



Competency Unit:

RABQSA-TL – Leading Management Systems Audit Teams

Effective date: 1 January 2005

Competency	Performance Criteria	Evidence Guide
<p>1: Establish, plan and task the activities of an audit team.</p>	<p>1.1: The role and responsibilities of audit team leaders as identified in ISO 19011:2002 are understood and applied when planning a team audit.</p> <p>1.2: The audit purpose, scope, and criteria are determined.</p> <p>1.3: The requirements for selecting audit teams are understood and applied.</p> <p>1.4: Auditor responsibilities are allocated to achieve audit criteria.</p> <p>1.5: An audit plan is prepared that identifies and allocates team members according to audit criteria.</p>	<p>In accordance with ISO 19011:2002 guidelines, with omission or deviation justified.</p> <p>Presented verbally, written or via other means; accurate, concise and within context.</p> <p>The evidence of ‘understanding’ must be measurable and relate directly to the requirements of the Reference Standard.</p> <p style="text-align: center;">*****</p> <p>On-site team audit activities are planned.</p> <p>The feasibility of an audit based on available audit team resources is accurately determined.</p> <p>A written audit plan, which identifies the objectives of the audit, audit timings, the roles and responsibilities of all team members, is accurately prepared.</p> <p>An audit team is selected based on the auditee’s business operations, required competencies, experience and role in the audit.</p> <p>Appropriate checklists, or other suitable working documents, that identify what each team member is required to cover are accurately prepared.</p> <p>Relevant reference standards and other relevant documents are identified without error or omission and made available to appropriate team members as applicable.</p>

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<p>2: Communicate effectively with the auditee and audit client.</p>	<p>2.1: The objectives and purpose of the Opening Meeting are understood and applied.</p> <p>2.2: Audit team leader responsibilities for communication during the audit are understood and applied.</p> <p>2.3: The objectives and purpose of the Closing Meeting are understood and applied.</p>	<p>An understanding of the objectives and purpose of the Opening Meeting is demonstrated.</p> <p>A Closing meeting is effectively and efficiently planned and managed with all relevant issues referenced in ISO 19011:2002 considered.</p>
<p>3: Organize and direct audit team members.</p>	<p>3.1: Team roles and responsibilities, and timeframes are identified and clarified.</p> <p>3.2: Audit progress is monitored against timeframe and audit criteria.</p> <p>3.3: Team members are informed of progress through audit team briefings.</p> <p>3.4: Consensus is reached within the team on audit findings.</p>	<p>Team activities during an audit are effectively facilitated to ensure effective and efficient audit outcomes.</p> <p>Harmony and communication within the team is effectively maintained.</p> <p>A consensus on audit findings is achieved if possible. Where consensus cannot be achieved, the reasons for the disagreement are clearly stated in the audit report.</p>
<p>4: Prevent and resolve conflict with the auditee and/or within the audit team.</p>	<p>4.1: All communication issues between audit team and auditee are resolved quickly and to a point of agreement.</p> <p>4.2: All conflicting issues within the audit team are resolved within the team, so that the team represents a united front to the auditee.</p>	<p>Areas of potential conflict with the auditee or within the audit team are accurately identified.</p> <p>Conflict is resolved quickly, effectively and to a point of agreement.</p>



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<p>5: Prepare and complete the audit report.</p>	<p>5.1: Distribution of the audit report is agreed with the audit client.</p> <p>5.2: The audit report summarizes the audit findings objectively, using only verified facts.</p> <p>5.3: The audit report is presented to the auditee as soon as is practicable after the audit.</p> <p>5.4: Follow-up of corrective actions are agreed and carried out and documented on the audit report.</p>	<p>A team audit report is prepared accurately addressing all the findings of the audit.</p> <p>The team is fairly and accurately represented.</p> <p>The audit results are communicated accurately and positively to the audit client and/or auditee as appropriate.</p> <p>Team follow-up on agreed corrective actions is facilitated appropriately.</p> <p>Agreed corrective actions are closed out effectively.</p>

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