

Title	Demonstrate knowledge of the requirements specified in ISO19011:2018, Guidelines for auditing management systems		
Level	6	Credits	12

Purpose	People credited with this unit standard are able to demonstrate knowledge of: managing an audit programme and conducting an audit; the competence requirements and evaluation process of auditors; and audit sampling.
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Classification	Business Operations and Development > Quality Management
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Available grade	Achieved
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Guidance Information

- 1 Legislation, regulations and compliance requirements relevant to this unit standard include but are not limited to:
 Accident Compensation Act 2001;
 Amusement Devices Regulations 1978;
 Crimes Amendment Act (No 4) 2011 Commencement Order 2013;
 District plans, Regional plans, Local Government bylaws and regulations;
 Food Act 1981,
 Health and Safety at Work Act 2015;
 Health and Safety at Work (Adventure Activities) Regulations 2016;
 Health and Safety at Work (Hazardous Substances) Regulations 2017;
 Health and Safety at Work (General Risk and Workplace Management) Regulations 2016;
 Maritime Transport Act 1994;
 NZS 5826:2010 *Pool Water Quality*;
 Land Transport (Road User) Rule 2004;
 Resource Management Act 1991.
- 2 Definitions
Audit refers to systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
ISO stands for International Standard Organisation.
- 3 Reference
 ISO 19011:2018 *Guidelines for Auditing Management Systems*.

Outcomes and performance criteria

Outcome 1

Demonstrate knowledge of managing an audit programme and conducting an audit in accordance with ISO 19011:2018.

Performance criteria

- 1.1 Explain the key components required to establish audit programme objectives and an audit programme.
- Range roles and responsibilities, individual competencies, extent, risks and opportunities, procedure and resources.
- 1.2 Explain the process for implementing an audit programme.
- Range objectives, scope and criteria, methods, team, leader responsibilities, programme results and records.
- 1.3 Explain the key components required to monitor, review and improve an audit programme.
- 1.4 Explain the key components required to conduct an audit.
- Range key components include – initiating audit, preparing audit activities, conducting audit activities (including opening and closing meetings, identifying and categorising audit findings), preparing and distributing audit report, completing audit, conducting audit follow-up (including non-conformity).

Outcome 2

Demonstrate knowledge of the competence requirements and evaluation process of auditors in accordance with ISO 19011:2018.

Performance criteria

- 2.1 Explain auditor competence requirements to fulfil the needs of an audit programme.
- Range general, personal behaviour, knowledge and skills, achieving auditor competence, code of conduct.
- 2.2 Explain audit team leader competence requirements to fulfil the needs of an audit programme.
- Range working under the direction and guidance of a different audit team leader.
- 2.3 Explain the process for establishing auditor evaluation criteria and methodology.

- 2.4 Describe the requirements for conducting an evaluation of an auditor.
- 2.5 Explain the methods for maintaining and improving auditor competence.
- 2.6 Explain the requirement for knowledge and skills related to the sector being audited.

Range includes but is not limited to – processes, equipment, hazardous substances, process cycles, maintenance, logistics, work flow organisation, work practices, shift-scheduling, organisational culture, leadership, behaviour, risk management.

Outcome 3

Demonstrate knowledge of audit sampling in accordance with ISO 19011:2018.

Performance criteria

- 3.1 Explain the general objectives of audit sampling.

Range sampling plan, method, sample size, sampling activity.

- 3.2 Explain and compare judgement-based sampling and statistical sampling.

Range three examples where judgement-based sampling is justified, and three examples of where statistical sampling is required.

Planned review date	31 December 2024
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Status information and last date for assessment for superseded versions

Process	Version	Date	Last Date for Assessment
Registration	1	20 February 2014	31 December 2020
Review	2	27 June 2019	N/A

Consent and Moderation Requirements (CMR) reference	0099
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This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.

Comments on this unit standard

Please contact Skills Active Aotearoa Limited info@skillsactive.org.nz if you wish to suggest changes to the content of this unit standard.