Competence Assurance Accreditation

Audit Report

CAA-61

Part 1 – Business Information

General Audit Information
1. Date of Audit (DD-Month Spelled Out-YYYY):
2. Auditor's Name: 3. Auditor's Company Name:
Audit Location & Contact Information
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: *(Location(s) should be the same as those identified in BSU-61 report for the same date.)*
7. If additional training locations audited, specify Location and Address of additional sites (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?*** Observation (Obs.); Opportunity for Improvement (OFI)		***Corrective Action (CA)*** YY - ### - Initials
1. Non-Conformities (CAs) written during, or since last audit have been resolved and have not reoccurred.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#:
2. Accreditation report is complete and up to date.	☐ Yes ☐ No	☐ OFI ☐ Obs. ☐ CA	CA#:

3. Any other changes to the program by the provider have been communicated to the applicable IADC Program Coordinator as required.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#:
4. All Program Bulletin requirements have been implemented and followed.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#:

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?*** Observation (Obs.); Opportunity for Improvement (OFI)		***Corrective Action (CA)*** YY - ### - Initials
1. Competencies are defined according to job positions or roles.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: - -
2. Competencies are categorized according to job positions or roles.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: - -
3. The competencies required for an employee to fulfill their position or role are included in the program.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: - -
System-Based Competencies			
1. Competencies are categorized by type of operation or product line.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: - -

2. Competencies represent tasks performed by employees within those "systems."	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____	
2.2.2 Program Scope				
1. A list of positions/systems are indicated.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____	
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.)	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____	
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.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____	
2.3.2 Management Commitment				
1. A procedure showing how senior management demonstrates commitment to and communicates expectations for the Competency Assurance Program (CAP) is submitted.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____	

2.3.3 Standard Operating Procedures (SOPs)			
Requirement	***Requirement Satisfied?*** Observation (Obs.); Opportunity for Improvement (OFI)		***Corrective Action (CA)*** YY - ### - Initials
1. A SOP is written and being followed for document and records control.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2. A SOP is written and being followed for defining and approving competencies.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
3. A SOP is written and being followed for Management of Change (MOC) as it pertains to the Competency Assurance Program (CAP).	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
4. A SOP is written and being followed for periodic review of the competencies included in and assessed through the program.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2.3.4 Program Administration Procedures			
1. A Program Administration procedure is written and being followed for maintaining accurate and up-to-date records of assessments.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2. A Program Administration procedure is written and being followed for protecting the privacy of personnel subject to the program.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____

2.3.5 Quality Control/Assurance Policies and Processes			
1. A Quality Control/Assurance procedure is written and being followed that defines the role and qualifications of the person responsible for managing quality assurance.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2. A Quality Control/Assurance procedure is written and being followed for frequency, methods, and conditions of conducting internal audits.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
3. A Quality Control/Assurance procedure is written and being followed for monitoring and evaluating program effectiveness.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
4. A Quality Control/Assurance procedure is written and being followed for methods for gathering feedback from personnel subject to the program.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2.4 Resources/Assets Required for Program Operation (No action is required during the audit for this item.)			
2.5 Competence Assessment Requirements			
2.5.1 Policies and Procedures			
1. A written policy and procedure is in place and being followed that outlines the timeline for employees to start the competence assessment process and to be deemed competent.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____

2. A written policy and procedure is in place and being followed 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	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
3. A written policy and procedure is in place and being followed that defines expected timeframes for employees to achieve competence in applicable tasks, based on their assigned duties, and includes a process for addressing unmet timeframes.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
4. A written policy and procedure is in place and being followed that describes the “triggers” indicating the need for a competence assessment (e.g., new hires, change in role/position).	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
5. A written policy and procedure is in place and being followed that describes the intervals in which assessments take place.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____

2.5.2 Assessors and Verifiers			
Requirement	***Requirement Satisfied?*** Observation (Obs.); Opportunity for Improvement (OFI)		***Corrective Action (CA)*** YY - ### - Initials
1. A written procedure that defines the qualifications required for the selection and training of assessors is: • Documented • Communicated • Implemented • Being followed	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2. A written procedure that defines the qualifications required for the selection and training of verifiers is: • Documented • Communicated • Implemented • Being followed	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2.5.3 Methods of Assessment			
1. Method(s) for assessment are defined and being followed.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2.5.4 Assessment Materials and Documentation (Evidence)			
1. Assessment materials utilized in the competence program are identified.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2.5.5 Assessment Tracking			
1. A written procedure, that is being followed, describes the recordkeeping system for tracking the competencies that are required for each employee's job title/category or task.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____

2. A written procedure, that is being followed, describes the recordkeeping system for tracking the competence assessments that have been completed by each employee.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
3. A written procedure, that is being followed, describes the recordkeeping system for tracking the results of the competence assessments that have been completed by each employee.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2.5.6 Feedback to Candidate			
1. A written procedure that is being followed, describes the process for employee assessment feedback is implemented.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2.5.7 Development Plan			
1. A written procedure that is being followed, 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. ☐ CA	CA#: ____-____-____
2.5.8 Candidate Reassessment			
1. A written procedure that is being followed, describes the process for reassessment of employees who have had to undergo remediation.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____

2. A written procedure that is being followed, describes the process for reassessment of employees who have been in the same position for an extended period of time (3 years).	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2.5.9 Assessment Verification			
1. A written procedure that is being followed, describes the assessment verification process to identify and document competency gaps.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2. A written procedure that is being followed, describes how the competency gaps are remediated.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
3. A form that demonstrates that the assessment verification process is being utilized is submitted.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____
2.6 Administration and Process Control (No action is required during the audit for this item.)			
2.7 Requested Exceptions and Variations			
1. The requested exception/variation is being followed as specified on the approved CAA-14 form.	☐ Yes ☐ No ☐ N/A	☐ OFI ☐ Obs. ☐ CA	CA#: ____-____-____

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

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