

Competence Requirements for Personnel involved in Management Systems Certification

Auditor is a person with adequate competence ie demonstrated capability to apply knowledge and skills to conduct an audit. Following are Competence requirements of Auditors

- Ethical Conduct
- Fair Representation
- Due Professional Care
- Independence
- Evidence-based conclusions

Audit Programmes Cohérent audit programmes define :

- Objectives
- Responsibilities
- Resources
- These should be kept under continuous review.
- Risk Management Approach
- Audit resources are not unlimited
- Apply them where there is the greatest return on investment
- Recognize industry expectations
- Use tools to determine areas of risk
- BUT – remember that audit confirms absence of problems

Audit Planning

“If you fail to prepare, prepare to fail”

- WHAT are you intending to audit?
- WHY are you performing the audit?
- WHEN (including how long will you take)?
- WHERE is the task being performed?
- WHO is responsible / involved?
- HOW? (including sampling methods)

To be an effective auditor, you must have:

The information necessary for planning;

- Available time for planning, conduct and reporting
- Adequate co-operation from the auditee
- An audit team with the necessary skills

Preparation

- Initial contact with the auditee
- Reviewing the relevant documentation
- Arrange the audit logistics (especially for external audits)
- Prepare checklists and other materials to assist achieving the audit aims and objectives
- Opening and Closing Meetings
- Degree of formality can vary Reporting

OBSERVATIONS

- The real FINDINGS

- Comparison of expectations and reality
- Observational Skills
- Observing the correct things
- Recognizing what you are seeing
- Ability to recall accurately what you see
- Analytical Skills
- Should the auditor be looking at **causes & effects**?
- An understanding of **why** things happen will assist in
- identification of **what** is happening
- Should auditors make recommendations?
- Tricky

Communication Skills

- How you communicate affects how people respond
- Acceptance or rejection
- Recognition or denial
- This applies to both written and verbal communication
- General Knowledge
- Knowledge of Audit requirements
- If you cannot convince yourself, do not attempt to persuade others
- Knowledge of _ Regulations
- Quality management system
- Policies and procedures
- Organisational structures
- Specific project requirements
- Credibility
- Education
- Experience
- Personal behaviour
- Supporting without owning

Auditor Skills

- *Open-minded*
- *Diplomatic*
- *Observant*
- *Perceptive*
- *Tenacious*
- *Decisive*
- *Self-reliant*
- *Ethics*
- *Sensible*