

DHS regulatory audits – the auditor certification scheme



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DHS Drinking Water regulatory audit seminars
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Objective



To describe the auditor
certification scheme used for
drinking water risk management
audits in Victoria

Auditor Certification Process: Background



- DHS must approve auditors to undertake regulatory audits in Victoria
- WSAA needed to assess the appropriateness of auditors using its audit tool (Aquality) – Australia-wide
- No point having two parallel auditor certification schemes operating

Auditor Certification Process: Background



- No pre-existing auditor certification scheme for drinking water risk management plans
- DHS approached RABQSA, an international personnel and training certification body, to develop a specific scheme

Auditor Certification Process: Background



- DHS invited WSAA and VicWater to participate in developing the national certification scheme
- End result is
"Drinking Water Quality Management System (QMS) Auditor Certification Scheme"
- National scheme launched in April 2007

Benefits of Certification under the Drinking Water QMS Scheme



'Certification is a valuable asset that provides professional recognition of your competence'

RABQSA International certification provides:

- Certification to an internationally recognized standard (ISO/IEC 17024:2003)
- National recognition of your expertise and competence
- Employment and business opportunities
- Enhanced earning potential.

RABQSA Drinking Water QMS Auditor Certification Scheme



- Competency-based scheme to assist drinking water service providers and regulators in selecting auditors
- Independently managed by RABQSA (JAS-ANZ accredited certification body)
- Key competencies based on ISO 19011 - 2002 and Chapters 2 & 3 of ADWG 2004
- Not tied to state-based legislative requirements

RABQSA Drinking Water QMS Auditor Certification Scheme



- Two grades of DW QMS auditors
 - DW QMS Auditor
 - DW QMS Lead Auditor
- Certification applies to individuals
- Also creates certified Skill Examiners
- Please read the details at:
www.rabqsa.com/cb_wsa.html

Drinking Water QMS Certification Scheme – Pre-requisites



Educational requirements

Recognised degree or diploma in one of the following areas:

- Engineering
- Science
- Medicine

Drinking Water QMS Certification Scheme – Pre-requisites



Work experience requirements

At least 7 years accumulated work experience in two of these three areas:

- Water industry, either working in the industry or consulting to it
- Experience in establishing, reviewing or running quality management systems*
- Experience in auditing quality management systems*

*includes QMS, EMS, Risk Management or HACCP

Drinking Water QMS Auditor Certification Scheme – components



Components of RABQSA Process

1. Knowledge competency in management systems auditing – the “AU unit”
2. Knowledge competency in leading audit teams – the “TL unit” (for lead auditors only)
3. Knowledge competency in drinking water QMS auditing – the “DW unit”
4. PAAS Master[®] Assessment
5. Audit Skills examination

Drinking Water QMS Auditor Certification Scheme – step 1



Demonstrating competence in management systems auditing (AU unit)

- Generic RABQSA competency unit
- Demonstrates competency in conducting audits
- Examination by RABQSA-certified training providers
- Can consider prior knowledge and experience
- Details at www.rabqsa.com

Drinking Water QMS Auditor Certification Scheme – step 2



Demonstrating competence in leading management system audit teams (TL unit)

- **Similar to AU unit but focuses on leading audit teams**
- Generic RABQSA competency unit
- Demonstrates competency in leading audit teams
- Exam by RABQSA-certified training providers
- Can consider prior knowledge and experience
- Details at www.rabqsa.com

Drinking Water QMS Auditor Certification Scheme – step 3



Demonstrating knowledge of drinking water systems and risk management practice (DW unit)

- Demonstrates understanding of the Framework for Management of Drinking Water Quality as per Chapters 2 & 3 of ADWG 2004
- Sit a 2.5 hour written exam at RMIT in Melbourne
- Next exam on 20 February 2008
- Details at www.shortcourses.rmit.edu.au

Drinking Water QMS Auditor Certification Scheme – step 4



PAAS Master[®] Assessment

- Ensures that potential auditors have suitable personal attributes for auditing
- Attributes are set out in ISO:19011 - 2002
- Online assessment arranged by RABQSA after application fees received
- No right or wrong answers
- Individuals with results that fall outside the normal range are invited to discuss outcome with RABQSA

Drinking Water QMS Auditor Certification Scheme – step 4



- **The following is an example of the assessment process.**
Please read the two statements below.
Think about how you feel about these two statements. One of them will describe you more than the other.
Determine how much more the statements describes you. Click on the 'dot' that indicates your strength of preference.

•	100		Strongly A	Moderately A		Slightly A	Slightly B	Moderately B		Strongly B
•	A Do You like meat		5	4		3	2	1		0
•	B Do you like vegetables		0	1		2	3	4		5
•	Select One		-----			-----	-----	-----		-----
•	100		Strongly A	Moderately A		Slightly A	Slightly B	Moderately B		Strongly B
•	A Do You like chocolate ice-cream		5	4		3	2	1		0
•	B Do You like dogs as pets	0	1	2		3	4	5		
•	Select One		-----			-----	-----	-----		-----
•	100		Strongly A	Moderately A		Slightly A	Slightly B	Moderately B		Strongly B
•	A You like to read a book on holiday		5	4		3	2	1		0
•	B You consider yourself a hard worker	0	0	1		2	3	4		5
•	Select One		-----			-----	-----	-----		-----

- Most important once completing the exam you need to inform the Scheme Examiner you have completed the PAAS

Drinking Water QMS Auditor Certification Scheme – step 5



Audit skills examination

- Organised by applicant
- Skills examiner witnesses an audit undertaken by applicant
- Applicant is assessed on their ability to conduct an audit (Auditor) or lead an audit team (Lead Auditor)
- Audit must be relevant to drinking water risk management ...
- ... but can not be a DHS regulatory audit

Drinking Water QMS Auditor Certification Scheme – skill examiners



Skill examiners

- Role is to witness and assess an applicant auditor conducting an audit
- Must first be a DW QMS certified Lead Auditor
- Must pass RABQSA SE unit – information kit from RABQSA
- Certificate IV in Workplace Training and Assessment or pass RABQSA – AS unit.
- Initial skill examiners appointed by Scheme committee by an EOI process in 2006/07
- Contact details listed on www.rabqsa.com

Drinking Water QMS Auditor Certification Scheme – how to apply



How to apply

- Prior to applying:
 - Check pre-requisites at web site
 - Complete AU or TL units (training providers)
 - Complete DW unit (RMIT exam)
 - Arrange skill examination audit
- Competency units are valid for up to three years

Drinking Water QMS Auditor Certification Scheme - applying



Recommended application process

- Apply on-line or by mail and pay fees
- Sign auditor Code of Conduct and declaration
- Complete PAAS Master® assessment
- Complete skill examination audit
- Pay certification fee
- Your details will appear on the RABQSA register
- Your ID card and certificate will be sent to you – congratulations!

Drinking Water QMS Auditor Certification Scheme - maintenance



Maintaining certification

- Reassessment after two years (DW unit) then every four years
- Recertification after four years (PAAS Master[®] assessment + skill examination audit) then every four years
- Re-confirm and sign Code of Conduct

Drinking Water QMS Auditor Certification Scheme - fees



Fees

- Application fees for 2007:
 - Application fee \$132 inc GST
 - PAAS Master[®] fee \$33 inc GST
 - Skill examiner fee \$880 inc GST (+ expenses)
- DW unit fee (RMIT) \$100 inc GST
- AU or TL unit fees – by provider
- Skill examiners – separate fees
- Initial and Annual certification fees
\$297 for Auditors, \$308 for Lead Auditors

Drinking Water QMS Auditor Certification Scheme



Further information

- RABQSA International (and training providers)
P.O. Box 347
Penrith BC NSW 2751
Ph: (02) 4728 4600
Fax: (02) 4731 6466
Email: info@rabqsa.com
Web site www.rabqsa.com/cb_wsa.html
- RMIT Short Course Centre
RMIT Training Pty Ltd
Level 3, 449 Swanston St
Melbourne VIC 3000
Ph: (03) 9925 8111
Fax: (03) 9925 8134
Email: enquiries@rmit.edu.au
Web: www.shortcourses.rmit.edu.au



Summary

- Auditor Certification Scheme is now running – apply via RABQSA
- Must be certified under this scheme to do a DHS regulatory audit or a WSAA drinking water risk management audit
- Certification applies to individuals
- Consider pre-requisites
- Contact water businesses and skill examiners

