



RABQSA International

Training Course Certification Criteria

**36-Hour Quality Management System (QMS)
Lead Auditor Training Course**

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1. **GENERAL CRITERIA** Certification and maintenance of certification of an auditor training course depends on objective evidence of the following aspects of the course:
 - 1.1.1 The training provider shall establish, implement and maintain a documented quality management system (QMS) related to the administration and providing of courses that can be audited to ISO 9001;
 - 1.1.2 Content that covers, by explanation and examples, all topics required by RABQSA for the certified or applicant course;
 - 1.1.3 Detailed student individual learning objectives that specify the student performance required and the conditions under which student performance will be measured;
 - 1.1.4 The methods that will be used to measure student evaluation/examination, instructor performance and overall course performance;
 - 1.1.5 The criteria for selecting course instructors and the process for evaluation of their delivery of the course to students, both initially and on an ongoing basis.
- 1.2 This document is intended for use with the following IATCA documents:
 - Criteria for the Assessment of Training Providers and Training Courses
 - Criteria for Training Providers
- 1.3 No other course may be a part of the 36-hour course offering.
- 1.4 The achievement of certification and its continuance require that the training provider adhere to the criteria on which the certification is based, and conduct its training operation ethically. When there is evidence that this is not the case, RABQSA may initiate actions to suspend or withdraw (cancel) the certification granted.
- 1.5 RABQSA assures confidentiality of all materials provided and any other information or knowledge obtained during the course certification process, with the exception of non-proprietary contact information. RABQSA will safeguard against conflict of interest between training providers and evaluators.
- 1.6 Program fees and expenses related to course certification and maintenance of certification are the responsibility of the training provider.
2. **STUDENT PREREQUISITES** Each student shall be required to have studied the current published version of ISO 9001 prior to attending the course.

Note: A series of questions to be answered by the student and turned in prior to or at the beginning of the course is recommended to demonstrate that the ISO 9001 standard was studied.



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- 3. LEARNING OBJECTIVES** This course shall provide for the training of auditors in the principles and practices of QMS auditing as it relates to the ISO 9000 series standards and ISO 19011. Auditor training shall be based upon the most current revision of ISO 9001 and ISO 19011.
- 3.2 The course shall include reference to the following ISO documents (the contents of which are not required to be covered in the course):
- ISO Guide 62
 - ISO/TC 176/SC 2/N524 – Product Introduction Package: Module – Guidance on ISO 9001:2000 clause 1.2 ‘Application’
- 3.3 **Standards:** A student who successfully completes the course shall be able to:
- 3.3.1 Explain the purpose and intent of the ISO 9000 series of standards, how they relate to each other, the concept of the “consistent pair” of standards as applied to ISO 9001 and ISO 9004 and the terminology used in ISO 9000;
- 3.3.2 Describe the continuing process of development of the ISO 9000 Series and ISO 19011, the impact that these developments may have on the audit process, and the need for auditors to keep up to date;
- 3.3.3 Describe the eight Quality Management Principles and how they relate to ISO 9001;
- 3.3.4 Explain the intent and requirement of each clause of ISO 9001;
- 3.3.5 Describe the documentation required by ISO 9001 and the interrelationships between the quality manual, procedures, quality planning, policy and objectives;
- 3.3.6 Identify the audit evidence needed to demonstrate conformity to the requirements of ISO 9001;
- 3.3.7 Evaluate the effectiveness of an entire quality management system, including process, customer focus and continual improvement;
- 3.3.8 Evaluate the differing requirements for documentation in a variety of situations and understand the difference between documents and records;
- 3.3.9 Describe the difference between legal compliance and conformity with ISO standards, and the significance of these terms when conducting audits;
- 3.3.10 Describe how the product realization processes and supporting activities can be evaluated effectively in order to verify the degree of conformity and effectiveness of those activities;
- 3.3.11 Explain the concept of process-based activities and associated inputs, outputs, controls and resources;
- 3.3.12 Explain the importance of management commitment to the QMS;

- 3.3.13 Describe the purpose and intent of management review, internal quality auditing and monitoring of the QMS.
- 3.4 **Audit Process and Responsibilities:** A student who successfully completes the course shall be able to:
 - 3.4.1 Describe the systems of certified registration and the differing functions of the accreditation bodies, registrars, auditor certification bodies and training course approval bodies;
 - 3.4.2 Describe the process of registration of an organization's QMS;
 - 3.4.3 Describe the requirements of the current revision of ISO 19011 as applicable to the audit process;
 - 3.4.4 Describe the function of first, second and third party audits, the similarities and differences, and the varying roles and responsibilities of the auditor, the auditee and the client of the audit in each of these activities;
 - 3.4.5 Explain the need for auditors to be sensitive to local customs and to obey any rules and regulations of auditees, especially where issues of health and safety are involved;
 - 3.4.6 Explain the need for confidentiality during all phases of the audit process;
 - 3.4.7 Describe and undertake the roles and responsibilities of an auditor and of an audit team leader during the audit process;
 - 3.4.8 Understand the RABQSA certification criteria for QMS auditors;
 - 3.4.9 Understand the RABQSA Auditors' Code of Conduct.
- 3.5 **Planning the Audit:** A student who successfully completes the course shall be able to:
 - 3.5.1 Plan and organize all aspects of an audit, including document reviews, in accordance with ISO 19011;
 - 3.5.2 Explain the importance of scope in relation to: the accreditation scope of registrars; the structure and content of the auditee's QMS including the concept of application of requirements (exclusions), an audit plan, and the selection of audit team members;
 - 3.5.3 Explain the purpose of pre-audit visits and how to evaluate the need for such visits;
 - 3.5.4 Determine the pre-audit information required to effectively plan the duration and the resources required to conduct an audit;
 - 3.5.5 Produce checklists based on process analysis for use during an audit;
 - 3.5.6 Describe the benefits and risks of the use of checklists during audits.

- 3.6 **Performing the Audit:** A student who successfully completes the course shall be able to:
- 3.6.1 Perform all aspects of an audit of a process in accordance with ISO 19011;
 - 3.6.2 Manage audit opening and closing meetings and understand the purpose of holding interim meetings with the auditee during the audit in accordance with ISO 19011;
 - 3.6.3 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question;
 - 3.6.4 Take sufficient notes during the process to provide audit evidence of system conformity as well as nonconformity with the audit criteria;
 - 3.6.5 Explain the risks and benefits of sampling during audits;
 - 3.6.6 Collect and analyze evidence during the audit, relate specific audit evidence to the appropriate requirements of the standard and the QMS, and objectively review the evidence collected.
- 3.7 **Reporting and Following Up the Audit:** A student who successfully completes the course shall be able to:
- 3.7.1 Summarize, record and present the results of an audit and demonstrate the ability to produce clear and concise reports based on the audit evidence obtained;
 - 3.7.2 Evaluate evidence collected during the audit and prepare reports of conformity and nonconformity to the audit criteria;
 - 3.7.3 Evaluate the significance of nonconformities recorded during the audit and grade them in accordance with the definitions in the audit program (for example: major, minor, observation, etc.). For the purposes of evaluating student competency, the definitions taught during the course shall be used;
 - 3.7.4 Evaluate proposals for corrective and preventive actions prepared by the auditee in response to nonconformities recorded during an audit; evaluate the implementation and effectiveness of corrective actions taken, and evaluate the implementation and effectiveness of preventive actions taken; differentiate between corrective and preventive action;
 - 3.7.5 Make recommendations on the acceptability of a management system for registration based on audit evidence obtained during the audit;
 - 3.7.6 Describe the roles and responsibilities of the auditor and the auditee at all stages of the corrective action process;
 - 3.7.7 Explain the purpose of ongoing surveillance audits.

4. COURSE CONTENT

- 4.1 Early in the course presentation, the training provider shall provide to the students a description of the course format, student responsibilities, how the student will be evaluated, and the basis for each type of evaluation.
- 4.2 The course shall cover:
- a) all aspects defined under Learning Objectives; and
 - b) local requirements, culture, practices or approaches to auditing and the application of ISO 9001, as appropriate.

5. COURSE STRUCTURE, TRAINING METHODS AND FACILITIES

5.1 Duration The total course time devoted to direct instruction and to assigned team and individual activities shall be at least 36 hours plus an additional two hours for examination.

- 5.1.2 If the course is given through interpreters, this time shall be increased as required to meet the learning objectives.
- 5.1.3 Time devoted to the examination and to meals, breaks or other free time shall not be included in the calculation of the course duration.
- 5.1.4 The course shall be presented during five consecutive days, unless otherwise authorized by RABQSA (see Section 7).

5.2 Training methods

- 5.2.1 Training courses shall be designed to have a high degree of interaction between students and instructors. Training methods shall be designed to involve and engage students throughout the duration of the course.
- 5.2.2 The training course shall include both knowledge-based sessions (to facilitate understanding of concepts) and skill-based sessions (application of knowledge and skills in practical activities) and each student shall be subjected to realistic quality management system audit practices and conditions.
- 5.2.3 Methods for validating student achievement of the learning objectives and for providing timely feedback shall be included in the course.
- 5.2.4 Each student shall actively participate in practical skills-based activities (workshops, case studies, auditor role playing and/or actual quality management system audit situations) as part of the structured class activities. At least 50% of the total course time shall be used for such activities. In actual audit situations, transit time to and from the audit site and any delay time is not to be counted in the course duration.
- 5.2.5 Any case studies shall be designed to cover the important aspects of the standard. If a course is advertised as being industry/sector-specific, the case studies shall relate to that sector (see Section 11).
- 5.2.6 Training aids, such as commercial training videos, videos produced during the course to record and review the performance of student, CDs or interactive training tools that are

directly relevant may be used to supplement the training by the instructors. No more than 10% of the total course time may be devoted to commercial training aids.

5.2.7 Instructors shall demonstrate effective management of the course, including attention to time schedule, course content, requirements of the standard, instructor conduct, and other course requirements.

5.3 Class Size; Attendance 5.3.1 The number of students in a class shall be no greater than 20, nor fewer than four.

5.3.2 Under rare and exceptional circumstances, a course offering for fewer than four students or greater than 20 students may be considered for approval in accordance with Section 7.

5.3.3 Students shall be required to be in attendance for the full duration of the course. Failure to do so shall be reflected in the student's continual and final evaluations.

5.4 Number of Instructors Each course offering for 11 or more students shall be presented by two instructors, who shall be actively involved in either instruction or evaluation for the full duration of the course. Additional resource people or trainee instructors may be used for specific subjects or activities; however, the two instructors remain responsible for the entire course offering.

5.4.2 When the number of students is four to 10, the course may be presented by one instructor.

5.4.3 When specific activities (for example; written quizzes or preparation of checklists) involve neither direct instruction nor evaluation, and do not require the availability of the instructors for explanation, clarification, or counsel, only one instructor needs to be present. At least one instructor shall be available to all students during team and individual activities, even if these activities are outside normal class hours.

5.4.4 At least one instructor shall be present during the exam to assure good examination practice.

5.5 Course Materials Each student shall be provided with a complete set of course notes to supplement the training program.

5.5.2 The documents included in the course notes shall themselves illustrate good organization, layout and document management practices, including document revision level and appropriate page numbering.

5.5.3 The set of course notes shall prominently identify the approved training provider (for example; on the cover page).

5.5.4 The notes shall cover each session and shall include all important points of the element being covered.

5.5.5 Examples of typical documents, reports and forms shall be included.

- 5.5.6 Course notes may include typical examination questions, provided they are not used in any of the examinations, either during the course or following the course.
- 5.5.7 Each student shall have a copy of the current published version of ISO 9001. If the ISO 9001 standard is not supplied as part of the course notes, each student shall be required to take a copy to the course. A copy shall be made available for loan to any student who does not have one.
- 5.5.8 Instructor materials shall contain sufficient information to ensure consistency of meeting the learning objectives among varying instructors.
- 5.6 Facilities** The training provider shall see that suitable facilities for training are provided, including classroom, audio-visual and other training equipment, and facilities for team activities.
- 5.6.2 Suitable meal and break arrangements must be planned in advance and communicated to students in literature related to the course presentation.
- 5.6.3 The training provider shall encourage students to be resident at or near the location of the course offering, since this enhances participation in team activities and student contact with the instructors outside the structured class setting.
- 6. EVALUATION OF STUDENTS** Each student shall be evaluated using the following two independent elements, both of which shall be satisfied if the student is to successfully complete the course:
- ◆ The continual evaluation by the instructors of each student's achievement of the Learning Objectives detailed in Section 3 above; and
 - ◆ A written examination, that tests students' ability to apply audit principles and practices against the requirements of ISO 9001.
- 6.0.2 Each student shall be informed of the exam format, grading procedure, continual evaluation, and the pass/fail criteria at or prior to the beginning of the course.
- 6.1 Continual Evaluation**
- 6.1.1 The continual evaluation shall be documented and shall evaluate each student's:
- a) achievement of the learning objectives to include, but not be limited to, the following learning objectives: 3.3.6, 3.5.1, 3.6.1, 3.6.3, 3.7.1;
 - b) attendance and punctuality during the course.
- 6.1.2 Each student's performance shall be reviewed at the end of each day by the instructor(s). A daily grade shall be assigned for each student, reflecting the assessment of both instructors.
- 6.1.3 Course instructors shall identify students who appear to be having difficulty achieving the learning objectives or who are not performing adequately in course activities. Such

students shall be informed privately and in a timely manner of the instructor's observations and shall be given the opportunity to improve.

6.1.4 A student who fails the continual evaluation must satisfactorily complete another full training course before being eligible to receive a certificate of successful completion.

6.2 Written Examination The written examination shall evaluate the students' comprehension of the audit process and the application of ISO 9001, and their ability to provide written justification of their evaluations.

6.2.2 The examination shall be designed so that a competent student (i.e., one who has demonstrated achievement of the learning objectives) could achieve a minimum mark of 70% in two hours.

6.2.3 The time allotted for taking the examination shall be two hours. Strict adherence to the time limit shall be maintained.

6.2.4 The instructor(s) may allow a student whose primary language is not the language in which the course is conducted up to 30 minutes additional time for taking the written examination. The student may use an appropriate two-language dictionary. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.

6.2.5 The instructor(s) may allow a student with a particular disability that adversely affects the student's capability to complete the examination in the allotted time up to 30 minutes additional time for taking the written examination. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.

6.2.6 At least 75% of the examination grade shall be based on questions that require essay responses that test the students' comprehension of the audit process and the application of ISO 9001, and their ability to provide written justifications of their evaluations.

6.2.7 The remainder of the examination grade shall be based on multiple choice, true/false and/or short answer questions.

6.2.8 The minimum passing grade shall be 70%.

6.2.9 The only reference materials allowed during the examination are a copy of the ISO 9001 standard, the course notes provided by the training provider and any personal notes made by the student during the course.

6.2.10 Copies of examination questions (other than those in an example examination paper), examination papers, solutions or completed examination papers shall not be supplied to any student or any other party (except to the approval body) for any reason.

6.3 Grading; Pass/Fail Decisions Each examination paper shall be graded by one of the instructors. Another instructor shall check the addition of the score allocated in each section and re-grade all examination papers with scores between 60 and 75 percent.



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- 6.3.2 Results of the continual evaluation along with the examination grade shall be considered and a final pass/fail mark shall be issued for the class records.
- 6.3.3 The training provider shall have procedures to resolve any differences in grading and to issue final grades.
- 6.3.4 If the course is given through interpreters, the translators who translate the students' written examinations shall be selected by the training provider in such a way that the training provider is confident that they provide impartial, knowledgeable, and accurate translations.

6.4 Re-examination A student who fails the written examination but has passed the continual evaluation shall be allowed one re-examination.

- 6.4.2 The re-examination shall be administered within 12 months after the date of the initial examination.
- 6.4.3 The same training provider with whom the student took the course and the (failed) examination shall conduct the re-examination.
- 6.4.4 A different examination paper shall be used for the re-examination.
- 6.4.5 The re-examination shall be taken in the presence of an approved instructor or other agent of the training provider, as described in the training provider's procedures.
- 6.4.6 If the student fails the re-examination, he or she must again take the complete training course before being eligible to take another examination.
- 6.4.7 A student who has not satisfactorily completed the continual evaluation is not eligible for re-examination. He or she must again take the complete training course before being eligible to take another examination.

7. VARIATIONS

- 7.1 Variations to any of these criteria shall be considered for approval upon written submission by the training provider to RABQSA. Any such request shall be made immediately upon the reason for the variation request becoming known. RABQSA shall respond in writing.
- 7.2 When evaluating a request for variance, RABQSA shall take into account the training provider's:
 - a) reasons for the requested variance;
 - b) rationale for the requested variance;
 - c) modified training plan and/or revised course outline; and
 - d) assessment of impact on the learning process.

8. COURSE PUBLICITY AND ADVERTISING Advertising of a 36-Hour Lead Auditor training course certified by RABQSA and any literature related to the course shall make it



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clear that the certificate of "Successful Completion" satisfies the training requirement for individual QMS auditor certification by RABQSA.

- 8.2 The following wording (or other very similar wording that has been approved by RABQSA) shall be used:

“This course is certified by RABQSA and meets the training portion of the requirements for certification of individual QMS Auditors.”

Note: The word “certified” shall be used. Any words that may imply RABQSA sponsorship of the course shall not be used.

- 8.3 The training provider’s name shall appear in all promotional materials exactly as it appears on the certification certificate when the RABQSA name and/or logo appear.
- 8.4 No RABQSA-certified course shall be subcontracted and/or licensed to a second organization or training provider. A training provider may, however, contract with another organization to make arrangements such as marketing and/or hotel accommodations for an offering.
- 8.5 If any promotional materials are being contracted through another organization, that organization may be referenced provided the identity of the certified training provider is readily evident. Such materials shall use the wording “this course is being presented in conjunction with (the RABQSA-certified training provider)” or other similar wording that has been approved by RABQSA.
- 8.6 It shall remain the responsibility of the certified training provider to ensure that all contracted materials and/or activities continually conform with all requirements of the training provider and of RABQSA.

9. USE AND MISUSE OF CERTIFICATES AND LOGOS

- 9.1 The training provider shall exercise proper control over use and display of the RABQSA certification logo.
- 9.2 The training provider shall take suitable action to deal with incorrect references to its certification or certification status or misleading use of the RABQSA certification logo in advertisements, catalogs, etc.
- 9.3 The training provider shall not make statements in advertisements, catalogs, certificates, etc., that could serve to undermine the reputation of the RABQSA programs. Any and all violations shall be subject to suitable actions. Suitable actions may include, but are not limited to, corrective action, suspension, or withdrawal of RABQSA course certification and, if necessary, legal action.
- 9.4 In addition to the above, misuse of the RABQSA name and/or logo by a training provider that has not submitted a course for certification or has not yet received certification will jeopardize its current submission or any future attempt to seek RABQSA certification.

- 10. INDUSTRY- OR SECTOR-SPECIFIC COURSES** If a course is advertised as being industry- or sector-specific, the case studies shall relate to that industry/sector.



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- 10.2 This document describes the course content required to be taught in 36 hours for a Lead Auditor course (Section 3). If a training provider chooses to include additional industry/sector-specific requirements, the course shall allow additional time for these requirements to be covered.
- 10.3 Courses shall be advertised as an RABQSA-certified Lead Auditor Course. Any reference to a Lead Auditor course containing industry- or sector-specific requirements shall be submitted to RABQSA for approval prior to implementation.
- 10.4 The RABQSA office shall be informed, in writing, of any planned changes to the course, examination content or technique, and/or administration prior to implementation. This includes changes made to include industry- or sector-specific requirements and/or examples.
- 10.5 RABQSA shall require a desk audit of the course materials and/or a site visit to observe the industry- or sector-specific courses.
- 10.6 Industry/Sector-specific courses shall be included in the normal schedule for course surveillance and shall be included in the calculation of annual fees.

End of Criteria