

ICTQual AB



Qualification Specification

ICTQual AB Level 3 Diploma ISO Management System Audit Techniques and Best Practices



Website
www.ictqualab.co.uk

Email:
support@ictqualab.co.uk

ICTQual AB's

Level 3 Diploma ISO Management System Audit Techniques and Best Practices

Contents

| | |
|--|---------|
| ICTQual AB Level 3 Diploma ISO Management System Audit Techniques and Best Practices | 2 |
| About ICTQual AB's..... | 2 |
| Course Overview..... | 2 |
| Certification Framework..... | 4 |
| Entry Requirements..... | 4 |
| Qualification Structure | 5 |
| Centre Requirements | 5 |
| Support for Candidates | 7 |
| Assessment | 7 |
| Unit Descriptors..... | 8 to 17 |

Qualification Specification about

ICTQual AB Level 3 Diploma ISO Management System Audit Techniques and Best Practices

About ICTQual AB's

ICTQual AB is a distinguished awarding body based in the United Kingdom, dedicated to fostering excellence in education, training, and skills development. Committed to global standards, ICTQual AB's provides internationally recognized qualifications that empower individuals and organizations to thrive in an increasingly competitive world. Their offerings span diverse industries, including technical fields, health and safety, management, and more, ensuring relevance and adaptability to modern workforce needs.

ICTQual AB's delivers high-quality educational solutions through a network of Approved Training Centres worldwide. Their robust standards and innovative teaching methodologies equip learners with practical knowledge and skills for personal and professional growth. With a mission to inspire lifelong learning and drive positive change, ICTQual AB's continuously evolves its programs to stay ahead of industry trends and technological advancements.

Course Overview

The ICTQual Level 3 Diploma is a professional, competency-based qualification designed to build expert-level auditing capabilities. Aligned closely with international auditing guidelines (specifically ISO 19011), this program moves beyond foundational compliance checks. It focuses on the strategic planning, structured execution, and psychological dynamics (such as advanced interviewing and conflict resolution) of professional management system audits. Whether an organization uses a standalone standard or an **integrated management system**—which weaves together quality, environmental, and safety frameworks like ISO 9001, 14001, and 45001—this diploma provides the practical toolkit needed to evaluate compliance, evaluate risk, and protect organizational value. In today's global market, holding an ISO certification (whether for Quality, Information Security, or Environmental Management) is no longer just a badge of honor—it is a baseline requirement for doing business, entering supply chains, and winning contracts. However, organizations frequently struggle with a critical disconnect: they build complex management systems on paper, but fail to maintain them in practice. This is where the modern auditor steps in.

Aims

The primary intent of this qualification is to transform learners into confident, self-sufficient audit leaders. Specifically, the course aims to:

- **Demystify the Audit Lifecycle:** Provide a seamless, step-by-step understanding of auditing—from initial risk-based scoping to the final verification of corrective actions.
- **Cultivate Continuous Improvement:** Shift the perception of auditing away from a rigid "police exercise" and toward a constructive mechanism that drives business excellence and operational efficiency.
- **Develop Leadership Capability:** Equip professionals to lead audit teams effectively, delegate tasks, manage stakeholders, and handle sensitive ground-level challenges professionally.

The Professional Mindset: A great auditor doesn't just find faults; they uncover systemic risks and partner with the business to build sustainable solutions.

Objectives

By the time you complete this diploma, you will be able to handle complex auditing scenarios independently. The core objectives focus on your ability to:

- **Analyze Integrated Requirements:** Understand how different ISO standards interconnect and successfully audit combined management frameworks without duplicating effort.
- **Plan Strategically:** Conduct pre-audit risk assessments to prioritize high-risk organizational units and deploy resources efficiently.
- **Gather Robust Evidence:** Master advanced observation and interviewing techniques to gather clear, objective evidence while maintaining a cooperative relationship with auditees.

Targeted Audience

This qualification is built for professionals who already have a basic familiarity with management systems but need formal, internationally recognized auditing credentials to advance. It is ideal for:

- **Internal Auditors & QA Specialists:** Individuals looking to step up from basic checklist-ticking to leading comprehensive internal or supplier (second-party) audits.
- **Compliance & Risk Managers:** Professionals responsible for certifying, monitoring, or maintaining organizational alignment with international regulations.
- **Operations & Department Heads:** Managers who want to understand how audits function from the inside out so they can better prepare their own teams for rigorous third-party certification audits.
- **Aspiring Consultants:** Anyone looking to build a career providing independent ISO advisory, gap analysis, and auditing services across diverse industries like manufacturing, tech, or healthcare.

Certification Framework

| | |
|--------------------------|---|
| Qualification title | ICTQual AB Level 3 Diploma ISO Management System Audit Techniques and Best Practices |
| Course ID | M0007 |
| Total Qualification Time | 300 Hours |
| Guided Learning Hours | 150 Hours |
| Grading Type | Pass / Fail |
| Competency Evaluation | Coursework / Assignments / Verifiable Experience |
| Assessment | <p>The assessment and verification process for ICTQual AB's qualifications involves two key stages:</p> <p>Internal Assessment and Verification:</p> <ul style="list-style-type: none">✓ Conducted by the staff at the Approved Training Centre (ATC) to ensure learners meet the required standards through continuous assessments.✓ Internal Quality Assurance (IQA) is carried out by the centre's IQA staff to validate the assessment process. <p>External Quality Assurance:</p> <ul style="list-style-type: none">✓ Managed by ICTQual AB's verifiers, who periodically review the centre's assessment and IQA processes. <p>Verifies that assessments are conducted to the required standards and ensures consistency across centres</p> |

Entry Requirements

The ICTQual Level 3 Diploma in ISO Management System Audit Techniques and Best Practices is designed for individuals seeking to develop their auditing skills and knowledge of ISO standards. To enrol in this qualification, candidates should meet the following entry requirements:

- ✓ **Age Requirement** – Learners must be at least 18 years old.
- ✓ **Educational Background** – A basic understanding of management systems or quality assurance is beneficial but not mandatory.
- ✓ **Work Experience** – Prior experience in auditing, compliance, or quality management is recommended but not required.
- ✓ **English Proficiency** – Learners should have a good command of English to understand course materials and effectively communicate audit findings.
- ✓ **Analytical and Organisational Skills** – An interest in systematic analysis, attention to detail, and problem-solving abilities will support learning and application in real-world auditing scenarios.

Qualification Structure

This qualification comprises 6 units, all six mandatory units, totalling 30 Credits. Candidates must successfully complete all mandatory units to achieve the qualification.

| Mandatory Units | |
|-----------------|---|
| Unit Ref# | Unit Title |
| M0007-01 | Introduction to ISO Management System Audits |
| M0007-02 | Audit Planning and Preparation Techniques |
| M0007-03 | Conducting ISO Audits and Reporting Findings |
| M0007-04 | Risk-Based Auditing and Compliance Strategies |
| M0007-05 | Corrective Actions and Continuous Improvement |
| M0007-06 | Ethical Considerations and Auditor Responsibilities |

Centre Requirements

To ensure quality training delivery, centres must adhere to the following standards:

1. Centre Approval

- ✓ Centres must be formally approved by ICTQual AB's before delivering this qualification.
- ✓ Approval involves a review of facilities, policies, and staff qualifications.

2. Qualified Staff

- ✓ **Tutors:** Must hold a Bachelor's Degree (Level 6) or higher in Quality Management, Business Administration, or a related compliance discipline, and possess a minimum of 3 years of practical, professional experience in ISO management systems auditing or quality assurance management
- ✓ **Assessors:** Must hold a recognized assessor qualification (e.g., CAVA, AVRA) or equivalent)
- ✓ **Internal Quality Assurers (IQAs):** Must hold a recognized IQA qualification (e.g. Level 4 Award in the IQA and Level 4 Certificate in Leading the IQA) and experience to oversee assessment standards.

3. Learning Facilities

Centre must offer:

- ✓ Private study areas and internet-enabled workspaces (for blended or physical delivery)
- ✓ Academic and pastoral support for learners
- ✓ Administrative support must be available to manage enrolment, tracking, and learner queries efficiently

4. Health and Safety Compliance

- ✓ All training facilities must comply with health and safety regulations.
- ✓ Centres must conduct regular risk assessments for practical activities.

5. Learning Resources

- ✓ **Course Materials:** Approved textbooks, study guides, and digital content must align with the qualification standards.
- ✓ **Assessment Tools:** Templates and guidelines must be provided to ensure standardized evaluation processes.
- ✓ **E-Learning Support:** Centres offering online or blended learning must implement an effective Learning Management System (LMS).

6. Assessment and Quality Assurance

- ✓ Centres must ensure assessments meet ICTQual AB's competency standards.
- ✓ Internal quality assurance (IQA) must be conducted to maintain consistency.
- ✓ External verifiers from ICTQual AB's will review assessment and training practices.

7. Learning Support

- ✓ **Qualification Guidance:** Support for coursework and assignments.
- ✓ **Career Pathway Assistance:** Information on progression opportunities in ISO management systems auditing or quality assurance management sectors.
- ✓ **Accessibility Support:** Accommodations for learners with disabilities or language barriers.

8. Policies and Compliance

Centres must uphold the following policies in accordance with ICTQual AB's standards:

- ✓ Equality, Diversity, and Inclusion Policy.
- ✓ Health and Safety Policy.
- ✓ Safeguarding and Learner Protection Policy.
- ✓ Complaints and Appeals Procedure.
- ✓ Data Protection and Confidentiality Policy.

9. Reporting Requirements

- Centres must provide ICTQual AB's with regular reports on learner registrations, progress, and certification outcomes.
- Assessment records must be maintained for external auditing and quality assurance purposes.

Support for Candidates

Centres should ensure that materials developed to support candidates:

- ✓ Facilitate tracking of achievements as candidate's progress through the learning outcomes and assessment criteria.
- ✓ Include information on how and where ICTQual AB's policies and procedures can be accessed.
- ✓ Provide mechanisms for Internal and External Quality Assurance staff to verify and authenticate evidence effectively.

This approach ensures transparency, supports candidates' learning journeys, and upholds quality assurance standards.

Assessment

This qualification is competence-based, requiring candidates to demonstrate high-level strategic proficiency as defined in the qualification units. The assessment evaluates the candidate's skills, knowledge, and understanding against the set standards. Key details include:

Assessment Process:

- Must be conducted by an experienced and qualified assessor.
- Candidates compile a portfolio of evidence that satisfies all learning outcomes and assessment criteria for each unit.

Types of Evidence:

- Assignments, detailed research projects, or strategic reports.
- Professional discussions.
- Candidate-produced strategic work (e.g., policy drafts, financial models).
- Recognition of Prior Learning (RPL).

Learning Outcomes and Assessment Criteria:

- **Learning Outcomes:** Define what candidates should know, understand, or accomplish upon completing the unit.
- **Assessment Criteria:** Detail the standards candidates must meet to demonstrate that the learning outcomes have been achieved.

Unit Descriptors

M0007-01- Introduction to ISO Management System Audits

This unit introduces the fundamental principles of ISO management system audits, aligned with ISO 19011 guidelines. Learners will explore the distinct types of audits, including first, second, and third-party compliance assessments. It establishes the baseline knowledge required to understand audit lifecycles, standard terminologies, and the overarching purpose of compliance audits in driving organizational effectiveness and verifying integrated management system conformity.

Learning Outcome:

Assessment Criteria:

- | | |
|---|--|
| 1. Understand the purpose and importance of ISO management system audits. | <ul style="list-style-type: none">1.1 Explain the main purpose of conducting ISO management system audits within an organization, detailing how they provide confidence to stakeholders and help a business achieve its goals.1.2 Describe why continuous improvement is important in ISO management systems, explaining how audits help businesses investigate hidden problems and fix non-routine issues effectively.1.3 Investigate a given workplace scenario to identify the potential risks and negative impacts that could occur if an organization fails to conduct regular ISO audits.1.4 Explain the responsibility of an auditor to remain fair, objective, and independent, ensuring that all audit conclusions are based on practical investigation and clear evidence rather than personal assumptions. |
| 2. Identify different types of audits and their roles in compliance and improvement. | <ul style="list-style-type: none">2.1 Compare internal (first-party), supplier (second-party), and certification (third-party) audits, providing practical examples of the different situations in which an organization would use each type.2.2 Explain how different types of audits contribute to both meeting legal standards (compliance) and making organizational processes better (improvement), demonstrating an awareness of how different viewpoints help a business grow.2.3 Review a complex business scenario and select the most suitable type of audit to address the problem, clearly justifying why this specific method is the best choice to gather accurate information.2.4 Outline a practical plan for initiating a first-party internal audit to look into a specific, non-routine workplace issue, demonstrating that you can take responsibility for organizing the correct audit procedures. |

M0007-02- Audit Planning and Preparation Techniques

This unit equips learners with essential skills to strategically plan and prepare for effective audits. It covers defining audit scope, developing comprehensive schedules, and allocating appropriate resources. Learners will understand how to create detailed audit checklists, conduct preliminary document reviews, and establish clear communication channels with auditees, ensuring a structured, efficient, and well-organized approach prior to any formal on-site execution.

Learning Outcome:

Assessment Criteria:

1. Learn how to develop an audit plan that aligns with ISO requirements.

- 1.1 Explain the essential components that must be included in an audit plan to ensure it meets both the specific ISO standard requirements and the operational needs of the business.
- 1.2 Describe how to interpret existing workplace information, such as past audit results and current operating procedures, to decide which areas require the most focus when designing a new audit plan.
- 1.3 Develop a complete and structured audit plan for a given workplace scenario, selecting the appropriate methods, timings, and resources to handle tasks that may be complex or non-routine.
- 1.4 Review a drafted audit plan to check its effectiveness, and explain how you would take responsibility for communicating this plan and clearly guiding other team members before the audit begins.

2. Understand the key steps in preparing for an effective audit.

- 2.1 Explain the key practical steps required to prepare for an effective audit, including defining the scope, gathering the correct pre-audit documentation, and communicating clearly with the department being audited.
- 2.2 Describe how to design effective working documents, such as customized audit checklists and interview question guides, that will help investigate both simple and non-routine business activities.
- 2.3 Prepare a comprehensive set of working documents for a specific audit scenario, demonstrating the ability to select the right practical tools to gather accurate information during the site visit.
- 2.4 Take responsibility for initiating the audit preparation phase by establishing clear boundaries for the audit, organizing an initial schedule, and determining the exact resources needed to complete the task effectively.

M0007-03- Conducting ISO Audits and Reporting Findings

This unit focuses on the practical execution of audits and the documentation of findings. Learners will master evidence-gathering techniques, including advanced interviewing and workplace observation. It emphasizes evaluating non-conformities, grading audit findings, and drafting clear, objective, and actionable audit reports. Participants will learn to conduct formal opening and closing meetings, ensuring findings are communicated effectively to senior corporate management.

Learning Outcome:

Assessment Criteria:

1. Apply various audit techniques to assess compliance and identify gaps.

- 1.1 Explain a variety of practical audit techniques, such as staff interviews, workplace observation, and document review, detailing how each method helps to gather accurate evidence in different situations.
- 1.2 Describe how to interpret and evaluate the information collected during an audit to accurately decide whether the business is following ISO rules or if there are specific gaps in their daily processes.
- 1.3 Apply appropriate investigation methods to a given workplace scenario, actively using observation and questioning skills to identify both routine and non-routine compliance gaps within the business.
- 1.4 Demonstrate the ability to exercise judgement and autonomy during a practical audit exercise, adjusting your audit techniques effectively when faced with unexpected problems or incomplete information.

2. Develop skills in documenting audit findings and preparing detailed reports.

- 2.1 Explain the importance of accurately recording both positive achievements and areas of non-compliance, detailing how factual documentation helps the business understand and address its problems effectively.
- 2.2 Describe the key sections required in a comprehensive ISO audit report, explaining how to present complex or detailed information clearly so that management can easily understand the results.
- 2.3 Review a set of gathered audit evidence to identify specific failures, and write clear, practical statements of non-conformity that directly link the identified problem to the relevant ISO requirement.
- 2.4 Take responsibility for compiling a final, detailed audit report from start to finish based on a

realistic scenario, ensuring the conclusions provide clear guidance for the organization to improve its operations.

M0007-04- Risk-Based Auditing and Compliance Strategies

This unit explores the transition from traditional compliance checking to modern, risk-based auditing approaches. Learners will analyze how to integrate risk assessments into the audit lifecycle, prioritizing critical operational areas. It covers evaluating risk mitigation strategies and understanding Annex SL structures, enabling auditors to identify vulnerabilities and ensure management systems effectively address complex organizational risks and strict ongoing compliance obligations.

Learning Outcome:

Assessment Criteria:

1. Understand the principles of risk-based auditing and its impact on organisational performance.

- 1.1 Explain the core principles of risk-based auditing, detailing how focusing time and resources on high-risk areas helps an organization improve its overall performance and prevent major business failures.
- 1.2 Describe how different levels of risk impact daily business operations, and explain why an auditor must be aware of different perspectives when deciding what is considered a "high risk" across various departments.
- 1.3 Investigate a provided business scenario to identify areas of significant risk, and review how applying a risk-based audit approach would practically solve complex or non-routine problems within that organization.
- 1.4 Take responsibility for evaluating the overall risk landscape of a specific work area, clearly justifying why certain complex, high-risk issues require more immediate audit focus than standard, routine procedures.

2. Learn how to prioritise audit areas based on risk assessment techniques.

- 2.1 Explain different practical risk assessment techniques, such as using a basic risk matrix to measure the likelihood and impact of a problem, to determine which areas of the business need immediate auditing.
- 2.2 Describe how to interpret risk data to effectively prioritize audit tasks, ensuring that limited time and resources are directed toward the most complex and non-routine business processes first.
- 2.3 Select and use appropriate practical skills to conduct a clear risk assessment on a given workplace scenario, actively categorizing the findings into high, medium, and low priority areas for the upcoming audit.
- 2.4 Develop and review a prioritized audit schedule based on your own risk assessment findings,

demonstrating autonomy in deciding where the audit team should focus their efforts to address the most critical compliance gaps.

M0007-05- Corrective Actions and Continuous Improvement

This unit examines the crucial post-audit phase, focusing on corrective and preventive actions (CAPA). Learners will explore root cause analysis methodologies, such as the Five Whys and Fishbone diagrams, to address underlying systemic issues. It highlights the auditor's role in verifying the effectiveness of implemented corrective actions, ultimately driving continuous improvement, operational resilience, and long-term sustainability within the management system.

Learning Outcome:

Assessment Criteria:

1. Identify corrective actions to address audit findings and non-conformities.

- 1.1 Explain the critical difference between a simple correction (fixing the immediate issue) and a formal corrective action (eliminating the root cause), detailing why this approach is necessary to permanently resolve complex or non-routine problems.
- 1.2 Describe standard investigation methods, such as the "5 Whys" or fishbone diagrams, explaining how an auditor can use these tools to accurately interpret why a specific failure occurred in the workplace.
- 1.3 Review a detailed non-conformity report from a given workplace scenario, and select the most appropriate practical method to investigate and identify the true underlying root cause of the failure.
- 1.4 Take responsibility for developing a realistic and effective corrective action plan for an identified problem, ensuring your proposed solutions provide clear, practical guidance for the team members who will implement the changes.

2. Understand how audits contribute to continuous improvement within organisations.

- 2.1 Explain how the findings from an ISO audit actively drive the continuous improvement cycle within a business, detailing how learning from mistakes helps to make future work activities safer and more efficient.
- 2.2 Describe the procedures an organization must follow to review and verify the effectiveness of corrective actions, ensuring that the implemented changes have successfully stopped the original problem from returning.
- 2.3 Evaluate a summary of recent audit findings for a specific business area and propose a clear, practical strategy to improve a complex or poorly performing part of their management system.
- 2.4 Demonstrate the ability to exercise independent judgment by reviewing a recently closed

corrective action in a practical scenario, determining whether the fix was truly effective or if further investigation and action are still required.

M0007-06- Ethical Considerations and Auditor Responsibilities

This unit outlines the ethical framework and professional responsibilities required of an independent ISO auditor. Learners will examine core principles such as integrity, objectivity, confidentiality, and professional due care. It addresses how to navigate conflicts of interest, manage sensitive corporate information, and maintain impartial judgment, ensuring that all auditing activities uphold the highest standards of professional conduct and industry credibility.

Learning Outcome:

1. Recognise the ethical responsibilities of auditors in maintaining objectivity and integrity.

2. Learn the principles of effective communication and professionalism in auditing.

Assessment Criteria:

- 1.1 Explain the meaning of objectivity and integrity within an ISO audit, detailing why an auditor must always report factual evidence honestly without letting personal feelings or friendships affect their decisions.
- 1.2 Describe what a conflict of interest means during an audit, providing practical examples of non-routine situations where an auditor's fairness might be challenged and explaining how to handle them.
- 1.3 Review a given workplace scenario containing an ethical dilemma—such as being asked to hide a safety failure—and evaluate the situation to choose the correct, honest actions to resolve it.
- 1.4 Take responsibility for maintaining total confidentiality during a practical audit exercise, exercising independent judgment to ensure sensitive business information is protected from unauthorized people.
- 2.1 Explain the importance of using clear, polite, and professional communication during an audit, detailing how active listening and calm body language help to build trust with the staff members being interviewed.
- 2.2 Describe effective methods for managing difficult or tense communication situations, such as dealing with an uncooperative or defensive team member, while keeping the conversation focused purely on the facts.
- 2.3 Demonstrate effective verbal communication skills in a given practical audit scenario, using clear, simple questioning techniques to gather reliable evidence from staff while remaining neutral and professional.
- 2.4 Take responsibility for initiating and leading a professional audit meeting, such as a final closing meeting, to provide clear guidance and explain

the audit findings to the business team in a respectful and supportive way.

ICTQual AB

Yew Tree Avenue, Dagenham,

London East, United Kingdom RM10 7FN

+447441398083

support@ictqualab.co.uk | www.ictqualab.co.uk

VisitOfficialWebpage

