



RABQSA International

Training Course Certification Criteria

**QMS Auditor Training
Course for EMS-Experienced Auditors**

**RABQSA TP9.EQMS
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1. **GENERAL CRITERIA** 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 application received or certification granted.
- 1.2 This document is intended for use with the following IATCA documents (available through RABQSA), the requirements of which are incorporated by reference herein:
 - a. Criteria for the Assessment of Training Providers and the Training Courses (IATCA-PL-01-011)
 - b. Criteria for Training Providers (IATCA-PL-01-012)
- 1.3 This course is intended for auditors who have demonstrated competence in the generic knowledge and skills and environmental-specific knowledge and skills as identified in Clause 7 of ISO 19011:2002 (or the current version). It is not intended as a course for inexperienced auditors (See Clause 3.1.2).
- 1.4 No other course (e.g., internal auditor) may be included within offerings of this training course.
- 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.
- 1.6 RABQSA will safeguard against conflict of interest between training providers and evaluators.
- 1.7 Program fees and expenses related to course certification and maintenance of certification are the responsibility of the training provider.

2. COURSE CONTENT

2.1 General

- 2.1.1 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. ISO 19011 shall be the guidance document for auditing principles and practices. Auditor training shall be based upon the most current version of ISO 9001 and ISO 19011.
- 2.1.2 The students' achievement of the learning objectives shall be measured by the training organization.
- 2.1.3 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.

2.1.4 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’

2.2 Learning Objectives

A student who successfully completes the course shall be able to:

- 2.2.1 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.
- 2.2.2 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.
- 2.2.3 Describe the eight Quality Management Principles and how they relate to ISO 9001.
- 2.2.4 Explain the intent and requirement of each clause of ISO 9001.
- 2.2.5 Describe the documentation required by ISO 9001 and the interrelationships between the quality manual, procedures, quality planning, policy and objectives.
- 2.2.6 Identify the audit evidence needed to demonstrate conformity to the requirements of ISO 9001.
- 2.2.7 Evaluate the effectiveness of an entire quality management system, including process, customer focus and continual improvement.
- 2.2.8 Evaluate the differing requirements for documentation in a variety of situations and understand the difference between documents and records.
- 2.2.9 Describe the difference between legal compliance and conformity with ISO standards, and the significance of these terms when conducting audits.
- 2.2.10 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.
- 2.2.11 Explain the concept of process-based activities and associated inputs, outputs, controls and resources.
- 2.2.12 Explain the importance of management commitment to the QMS.
- 2.2.13 Describe the purpose and intent of management review, internal quality auditing and monitoring of the QMS.



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- 2.2.14 Describe the systems of certified registration and the differing functions of the accreditation bodies, registrars, auditor certification bodies and training course approval bodies.
- 2.2.15 Describe the process of registration of an organization's QMS.
- 2.2.16 Describe auditing the process approach as it applies to the QMS and the QMS audit process as defined in the current revision of ISO 19011.
- 2.2.17 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.
- 2.2.18 Relate specific audit evidence to the appropriate requirements of the standard and the QMS.
- 2.2.19 Describe QMS-specific knowledge and skills as described in ISO 19011.
- 2.2.20 Understand the RABQSA certification criteria for QMS auditors and the RABQSA Auditors' Code of Conduct.

3. COURSE STRUCTURE, TRAINING METHODS AND FACILITIES Course Pre-requisites

- 3.1.1 Each student shall be required to have studied the current published version of ISO 9001 prior to attending the course.
- 3.1.2 Each student should have competence in the generic knowledge and skills and environmental-specific knowledge and skills as identified in Clause 7 of ISO 19011. Each student should have successfully completed an EMS Lead Auditor Course prior to attending the course.
- 3.1.3 The training provider shall develop procedures to ensure that potential students are advised of the prerequisites.

3.2 Course Duration

- 3.2.1 The total course time devoted to direct instruction and to assigned team and individual activities shall be at least 24 hours plus an additional one hour for examination.
- 3.2.2 Time devoted to the examination and to meals, breaks or other free time shall not be included in the calculation of the course duration.
- 3.2.3 If the course is given through interpreters, this time shall be increased as required to meet the learning objectives.
- 3.2.4 The course shall be presented during three consecutive days, unless otherwise authorized by RABQSA (see Section 5).

3.3 Training methods

- 3.3.1 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.
- 3.3.2 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.
- 3.3.3 Methods for validating student achievement of the learning objectives and for providing timely feedback shall be included in the course.
- 3.3.4 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.
- 3.3.5 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).
- 3.3.6 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.
- 3.3.7 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.
- 3.4 Class Size; Attendance** The number of students in a class shall be no greater than 20, nor fewer than four.
- 3.4.2 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 5.
- 3.4.3 Students shall be required to be in attendance for the full duration of the course. Failure to do so shall be reflected in the students continual and final evaluations.
- 3.4.4 The training provider shall establish a policy for student attendance and that policy shall be communicated to the students at and/or prior to the beginning of the course.
- 3.5 Number of Instructors**
- 3.5.1 Each course offering shall be presented by at least one instructor, who shall be actively involved in instruction and evaluation for the full course duration. Additional resource people or trainee instructors may be used for specific subjects or activities; however, the instructor remains responsible for the entire course offering.

- 3.5.2 When course activities (for example, written quizzes or preparation of checklists) involve neither direct instruction nor evaluation, the instructor shall be present. The instructor shall be available to all students during team and individual activities, even if these activities are outside normal class hours.
- 3.5.3 The instructor shall be present during the entire exam to assure good examination practice. A proctor may be used under exceptional circumstances, and/or for a re-examination (see Section 4.4).
- 3.6 Course Materials** Each student shall be provided with a complete set of course notes to supplement the training program.
- 3.6.2 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.
- 3.6.3 The set of course notes shall prominently identify the approved training provider (for example; on the cover page).
- 3.6.4 The notes shall cover each session and shall include all important points of the element being covered.
- 3.6.5 Examples of typical documents, reports and forms shall be included.
- 3.6.6 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.
- 3.6.7 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.
- 3.6.8 Instructor materials shall contain sufficient information to ensure consistency of meeting the learning objectives among varying instructors.
- 3.7 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.
- 3.7.2 Suitable meal and break arrangements must be planned in advance and communicated to students in literature related to the course presentation.
- 3.7.3 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.

4 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 2 above; and
- ◆ A written examination, that tests students' ability to apply audit principles and practices defined by ISO 19011 against the requirements of ISO 9001.

4.0.2 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.

4.1 Continual Evaluation

4.1.1 The continual evaluation shall be documented and shall evaluate each student's:

- a) achievement of the learning objectives through various activities (e.g., presentations case studies, audit exercise, group discussions, etc.);
- b) attendance and punctuality during the course.

4.1.2 Every 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.

4.1.3 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.

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

4.2 Written Examination The written examination shall evaluate the students' comprehension of the audit process defined by ISO 19011 and the application of ISO 9001, and their ability to provide written justification of their evaluations.

4.2.2 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 one hour.

4.2.3 The time allotted for taking the examination shall be one hour. Strict adherence to the time limit shall be maintained.

4.2.4 The instructor(s) may allow a student whose primary language is not the language in which the course is conducted up to 15 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.

- 4.2.5 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 15 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.
- 4.2.6 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 defined by ISO 19011 and the application of ISO 9001, and their ability to provide written justifications of their evaluations.
- 4.2.7 The remainder of the examination grade shall be based on multiple choice, true/false and/or short answer questions.
- 4.2.8 The minimum passing grade shall be 70%.
- 4.2.9 The only reference materials allowed during the examination (except as noted in 4.2.4 above) 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.
- 4.2.10 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.
- 4.3 Grading; Pass/Fail Decisions** Each examination paper shall be graded by the instructor. 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.
- 4.3.2 The training provider shall have procedures to resolve any differences in grading and to issue final grades.
- 4.3.3 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.
- 4.3.4 In order to pass the course, a student must receive a minimum grade of 70% on both the continual evaluation and the written examination.
- 4.3.5 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.
- 4.4 Re-examination** A student who fails the written examination but has passed the continual evaluation shall be allowed one re-examination within twelve months of the last day of the course.
- 4.4.2 The re-examination shall normally be conducted by the same training provider that conducted the (failed) examination.



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- 4.4.3 If RABQSA gives its approval, a different body may conduct the re-examination. This should be submitted to RABQSA as a variation request that shall only be granted where RABQSA is confident that the examination will be administered according to the requirements in Section 4.2 above.
- 4.4.4 A different examination paper (meeting the requirements of Section 4.2) shall be used for the re-examination.
- 4.4.5 The re-examination shall be taken in the presence of an approved proctor, as described in the training provider's procedures.
- 4.4.6 A student who fails the re-examination must take a full training course again before being eligible to take another examination.

5. VARIATIONS

- 5.1 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.
- 5.2 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.

6. COURSE PUBLICITY AND ADVERTISING

Advertising of a QMS Auditor Training Course for EMS-Experienced Auditors shall ensure that it is sufficiently distinguished from other QMS auditor training courses. Advertising shall include a description of the prerequisite requirements as described in Section 3.1.

- 6.2 Advertising of a QMS Auditor Training Course for EMS-Experienced Auditors certified by RABQSA and any literature related to the course shall make it clear that the certificate of "Successful Completion" satisfies a portion of the training requirement for individual QMS auditor certification by RABQSA.
- 6.3 The following wording (or other very similar wording that has been approved by RABQSA) shall be used:

"This course is certified by RABQSA and, in conjunction with successful completion of a EMS lead auditor course, 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.



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- 6.4 The training provider's name shall appear in all promotional materials as it appears on the certification certificate when the RABQSA name and/or logo appear.
- 6.5 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.
- 6.6 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.
- 6.7 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.
- 7. USE AND MISUSE OF CERTIFICATES AND LOGOS**
- 7.1 The training provider shall exercise proper control over use and display of the RABQSA certification logo.
- 7.2 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.
- 7.3 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.
- 7.4 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.
- 8. 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.
- 8.2 This document describes the course content required to be taught in 24 hours (Section 2). If a training provider chooses to include additional industry/sector-specific requirements, the course shall allow additional time for these requirements to be covered.
- 8.3 Courses shall be advertised as an RABQSA-certified QMS Auditor Course for EMS-Experienced Auditors. Any reference to an RABQSA-certified course containing industry- or sector-specific requirements shall be submitted to RABQSA for approval prior to implementation.



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- 8.4 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.
- 8.5 RABQSA shall require a desk audit of the course materials and/or a site visit to observe the industry- or sector-specific courses.
- 8.6 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