SPECIFICATION
FOR THE DEVELOPMENT OF EXAMINATIONS AS PART OF A CERTIFICATION SCHEME FOR
MS AUDITORS

Issue 2

Classification

This document and its annexes are classified as an IPC Certification Criteria Document.

This Specification is owned and administered by the International Personnel Certification Association (IPC) and is issued on the authority of the Members of IPC.

This Specification replaces "Specification for the development of certification schemes for the certification of QMS and EMS auditors" Issue 4, issue date 1/7/05.

Authorization

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Enquiries and Availability

Enquiries regarding IPC and IPC documents should be referred in the first instance to a Member of IPC or to the IPC Secretariat. Copies of this document in English are available on the IPC Website at www.ipcaweb.org. Electronic versions of these documents are available to Members of IPC from the Secretariat on request.

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1. Introduction

This Specification has been prepared by the International Personnel Certification Association (IPC) in order to provide a common and internationally recognized basis for the certification of MS auditors.

It is designed to provide the framework within which each Personnel Certification Body, their national Accreditation Body and the various, relevant stakeholder groups can agree the specifications for a Certification Scheme relevant and acceptable to the context within which that Personnel Certification Body operates. The Personnel Certification Body will award certification in accordance with its own accredited specification, based on the requirements and guidance within this IPC specification.

This specification is available for use by any Personnel Certification Body. However, only those organizations who meet specific IPC MLA conditions and are authorized to do so may offer IPC graded certifications.

This Specification defines the competence required for effective auditing against the requirements of applicable MS standards. The specific competence requirements, per MS standard, are described in the corresponding ANNEX.

This IPC Specification have been developed taken under account ISO 19011 ; *Guidelines for auditing management systems and ISO 17021 Conformity assessment-Requirements for bodies providing audit and certification of management systems* and ISO / IEC 1702**4** *Conformity assessment –general requirements for bodies operating certification of persons*.

All IPC documents are published in English. The authoritative IPC document is the English version which has the most recent date of issue. The current issue versions of all relevant IPC criteria are available on the IPC website at www.ipcaweb.org.

2. Flexibility is a key benefit

One of the key benefits of ISO 17024 and its emphasis on examining defined competence (the so-called 'competence approach'), is flexibility. There are many ways in which personnel certification bodies may construct systems for establishing competence. Because ISO 17024 does not prescribe the 'how', only the framework within which the outcomes are achieved, it is

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inevitable that there will be variation in the methods used by the personnel certification bodies. These criteria reflect our understanding that there is often no 'one, best way' of examining competence and the best way for one personnel certification body may not be the best way for another. So you will see these criteria do not mandate any one way. Instead, it offers a structure and guidance on a range of methods from which the personnel certification body may choose. Even then, other methods not listed may be used if they are appropriate and are approved by the accreditation body.

And this is where the accreditation bodies play an important role. They will determine whether an examination method is valid, and the basis upon which they will make that decision may vary between countries and between market types, but will always, by necessity, take into account the requirements of business and industry who are the users of the certified, competent persons.

3. Scope

This Specification is intended for use by Personnel Certification Bodies performing accredited certification of auditors within MS fields.

The scope of IPC certification awarded by any Eligible Personnel Certification Body is general, i.e. it does not indicate competence within any specific industry or business context, knowledge of certification body's processes and language skills appropriate to all levels within the client organization The responsibility for identifying that an auditor demonstrates those additional competences to perform an effective audit remains with those responsible for managing the audit process.

This specification can be used for the certification of first (internal), second (supplier) and third (MS certification) party auditors.

4. Terms and Definitions

4.1. Eligible Personnel Certification Body.

A Personnel Certification Body that is a current, full member of IPC and that holds current accreditation to ISO 17024 awarded by an accreditation body formally recognized by IPC

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based on IPC BoD decision.

4.2 IPC MLA Eligible Certification Scheme

An eligible IPC MLA Certification Scheme for the certification of MS auditors should take into account:

ISO 19011; *Guidelines for auditing management systems*
ISO 17021 Conformity assessment-Requirements for bodies providing audit and certification of management systems (if applicable)

> this IPC competence specification

This certification body running such a certification scheme must be accredited by an IPC BoD recognized accreditation body according to ISO 17024.

4.3 IPC MS Auditor

The certification grade awarded by Eligible Personnel Certification Bodies to persons who have been examined successfully against the MS Auditor competence criteria of an Eligible Certification Scheme.

4.4 IPC MS Lead Auditor

The certification grade awarded by Eligible Personnel Certification Bodies to persons who have been examined successfully against the MS Lead Auditor competence criteria of an Eligible Certification Scheme.

Other terms and definitions used within this specification but not included above are as defined within the valid versions of ISO 17024, ISO 17021, ISO 19011.

5. Certification Grades

Certification is awarded within following grades:

ƒ   IPC XMS Auditor

ƒ   IPC XMS Lead Auditor

where X is the applicable MS standard.

6. Specification for IPC MLA Certification Schemes

Certification Schemes must include:

ƒ   A description for each grade of certification offered

ƒ   A definition of required competence (knowledge, skills, personal behaviour) (refer ISO 17024, ISO 17021 and ISO 19011)

ƒ   A methodology for examining competence (refer Annex A)

ƒ   A Code of Conduct (refer Annex B)

7. Awarding Certification

The awarding of any IPC grade of certification is available only to Personnel Certification Bodies members of IPC MLA and shall be awarded within the context of an Eligible Certification Scheme.

8. Using the IPC Logo

Eligible Personnel Certification Bodies authorized to use the IPC logo shall do so in accordance with the rules governing its use. These are as detailed in the Rules for the Control and Use of the IPC Logo (BD-05-014).

End of Specification

ANNEX A Guidance on Examining Competence

This annex provides guidance on competence and examination. To assist Personnel Certification Bodies in understanding the concepts and to provide guidance on how to implement them within a Certification Scheme, this annex is divided into sections:

Section 1. An overview of the concepts of competence-based examination

Section 2. Defining auditor competence

Section 3. Defining examiner competence

Section 4. Designing and conducting examinations

Section 1. An overview of the concepts of competence-based examination

1 Introduction

Examination of competence has always been an important function in successful organizations. Outcomes of examination provide information on the capability of individuals and organizations to achieve their work and business plans. In an educational context it provides information on the extent to which a learner has achieved the required outcomes of a training program.

The purpose of this IPC Specification is to improve the way any MS auditor conducts audits, irrespective of the organizational context.

The Specification set the benchmark for examination of MS auditors across a wide variety of industries and enterprises. They have been designed for flexible application, to meet the differing needs of individuals, enterprises, and industries. The Specification incorporates comprehensive Evidence Guides to ensure valid, reliable, fair and flexible examinations against the units of competence.

2 Interpreting the IPC Competence Requirements

The IPC Competence Requirements are the benchmark for auditor competence in all settings.

Distinctive features of these Competence requirements are:

a. **The Requirements are cross industry in nature.** Auditing occurs in most, if not all, industry and workplace settings. Cross industry standards are based on competence common to a range of industries and workplaces.

b. **The Requirements apply to people carrying out auditing regardless of the setting.** This means they apply to all kinds of audits (first, second and third party)

Examination Guidelines need to be read in conjunction with the IPC Competence Requirements.

IPC competence requirements consist of competence units. A competence unit refers to specific skills and knowledge described in the title of the unit.

Each competence unit consists of the following components, which provide guidance on suitable examination activities and outcomes:

a. Elements of competence – describes the outcomes that contribute to a unit.

b. Performance criteria – specifies the required level of performance and guides the examiner in judging a candidate's skills and knowledge.

c. Range of variables – identifies the range of contexts and conditions to which the performance criteria apply. It places the unit of competence in the context in which performance should be demonstrated (e.g. typical facilities and equipment).

d. Evidence guide – outlines the evidence required to demonstrate competence in the unit, including critical aspects of evidence to be collected, required and underpinning knowledge, skills and consistency of performance.

e. Key competence – shows how the key competence levels are related to the elements and units of competence.

3 Designing Examination Resources

The following factors need to be taken into account w h e n designing examination(s) related to the IPC Competence Requirements:

3.0 Interpreting the Evidence Guide

The critical aspects of evidence in the Evidence Guides of the Requirements have been divided into products and processes:

a. Product refers to an outcome – something made, service delivered or performance observed.

b. Process is the way a product is achieved.

There are also required knowledge and skills, consistency of performance and context of examination requirements detailed in the Evidence Guides of the Requirements.

3.1 The requirement for workplace application (what is the meaning of this paragraph?)

Some of the units of competence specify workplace application. Attainment of these units cannot be achieved unless the requisite workplace application (ie application on the job) can be demonstrated and verified by the Examiner. In these instances the examination resources must incorporate the workplace application.

3.2 Integrated examination

To ensure examination is not narrowly based on tasks but embraces all aspects of workplace performance an integrated, holistic approach to examination is recommended. The examination procedure should be designed to assess an entire unit of competence, or a combination of units, to ensure that all the dimensions of competence are satisfied. This approach seeks to combine knowledge, understanding, problem solving, technical skills and applications into the examination process.

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3.3. Methods of examination

There are a variety of examination methods and tools that can be used to examine persons against the IPC Competence Requirements. The use of one method for examination is insufficient on its own. It is also important to use multiple sources of evidence.

The following factors should be considered in developing procedures and selecting methods to examine competence against the IPC Competence Requirements. These include:

a. **Purpose** – the purpose of the examination.

b. **Process** – identify the individuals who will collect the evidence of the competence or administer the examination tools, including the participant, examiner, managers, supervisors, peers, mentors or other   personnel involved.   Confirm the appropriateness of the method(s) to the context, the examiner and the person(s) being examined.

c. **Language, literacy and numeracy (LL&N) issues** - need to be taken into account when designing examination methods and tools.   The LL&N requirements in the examination process should mirror the language, literacy and numeracy requirements of the competence being examined.   Language, literacy and numeracy skills should be examined within the context of the person's job/role function.

d. **Resources** – resources available for the examination (e.g. tools, people, time, equipment, rooms, materials)

e. **Interpretation** – the performance criteria to be covered by the unit of competence, the range of variables and evidence guide associated with those criteria.

f. **Communication with appropriate personnel** – the individuals who will use the examination information, including the individuals being examined, managers, supervisors, mentors or other providers and clients.

3.4. Other issues to be considered:

a. *Technical issues* including reliability, accuracy, relevance to job responsibilities or program goals, flexibility, fairness and objectivity, validity and comparability across contexts and examiners. Will the method gather valid, authentic, current and sufficient evidence to make a judgement of competence?

b. *Legal and ethical issues* including authenticity, appeals procedures, compliance with workplace agreements, confidentiality of information and materials, and protection against

misuse of the examination information or procedures associated with the examination.

c. ***Appropriateness of examination methods and tools*** according to characteristics of the person(s) being examined. The method chosen must take into account language, literacy and numeracy skills of the persons being examined and the examiner.

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Section 2. Defining Auditor Competence

This section is divided into 4 parts:

A. **Competence required for all MS auditors**

B. **Competence required for MS auditors who lead audit teams**

C. **Competence required for all XMS auditors**

D. **Variables to be considered when examining competence**

A. COMPETENCE REQUIRED FOR ALL MS AUDITORS

Unit Descriptor

This is a core unit for all management system auditors. It covers the general knowledge and skills required by all management system auditing as outlined in ISO 19011.

This unit is a pre-requisite for all persons seeking certification as XMS auditor.

This unit addresses the principles, procedures and techniques of auditing, the skills to conduct the audit and personal behavior required to become an auditor.

If **bold italicised** text is shown in Performance Criteria, details of the text are provided in the Range Statement.

ELEMENT	PERFORMANCE CRITERIA	
Elements describe the essential outcomes of an unit of competence.	Performance criteria describe the required performance needed to demonstrate achievement of the element. Examination of performance is to be consistent with the evidence guide.	
1 Apply the principles, procedures and techniques of auditing.	1.1	The principles and objectives of auditing management systems, as outlined in ISO 19011 are followed when carrying out the audit.
	1.2	The terms and definitions of ISO 19011 are understood and applied correctly when auditing.
	1.3	Audit **criteria** are established and an audit is initiated in accordance with ISO 19011.
	1.4	An **audit plan** is prepared in accordance with the agreed audit program and negotiated with an auditee in accordance with ISO 19011.
	1.5	A**udit activities** are conducted in accordance with ISO 19011 guidelines.

	1.6 An **audit report** is prepared, approved and distributed in accordance with ISO 19011 guidelines.
	1.7 An audit is completed in accordance with ISO 19011 guidelines.
	Follow-up activities are planned and carried out, and the audit is effectively closed-out in accordance with ISO 19011 guidelines.
Relate the auditee management system to the audit criteria.	The management system standard implemented is appropriate within the organizational context of the auditee.
	The management system standard implemented is applied within the organizational context of the auditee.
Conduct an effective audit in the context of the auditee's organisational situation.	The auditee management system can be audited in the context of the audit criteria including reference standard.
	Only the parts of the auditee management system relevant to the audit criteria are audited, including **documentation.**
	Sampling techniques are defined and are appropriate to the needs of the management system.
	The application of the audit criteria is appropriate to the size, risk and type of auditee business.
	The authority of the auditor within the audit is established and agreed with the auditee and audit client.
	The cultural, religious, and or social customs of the auditee are known and identified within the audit plan.
Apply the regulations, and other considerations that are relevant to the audit management system, and the conduct of the audit.	Legal requirements, industry codes of practice and regulations that are relevant to the auditee's management system and/or to the audit, are known and applied during the audit.
Practice personal attributes necessary for the effective and efficient conduct of a management system audit.	Effective verbal **communication** is practiced through personal linguistic skills.
	Interview skills are used to effectively acquire information within the scope of the audit.
	Written comments on audit worksheets accurately reflect observations.
	Communication of audit findings can be discussed openly and honestly with all **auditee personnel**.
	Audit findings are held in a secure place and kept confidential. Reference also to ISO 19011 and one of the principles of auditing – Confidentiality.

B. COMPETENCE REQUIRED FOR MS AUDIT TEAM LEADERS

Unit Descriptor

This unit is the minimum competence requirements for any person involved in the auditing of any management system as an audit team leader.

The unit **'Auditing Management Systems' ???** is a pre-requisite for this unit of competence.

This unit specifies the outcomes required to prepare for leading an audit and leading the audit team in undertaking the audit. It is relevant to audits where a lead auditor is responsible for a team of auditors.

If **bold italicised** text is shown in Performance Criteria, details of the text are provided in the Range Statement.

ELEMENT	PERFORMANCE CRITERIA
Elements describe the essential outcomes of an unit of competence.	Performance criteria describe the required performance needed to demonstrate achievement of the element. Examination of performance is to be consistent with the evidence guide.
1 . Plan and manage the audit and provide leadership to the audit team.	The role and responsibilities of audit team leaders as identified in ISO 19011 are followed when planning a team audit.
	The audit purpose, scope, and **criteria** are determined and agreed with the audit client and auditee.
	The audit methods are selected and determined depending on the defined audit objectives, scope and criteria
	The audit team is selected based on required audit input, **competence** and experience.
	Auditor responsibilities are allocated to achieve auditobjectives .
	An **audit plan** is prepared which identifies and allocates team members according to audit criteria.
Communicate effectively with the auditee and audit client.	Key auditee personnel are notified and aware of the audit plan and timetable.
	Authority to audit is sought and received from the audit client and auditee.
	Audit team resources are identified and negotiated with the audit client.
	2.4 The Opening meeting is effectively conducted by the audit team leader.
	Audit team issues are communicated with auditee during the audit through the audit team leader.
	2.6 The Closing meeting is effectively conducted by the Audit Team Leader.

Organize and direct audit team members.	Audit team roles and responsibilities, and timeframes are identified and clarified.
	Audit progress is monitored against timeframe and audit objectives, scope and criteria.
	Audit team members are informed of progress through audit team briefings.
	3.4 Consensus is reached within the team on audit findings.
Prevent and resolve conflict with the auditee and/or within the audit team.	All **communication** issues between audit team and auditee are resolved quickly and equitably.
	All **conflict issues** within the audit team are resolved within the team, so that the team represents a united front to the auditee.
Prepare, complete and distribute the audit report.	Distribution and format of the audit report is agreed with the auditee and audit client.
	The audit report summarises the audit findings objectively, using only verified facts.
	The **audit report** is presented to the auditee as soon as is practicable after the audit.
	Follow-up of corrective actions are agreed and carried out, and documented on the audit report.

E. VARIABLES TO BE CONSIDERED WHEN EXAMINING COMPETENCE

RANGE STATEMENT
The following variables may be present with examination depending on the work situation, needs of the applicant, accessibility of the item, and local industry and regional contexts. If **bold italicised** text is shown in Performance Criteria, details of the text are provided in the Range Statement.

Criteria may include	• Regulations • Sector codes of conduct • Standards • Customer Requirements • Contractual requirements • International Agreements • Risk Management • Project Plans • ?? • Domestic and International Conventions Policies Procedures Legal requirements Management systems requirements
Audit plan may include:	• Opening meeting • Dates, time and duration • Objectives, scope and criteria of audit • Reference documents • Resource requirements • The audit methods to be used • The locations of the audit • Audit samling plans • Auditee provision of personnel for audit • Safety of auditors • Reporting procedures • Distribution of reports • Closing meeting • Follow-up procedures • Confidentiality requirements • Roles and responsibilities of auditors

Audit activities may include:	- Analysis - Sampling - Determining information flows - Evaluating the effectiveness of system controls
	- Interviews Observations Review of documents including records - Tracing - Trend analysis ??
Audit conclusions may include	- Non conformance - Conformance - Not able to be verified - Observations - Opportunity for improvement - Strengths - Weaknesses Recommendations if specified by the audit plan
Audit Report may include	- The agreed objectives and scope of the audit - Audit criteria - Dates and places of the audit - Identification of the auditee's representatives - Identification of audit team members - Outline of the auditing process - Information on confidentiality - Audit findings - Audit conclusions - Distribution list for the audit report - Follow up required - Retention of auditing records including work documents. - A statement on the extent to which the audit objective, scope and criteria have been fulfilled - The audit plan
Follow up activities may include	- Closing out non conformances - Verification of the completion and effectiveness of the corrective actions - Surveillance audits - Management Review

Documentation may include:	• Checklists • Schedules • Audit procedures • Sampling plans • Forms • Records of meetings • Previous audit reports • Appropriate Standards • Organizational charts
Selecting sources of information may include	• Interviews • Observations • Document reviews • Record reviews • Data summaries • Performance indicators • Reports from sources such as customer feedback, external parties • Databases and websites • Simulation and modeling
Auditee personnel (??) may include	• Persons performing activities or tasks under consideration in the audit process. (??) • Persons from different levels within the auditee's organization, such as management, administrative personnel and work floor personnel.
Competence (to lead an audit) may include:	• To plan the audit and make effective use of resources during the audit • To represent the audit team • To organize, and direct audit team members • To provide direction and guidance to auditors in training • To lead the audit team to reach the audit conclusions • To prevent and resolve conflicts • To prepare and complete the audit report

Communication may include:	• Nonverbal communication i.e. gestures, eye contact, personal space, facial expression, posture, poise • Vocal characteristics i.e. pitch, volume, rate, quality • Questioning types i.e. systematic, closed, open, probing, challenging, reflecting, summarising, obvious, leading • Written communication • Verbal communications
Conflict issues may include:	• False conflict • Accuracy of the message • Competing attitudes and beliefs • Ego
(What is the purpose of this variable in this context?)	

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Section 3. Defining Examiner Competence

1. Role of the Examiners

For recognition purposes, examinations against the IPC Requirements must be undertaken by an Examiner approved by an IPC Member.

Examiners will be responsible for:

a. Ensuring the validity, reliability, fairness and flexibility of the examinations conducted against the Standards;
b. Establishing and maintaining accurate and confidential records of examination results; and
c. Examining the candidate and making a report about the results of the examination of competence against IPC Requirements.

2. Examiner Competence Requirements

Examination against the IPC Requirements should be carried out in accordance with these guidelines and against the requirements defined in the ISO 17024.

In addition, IPC requires that all persons conducting examinations to the defined competence may meet the following requirements.

2.1.1   Demonstrate current knowledge and skill in examining against the competence as applied in a range of situations. This may be met through a combination of evidence of the following:

     a. work history in examination and/or workplace training;
     b. Successful completion of professional development activities focusing on best practice in examination and/or workplace training;
     c. Colleague/peer support and participation in professional networks;
     d. Participation in moderation and/or validation processes; and
     e. Knowledge of language, literacy and numeracy issues in the context of examination and workplace training.

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2.1.2 Have current knowledge of the industry, the workplace and job/role of the person being examined against the competence requirements. This would include:

a. Familiarity with the industry/enterprise competence standards to be used by the candidate as a basis of examination; and

b. Relevant work history.

2.1.3 Hold formal recognition of competence in each unit for which they wish to conduct examinations.

Section 4. Designing and Conducting Examinations

This section is divided into 3 parts:

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A. The principles of effective examination

B. Methodologies for examining competence

C. Evidence relevant to examination

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A. THE PRINCIPLES OF EFFECTIVE EXAMINATION

1. Competence based examinations

Competence based examination is the process of collecting evidence and making judgment on whether or not competence has been achieved.

All examination systems should demonstrate compliance with the four (4) technical principles of examination:
a.   Validity
b.   Reliability
c.   Flexibility
d.   Fairness

These technical principles of examination must be addressed in the conduct of an examination, in the development of examination tools and in the design, establishment and management of the examination system.

1.1 Validity

A valid examination examines what it claims to examine; evidence collected is relevant to the activity and demonstrates that the performance criteria have been met.

The principles of examination therefore must take into account several factors when applied to

the IPC Competence Requirements:

a. Examination against the units of competence contained in the IPC Competence Requirements must cover the broad range of skills and knowledge.

b. Examination of the competence should integrate knowledge and skill with their practical application.

c. Judgment made about competence against any of the units must be based on sufficient evidence. Evidence should be gathered on a number of occasions and in a range of contexts and using different examination methods.

The validity of examination can be enhanced when some or all of the factors below are applied:

a. The examination focuses on the appropriate areas of competence.

b. A sufficient range of the performance of the person being examined is sampled.

c. The examination tasks resemble those encountered in the workplace.

d. Evidence of performance is obtained after the examination to support predictive validity.

e. The examination procedure documents the links to the workplace performance.

f. Multiple approaches to examination are used.

1.2 Reliability

Reliability refers to the consistency of the interpretation of evidence and the examination outcome. To make reliable examinations, examiners must have the relevant competence at least to the level being assessed.

Some or all of the following can enhance evidence of reliability:

a. The criteria for the judgment of competence must be stated clearly and adhered to.

b. Examination practices needs to be monitored and reviewed to ensure consistency of judgment.

c. As a minimum requirement people examining against the IPC competence requirements must meet the qualifications for examiners as outlined.

The following practices may be used to enhance reliability:

a. Comparing the results of two or more examiners (moderation).

b. Collecting evidence via a number of different examination methods.

c. Collecting evidence across different locations and times.

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d. Providing clear and careful instructions when an employee is required to monitor his/her own or others behavior (documentation).

e. Specifying clearly competence to be attained (documentation).

f. Detailing clearly items on self/peer/supervisor examination (documentation).

g. Taking care in the construction of examination tools (systematic procedures).

h. Reviewing the training of examiners (systematic procedures).

Evidence of consistency can be obtained by examining on multiple occasions, using a number of methods of evidence gathering and in a range of contexts.

1.3 Flexibility

Flexibility in examination allows for examination either on or off the job and at mutually convenient times and situations. Examination procedures may cover on and/or off the job components of the IPC Competence Requirements.

To be flexible examinations may:

a. Cover on and/or off the job components of training where applicable.

b. Provide for the recognition of competence no matter how, where or when it has been acquired.

c. Draw on a range of methods and be appropriate to the context, task and person.

d. Flexibility applies to the process – not the competence requirement.

1.4 Fairness

A fair examination will not disadvantage any person and will take into account the characteristics of the person being examined. To maintain fairness:

a. Reasonable adjustments are made to examination procedures depending on the characteristics of the person being examined.

b. Examination procedures and the evidence must be made clear.

c. Simulated examination of competence against one or all of the units in the IPC competence requirements is recommended.

d. Persons being examined against the IPC competence requirements must have the opportunity for a review and an appeal of examination decisions.

To be fair, an examination should:

a. Help the person being examined understand clearly what is expected and what form the examination will take.

b. Be equitable to all groups of people being examined (make reasonable adjustments to the methods used for collecting evidence depending on the characteristics of the persons being examined).

c. Have criteria for judging performance that are made clear to all those seeking examination.

d. Provide opportunities that allow the persons to appeal the examination result providing re-examination options.

Conflict of interest sometimes arises for examiner. Under these circumstances, the conflict should always be declared. Potential forms of conflict of interest in the examination process and/or outcomes may include:

a. A pre-established personal relationship between the examiner and the person being examined.

b. Financial implications for the examiner.

c. Employment opportunities for the examiner.

d. Power opportunities for the examiner.

Note

Care must be taken to ensure examination practices do not perpetrate possible workplace discriminatory practices. As well examiners must not use the examination to coerce personal or professional favors or to gain economic advantage from the persons being examined or potential client groups.

Personal or interpersonal factors (biases) not related to the examination decision or process may include the characteristics of the person being examined and/or the examiner. For example, race, gender, language background, religious background, political affiliation, sexual orientation, physical disabilities, physical appearances, marital status, age, skin color, social class and or ethnic background.

2. Rules of Evidence

Evidence of competence must be:

a. Valid.

b. Sufficient.

c.   Current.

d.   Authentic.

2.1 Valid Evidence

Evidence of competence must cover the broad range of knowledge, skills and the application of such knowledge and skills specified in the IPC competence. When examining against the IPC competence, examiners must ensure that the evidence collected focuses on the appropriate knowledge and skills specified in the Performance Criteria and Evidence Guides.

2.2 Sufficient Evidence

This relates to the amount of evidence. Examiners must collect enough evidence to satisfy that the person being assessed is competent across all elements according to the performance criteria, taking into account the Range of Variables. To ensure enough evidence of competence is collected, it may be necessary or desirable to use a supplementary source of evidence such as oral or written questioning case studies or third party reports.

2.3 Current Evidence

An examiner needs to determine the recency of the evidence of competence. The focus is on whether the person being examined has current competence in examination. The issue of currency of evidence is of particular concern when examining for the purposes of recognition of current competence.

2.4 Authentic Evidence

Evidence needs to be checked for authenticity – that is, it actually relates to the performance of the person being assessed, and not that of another person. To determine authenticity, validation of the evidence by a third party may be necessary.

B. METHODOLOGIES FOR EXAMINING COMPETENCE

1. AUDITING MANAGEMENT SYSTEMS - GENERAL	
Competence	**Examination methods**
Knowledge: • Reference standards; • ISO 19011	1. Written exam
Skills: • Audit preparation; • Audit (on-site and remote); • Audit reporting; • Audit follow-up. All these skills require demonstration of: • Understanding documentation;	1. Live audit 2. Simulated audit 3. Practical activities 4. Written exam
Personal attributes: • Communication (oral and written); • As per ISO 19011 clause 7.2.2	1. Live audit 2. Simulated audit 3. Oral exam

2. LEADING MANAGEMENT SYSTEM AUDIT TEAMS -GENERAL	
Competence	**Examination methods**
Audit planning	1. On-site and remote audit 2. Interview
Management skills	1. On-site and remote audit 2. Role play
Knowledge	1. Written exam 2. On-site and remote audit
Communication Skills	1. On-site and remote audit 2. Role play 3. Interview

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Leadership	1. On-site and remote audit
	2. Role play
Personal characteristics	1. On-site and remote audit
	2. Customer feedback
	3. Psychological exam

3. AUDITING QUALITY MANAGEMENT SYSTEMS	
Competence	Examination methods
Apply quality management principles in context of RELEVANT XMS	1. Written exam
	2. Case studies
	3. Interview / Oral exam
	4. Document review
	5. Witnessed audit
	6. Simulation activity
Relate the QMS to organizational products including services and operational processes	1. Witnessed audit
	2. Document review including auditor technical codes
	3. Process approach checklist
	4. case study/ practical exercise
	5. Oral or written exam

4. AUDITING ENVIRONMENTAL MANAGEMENT SYSTEMS	
Competence	Examination methods
EMS principles: Knowledge	1. Written exam
	2. Research assignment
	3. Reference (book/paper)
EMS principles: Skills	1. Live audit
	2. Simulation audit
	3. Interview

ISO 14001: Knowledge	1. Written exam
	2. Research assignment
	3. Reference (book/paper)
ISO14001: Application	1. Live audit
	2. Simulation audit
	3. Interview
Environmental management tools: Knowledge	1. Written exam
	2. Research assignment
	3. Reference (book/paper)
Environmental management tools: Skills	1. Live audit
	2. Simulation audit
	3. Interview
Legal knowledge	1. Written exam
	2. Research assignment
	3. Reference (book/paper)
Monitoring and measurement knowledge	1. Written exam
	2. Research assignment
	3. Reference (book/paper)
Monitoring and measurement skills	1. Live audit
	2. Simulation audit
	3. Interview
Personal attributes	1. Interview
	2. Live audit
	3. Simulation audit

C. EVIDENCE RELEVANT TO EXAMINATION

The following tables provide guidance for acceptable evidence to be considered during examination of competence in each IPC Competence Unit.

1. AUDITING MANAGEMENT SYSTEMS - EVIDENCE GUIDE	
The evidence guide describes the underpinning knowledge and skills that must be demonstrated to prove competence. It provides essential advice for examination of the unit of competence and must be read in conjunction with the performance criteria, the range	
1.1 Overview of Examination Requirements	
Critical aspects of evidence required to demonstrate competence in this unit	Initiate an audit in accordance with ISO 19011 guidelines, by: • Apply audit principles, procedures and methods • Defining relevant audit objectives, scope and criteria; • Determining the feasibility of an audit in relation to information requirements, auditee co-operation, and resource availability;
	• Plan on-site and/or remote audit activities in accordance with ISO 19011 guidelines by: • Preparing a written audit plan, including audit timetable; Developing an audit checklist or guide that conforms to the requirements of the reference standard; • Identifying and preparing other relevant work documents.

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	• Conduct on-site and/or remote audit activities in accordance with ISO 19011 guidelines by • Conducting an opening meeting; • Communicating effectively and appropriately with the auditee during the course of a site audit; • Collecting and verifying evidence that is objective and relevant to the audit criteria; • Generating audit findings based on collected and verified evidence; • Arriving at valid audit conclusions based on objective evidence; • Conducting the closing meeting.
	• Prepare, approve and distribute an audit report in accordance with ISO 19011 guidelines, by: • Preparing a complete, accurate, and concise record of the audit; • Approving and distributing the audit report.
	• Conduct audit follow-up in accordance with ISO 19011 guidelines.
	Demonstrate the ability to: • Relate the auditee management system to the audit criteria
	Demonstrate the ability to: • Assess the appropriateness of the audit criteria to the size, risk, and type of auditee business; • Remain within the agreed scope, objectives, and criteria of the audit; • Audit only that part of the auditee management system relevant to the audit criteria;

	Demonstrate the ability to: • Acquire, understand, and adhere to all relevant regulations, legal requirements, and codes of practice relevant to the auditee management system and audit criteria;
	Demonstrate the ability to: • Communicate verbally; • Listen effectively; • Interview to acquire evidence; • Accurately record evidence; • Analyze, prioritize, and summarize evidence; • Remain objective; • Effectively manage time; • Write clear, concise, and unambiguous reports.
	Demonstrate the ability to understand types of risks associated with the auditing.
	Demonstrate the ability to maintain the confidentiality and security of information, data, documents and records.
Evidence required for demonstration of consistent performance	For valid and reliable examination of this unit, evidence should be gathered over a period of time through a range of methods for examination to indicate consistent performance. Evidence for examination can be gathered from examination of the unit of competence alone, through an integrated examination activity or through a combination of both.
Skills and knowledge	Communication techniques including: • Using open and/or closed questions; • Go from general to specified questions • Speaking clearly and concisely;
	Language, literacy and numeracy skills relevant to the role and workplace requirements.
	(see above)

	Product and/or service knowledge
	Knowledge of ISO 19011. Understanding of Regulations. Legal requirements and terminology relating to auditing. Industry codes of practice. Role of Auditors.
Skills and attributes	Ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
Specific resource requirements	Relevant documentation, such as: • Workplace policy; • Procedures manuals; • Standards specifically ISO 19011. A qualified examiner (Ref. to Annex A Section 3.)
1.2 Evidence	
Products that could be used as evidence:	Completed audit plan with schedules, scope, objectives, outcomes and resources. • Notes made in preparing the audit plan. • Risk analysis treatment options. • Checklists and other tools developed for audit • Completed reports detailing follow up actions • Notes made in checklists • Correspondence with auditee and audit team in relation to follow up actions and reporting process • Actions plans developed after negotiation with auditee • Notes made to record interviews for audit • Notes made in analysis and evaluation phase • Corrective action reports • Documented findings Correspondence with other audit team members, lead auditor and auditees.

Processes that could be used as evidence include:	How audit documentation was reviewed and issues resolved with auditee in relation to proposed audit. How documentation was prepared for audit, including risk analysis and treatment options. • How audit schedules were developed and approval granted. How follow up actions were determined from outcomes of audit • How follow up actions were negotiated • How agreement was reached on follow up action plans How the individual participated in opening and closing meetings. How determination was made of relevance of information gathered. How required information was gathered and how the process was selected for information gathering.

1.3 Key Competence

The seven key competence represent generic skills considered for effective work participation. The bracketed numbering against each of the key competence indicates the performance level required in this unit.

Level (1) represents the competence to undertake tasks effectively. Level (2) represents the competence to manage tasks.

Level (3) represents the competence to use concepts for evaluating and reshaping? tasks.

Key Competence	**Performance Level**
How can **communication of ideas and information** be applied?	2
How can **information be collected, analyzed and organized**?	2
How are **activities planned and organized**?	2
How can **team work** be applied?	2
How can the use of **mathematical ideas and techniques** be	1
How can **problem solving skills** be applied?	2
How can the **use of technology** be applied?	1

2. LEADING MANAGEMENT SYSTEM AUDIT TEAMS - EVIDENCE GUIDE	
The evidence guide describes the underpinning knowledge and skills that must be demonstrated to prove competence. It provides essential advice for examination of the unit of competence and must be read in conjunction with the performance criteria, the range statement and the examination guidelines.	
2.1 Overview of Examination Requirements	
Critical aspects of evidence required to demonstrate competence in this unit	Plan on-site and/or remote team audit activities in accordance with ISO 19011 guidelines, by: Determining the feasibility of an audit based on available audit team resources; Preparing a written audit plan, which identifies the roles and responsibilities of all team members; Assigning work to the audit team in accordance with agreed audit criteria; Preparing a checklist, or other suitable guide, that identifies team member responsibilities; Ensuring that all relevant reference standards and other relevant documents are available and known to team members.
	Supervising the document review and communicating outcomes to the auditee.
	Communicate on-site and/or remote team audit activities in accordance with ISO 19011 guidelines, by effectively chairing an opening meeting: Communicate openly, honestly and positively with the auditee representatives and audit team members; • Chair a closing meeting effectively.

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	Demonstrate the ability to:
	• Facilitate team activities during an audit;
	• Maintain harmony and communication within the team;
	• Achieve consensus on audit findings.
	Demonstrate the ability to:
	Identify areas of potential conflict with the auditee or within the audit team;
	Demonstrate the ability to:
	• Prepare an accurate team audit report;
	• Represent the team fairly and accurately;
	Communicate the audit results to the auditee accurately and positively;
	Assist the auditee to develop a corrective action plan, if requested by auditee;
	• Facilitate team follow-up on agreed corrective actions;
	• Close out agreed corrective actions.
Evidence required for demonstration of consistent performance	For valid and reliable examination of this unit, evidence should be gathered over a period of time through a range of methods for examination to indicate consistent performance.
	Evidence for examination can be gathered from examination of the unit of competence alone, through an integrated examination activity or through a combination of both.
Skills and knowledge	Communication techniques including:
	• Using open and/or closed questions;
	• Go from general to specified questions
	• Speaking clearly and concisely;
	• Using appropriate language;
	• Non verbal communication;
	• Written communication.
	Language, literacy and numeracy skills relevant to the role and workplace requirements.

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	Formal qualifications requirements of auditor including:
	• Audit principles, procedures, techniques;
	• Management systems and documentation;
	• Organizational contexts;
	• Applicable laws, regulations and subject knowledge. Auditors Code of Conduct.
	Personal attributes.
	Approaches used in audits including:
	• Horizontal;
	• Vertical;
	• Process/project.
	Issues that arise during audits:
	• Scope;
	• Documentation required;
	• Depth;
	• Type;
	• Risk;
	• Timing;
	• Contacts;
	• Previous audits.
	Notification provided to auditees, including:
	• Timeframe;
	• Duration;
	• Information required;
	• Line of authority;
	• Confirmation.
	Audit team requirements, including:
	• Work involved; What is the meaning of this??
	• Who.??

	Tools that can be used including: • Checklists; • Marked up procedures; • Flow charts; • Mind maps. Advantages and disadvantages of tools. Auditing techniques and methods: • ; (this is not auditing techniques!) • ; • .
Skills and Attributes	Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities
Specific resource requirements	Relevant documentation, such as: • Workplace policy; • Procedures manuals; • Standards. A qualified workplace assessor or examination team. ??
2.2 Evidence	
Products that could be used as evidence:	• Completed work documents collated for audit Completed audit plan with schedules, scope, objectives, resources and audit related documentation Notes made in preparing audit plan, checklists and audit related documentation

	• Risk analysis and treatment options
	• Correspondence with audit team members
	• Checklists and other tools developed for audit
	• Corrective action reports
	• Reports provided for auditees
	• Agendas and minutes of opening and closing meetings
	• Written feedback provided to audit team members
Processes that could be used as evidence include:	• How auditee documentation was reviewed How problems arising with auditee and relevant parties were addressed • How audit team members were identified and selected • How checklists were developed for use in audit How risk analysis and treatment options were executed and developed • How process was planned from entry to exit meeting • How team members were managed during audits

2.3 Key CompetenceCompetenceCompetence

The seven key competence represent generic skills considered for effective work participation. The bracketed numbering against each of the key competence indicates the performance level required in this unit.

Level (1) represents the competence to undertake tasks effectively.

Level (2) represents the competence to manage tasks.

Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

Key Competence	Performance Level
How can **communication of ideas and information** be applied?	2
How can **information be collected, analyzed and organized**?	2
How are **activities planned and organized**?	3
How can **team work** be applied?	2
How can the use of **mathematical ideas and techniques** be	1
How can **problem solving skills** be applied?	2
How can the **use of technology** be applied?	1

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3. AUDITING QUALITY MANAGEMENT SYSTEMS - EVIDENCE GUIDE
The evidence guide describes the underpinning knowledge and skills that must be demonstrated to prove competence. It provides essential advice for examination of the unit of competence and must be read in conjunction with the performance criteria, the range statement and the examination guidelines.

3.1 Overview of Examination Requirements	
Critical aspects of evidence required to demonstrate competence in this unit	Demonstrate application of Quality Management Principles and their relationship to RELEVANT XMS.
	Demonstrate the ability to: • Explain the relationship between the Quality Management Principles identified by ISO 9000 and ISO 9004; • Explain and prioritise the documentation required by ISO 9001 and other relevant XMS; Identify the audit evidence needed to demonstrate conformity to the elements of ISO 9001 and other relevant XMS • Evaluate the operational effectiveness of the auditee's ISO 9001 quality management system; Describe the difference between legal compliance and conformity with ISO standards.

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	Demonstrate the ability to:
	Describe how the product realization processes and supporting activities can be evaluated effectively in order to verify the degree of conformity and effectiveness of these activities;
	Apply the quality management system to process-based activities and associated inputs, outputs, controls, and resources;
	Apply the principles and practice of auditing ISO 9001 to other relevant industry quality management standards;
	Explain the documentation required by the quality management system in the organizational context;
	Identify the audit evidence needed to demonstrate conformity to the elements of the quality management system in the organizational context;
	Evaluate the operational effectiveness of the auditee's quality management system;
	Evaluate the differing requirements for documentation in a variety of organizational situations.
Evidence required for demonstration of consistent performance	For valid and reliable examination of this unit, evidence should be gathered over a period of time through a range of methods for examination to indicate consistent performance.
	Evidence for examination can be gathered from examination of the unit of competence alone, through an integrated examination activity or through a combination of both.
	process.
Skills and knowledge	Communication techniques including: • Using open and/or closed questions; Go from general to specified questions; • Speaking clearly and concisely; • Using appropriate language; • Nonverbal communication; • Written communication.

	Language, literacy and numeracy skills relevant to the role and workplace requirements.
	The provisions of relevant Occupational Health and Safety regulations/requirements.
	Knowledge of the key components of RELEVANT XMS
Specific resource requirements	Relevant documentation, such as: • Workplace policy; • Procedures manuals; Standards specifically: RELEVANT XMS; ISO 14001; A qualified workplace assessor or examination team.

3.2 Key Competence

The seven key competence represent generic skills considered for effective work participation. The bracketed numbering against each of the key competence indicates the performance level required in this unit.

Level (1) represents the competence to undertake tasks effectively.

Level (2) represents the competence to manage tasks.

Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

Key Competence	Performance Level
How can **communication of ideas and information** be applied?	2
How can **information be collected, analyzed and organized**?	2
How are **activities planned and organized**?	2
How can **team work** be applied?	2
How can the use of **mathematical ideas and techniques** be	1
How can **problem solving skills** be applied?	2
How can the **use of technology** be applied?	1

4. AUDITING ENVIRONMENTAL MANAGEMENT SYSTEMS - EVIDENCE GUIDE
The evidence guide describes the underpinning knowledge and skills that must be demonstrated to prove competence. It provides essential advice for examination of the unit of competence and must be read in conjunction with the performance criteria, the range statement and the examination guidelines.

4.1 Overview of Examination Requirements	
Critical aspects of evidence required to demonstrate competence in this unit	Demonstrate understanding of environmental management principles and their application.
	Demonstrate the ability to: • Explain the intent and requirement of each element of ISO 14001, or equivalent applicable environmental management system; • Explain the relationship between environmental management principles and the applicable environmental management system; • Identify the audit evidence needed to demonstrate conformity to the elements of the environmental management system; • Evaluate the operational effectiveness of the environmental management system; • Describe the relationship between legal compliance and conformity with the applicable environmental management system; Evaluate the differing requirements for documentation in a variety of organizational situations; Apply environmental management tools such as aspect/impact evaluation, life cycle assessment, and environmental performance evaluation appropriately within the organizational context.

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	Demonstrate an understanding of:
	The application of environmental science and technology within the organizational context;
	The impact of organizational operations on the interaction of ecosystems;
	The application of appropriate methods of environmental protection within the organizational context;
	The application of monitoring and measurement techniques for environmental management within the organizational context.
	Demonstrate an ability to:
	Assess the environmental impact of different operational processes;
	Describe the interrelationship of the environmental management system with other operational systems;
	Describe the impact of process-based activities and associated inputs, outputs, controls, and resources on the relevant ecosystems;
	Evaluate the operational effectiveness of the auditee's environmental management system;
	Evaluate the differing requirements for documentation in a variety of organizational situations.
Evidence required for demonstration of consistent performance	For valid and reliable examination of this unit, evidence should be gathered over a period of time through a range of methods for examination to indicate consistent performance.
	Evidence for examination can be gathered from examination of the unit of competence alone, through an integrated examination activity or through a combination of both.
	Evidence for examination should be gathered as part of the learning process.

Skills and knowledge	Communication techniques including: • Using open and/or closed questions; Go from general to specified questions; • Speaking clearly and concisely; • Using appropriate language; • Nonverbal communication; • Written communication.
	Language, literacy and numeracy skills relevant to the role and workplace requirements.
	The provisions of relevant Occupational Health and Safety regulations/requirements.
	Understanding of ISO 14001 requirements. Policy requirements. Organizational products, activities and services. Environmental aspects and impacts. Risk assessment process. Impact requirements. Communication requirement. Emergency process. Monitoring and measuring requirements.
Specific resource requirements	Relevant documentation, such as: • Workplace policy; • Procedures manuals; • Standards, specifically ISO 14001. A qualified workplace assessor or examination team.

4.2 Key Competence

The seven key competence represent generic skills considered for effective work participation. The bracketed numbering against each of the key competence indicates the performance level required in this unit.

Level (1) represents the competence to undertake tasks effectively. Level (2) represents the competence to manage tasks.

Level (3) represents the competence to use concepts for evaluating and reshaping tasks.

Key Competence	Performance Level
How can **communication of ideas and information** be applied?	2
How can **information be collected, analyzed and organized**?	2

How are **activities planned and organized**?	2
How can **team work** be applied?	2
How can the use of **mathematical ideas and techniques** be	1
How can **problem solving skills** be applied?	2
How can the **use of technology** be applied?	1

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Annex B   Guidance on a Code of Conduct

Personnel Certification Bodies must take appropriate measures to ensure the auditors they certify act professionally and support and promote the auditing profession.

IPC provides this sample Code of Conduct as a template. Personnel Certification Bodies may use this code or an equivalent code that includes the same elements.

Personnel Certification Bodies must have in place effective procedures that enforce their code. These procedures must include the right to suspend or withdraw certification in instances where an auditor is found not to have followed the code.

The Code of Conduct requires certified auditors:

a.   to act professionally and ethically;

b.   to strive to increase the competence and prestige of the auditing profession;

c.   to assist those in their employ or under their supervision in developing management, professional and auditing skills;

d.   to take due professional care and not undertake audits they are not competent to perform;

e.   not to represent conflicting or competing interests and to disclose to any client or employer any relationships that may influence their judgment;

f.   not to discuss or disclose any information relating to an audit unless required by law or authorized in writing by the audited and the auditing organizations involved;

g.   not to accept any inducement, commission, gift or any other benefit from audited organizations, their employees or any interested party or knowingly allow colleagues to do so;

h.   to make fair presentations of audit findings based on verifiable audit evidence and not intentionally communicate false or misleading information that may compromise the

integrity of any audit or the auditor certification process; and

i.   not act in any way that would prejudice the reputation of the personnel certification body
        or the auditor certification process and to co-operate fully with an inquiry in the event of
        any alleged breach of this code.

END OF ANNEX B