



## **Competence Assurance Accreditation**

### **Audit Report**

#### **CAA-61**

### **Part 1 – Business Information**

| <b>General Audit Information</b>                                                                                                                 |
|--------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Date of Audit (DD-Month Spelled Out-YYYY):                                                                                                    |
| 2. Auditor's Name:                                                                                                                               |
| 3. Auditor's Company Name:                                                                                                                       |
| <b>Audit Location &amp; Contact Information</b>                                                                                                  |
| 1. Full Name of Company/Provider:                                                                                                                |
| 2. Accreditation ID:                                                                                                                             |
| 3. Full Name of Primary Contact for Audit:                                                                                                       |
| 4. Primary Contact Email:                                                                                                                        |
| 5. Administrative Contact Email:                                                                                                                 |
| 6. Physical Street Address of Primary Location:                                                                                                  |
| <i>(Location(s) should be the same as those identified in BSU-61 report for the same date.)</i>                                                  |
| 7. If additional training locations audited, specify Location and Address of additional sites<br>(If applicable, include city, state & country): |

| PERSONS INTERVIEWED                             |        |
|-------------------------------------------------|--------|
| Name:                                           | Title: |
|                                                 |        |
|                                                 |        |
|                                                 |        |
|                                                 |        |
|                                                 |        |
|                                                 |        |
|                                                 |        |
| ADDITIONAL PERSONS INTERVIEWED (Name and Title) |        |
|                                                 |        |

## Part 2 – Program Requirements

Section numbering corresponds with subsections in CAA-01 Handbook of Accreditation, Section 2. Content that is covered in multiple sections is included only once, in the most appropriate section of this form, to avoid redundancy.

| 2.0 General Requirements                                                                                  |                                                                     |                             |                                                                                        |                                                                                        |
|-----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|-----------------------------|----------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| Requirement                                                                                               | Requirement Satisfied?                                              |                             |                                                                                        | Corrective Action (CA)                                                                 |
|                                                                                                           | Observation (Obs.); Opportunity for Improvement (OFI)               |                             |                                                                                        | YY - ### - Initials                                                                    |
| 1. Non-Conformities (CAs) written during, or since last audit have been resolved and have not reoccurred. | <input type="checkbox"/> Yes                                        | <input type="checkbox"/> No | <input type="checkbox"/> N/A                                                           | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA |
|                                                                                                           | CA#: <input type="text"/> <input type="text"/> <input type="text"/> |                             |                                                                                        |                                                                                        |
| 2. Accreditation report is complete and up to date.                                                       | <input type="checkbox"/> Yes                                        | <input type="checkbox"/> No | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> <input type="text"/> <input type="text"/>                    |
|                                                                                                           |                                                                     |                             |                                                                                        |                                                                                        |

|                                                                                                                                    |                                                                                       |                                                                                        |                                                                     |
|------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|---------------------------------------------------------------------|
| 3. Any other changes to the program by the provider have been communicated to the applicable IADC Program Coordinator as required. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> <input type="text"/> <input type="text"/> |
|                                                                                                                                    |                                                                                       |                                                                                        |                                                                     |
| 4. All Program Bulletin requirements have been implemented and followed.                                                           | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> <input type="text"/> <input type="text"/> |
|                                                                                                                                    |                                                                                       |                                                                                        |                                                                     |

**2.1 Accreditable Unit** (No action is required during the audit for this item.)

## 2.2 Competence Program Variations

### 2.2.1 Program Frameworks

#### Position/Role Based Competencies

| Requirement                                                                         | Requirement Satisfied?                                                                |                                                                                        |                                                                     | Corrective Action (CA) |  |  |
|-------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|---------------------------------------------------------------------|------------------------|--|--|
|                                                                                     | Observation (Obs.); Opportunity for Improvement (OFI)                                 |                                                                                        |                                                                     | YY - ### - Initials    |  |  |
| 1. Competencies are defined according to job positions or roles.                    | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> <input type="text"/> <input type="text"/> |                        |  |  |
|                                                                                     |                                                                                       |                                                                                        |                                                                     |                        |  |  |
| 2. Competencies are categorized according to job positions or roles.                | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> <input type="text"/> <input type="text"/> |                        |  |  |
|                                                                                     |                                                                                       |                                                                                        |                                                                     |                        |  |  |
| 3. All competencies for an employee's position or role are included in the program. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> <input type="text"/> <input type="text"/> |                        |  |  |
|                                                                                     |                                                                                       |                                                                                        |                                                                     |                        |  |  |

#### System-Based Competencies

|                                                                       |                                                                                       |                                                                                        |                                                                     |
|-----------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|---------------------------------------------------------------------|
| 1. Competencies are categorized by type of operation or product line. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> <input type="text"/> <input type="text"/> |
|                                                                       |                                                                                       |                                                                                        |                                                                     |

## 2.2.2 Program Scope

|                                                                                                                                                                                                 |                                                                                       |                                                                                        |                                                                         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1. A list of positions/systems are indicated.                                                                                                                                                   | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                                                                 |                                                                                       |                                                                                        |                                                                         |
| 2. A list and description of all regions, divisions, product lines, or types of job locations are indicated. (Not applicable if the program applies to all personnel employed by organization.) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                                                                 |                                                                                       |                                                                                        |                                                                         |

## 2.3 Documented Program Policies and Procedures

### 2.3.1 Roles and Responsibilities of Personnel

|                                                                                                                                                   |                                                                                       |                                                                                        |                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1. All levels of responsibility (e.g., job titles) for the program are identified.                                                                | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                   |                                                                                       |                                                                                        |                                                                         |
| 2. An organizational chart with a description of responsibilities of each position involved in managing or administering the program is submitted | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                   |                                                                                       |                                                                                        |                                                                         |

### 2.3.2 Management Commitment

|                                                                                                                        |                                                                                       |                                                                                        |                                                                         |
|------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1. A written statement expressing the commitment, expectations, and responsibilities of upper management is submitted. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                        |                                                                                       |                                                                                        |                                                                         |
| 2. Competencies represent tasks performed by employees within those "systems."                                         | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                        |                                                                                       |                                                                                        |                                                                         |

### 2.3.3 Standard Operating Procedures (SOPs)

| Requirement                                                                                               | Requirement Satisfied?                                                                |                                                                                        | Corrective Action (CA)                                                  |
|-----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
|                                                                                                           | Observation (Obs.); Opportunity for Improvement (OFI)                                 |                                                                                        | YY - ### - Initials                                                     |
| 1. A SOP is written for document and records control.                                                     | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 2. A SOP is written for defining and approving competencies.                                              | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 3. A SOP is written for Management of Change (MOC).                                                       | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 4. A SOP is written for periodic review of the competencies included in and assessed through the program. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |

### 2.3.4 Program Administration Procedures

|                                                                                                                  |                                                                                       |                                                                                        |                                                                         |
|------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1. A Program Administration procedure is written for maintaining accurate and up-to-date records of assessments. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 2. A Program Administration procedure is written for protecting the privacy of personnel subject to the program. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |

### 2.3.5 Quality Control/Assurance Policies and Processes

|                                                                                                                                                             |                                                                                       |                                                                                        |                                                                         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1. A Quality Control/Assurance procedure is written that defines the job title and qualifications of the person responsible for managing quality assurance. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                             |                                                                                       |                                                                                        |                                                                         |
| 2. A Quality Control/Assurance procedure is written for frequency, methods, and conditions of conducting internal audits.                                   | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                             |                                                                                       |                                                                                        |                                                                         |
| 3. A Quality Control/Assurance procedure is written for maintenance and control of records.                                                                 | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                             |                                                                                       |                                                                                        |                                                                         |
| 4. A Quality Control/Assurance procedure is written for monitoring and evaluating program effectiveness.                                                    | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                             |                                                                                       |                                                                                        |                                                                         |
| 5. A Quality Control/Assurance procedure is written for management of the verification process.                                                             | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                             |                                                                                       |                                                                                        |                                                                         |
| 6. A Quality Control/Assurance procedure is written for methods for gathering feedback from personnel subject to the program.                               | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                             |                                                                                       |                                                                                        |                                                                         |

## 2.4 Resources/Assets Required for Program Operation

|                                                                           |                                                                                       |                                                                                        |                                                                         |
|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1. Educational aids and equipment utilized were indicated on application. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                           |                                                                                       |                                                                                        |                                                                         |

## 2.5 Competence Assessment Requirements

### 2.5.1 Policies and Procedures

|                                                                                                                                                                                                                                          |                                                                                       |                                                                                        |                                                                         |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1. A written policy and procedure is in place that outlines the timeline for employees to start the competence assessment process and to be deemed competent.                                                                            | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                                                                                                          |                                                                                       |                                                                                        |                                                                         |
| 2. A written policy and procedure is in place that describes how the company tracks the level to which business units, product lines, geographical regions, worksites, and/or other categories have implemented and utilized the program | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                                                                                                          |                                                                                       |                                                                                        |                                                                         |
| 3. A written policy and procedure is in place that describes expected timeframes for employees to achieve the defined level of competence, as well as the protocol for failure to do so.                                                 | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                                                                                                          |                                                                                       |                                                                                        |                                                                         |
| 4. A written policy and procedure is in place that describes the "triggers" indicating the need for a competence assessment (e.g., new hires, change in role/position).                                                                  | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                                                                                                                                                                                          |                                                                                       |                                                                                        |                                                                         |

| 5. A written policy and procedure is in place that describes the intervals in which assessments take place.                   | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|-------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| <b>2.5.2 Assessors and Verifiers</b>                                                                                          |                                                                                       |                                                                                        |                                                                         |
| Requirement                                                                                                                   | Requirement Satisfied?<br>Observation (Obs.); Opportunity for Improvement (OFI)       |                                                                                        | Corrective Action (CA)<br>YY - ### - Initials                           |
| 1. A written procedure that defines the qualifications required for the selection and training of assessors is documented.    | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 2. A written procedure that defines the qualifications required for the selection and training of verifiers is documented.    | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 3. A written procedure that defines the qualifications required for the selection and training of assessors was communicated. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 4. A written procedure that defines the qualifications required for the selection and training of verifiers was communicated. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 5. A written procedure that defines the qualifications required for the selection and training of assessors is implemented.   | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 6. A written procedure that defines the qualifications required for the selection and training of verifiers is implemented.   | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |



|                                                                                                                                                                  |                                                                                       |                                                                                        |                                                                         |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 7. Assessors and verifiers are either an employee of the oil and gas company or employed by a third party that is contracted to perform this role.               | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| <b>2.5.3 Methods of Assessment</b>                                                                                                                               |                                                                                       |                                                                                        |                                                                         |
| 1. Method(s) for assessment are defined.                                                                                                                         | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| <b>2.5.4 Assessment Materials</b>                                                                                                                                |                                                                                       |                                                                                        |                                                                         |
| 1. Assessment materials utilized in the competence program are identified.                                                                                       | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| <b>2.5.5 Assessment Tracking</b>                                                                                                                                 |                                                                                       |                                                                                        |                                                                         |
| 1. A written procedure that describes the recordkeeping system for tracking the competencies that are required for each employee's job title/category or task.   | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 2. A written procedure that describes the recordkeeping system for tracking the competence assessments that have been completed by each employee.                | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
| 3. A written procedure that describes the recordkeeping system for tracking the results of the competence assessments that have been completed by each employee. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |

**2.5.6 Feedback to Candidate**

1. A written procedure that describes the process for employee assessment feedback is implemented.

☐ Yes ☐ No ☐ N/A☐ OFI ☐ Obs. ☐ CACA#: --**2.5.7 Development Plan**

1. A written procedure that describes how an employee will be remediated (how the competence gaps will be addressed) in the event that he or she is deemed not yet competent is implemented.

☐ Yes ☐ No ☐ N/A☐ OFI ☐ Obs. ☐ CACA#: --**2.5.8 Candidate Reassessment**

1. A written procedure that describes the process for reassessment of employees who have had to undergo remediation.

☐ Yes ☐ No ☐ N/A☐ OFI ☐ Obs. ☐ CACA#: --

2. A written procedure that describes the process for reassessment of employees who have been in the same position for an extended period of time (3-5 years).

☐ Yes ☐ No ☐ N/A☐ OFI ☐ Obs. ☐ CACA#: --**2.5.9 Assessment Verification**

1. A written procedure that describes the assessment verification process.

☐ Yes ☐ No ☐ N/A☐ OFI ☐ Obs. ☐ CACA#: --

**2.6 Administration and Process Control** (No action is required during the audit for this item.)**2.7 Requested Exceptions and Variations**

|                                                                            |                                                                                       |                                                                                        |                                                                         |
|----------------------------------------------------------------------------|---------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
| 1. A written procedure that describes the assessment verification process. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | <input type="checkbox"/> OFI <input type="checkbox"/> Obs. <input type="checkbox"/> CA | CA#: <input type="text"/> - <input type="text"/> - <input type="text"/> |
|                                                                            |                                                                                       |                                                                                        |                                                                         |

### **Concluding Comments**

List any other observations or comments which may be relevant. Include any noteworthy efforts, recommendations or suggestions for improvement.

### **Corrective Actions**

List all Corrective Action numbers written for this audit.

## Part 3 - Recommendations

### Recommendations for Accreditation

Choose Only One:

- ☐ Issue Full Accreditation
- ☐ Suspend Accreditation
- ☐ Deny/Revoke Accreditation

### Signature of Auditor

Auditor's Printed Name:

Signature:

### IADC QA/QC Use Only

**Notes:**

## Additional Notes

**Instructions:** Use this page to record any additional information that was not included within the form due to space restrictions. Be sure to note the section number to which the added text pertains.

**Section**      **Additional Comments**

**Topic**

**Section**      **Additional Comments**

**Topic**

**Section**      **Additional Comments**

**Topic**

**Section**      **Additional Comments**

**Topic**