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Recognition of Current Competency Checklist - Competency Unit RABQSA- TL: Leading Management System Audit Teams

Element of Competency	Performance Criteria	Evidence Guide	Explain below how you believe that you have met each of the performance criteria and provide / attach related evidence e.g of relevant work activities, previous training etc.
4.8.1: Establish, plan and task the activities of an audit team	4.8.1.1: The role and responsibilities of audit team leaders as identified in ISO 19011:2002 are followed when planning a team audit 4.8.1.2: The audit purpose, scope, and criteria are determined and agreed with the audit client and auditee. 4.8.1.3: The audit team is selected based on required audit input, competence, and experience. 4.8.1.4: Auditor responsibilities are allocated to achieve audit criteria. 4.8.1.5: An audit plan is prepared which identifies and allocates team members according to audit criteria.	On-site team audit activities are planned in accordance with ISO 19011:2002 guidelines, with omission or deviation justified. The feasibility of an audit based on available audit team resources is accurately determined. A written audit plan, which identifies the objectives of the audit, audit timings, the roles and responsibilities of all team members is accurately prepared. Work to the audit team in accordance with agreed audit criteria is effectively assigned A checklist, or other suitable guide, that identifies team member responsibilities is accurately prepared. All relevant reference standards and other relevant documents are made available and known to team members without error. The document review is effectively supervised and the outcomes accurately communicated to the auditee.	

<p>4.8.2: Communicate effectively with the auditee and audit client.</p>	<p>4.8.2.1: Key auditee personnel are notified and aware of the audit plan and timetable. 4.8.2.2: Authority to audit is sought and received from the auditee. 4.8.2.3: Audit team resources are identified and, as appropriate, agreed with the auditee. 4.8.2.4: The Opening Meeting is effectively conducted by the Audit Team Leader 4.8.2.5: Audit Team issues are communicated with auditee during the audit through the Audit Team Leader. 4.8.2.6: The Closing Meeting is effectively conducted by the Audit Team Leader.</p>	<p>The on-site team audit activities, in accordance with ISO 19011:2002 guidelines, are effectively communicated. An opening meeting is managed effectively, with all issues referenced in ISO19011 considered. Open, honest and positive communication with the auditee representatives and audit team members is effectively demonstrated. A closing meeting is managed effectively with all issues referenced in ISO19011 considered.</p>	
<p>4.8.3: Organise and direct audit team members</p>	<p>4.8.3.1: Team roles and responsibilities, and timeframes are identified and clarified. 4.8.3.2: Audit progress is monitored against timeframe and audit criteria. 4.8.3.3: Team members are informed of progress through audit team briefings. 4.8.3.4: 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. Harmony and communication within the team is effectively maintained. A consensus on audit findings is achieved.</p>	
<p>4.8.4: Prevent and resolve conflict with the auditee and/or within the audit team</p>	<p>4.8.4.1: All communication issues between audit team and auditee are resolved quickly and to a point of agreement. 4.8.4.2: All conflict issues within the audit team are resolved within the team, so that the team represents a united front to the auditee.</p>	<p>Team activities during an audit are effectively facilitated to ensure effective and efficient audit outcomes. Harmony and communication within the team is effectively maintained. A consensus on audit findings is achieved.</p>	

<p>4.8.5: Prepare and complete the audit report</p>	<p>4.8.5.1: Distribution and format of the audit report is agreed with the auditee and audit client.</p> <p>4.8.5.2: The audit report summarises the audit findings objectively, using only verified facts.</p> <p>4.8.5.3: The audit report is presented to the auditee as soon as is practicable after the audit.</p> <p>4.8.5.4: 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 auditee.</p> <p>The auditee is assisted to develop an effective corrective action plan.</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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