

Regulatory Competencies

Process Competency: Audits and Assessments

Description: The ability to assess individuals, documentation or organisations for acceptance/approval by means of a structured programme, that includes auditing and to be able to demonstrate correct recording and follow up procedures.

Note: Elements are shown in italics

Operational	Supervisory
<p><i>Understanding</i></p> <p>Can identify applicable key elements of performance indicators and use them when developing an assessment programme.</p> <p><i>Application</i></p> <p>Is able to develop an effective and objective programme of oversight that includes auditing.</p> <p>Applies a logical and objective approach in utilising appropriate methods of recordable audit and assessment activities.</p> <p>Demonstrates impartiality, productive working relationships, effective communication and a good understanding of human nature whilst achieving aims of the assessment.</p> <p>Applies a methodical approach when preparing and conducting an audit.</p> <p>Develops reports that are clear, unambiguous and objective, and which address the defined compliance criteria.</p> <p>When required, directs audit teams, understanding the findings to be made and is able to give an accurate debrief to interested parties.</p> <p>Manages the established assessment programme with follow up and record keeping.</p> <p>Evaluate outcomes and make recommendations in support of regulatory action.</p>	<p><i>Understanding</i></p> <p>Demonstrates an understanding of the fundamentals of assessment, auditing and their interrelationship including processes involved.</p> <p>Demonstrates an understanding of different approaches to assessments, the ways that they can be applied depending on the objectives of the programme.</p> <p><i>Guidance</i></p> <p>Is able to direct and supervise staff in developing assessment and audit programmes, their reporting and follow-up.</p> <p><i>Approval</i></p> <p>Is able to evaluate assessments and audit findings with regard to their significance and is able to make decisions based on this or advise on actions to follow.</p>
<p><i>Persons to whom this is likely to apply:</i> Technical or non-technical responsible for assessments and/or conducting auditing.</p>	<p><i>Persons to whom this is likely to apply:</i> Those supervising staff that undertakes assessments and audits.</p>