



Competency Unit:

RABQSA-AU - Management Systems Auditing

Effective date: 1 January 2005

Competency	Performance Criteria	Evidence Guide
<p>1: Understand the application of the principles, procedures and techniques of auditing.</p>	<p>1.1: The principles, objectives and techniques of auditing management systems, as outlined in ISO 19011:2002, are understood and applied.</p> <p>1.2: The terms and definitions of ISO 19011:2002 are understood and applied.</p> <p>1.3: Audit criteria relevant to the auditee's business and operation are identified.</p> <p>1.4: An audit plan is developed to meet the agreed audit criteria.</p> <p>1.5: A document review is completed.</p> <p>1.6: All aspects of the on-site audit activities are understood and applied.</p> <p>1.7: An audit report is prepared.</p> <p>1.8: Requirements for follow-up and closing are understood and applied.</p>	<p>In accordance with ISO 19011:2002 guidelines, with omission or deviation justified</p> <p>Presented verbally, written or other via means; accurate, concise and within context.</p> <p>The evidence of 'understanding' must be measurable and relate directly to the requirements of the Standard.</p> <p style="text-align: center;">*****</p> <p>Understanding of the auditing principles and practices as identified in ISO/IEC19011:2002 is demonstrated.</p> <p>The correct use of terms and definitions of ISO/IEC19011:2002 is demonstrated.</p> <p>Relevant audit objectives, scope and criteria are accurately defined.</p> <p>The issues affecting the feasibility of an audit such as information requirements, auditee co-operation, and resource availability are identified.</p> <p>A document review within the audit criteria is conducted with omission or deviation justified and appropriate actions communicated to the auditee.</p> <p>On-site audit activities are planned and a written audit plan is prepared, including an audit timetable that accurately reflects the achievement of the audit objectives within the agreed or prescribed timetable.</p> <p>An audit checklist, or other relevant work documents, that conforms to the requirements of the reference standard is developed.</p>

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<p>1: Understand the application of the principles, procedures and techniques of auditing. (cont)</p>		<p>An opening meeting is conducted addressing all items in ISO 19011:2002 guidelines.</p> <p>Audit evidence that is relevant to the audit criteria is collected and verified.</p> <p>Audit findings are generated based on collected and verified evidence with valid audit conclusions based on audit evidence.</p> <p>A closing meeting is conducted to present audit findings and agree on follow-up actions.</p> <p>A written audit report accurately communicating the audit findings is prepared.</p> <p>Activities required to follow-up and close out non-conformities are identified and are consistent with the nature of the non-conformances, the audit criteria and the auditee's operations</p>
<p>2: Understand the conduct of an effective audit in the context of the auditee's organizational situation.</p>	<p>2.1: The auditee management system can be audited in the context of the audit criteria/plan including reference standard.</p> <p>2.2: Sampling techniques are defined and are appropriate to the needs of the management system. The application of the audit criteria is appropriate to the size, risk and type of auditee business.</p> <p>2.3: The application of the audit criteria/plan is appropriate to the size, risk, and type of auditee's organization.</p> <p>2.4: The role and responsibilities of the auditor are understood.</p>	<p>The appropriateness of the audit criteria, relevant reference standard, and the auditee's management system is assessed.</p> <p>The agreed scope, objectives, and criteria of the audit are adhered to.</p> <p>Only that part of the auditee management system relevant to the audit criteria/plan is audited.</p> <p>Sampling protocols are reviewed relevant to the risks identified in the management system.</p> <p>The appropriateness of the audit criteria/plan relevant to the size, risk, and type of auditee's organization is assessed.</p> <p>Techniques for establishing a positive relationship with the auditee are determined.</p>



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	2.5: The impact of cultural, religious, and/or social customs of the audit process is understood.	Any cultural, religious or social customs of the auditee are reflected in the conduct of the audit.
3: Understand the application of the regulations, and other considerations that are relevant to the audit management system, and the conduct of the audit.	3.1: Application of regulations, legal requirements, and industry codes of practice, relevant to the auditee's management system and/or to the audit, are understood and applied.	An understanding of how relevant regulations, legal requirements, and codes of practice are applied within the auditee management system is demonstrated.
4: Practice personal attributes necessary for the effective and efficient conduct of a management system audit.	4.1: Effective communication is practiced. 4.2: Interview skills are used to effectively acquire information within the scope of the audit. 4.3: Written comments on audit worksheets accurately reflect findings and observations. 4.4: The requirements for information security are understood and applied.	Knowledge of effective communication (verbal, written and listening) is demonstrated. Knowledge of effective interview techniques to acquire valid evidence is demonstrated. Evidence and findings are recorded accurately, analyzed, prioritized and summarized. Reports are clear, concise and unambiguous. Audit reports and all notes are securely maintained. Audit outcomes are not discussed with or distributed to unauthorized personnel.