

Regulatory Competencies

Process Competency: Audit Skills

Description: The ability to evaluate individuals, documentation or organisations for acceptance/approval by means of a structured audit programme, and to be able to apply correct recording and follow up procedures.

Note: Elements are shown in italics

Operational	Supervisory
<p><i>Understanding/Knowledge</i></p> <p>Understands performance indicators and performance based oversight and uses data to develop an audit programme.</p> <p>Understands the role of auditing and regulatory responsibilities in the oversight of organisations.</p> <p><i>Application/Skills (S) and Behaviours (B)</i></p> <p>Demonstrates thorough pre-audit preparation of available information and follows ASSI procedure.(B)</p> <p>Applies skills of questioning and listening to good effect during an audit.(S)</p> <p>Applies checklists appropriately during and prior to an audit to ensure oversight of all relevant OTARs and procedures.(B)</p> <p>Evaluates information gathered to establish compliance and formulate findings and observations.(S)</p> <p>Accurately determines whether the root cause(s) of deficiencies results from a single-point or systemic failure(s).(S)</p> <p>Demonstrates impartiality, productive working relationships, effective communication and a good understanding of human nature whilst achieving aims of the assessment.(B)</p> <p>Develops reports that are clear, unambiguous and objective, and which address the defined compliance criteria. (S)</p> <p>When required, directs audit teams, understanding the findings to be made and is</p>	<p><i>Understanding</i></p> <p>Demonstrates an understanding of the fundamentals of auditing</p> <p>Demonstrates an understanding of audit reports and findings as well as the procedure to be followed.</p> <p><i>Guidance</i></p> <p>Is able to direct and supervise staff in developing audit programmes, their reporting and follow-up.</p> <p><i>Approval</i></p> <p>Is able to evaluate audits and audit findings with regard to their significance and is able to make decisions based on this or advise on actions to follow.</p>

Operational	Supervisory
<p>able to give an accurate debrief to interested parties.(S)</p> <p>Evaluate outcomes and make recommendations in support of regulatory action.(S)</p>	
<p><i>Persons to whom this is likely to apply:</i> Technical or non-technical personnel responsible for conducting auditing either externally or internally.</p>	<p><i>Persons to whom this is likely to apply:</i> Those supervising staff who conduct audits.</p>