



## Diploma

### Integrated Business Management Systems – Lead Auditor

This is to Certify



**Ian Erskine**

Has been assessed as having fulfilled the following requirements in auditing and leading an Audit Team in evaluating an Integrated Business Management System to International, National and Local Statutory rules and regulatory requirements.

*Recognition of Prior Learning ACI-RPL – Assessed as Competent*

*Competency Units ISO-QMS, ISO-OHS, ISO-EMS, ISO-ISMS, ISO-RM - Assessed as Competent*

*Competency Units ISO-AUD, ISO-LA – Assessed as Competent*

*Attitude and Cultural Diversity ACI-ACD – Assessed as Competent*

*Personal Behaviour Disciplines ACI-PBD – Assessed as Competent*

*Skill (Observational Event) – Assessed as Competent (JAS/ANZ Witnessed)*

*Continuous Professional Development ACI-CPD – 3 Year agreement in place*

**Standards covered: ISO 9001:2015, ISO 14001:2015, ISO 45001:2018, ISO 27001:2013, ISO 31000:2018, ISO 19011:2018 and ISO 17021:2015 Guidelines**

**This certificate satisfies the requirements of ACI Global as an International Learning and Personal Certification Service Provider (LSP) providing Professional Leadership Development for Certified Business Professionals.**

Certificate Number: IBMSLA120  
Issue Date: 18 June 2018

Certification Period: 3 Years  
Expiry Date: 18 June 2021

ACI Global ISO Personal Certification Number: ACIISOPCN-120

*Jon Bergson*

Lead facilitator and mentor



**Quality Management Systems ISO 9001:2015**

**Course Code ISO-QMS**

**Learning Outcomes Transcript and Scoring Methodology**

**Competent = C, Not Yet Competent = NYC, Not Yet Assessed = NYA**

***Competency Unit 1: Demonstrate professional and ongoing personal development.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-QMS01</b>	The auditor has provided prior learning and past industry experience to satisfy the requirements for recognition of prior learning in line with ISO 21001:2018 EOMS and ISO 29993:2017 Learning and Personal Certification requirements.	<b>C</b>
<b>ISO-QMS02</b>	The auditor has demonstrated that they have a recognized and documented continuous professional development (CPD) plan in place to ensure ongoing educational and professional development in line with ISO 19011:2018 and other applicable global industry standards.	<b>C</b>
<b>ISO-QMS03</b>	Demonstrate a high level of understanding of business acumen for various known organisations and be able to outline an ongoing plan to further develop their own personal business acumen.	<b>C</b>
<b>ISO-QMS04</b>	Demonstrate an understanding of Risk Based Thinking (RBT) and the concept of Risk and Reward as they apply to various known organisations and how both RBT and Risk and Reward will apply to these organisations issues and interested parties.	<b>C</b>
<b>ISO-QMS05</b>	The auditor has demonstrated that they have the required Adjustment, Ambition, Sociability, Interpersonal Sensitivity, Prudence, Inquisitive and learning approach disciplines by successfully completing the "Hogan Leadership Profile".	<b>C</b>

***Competency Unit 2: Understand the intent and requirement of each clause of ISO 9001:2015 and other applicable global standards in the context of a given business/industry context.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-QMS06</b>	The intent and requirement of each clause of ISO 9001:2015 can be described in the context of a given business/industry sector.	<b>C</b>



**Competency Unit 3: Understand the application of Quality Management Principles in the context of ISO 9001:2015.**

Code	Element of Competency	Score
ISO-QMS07	The auditor has demonstrated a full understanding of the Organisation and its context and the needs of interested parties.	C
ISO-QMS08	The auditor has been able to determine that the Organisation and its interested parties has both a process and risk-based approach to undertaking its business activities as they relate to "Risk Based Thinking".	C
ISO-QMS09	The relationship between the Quality Management Principles and both ISO 9001:2015 and all applicable standards within a business context and how the principles relate to the audit standards 19011 and 17021 is explained.	C
ISO-QMS10	The required documentation by an organisation to conform to both its business activities and statutory and regulatory requirements has been assessed verified and validated in conformance to ISO 9001:2015.	C
ISO-QMS11	Evidence needed to demonstrate conformity to the requirements of ISO 9001:2015 is identified and collected.	C
ISO-QMS12	Quality terminology and sector specific terminology is correctly used.	C
ISO-QMS13	The effectiveness of the entire quality management system, including the process approach used to develop, implement and improve the effectiveness of management system, customer focus and continual improvement is evaluated within the context of a given business/industry sector.	C
ISO-QMS14	The relationship between legal compliance and ISO 9001:2015 conformity is demonstrated in the context of an audit in a given business/industry sector.	C

**Competency Unit 4: Relate the quality management system to the organizational products, including services, and operational processes.**

Code	Element of Competency	Score
ISO-QMS15	The product/service realization processes and supporting activities are evaluated effectively in order to verify the degree of conformity and effectiveness of these activities.	C
ISO-QMS16	Process-based activities and associated inputs, outputs, controls, and resources, are understood in different organizational contexts based, and is documented within the business management system.	C



**Environmental Management Systems ISO 14001:2015**

**Course Code ISO-EMS**

**Learning Outcomes Transcript and Scoring Methodology**

**Competent = C, Not Yet Competent = NYC, Not Yet Assessed = NYA**

***Competency Unit 1: Understand the intent and requirement of each clause of ISO 14001:2015 and other applicable global standards in the context of a given business/industry context.***

Code	Element of Competency	Score
ISO-EMS01	The intent and requirement of each clause of ISO 14001:2015 can be described in the context of a given business/industry sector.	<b>C</b>

***Competency Unit 2: Understand the application of learning services management principles.***

Code	Element of Competency	Score
ISO-EMS02	Environmental management principles are understood and applied correctly within the context of a given business/industry sector.	<b>C</b>
ISO-EMS03	The relationship between applicable environmental management principles and environmental standards is explained in the context of a given business/industry sector.	<b>C</b>
ISO-EMS04	Environmental procedures are documented in accordance with the environmental standard and environmental management principles.	<b>C</b>
ISO-EMS05	The environmental standard and its application are appropriate in the business/industry sector.	<b>C</b>
ISO-EMS06	Evidence needed to demonstrate conformity to the requirements of the environmental standard is identified and collected.	<b>C</b>
ISO-EMS07	The effectiveness of the entire environmental management system is evaluated within the context of a given business/industry sector.	<b>C</b>
ISO-EMS08	The relationship between legal compliance and conformity to the environmental management system is demonstrated in the context of an audit in a given business/industry sector.	<b>C</b>
ISO-EMS09	Environmental management tools such as aspect/impact evaluation, life cycle examination, and environmental performance evaluation, are used appropriately within the context of a given business/industry sector.	<b>C</b>



**Competency Unit 3: Understand the application of environmental science and technology.**

Code	Element of Competency	Score
ISO-EMS10	The impact of human activities on the environment is clearly understood and applied to environmental auditing.	C
ISO-EMS11	The interaction of ecosystems is clearly understood and applied to environmental auditing.	C
ISO-EMS12	General methods of environmental protection are understood and applied to environmental auditing.	C
ISO-EMS13	Monitoring and measurement techniques for environmental management are understood and applied to environmental auditing.	C
ISO-EMS14	The product realization processes and supporting activities are evaluated effectively in order to establish their environmental impact and verify the degree of conformity to the environmental management system.	C
ISO-EMS15	Process-based activities and associated inputs, outputs, controls, and resources, are understood in different organizational contexts.	C

**Competency Unit 4: Assess the risk of significant environmental impacts and activities identified in the context of the organization's EMS management system.**

Code	Element of Competency	Score
ISO-EMS16	The level of risk for each environmental impact is assessed to determine significance.	C
ISO-EMS17	The risk assessment methodology used is soundly and scientifically and/or impact based and is documented within the EMS system.	C
ISO-EMS18	The risk assessment methodology used is appropriate to the business type or industry sector.	C

**Competency Unit 5: Assess the effectiveness of methodologies to control environmental risks.**

Code	Element of Competency	Score
ISO-EMS19	Control measures are in place for all identified significant environmental impacts.	C
ISO-EMS20	The appropriateness and effectiveness of controls based on legislative requirements, industry codes, and other technical information is clearly established.	C
ISO-EMS21	Control measures are known by all relevant personnel and applied in practice.	C



<b>ISO-EMS22</b>	The control measures are effective in eliminating or reducing the identified significant environmental impacts	<b>C</b>
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***Competency Unit 6: Assess the EMS roles and responsibilities within the context of the organizational environment.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-EMS23</b>	The roles and responsibilities of auditee personnel responsible for environmental management are clearly identified and applied.	<b>C</b>
<b>ISO-EMS24</b>	The inter-relationship between the EMS hierarchy and the corporate organizational structure is clearly identified.	<b>C</b>
<b>ISO-EMS25</b>	Control measures are known by all relevant personnel and applied in practice.	<b>C</b>

***Competency Unit 7: Determine the adequacy and effectiveness of the EMS.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-EMS26</b>	Appropriate verification procedures are in place to establish the currency, relevance, and effectiveness of the EMS.	<b>C</b>
<b>ISO-EMS27</b>	Omissions in the EMS that could affect environmental health and safety are identified.	<b>C</b>
<b>ISO-EMS28</b>	The adequacy of the EMS in preventing, reducing, or eliminating significant environmental impacts is established.	<b>C</b>
<b>ISO-EMS29</b>	The auditee has the organizational and process capability to ensure that documented controls are met	<b>C</b>



**Occupational Health and Safety Management Systems ISO 45001:2018,**

**OHSAS 18001:2007 and AS/NZS 4801:2001**

**Course Code ISO-OHS**

**Learning Outcomes Transcript and Scoring Methodology**

**Competent = C, Not Yet Competent = NYC, Not Yet Assessed = NYA**

***Competency Unit 1: Understand the intent and requirement of each clause of ISO 45001:2018, OHSAS 18001:2007 and AS/NZS 4801:2001 and other applicable global standards in the context of a given business/industry context.***

Code	Element of Competency	Score
ISO-OHS01	The intent and requirement of each clause of ISO 45001 and or 18001 and AS/NZS 4801 can be described in the context of a given business/industry sector.	C

***Competency Unit 2: Understand the application of Risk Management Principles in the context of ISO 31000:2009.***

Code	Element of Competency	Score
ISO-OHS02	The relationship between the Risk Management Principles and ISO 45001 and or applicable standard/s is explained within the context of a given business/industry sector.	C

***Competency Unit 3: Assess the risk of identified hazards in the context of the organization's OHS management system.***

Code	Element of Competency	Score
ISO-OHS03	OHS laws, codes of practices, and standards relevant to an industry or business type are known, understood and applied.	C

***Competency Unit 4: Identify OHS risks that are reasonably expected to occur for that business type or industry.***

Code	Element of Competency	Score
ISO-OHS04	Actual and potential OHS risk are identified throughout the auditee business.	C
ISO-OHS05	The risk examination methodology used is soundly and scientifically based and is documented within the OHS system.	C



<b>ISO-OHS06</b>	The risk assessment methodology used is appropriate to the business type or industry sector.	<b>C</b>
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***Competency Unit 5: Assess the effectiveness of methodologies to control OHS Risks.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-OHS07</b>	Control measures are in place for all identified OHS Risks.	<b>C</b>
<b>ISO-OHS08</b>	The appropriateness and effectiveness of controls based on legislative requirements, industry codes, and other technical information is clearly established.	<b>C</b>
<b>ISO-OHS09</b>	Control measures are known by all relevant personnel and applied in practice.	<b>C</b>
<b>ISO-OHS10</b>	The control measures are effective in eliminating or reducing the identified Risks.	<b>C</b>

***Competency Unit 7: Assess the OHS roles and responsibilities within the context of the organizational environment.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-OHS11</b>	The roles and responsibilities of auditee personnel responsible for OHS management are clearly identified and applied.	<b>C</b>
<b>ISO-OHS12</b>	The inter-relationship between the OHS hierarchy and the corporate organizational structure is clearly identified.	<b>C</b>
<b>ISO-OHS13</b>	Barriers to the effective implementation of the OHS management system are identified and eliminated.	<b>C</b>

***Competency Unit 6: Determine the adequacy and effectiveness of the OHS Management System.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-OHS14</b>	Appropriate verification procedures are in place to establish the currency, relevance, and effectiveness of the OHS.	<b>C</b>
<b>ISO-OHS15</b>	Omissions in the OHS Management System that could affect personal safety and wellbeing are identified.	<b>C</b>
<b>ISO-OHS16</b>	The adequacy of the OHS Management System in preventing, reducing, or eliminating OHS Risks is established.	<b>C</b>





<b>ISO-OHS17</b>	The auditee has the organizational and process capability to ensure that documented controls are met	<b>C</b>
<b>ISO-OHS18</b>	The OHS management system is assessed against the appropriate management system standard (e.g. ISO 45001, OHS 18001:2007 or AS/NZS 4801:2001).	<b>C</b>



**Information Technology – Security Techniques – Information Security  
Management Systems – ISO 27001:2013**

**Course Code ISO-ISMS**

**Learning Outcomes Transcript and Scoring Methodology**

**Competent = C, Not Yet Competent = NYC, Not Yet Assessed = NYA**

***Competency Unit 1: Demonstrate professional and ongoing personal development.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-ISMS01</b>	The auditor has demonstrated that they have a recognized and documented continuous professional development (CPD) plan in place to ensure ongoing educational and professional development in line ISO 19011 and 17021 and other applicable global industry standards.	<b>C</b>
<b>ISO-ISMSS02</b>	The auditor has demonstrated that they have a recognized and documented continuous professional development (CPD) plan in place to ensure ongoing educational and professional development in line with ISO 19011:2011 and other applicable global industry standards.	<b>C</b>
<b>ISO-ISMS03</b>	Demonstrate a high level of understanding of business acumen for various known organisations and be able to outline an ongoing plan to further develop their own personal business acumen.	<b>C</b>
<b>ISO-ISMS04</b>	Demonstrate an understanding of Risk Based Thinking (RBT) and the concept of Risk and Reward as they apply to various known organisations and how both RBT and Risk and Reward will apply to these organisations issues and interested parties.	<b>C</b>
<b>ISO-ISMS05</b>	The auditor has demonstrated that they have the required Adjustment, Ambition, Sociability, Interpersonal Sensitivity, Prudence, Inquisitive and learning approach disciplines by successfully completing the “Hogan Leadership Profile”.	<b>C</b>



**Competency Unit 2: Understand the intent and requirement of each clause of ISO/IEC 27001:2013 and other applicable global standards in the context of a given business/industry context.**

Code	Element of Competency	Score
ISO-ISMS06	The intent and requirement of each clause of ISO 27001:2013 or applicable information and security standard can be described in the context of a given business/industry sector.	C

**Competency Unit 3: Understand the application of Risk Management Principles in the context of ISO 31000:2009.**

Code	Element of Competency	Score
ISO-ISMS07	The relationship between the Risk Management Principles and ISO 27001:2013 and or applicable standard/s is explained within the context of a given business/industry sector.	C

**Competency Unit 4: Assess the risk of identified security activity in the context of the organization's integrated business management system.**

Code	Element of Competency	Score
ISO-ISMS08	Information Security laws, codes of practices, and standards relevant to an industry or business type are known, understood and applied.	C

**Competency Unit 5: Identify Security Risks that are reasonably expected to occur for that business type or industry.**

Code	Element of Competency	Score
ISO-ISMS09	Actual and potential information security risks are identified throughout the auditee business.	C
ISO-ISMS10	The procedures used to identify risks are relevant to the industry sector, and are based on evidence, business records, or industry practice.	C
ISO-ISMS11	Specific security information issues are identified for defined industry processes.	C



**Competency Unit 6: Assess the risk of identified security consequences in the context of the organization's integrated business management system.**

Code	Element of Competency	Score
ISO-ISMS12	The level of risk for each activity is assessed to determine significance.	C
ISO-ISMS13	The risk examination methodology used is soundly and scientifically based, and is documented within the integrated business management system.	C
ISO-ISMS14	The risk examination methodology used is appropriate to the business type or industry sector.	C

**Competency Unit 7: Assess the OHS roles and responsibilities within the context of the organizational environment.**

Code	Element of Competency	Score
ISO-ISMS16	Control measures are in place for all identified information security activities.	C
ISO-ISMS17	The appropriateness and effectiveness of controls based on legislative requirements, industry codes, and other technical information is clearly established	C
ISO-ISMS18	Control measures are known by all relevant personnel and applied in practice.	C
ISO-ISMS19	The control measures are effective in eliminating or reducing the identified activities which may cause a security issue	C

**Competency Unit 8: Assess the Information Security roles and responsibilities within the context of the organizational environment.**

Code	Element of Competency	Score
ISO-ISMS20	The roles and responsibilities of auditee personnel responsible for security of information are clearly identified and applied.	C
ISO-ISMS21	The inter-relationship between the security of information hierarchy and the corporate organizational structure is clearly identified.	C
ISO-ISMS22	The inter-relationship between the security information management system hierarchy and the corporate organizational structure is clearly	C



	identified.	
<b>ISO-ISMS23</b>	Barriers to the effective implementation of the security of information management system are identified and eliminated.	<b>C</b>

**Competency Unit 9: *Determine the adequacy and effectiveness of a Security and Information management system.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-ISMS24</b>	Appropriate verification procedures are in place to establish the currency, relevance, and effectiveness of the security information management system.	<b>C</b>
<b>ISO-ISMS25</b>	Omissions in the security information management system that could affect personal information are identified	<b>C</b>
<b>ISO-ISMS26</b>	The adequacy of the security information management system in preventing, reducing, or eliminating information security events is established.	<b>C</b>
<b>ISO-ISMS27</b>	The auditee has the organizational and process capability to ensure that documented controls are met.	<b>C</b>
<b>ISO-ISMS28</b>	The security information management system is assessed against the appropriate management system standards (e.g. ISO 27000, 27001, 27002, 27003, 27004 and 27005).	<b>C</b>



**Risk Management ISO 31000:2018**

**Course Code ISO RM**

**Learning Outcomes Transcript and Scoring Methodology**

**Competent = C, Not Yet Competent = NYC, Not Yet Assessed = NYA**

***Competency Unit 1: Understand the application of Risk Management Principles in the context of ISO 31000:2018***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-RM01</b>	The intent and requirement of each clause of ISO 31000:2018 can be described in the context of a given business/industry sector.	<b>C</b>
<b>ISO-RM02</b>	The relationship between the Risk Management Principles and Business System is explained within the context of a given business/industry sector	<b>C</b>

***Competency Unit 3: Understand the application of Risk Assessment and Control Techniques in the context of ISO 31000:2018.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-RM03</b>	Actual and potential risks are identified throughout the auditee business in line with the defined ISO 31000:2018 Risk Management Process.	<b>C</b>
<b>ISO-RM04</b>	The procedures used to identify risks are relevant to the industry sector, and are based on evidence, business records, or industry practices in line with the defined ISO 31000:2018 Risk Management Process.	<b>C</b>
<b>ISO-RM05</b>	Specific OHS and other business issues are identified for defined industry processes in line with the defined ISO 31000:2018 Risk Management Process.	<b>C</b>
<b>ISO-RM06</b>	The level of risk for each consequence is assessed to determine its significance in accordance with the ISO 31000:2018 Risk Management Process.	<b>C</b>
<b>ISO-RM07</b>	The risk examination methodology used is soundly and scientifically based, and is documented within the Business System in line with ISO 31000:2018 Risk Treatment and Management Plans.	<b>C</b>



<b>ISO-RM08</b>	The risk examination methodology used is appropriate to the business type or industry sector and in line with ISO 31000:2018 Risk Treatment and Management Plans.	<b>C</b>
<b>ISO-RM09</b>	Control measures are in place for all identified risks.	<b>C</b>
<b>ISO-RM10</b>	The appropriateness and effectiveness of controls based on ISO 31000:2018 Risk Treatment and Management Plans together with legislative requirements, industry codes, and other technical information is clearly established.	<b>C</b>

***Competency Unit 3: Assess the OHS roles and responsibilities within the context of the organizational environment and ISO 31000:2018.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-RM11</b>	Control measures are known by all relevant personnel, and applied in Practice.	<b>C</b>
<b>ISO-RM12</b>	The control measures are effective in eliminating or reducing the identified risks.	<b>C</b>
<b>ISO-RM13</b>	The roles and responsibilities of personnel responsible for the Business Management Systems (QMS, OHS, EMS, ISMS or FSMS) Risk Management Centres are clearly identified and applied.	<b>C</b>
<b>ISO-RM14</b>	The inter-relationship between the "Quality Assurance" (Business Management System) hierarchy and the corporate organisational structure is clearly identified.	<b>C</b>
<b>ISO-RM15</b>	Barriers to the effective implementation and continued effectiveness of the Business Management System are identified and eliminated.	<b>C</b>



**Auditing Management Systems ISO 19011:2018**

**Course Codes ISO-AUD, ACI-ACD and ACI-PBD**

**Learning Outcomes Transcript and Scoring Methodology**

**Competent = C, Not Yet Competent = NYC, Not Yet Assessed = NYA**

***Competency Unit 1: Understand the application of the principles, procedures and techniques of auditing.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-AUD01</b>	The principles, objectives and techniques of auditing management systems, as outlined in ISO 17021:2015 and ISO 19011:2018, are understood and applied.	<b>C</b>
<b>ISO-AUD02</b>	The terms and definitions of ISO 17021:2015 and ISO 19011:2018 are understood and applied.	<b>C</b>
<b>ISO-AUD03</b>	Audit criteria relevant to the auditee's business and operation are identified.	<b>C</b>
<b>ISO-AUD04</b>	An audit plan is developed to meet the agreed audit criteria.	<b>C</b>
<b>ISO-AUD05</b>	A document review is completed.	<b>C</b>
<b>ISO-AUD06</b>	All aspects of the on-site audit activities are understood and applied.	<b>C</b>
<b>ISO-AUD07</b>	An audit report is prepared.	<b>C</b>
<b>ISO-AUD08</b>	Requirements for follow-up and closing are understood and applied.	<b>C</b>

***Competency Unit 2: Understand the conduct of an effective audit in the context of the auditee's organisational situation.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-AUD09</b>	The auditee's management system can be audited in the context of the audit criteria/plan including reference standard.	<b>C</b>
<b>ISO-AUD10</b>	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's business.	<b>C</b>
<b>ISO-AUD11</b>	The role and responsibilities of the auditor are understood.	<b>C</b>





<b>ISO-AUD12</b>	The impact of cultural, religious, and/or social customs of the audit process is understood.	<b>C</b>
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***Competency Unit 3: Understand the application of the regulations, and other considerations that are relevant to the audit management system, and the conduct of the audit.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-AUD13</b>	Application of regulations, legal requirements, and industry codes of practice, relevant to the auditee's management system and/or to the audit, are understood and applied.	<b>C</b>

***Competency Unit 4: Practice cultural diversity and personal disciplines necessary for the effective and efficient conduct of a management system audit.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-AUD14</b>	Effective verbal communications are practiced through personal linguistic skills.	<b>C</b>
<b>ISO-AUD15</b>	Interview skills are used to effectively acquire information within the scope of the audit.	<b>C</b>
<b>ISO-AUD16</b>	Written comments on audit worksheets accurately reflect findings and observations.	<b>C</b>
<b>ISO-AUD17</b>	The requirements for information security are understood and applied.	<b>C</b>
<b>ISO-AUD18</b>	Cultural awareness, diversity and attitude are understood and applied.	<b>C</b>
<b>ISO-AUD19</b>	Adjustment, Ambition, Sociability, Interpersonal Sensitivity, Prudence, Inquisitive and Learning approach disciplines are understood as they relate to Personal performance and CPD.	<b>C</b>

***Competency Unit 5: ISO Personal Certification***

<b>ISO-AUD20</b>	The auditor has demonstrated that they have the recognized Knowledge skills and competence through successfully completing the required observational stage 1 audit/s in accordance with the International Accreditation Forums (IAF) Signatory Bodies for example JAS-ANZ auditor and or professional guidelines.	<b>C</b>
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**Leading Audit Teams ISO 17021:2015**

**Course Codes - ISO-LA, ACI-ACD and ACI-PBD**

**Learning Outcomes Transcript and Scoring Methodology**

**Competent = C, Not Yet Competent = NYC, Not Yet Assessed = NYA**

***Competency Unit 1: Establish, plan and task the activities of an audit team.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-LA01</b>	The role and responsibilities of audit team leaders as identified in ISO 17021:2015 and 19011:2018 are understood and applied when planning a team audit.	<b>C</b>
<b>ISO-LA02</b>	The audit purpose, scope, and criteria are determined.	<b>C</b>
<b>ISO-LA03</b>	The requirements for selecting audit teams are understood and applied.	<b>C</b>
<b>ISO-LA04</b>	Auditor responsibilities are allocated to achieve audit criteria.	<b>C</b>
<b>ISO-LA05</b>	An audit plan is prepared that identifies and allocates team members according to audit criteria.	<b>C</b>

***Competency Unit 2: Communicate effectively with the auditee and audit client.***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-LA06</b>	The objectives and purpose of the Opening Meeting are understood and applied.	<b>C</b>

***Competency Unit 3: Organise and Direct audit team members***

<b>Code</b>	<b>Element of Competency</b>	<b>Score</b>
<b>ISO-LA07</b>	Team roles and responsibilities, and timeframes are identified and clarified.	<b>C</b>
<b>ISO-LA08</b>	Audit progress is monitored against timeframe and audit criteria.	<b>C</b>
<b>ISO-LA09</b>	Team members are informed of progress through audit team briefings.	<b>C</b>
<b>ISO-LA10</b>	Consensus is reached within the team on audit findings.	<b>C</b>



**Competency Unit 4: Prevent and resolve conflict with the auditee and/or within the audit team.**

Code	Element of Competency	Score
ISO-LA11	All communication issues between audit team and auditee are resolved quickly and to a point of agreement.	C
ISO-LA12	All conflicting issues within the audit team are resolved within the team, so that the team represents a united front to the auditee.	C

**Competency Unit 5: Prepare and complete the audit report**

Code	Element of Competency	Score
ISO-LA13	Distribution of the audit report is agreed with the audit client.	C
ISO-LA14	The audit report summarizes the audit findings objectively, using only verified facts.	C
ISO-LA15	The audit report is presented to the auditee as soon as is practicable after the audit.	C
ISO-LA16	Follow-up of corrective actions are agreed and carried out and documented.	C

**Competency Unit 6: ISO Personal Certification**

Code	Element of Competency	Score
ISO-LA17	The auditor has demonstrated that they have the required technical knowledge (industry codes) matched to their industry experience in compliance with the International Accreditation JAS-ANZ witnessed activity guidelines for third party certification bodies and their contracted personnel performing audits.	C
ISO-LA18	The auditor has demonstrated that they have the recognized Knowledge skills and competence through successfully completing the required observational stage 1 and stage 2 audits in accordance with the International Accreditation Forums (IAF) Signatory Bodies for example JAS-ANZ auditor and or professional guidelines	NYA