

**Competency Unit: RABQSA-AU - Management Systems Auditing**

**Training Provider:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**EXAMINATION PROFILE**

**Competency:** *Understand the application of the principles, procedures and techniques of auditing.*

Performance Criteria	Evidence Guide	Examination Method	Location in Examiners' Guide	Examination Day and Time	RABQSA Use Only Verification/remarks
1.1) The principles, objectives and techniques of auditing management systems, as outlined in ISO 19011:2002, are understood and applied.	Understanding of the auditing principles and practices as identified in ISO 19011:2002 is demonstrated.				
1.2) The terms and definitions of ISO 19011:2002 are understood and applied.	The correct use of terms and definitions of ISO19011:2002 is demonstrated.				
1.3) Audit criteria relevant to the auditee's business and operation are identified.	Relevant audit objectives, scope and criteria are accurately defined.				
1.4) An audit plan is developed to meet the agreed audit criteria.	The issues affecting the feasibility of an audit such as information requirements, auditee co-operation, and resource availability are identified.				
1.5) A document review is completed.	A document review within the audit criteria is conducted with omission or deviation justified and appropriate actions are communicated to the auditee.				
1.6) All aspects of the on-site audit activities are understood and applied.	a. On-site audit activities are planned and a written audit plan is prepared, including an audit timetable that accurately reflects the achievement of the audits				

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	objectives within the agreed or prescribed timetable.				
	b. An audit checklist or other relevant work documents that conforms to the requirements of the reference standard is developed.				
	c. An opening meeting is conducted addressing all items in ISO 19011:2002 guidelines.				
	d. Evidence that is objective and relevant to the audit criteria is collected and verified.				
	e. Audit findings are generated based on collected and verified evidence with valid audit conclusions based on objective evidence generated.				
	f. A closing meeting is conducted to present findings and agree on follow-up actions.				
1.7) An audit report is prepared.	A written audit report accurately communicating the audit findings is prepared.				
1.8) Requirements for follow-up and closing are understood and applied.	Activities required to follow-up and close out nonconformities are identified and are consistent with the nature of the nonconformities, the audit criteria and the auditee's operations.				

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**Competency:** *Understand the conduct of an effective audit in the context of the auditee's organizational situation.*

Performance Criteria	Evidence Guide	Examination Method	Location in Examiners' Guide	Examination Day and Time	RABQSA Use Only Verification/remarks
2.1) The auditee management system can be audited in the context of the audit criteria including reference standard.	a. The appropriateness of the audit criteria to the size, risk, and type of auditee business is assessed.				
	b. The agreed scope, objectives, and criteria of the audit are adhered to.				
	c. Only that part of the auditee management system relevant to the audit criteria is audited.				
2.2) Sampling techniques are defined and are appropriate to the needs of the management system.	Sampling protocols are reviewed relevant to the risks identified in the management system.				
2.3) The application of the audit criteria/plan is appropriate to the size, risk, and type of auditee's organization.	The appropriateness of the audit criteria/plan relevant to the size, risk, and type of auditee's organization is assessed.				
2.4) The role and responsibilities of the auditor are understood.	Techniques for establishing a positive relationship with the auditee are determined.				
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.				

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**Competency:** *Understand the application of the regulations, and other considerations that are relevant to the audit management system, and the conduct of the audit.*

Performance Criteria	Evidence Guide	Examination Method	Location in Examiners' Guide	Examination Day and Time	<i>RABQSA Use Only Verification/remarks</i>
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.				

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**Competency:** *Practice personal attributes necessary for the effective and efficient conduct of a management system audit.*

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4.1) Effective verbal communication is practiced through personal linguistic skills.	Knowledge of effective communication (verbal, written and listening) is demonstrated.				
4.2) Interview skills are used to effectively acquire information within the scope of the audit.	Knowledge of effective interview techniques to acquire valid evidence is demonstrated.				
4.3) Written comments on audit worksheets accurately reflect observations.	a. Evidence is recorded accurately, analyzed, prioritized and summarized.				
	b. Reports are clear, concise and unambiguous.				
4.4) The requirements for information security are understood and applied.	a. Audit reports and all notes are securely maintained.				
	b. Audit outcomes are not discussed with or distributed to unauthorised personnel.				

Comments: