Competency Unit: Exemplar Global-AU

Competency Unit: Exemplar Global- AU Management Systems Auditing

How to use this document

The purpose of this Competency Unit is to give Training Providers detailed information on the performance criteria required of those who are seeking to become certified Exemplar Global – AU – Management Systems Auditors. This competency unit applies to the knowledge requirements for several Exemplar Global personnel certification schemes.

A **Training Provider** is someone who has received the Exemplar Global Training Provider and Examiner Certification Scheme (TPECS) certification for the development and delivery of the Exemplar Global-Management Systems Auditing examination.

A **potential Exemplar Global –AU Auditor** is someone who conducts Management System audits, oftentimes as a member of an audit team.

To become a certified Exemplar Global Management Systems Auditor, an individual must show evidence that they have adequate skills in the four (4) areas of Competencies shown in the tables below. These individuals show competency by meeting the performance criteria shown in the second column. Training Providers are responsible for ensuring that these individuals provide adequate evidence of the performance criteria, according to the Evidence Guide.

Training Providers use an accompanying Examination Profile to document how evidence will be collected and are authorized to administer the TPECS Competency Unit examination through their TPECS certification.

All TPECS examinations will measure the performance criteria shown in this competency unit as written.

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Competency	Performance Criteria	Evidence Guide	ISO 19011:2018
1. Understand the application of the principles, processes and methods of auditing.	1.1 The principles of auditing as outlined in ISO 19011:2018, are understood and applied.	E1.1 Auditing principles as identified in ISO 19011:2018 are appropriately described and applied in a specific audit scenario.	4
	1.2 The terms and definitions of ISO 19011:2018 are understood and applied.	E1.2 The terms and definitions of ISO 19011:2018 are correctly defined and described.	3
	1.3 Understand the different types of management system audits.	E1.3 The difference between 1st party, 2nd party and 3rd party audit is understood. The concept of combined or integrated audit are understood.	Introduction 3.2
	1.4 The typical process flow for conducting an audit is understood and described.	E1.4 The activities involved in an individual audit are understood and applied.	5.1 Figure 1 6
	1.5 Understand the types of risks and opportunities associated with auditing.	E.1.5 The risks of the audit activities on the auditee's processes and the risks to not achieving the audit objectives are described and understood.	5.3 5.5.3 6.3.2.1
	1.6 The application of different audit methods and the difference between 'remote audits' and auditing 'virtual activities' are understood.	E.1.6 The application of remote audit methods and auditing virtual activities and locations, and the related risks are described and understood.	A.1 6.4.5 A.15 A.16
2. Understand the activities involved in preparing for an audit	2.1 Based on the auditee's business and operations, the audit scope and relevant criteria are identified ensuring they are aligned to the audit program objectives.	E.2.1 Relevant audit objectives, scope, and criteria related to a specified auditee organization's structure, size, and business are accurately defined.	5.5.2

	2.2 Understand the factors to be considered to determine the feasibility of an audit.	E.2.2 The factors to be considered to determine if an audit is feasible are described.	6.2.3
	2.3 Relevant management system documented information of the auditee is reviewed.	E.2.3. The purpose of a document review in audit preparation is described and the relevant management system documentation required for such a review is identified.	6.3.1 6.3.4
	2.4 Information is collected, verified and reviewed in preparation for developing appropriate work documents. Work documents are prepared and the proper use of these is understood.	E.2.4. The purpose and use of different types of work documents and the process of preparing work documents is understood.	6.3.4 A.5 A.6 A.7 A.8 A.9 A.10 A.13 A.14
	2.5 An audit plan is developed applying the risk-based approach to meet the audit objectives, scope, and criteria.	E.2.5. An audit plan is developed for an audit conducted as a principal (sole) auditor that includes on-site activities for a specified auditee and duration of the audit activities with sufficient detail to ensure the effective achievement of audit objectives for a given audit criteria and scope, with focus on matters that are significant for the audit client and for achieving the audit programme objectives.	4 g 6.3.2 A.2 A.10
3. Understand the conduct of an effective audit in the context of the auditee's organizational situation	3.1 Audits are conducted in accordance with the audit scope using relevant documents that identify the audit objectives and criteria for a given audit.	E.3.1. For a specific audit, the agreed scope, objectives, and criteria of the audit are identified and the means in which these are adhered to in conducting the audit is described (e.g., only that part of the auditee management system relevant to the audit criteria/plan is audited).	5.5.2

	3.2 Understand the appropriateness and consequences of using sampling techniques for auditing	E.3.2. Sampling techniques are selected based on the audit objectives, scope, criteria, and risks identified in the management system.	A.6 4(f) 6.3.2.1(b) 6.3.2.2(f) 6.3.4(b)
	3.3 Understand auditing organizational context considering internal and external issues, needs and expectations of interested parties as well as the risks and opportunities of the organization.	E.3.3. The approach to auditing organizational context across the entire management system and its link to risks and opportunities is described with respect to the auditee's organizational context.	A.8 A.10
	3.4 Understand auditing leadership and commitment with respect to accountability, responsibilities, decision making and ensuring the management system achieves its intended outcomes.	E.3.4. Top management's demonstration of accountability, fulfilling responsibilities and decisions to ensure the effectiveness of the management system are identified.	A.9
	3.5 The roles and responsibilities of the audit team leader, audit team members, and technical experts are understood.	E.3.5. The roles and responsibilities of audit team members as they relate to the audit team leader, technical experts, guides, and observers are defined and described.	6.3.2.2(g) 6.3.3 6.4.2
	3.6 Understand how organizations comply with and apply regulations, legal requirements, industry codes of practice, and customer requirements to their management system.	E.3.6. The ways in which a specific auditee organization may comply with codes of practice and customer requirements are described.	5.4.3(e) 5.5.2(b) 6.2.2(e) A.7

	3.7 All aspects of the on-site audit activities are understood and applied. 3.7.1. The purpose and content of the opening meeting is understood. 3.7.2. The role of communication and the types of information that should be communicated throughout an audit are understood. Communication methods and link between audit team and auditee are understood. 3.7.3. Work documents are used appropriately and as necessary to record audit findings. 3.7.4. The process approach is employed to audit the organization's processes and their interactions. 3.7.5. Audit activities are to be conducted such that interference with the auditee's work processes are minimized. 3.7.6. Adherence to the agreed time schedule is demonstrated. 3.7.7. Audit evidence is collected based on verifiable information. 3.7.8. Audit findings are generated and reviewed for relevancy and accuracy in order to prepare audit conclusions. Findings are appropriately	E3.7 E.3.7.1.Appropriate agenda items for an opening meeting are described as outlined in ISO 19011:2018. E.3.7.2.The communication arrangements among the auditee, client, external bodies, audit team leader and among audit team members are described and the types of information that should be communicated is explained. E.3.7.3.Information that is relevant to the audit objectives, scope, and criteria is identified and verified in order to determine audit findings. E.3.7.4.A method for auditing a process from start to finish, including the interrelations with other processes and different functions are described. E.3.7.5.The ways in which auditors conduct themselves in order to minimize any interference with the auditee's processes can be described. E.3.7.6.Audit activities are performed within the agreed time schedule. E.3.7.7.Audit evidence is appropriately evaluated against criteria in order to identify audit findings. E.3.7.8.The process used to generate and review audit findings is described. Audit findings are appropriately documented.	6.4 A.1 A.2 A.4 A.5 A.14 A.15 A.16 A.18

	documented for the type of audit being performed. 3.7.9. Audit conclusions are developed based on audit findings and other information. 3.7.10. The purpose and content of the closing meeting is understood.	E.3.7.9.Sufficiency and appropriateness of audit evidence to support audit findings and conclusions is confirmed. E.3.7.10. Appropriate agenda items for a closing meeting are described as outlined in ISO 19011:2018.	
	3.8 An audit report is prepared and distributed as outlined in ISO 19011:2018.	E3.8. Appropriate information related to audit results, findings, and conclusions are documented for inclusion in an audit report. Audit report distribution criteria are described.	6.5
	3.9 Requirements for audit completion and conducting audit follow-up are established, understood, and applied.	E3.9. Activities required for audit follow-up including corrections, corrective actions and opportunities for improvement are described. The verification of the completion and effectiveness of these actions are identified.	6.6 6.7

4. Apply effective audit skills and practice personal behaviours necessary for the effective and efficient conduct of a management system audit.	4.1 Effective and efficient means of communication are used.	E4.1. Effective communication skills (verbal, written, and listening) are demonstrated by • using appropriate oral communication skills when interacting with the auditee or client, • using effective listening skills by providing meaningful feedback, • recording evidence and findings accurately, and • documenting reports that are complete, clear, concise, and unambiguous	6.4.4 7.2.3.2
	4.2 Interview skills are used to effectively to acquire information within the scope of the audit.	E4.2. Effective interview techniques and methods to acquire valid objective evidence are demonstrated.	6.4.7 7.2.3.2 A.17 A.5 A.6

	4.3 The requirements for confidentiality, information security, and proprietary information are understood and applied.	E4.3. The ways in which individual auditors and audit teams ensure confidentiality and information security are described	4(d) 6.2.2 (f, h) 6.3.2.2 6.3.4 6.4.2c 6.6
	4.4 Personal behaviours as listed in ISO 19011:2018 and use of professional judgement are demonstrated.	E4.4. The ability to maintain the personal behaviours throughout an audit, even in difficult or adversarial situations and the application of professional judgement is demonstrated.	7.2.2 A.3