

MOD	EMS Procedures	Procedure AAP01a
AAP01a – Audit Management and Initiation		Page 1

AAP01a/G/01 – Audit Competency Interim Guidance	
<p>There are 3 main parties involved in auditing the safety and environmental management system in POEMS and POSMS, these being:</p> <ul style="list-style-type: none"> • Lead Auditor – The person responsible for leading and managing an audit and audit team. • Auditor – A person who forms part of an audit team • Aspirant Auditor – A person who forms part of the audit team who is undergoing training, or other development process, in order to attain auditor status. 	
General attributes of all auditors:	
Personal:	<p>Auditors at all levels should be -</p> <ul style="list-style-type: none"> • Ethical. • Open-minded. • Diplomatic. • Observant. • Perceptive. • Versatile. • Decisive. • Self-reliant.
Knowledge and skills:	<p>All staff involved in auditing POSMS and POEMS should be able to:</p> <ul style="list-style-type: none"> • Apply audit principles, procedures and techniques. • Conduct audit (or designated task) within agreed time schedule. • Collect information through effective interviewing, listening observing and reviewing relevant information. • Verify the accuracy of collected information. • Use correct documentation to record audit activities. • Prepare audit reports. • Maintain confidentiality. • Understand system standards. • Have an awareness of relevant laws, regulations and requirements. • Understand relevant environmental and safety terminology. • Understand environmental/safety management principles. • Understand relevant environmental and safety management tools.

DOCUMENT IS UNCONTROLLED IN PRINT	ISSUE LEVEL:	Release draft V2.2e/s
	DATE:	November 2007

MOD	EMS Procedures	Procedure AAP01a
AAP01a – Audit Management and Initiation		Page 2

Aspirant auditor	
Competency and experience:	<p>Initially the most important areas of experience and competence are the attributes outlined in the General Attributes section above. However, in addition aspirant auditors should:</p> <ul style="list-style-type: none"> • Have some knowledge of, and the ability to apply (under supervision) audit processes. • Be proficient at effectively utilising their time during audits. • Provide assistance to the Lead Auditor and audit team members where required. • Help with the preparation and production of the audit report. • Understand MoD Safety and Environmental management requirements. • Have knowledge of ASEMS, POEMS and POSMS.
Auditor	
Competency and experience:	<p>An Auditor is expected to:</p> <ul style="list-style-type: none"> • Have successfully completed an accredited auditing course (eg ISO 14001, 9001, OHSAS 18001) or have equivalent practical training and experience. • Have gained experience in the entire audit process by participating in a minimum of two audits, including undertaking document review and audit reporting. • Be proficient at effectively utilising their time during audits. • Provide assistance to aspirant auditors. • Help with the preparation and production of the audit report. • Understand MoD safety and environmental management requirements. • Have knowledge of ASEMS, POEMS and POSMS.
Lead Auditor:	
Competency and experience:	<p>A Lead Auditor is expected to:</p> <ul style="list-style-type: none"> • Have successfully completed an accredited auditing course (eg ISO 14001, 9001, OHSAS 18001) or have equivalent practical training and experience. • Have acted as an auditor in at least two complete audits. • Advise on and interpret requirements of audit processes with sufficient breadth of experience, knowledge and depth of understanding, to be able to apply audit management requirements. • Generate an effective auditing strategy and plan, based on the identified audit requirements. • Be proficient at planning and effectively utilising resources during audits.

DOCUMENT IS UNCONTROLLED IN PRINT	ISSUE LEVEL:	Release draft V2.2e/s
	DATE:	November 2007

MOD	EMS Procedures	Procedure AAP01a
AAP01a – Audit Management and Initiation		Page 3

	<ul style="list-style-type: none"> • Organise and direct audit team members. • Provide guidance and assistance to aspirant auditors. • Lead the audit team to reach the audit conclusions. • Prepare, complete and review the audit report. • Understand MoD safety and environmental management requirements. • Have knowledge of ASEMS, POEMS and POSMS and domain functional policy requirements. Do not forget that any audit must be able to inform the functional Boards that policy is being implemented effectively. <p>Note that whilst Lead Auditors are required to have competencies in auditing and ASEMS, it is not necessary for them to be competent with the domain of the equipment and services being audited. The Lead Auditor can call on auditors with domain competence, or SMEs to support, or be part of, the audit team.</p>
--	--

DOCUMENT IS UNCONTROLLED IN PRINT	ISSUE LEVEL:	Release draft V2.2e/s
	DATE:	November 2007