspend certification as a result of investigations into the conduct or performance of certified persons. Refer to Complaints for further details. RABQSA does not refund fees to any certified persons when suspending certification.

Withdrawal

RABQSA reserves the right to withdraw certification as a result of investigations into the conduct or performance of certified persons. Refer to Complaints for further details.

Certified persons may withdraw their certification at any time by notification in writing to the appropriate RABQSA Scheme Examiner.

RABQSA remains the sole owner of any Certificates and ID Cards issued to certified auditors. In the event of withdrawal of certification, the Certificate and ID Card issued must be returned to RABQSA. RABQSA does not refund fees to any certified auditor when withdrawing certification.

Complaints

Complaints against Auditors

Complaints against the actions or conduct of a certified auditor will be reviewed and investigated by RABQSA using documented procedures. A valid substantiated complaint may result in cancellation of certification.

Continued over page

Terms and Conditions (Cont)

Complaints (continued)

Complaints against RABQSA

Complaints against RABQSA may be submitted in writing to RABQSA. Each complaint will be reviewed, investigated, and resolved in a timely manner through a formal documented process. In appropriate circumstances, the RABQSA Scheme Committee will investigate complaints against RABQSA.

Appeals

An appeal against adverse certification decisions or withdrawal of certification must be submitted in writing. The written appeal will be reviewed, investigated, and resolved in a timely manner through a formal documented process. Appeals not resolved by RABQSA management will be submitted to the RABQSA Scheme Committee for evaluation and final decision.

Appeals may be made on the following decisions:

- refusal to grant initial certification,
- refusal to grant continuation of certification,
- refusal to grant an expansion of level of certification
- reduction in certification level,
- withdrawal, or
- suspension

All appeals shall be submitted in writing to RABQSA. The Applicant is required to submit their appeal to RABQSA no later than 30 days after notification of the decision. The appeal should include appropriate substantiation for the appellant's position and it shall contain any additional or updated information.

Certification Information

For information on RABQSA's:

- certification processes;
- Applicants' rights and responsibilities;
- complaints and appeals process;
- conditions of use for Certificates, ID Cards and RABQSA logo; and
- privacy

please contact RABQSA via the website www.rabqsa.com or email info@rabqsa.com.

End of Annex D

Certification Fees Schedule

Effective 1st January 2007

All fees are quoted in Australian dollars and include GST

Fees are subject to change without notice

The RABQSA Fee Schedule comprises five specific fees for service:

1. **Application Fees** – Provides for the receipt and desk audit of the Application (Administration Fee), the organisation and conduct of the Skill Examination (Skill Examination Fee) and personal attributes examination (*PAAS Master*[®] Fee).
2. **First Annual Certification Fee** – Provides for the Certificate, ID Card and inclusion on the RABQSA Certified Personnel Register (available to the public through the RABQSA website).
3. **Annual Certification Fee** – Provides for surveillance costs, ongoing certification and maintenance on the RABQSA Certified Personnel Register.
4. **Re-certification Fee** – Provides for Annual Certification Fee, administration costs, ongoing certification, re-issue of the Certificate, ID Card and inclusion on the RABQSA Certified Personnel Register. Additional fees apply for the organisation and conduct of the Skill Examination (Skill Examination Fee) and personal attributes assessment (*PAAS Master*[®] Fee).
5. **Expansion Fee** – Payable when applying for an expansion of grade in a currently held certification. Provides for the receipt and desk audit of the Application, issue of updated Certificate and ID Card and update on the RABQSA Certified Personnel Register.

All fees paid to RABQSA are non-refundable.

APPLICATION FEES

These Fees must accompany all Applications and are non-refundable.

Administration Fee	AU\$132.00
Skill Examination Fee	AU\$880.00
<i>PAAS Master</i> [®] Fee	AU\$ 33.00

Please note:

- Skill Examiner expenses, such as travel, accommodation and incidentals, are not included in the fees above. Any requirement for expenses is to be advised to RABQSA. Skill Examiner expenses in these instances are payable by the Applicant to RABQSA. RABQSA will reimburse the Skill Examiner upon invoice.
- Skill Examination Fees are fully paid to the Skill Examiner upon completion and return of the Skill Examination report. RABQSA does not profit from the provision of Skill Examinations.

Continued over page.

Certification Fee Schedule (Cont)

CERTIFICATION AND ANNUAL FEES

The First Annual Certification Fee is payable AFTER your Application has been approved. **Do not submit this Fee with your Application.**

Annual Certification Fees are payable annually on the anniversary of the certification and will be invoiced by RABQSA.

Annual Certification Fee for each grade:

Auditor	AU\$297.00
Lead Auditor	AU\$308.00

RE-CERTIFICATION FEES

These Fees are payable every 4th anniversary of initial certification and re-certification and include the Annual Certification Fee. The applicable fees will be invoiced by RABQSA.

Re-certification Fee for each grade:

Auditor	AU\$297.00
Lead Auditor	AU\$308.00

Plus the following Fees (not invoiced) where applicable

Skill Examination Fee	AU\$880.00
PAAS Master [®] Fee	AU\$ 33.00

Please note:

- Skill Examiner expenses, such as travel, accommodation and incidentals, are not included in the fees above. Any requirement for expenses is to be advised to RABQSA. Skill Examiner expenses in these instances are payable by the Applicant to RABQSA. RABQSA will reimburse the Skill Examiner upon invoice.
- Skill Examination Fees are fully paid to the Skill Examiner upon completion and return of the Skill Examination report. RABQSA does not profit from the provision of Skill Examinations.

Continued over page

Certification Fee Schedule (Cont)

EXPANSION FEE

Payable when applying for an expansion of grade in currently held certification.

Expansion Fee for each grade or Scope: AU\$110.00

Please Note : Applicants may be required to undergo additional Skill Examination in order to achieve expansion. The Fee listed in the Application Fees for Skill Examinations will apply.

PAYMENT OPTIONS

Please note that all payments made to the Australian Office of RABQSA will be charged in AU\$.

CREDIT CARD PAYMENTS BY FAX: Please fax your credit card payment form to
(+61) 02 4731 6466

PAYMENTS BY PHONE: You can pay your account over the phone using your credit card, please call (+61) 02 4728 4600 between 9am and 5pm Monday to Friday. (EST Australia).

PAYMENTS BY CHEQUE: Send Cheque payable to:
RABQSA International, Inc
PO Box 347,
Penrith BC NSW 2751
Australia

PAYMENTS BY BPay:
BPay is available for Certification, Annual and Re-certification fees paid in Australia.
Details are provided on RABQSA Invoice where applicable.

End of Annex E

Knowledge Competencies

RABQSA-DW: Management Systems for Drinking Water Quality

0. Understand the philosophy of drinking water quality management as outlined in ADWG (chapter 2)
1. Understand requirements for Commitment to drinking water quality management
2. Understand assessment of the drinking water supply system
3. Understand preventive measures for drinking water quality management
4. Understand operational procedures and process control
5. Understand verification of drinking water quality
6. Understand management of incidents and emergencies
7. Understand employee awareness and training
8. Understand community involvement and awareness
9. Understand research and development
10. Understand documentation and reporting
11. Understand evaluation and audit
12. Understand review and continual improvement

RABQSA-AU: Management Systems Auditing

1. Understand the application of the principles, procedures and techniques of auditing.
2. Understand the conduct of an effective audit in the context of the auditee's organizational situation.
3. Understand the application of the regulations, and other considerations that are relevant to the audit management system, and the conduct of the audit.
4. Practice personal attributes necessary for the effective and efficient conduct of a management system audit.

RABQSA-TL: Leading Management System Audit Teams

1. Establish, plan and task the activities of an audit team.
2. Communicate effectively with the auditee and audit client.
3. Organize and direct audit team members.
4. Prevent and resolve conflict with the auditee and/or within the audit team.
5. Prepare and complete the audit report.

End of Annex F

Summary of DW QMS Auditor Certification Requirements

Please note that this table is a **SUMMARY ONLY** of certification requirements. Applicants **MUST** refer to the details provided in the Certification Requirements.

Certification requirements	DW QMS Auditor	Lead DW QMS Auditor
Knowledge competency Page 8	RABQSA-AU RABQSA-DW	RABQSA-AU RABQSA-DW RABQSA-TL
Education Page 9	Degree or diploma in the fields of engineering, science or medicine	Degree or diploma in the fields of engineering, science or medicine
Work Experience Page 9	7 years full time relevant work experience	7 years full time relevant work experience
Personal attributes Page 11	<i>PAAS Master®</i> Examination	<i>PAAS Master®</i> Examination
Skill competency Pages 12 & 13	Skill Examination for DW QMS Auditors	Skill Examination for Lead DW QMS Auditors

OVERVIEW — TPECS KNOWLEDGE MODULES

RABQSA-AU: *Management system auditing*

RABQSA-TL: *Leading management systems audit teams*

RABQSA-DW: *Management system for drinking water quality*

End of Certification Requirements

EXAMPLE ONLY
DW QMS AUDITOR CERTIFICATION APPLICATION

RABQSA International Commercial- In-Confidence when completed

When completing this Application please ensure that all sections are completed and that all requested information is provided.

SECTION 1 – PERSONAL DETAILS

Family Name:.....*Auditor*.....Prefix/Title:.....*Mr*.....

Given Name(s):*David Good*.....

Name for Certificate:*David Good Auditor*.....

This should be your name as you wish it to appear on all published materials (e.g., John E. Smith)

Organisation:*Citywide Water Auditing Company*.....

Position:.....*Engineering Manager*.....

Please provide all contact details for RABQSA and **select** the relevant box to indicate whether this is business or home.

Please include area codes in phone and fax numbers.

Business Address **Home Address**

Address details: ...*PO Box 1234*

.....*Cityville Business Centre*State: *Vic*.....Postcode: ...*3000*.....

Phone: *03 9876 5432*..... Fax: *03 9876 1223*..... Mobile:..*0400 111 222*.....

Email:..*davidgauditor@citywide.com.au*.....

Applications must include an e mail address

Applications should be forwarded to:

RABQSA International
P.O. Box 347
Penrith, BC NSW 2751 Australia
Phone: +61 2 4728 4600
Fax: +61 2 4731 6466

Email: info@rabqsa.com

Continued over page.

DW QMS AUDITOR CERTIFICATION APPLICATION (CONT)

SECTION 2 – GRADE OF CERTIFICATION

Please select the grade of DW QMS auditor certification requested:

- DW QMS Auditor
- Lead DW QMS Auditor

SECTION 3 – GENERAL REQUIREMENTS FOR CERTIFICATION

ATTACHMENTS (Please select each box as applicable to confirm you have attached the following:)

- Application Fee. (Refer to DW QMS Fee Schedule)
- Copy of Certificate/s of Attainment or evidence of RABQSA examination confirming required knowledge-based competency for grade of DW QMS auditor certification sought. (Refer to DW QMS Auditor Certification Requirements page 8 for details)
- Details of qualifications (Refer to DW QMS Auditor Certification Requirements page 9 for details)
- Details of work experience (Refer to DW QMS Auditor Certification Requirements page 9 for details)

PAAS MASTER[®] EXAMINATION

- I request that RABQSA provide me with details to undertake a PAAS Master[®] Examination (Refer to DW QMS Auditor Certification Requirements page 11 for details)

OR

- I have completed a PAAS Master[®] Examination in the last four years:
Date completed:

SKILL EXAMINATION

- I request that RABQSA provide me with contact details of certified Skill Examiners for appropriate DW QMS Skill Examination (Refer to DW QMS Auditor Certification Requirements pages 12 & 13 for details)

SECTION 4 - PAYMENT DETAILS

Please refer to the current DW QMS Fee Schedule for details of Application Fees

I enclose my: (please select) Cheque Credit card for the amount of A\$ 1045.00

Credit Card Type: (please select) VISA M/CARD AMEX

Card Number: XXXX / 222 / 333 / 5555

Expiry Date: 09 / 08

Card Holder Name:*David Good Auditor*.....

EXAMPLE ONLY

Cardholder's signature:*David G Auditor*.....

Continued over page.

DW QMS AUDITOR CERTIFICATION APPLICATION (CONT)

SECTION 5 – DECLARATION

Please select the boxes as appropriate to confirm your understanding and agreement to the Terms and Conditions below:

- I hereby apply for DW QMS auditor certification with RABQSA International.
- I agree to the publication of my name, contact and certification details in the RABQSA Register of Certified Personnel. (select only if applicable).
- I request that I be shown on the Register of Certified Personnel as able to undertake contract audit work (select only if applicable).
- I agree to comply with the requirements of certification as detailed in the Terms and Conditions for Certification.
- I agree to supply any further information needed for the evaluation of my Application.
- All information provided in this Application is correct to the best of my knowledge.
- Any complaints regarding my performance are formally dealt with in a manner to prevent recurrence.
- I authorise RABQSA to seek information from any parties noted in this Application and supporting documents.
- I will observe the RABQSA Code of Conduct and confirm that:
 1. I will act professionally, accurately and in an unbiased manner.
 2. I will strive to increase the competency and prestige of my profession.
 3. I will assist those in my employ or under my supervision in developing their professional competency.
 4. I will not undertake any assignments that I am not competent to perform.
 5. I will not represent conflicting or competing interests and will disclose to any client or employer any relationships that may influence my judgment.
 6. I will not discuss or disclose any information relating to any assignment unless required by law or authorised in writing by the client and/or my employing organisation.
 7. I will not accept any inducement, commission, gift or any other benefit from client organisations, their employees or any interested party or knowingly allow colleagues to do so.
 8. I will not intentionally communicate false or misleading information that may compromise the integrity of any assignment or the personnel certification process.
 9. I will not act in any way that would prejudice the reputation of RABQSA or the personnel certification process and will cooperate fully with an enquiry in the event of any alleged breach of this code.

Name: *David Good Auditor*

Signature: *David G Auditor*

Date: *31 June 2006*

EXAMPLE ONLY

For further information or enquiries about the DW QMS Auditor Certification Scheme or your Application for certification, please contact the RABQSA DW QMS Scheme Examiner.

End of Application Form