



RABQSA International

Training Course Certification Criteria

**Quality Management System (QMS)
Internal Auditor Training Course**

RABQSA TP5.INTRNL

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1. GENERAL CRITERIA

- 1.1 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 TCD62 Training Provider Administrative Requirements, and RABQSA Advisories and Technical Advisory Notices.
- 1.3 No other course may be a part of the QMS internal auditor course, nor may the QMS internal auditor course be a part of any other course.
- 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. LEARNING OBJECTIVES

- 2.1 This course shall provide for the training of internal auditors in the principles and practices of QMS auditing of quality management systems 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.

- 2.2 The course shall include reference to the following ISO documents (the contents of which are not required to be covered in the course):
 - a. ISO/IEC 17021
 - b. ISO/TC 176/SC 2/N524 – Product Introduction Package: Module – Guidance on ISO 9001 clause 1.2 ‘Application’
- 2.3 Training shall be provided in the methods for assuring the conformity of the organization’s QMS to the requirements of ISO 9001. This training shall also include methods for assuring the organization’s conformity to the provisions of QMS documentation (Quality Manual, System Procedures, Work Instructions, etc.).
- 2.4 A student who successfully completes the course shall be able to:
 - 2.4.1 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;
 - 2.4.2 Describe the requirements of the current revision of ISO 19011 as applicable to the audit process;
 - 2.4.3 Describe the eight Quality Management Principles and how they relate to ISO 9001;
 - 2.4.4 Explain the intent and requirement of each clause of ISO 9001;
 - 2.4.5 Evaluate the effectiveness of an entire quality management system, including process, customer focus and continual improvement;
 - 2.4.6 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;
 - 2.4.7 Explain the concept of process-based activities and associated inputs, outputs, controls and resources;
 - 2.4.8 Explain the importance of management commitment to the QMS;
 - 2.4.9 Understand the different objectives of first, second and third party audits, and the criteria that may be relevant to each type of audit;
 - 2.4.10 Describe the difference between legal compliance and conformity with ISO standards, and the significance of these terms when conducting audits;
 - 2.4.11 Understand the need for independence of the auditor from the work being audited;
 - 2.4.12 Explain the importance of scope in relation to: the structure and content of the auditee’s QMS, including the concept of application of requirements (exclusions), and the performance of an internal audit (e.g., auditing by department or by process across department boundaries);

- 2.4.13 Explain the importance of internal audits related to the process of registering an organization's quality management system;
- 2.4.14 Plan and organize all aspects of an audit, including document reviews, in accordance with ISO 19011;
- 2.4.15 Determine the pre-audit information required to effectively plan the duration and the resources required to conduct an audit;
- 2.4.16 Determine an audit schedule based upon past audit experience and degree of importance based upon the type of business;
- 2.4.17 Produce checklists based on process analysis for use during an audit;
- 2.4.18 Describe the benefits and risks of the use of checklists during audits;
- 2.4.19 Perform all aspects of an audit of a process in accordance with ISO 19011;
- 2.4.20 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;
- 2.4.21 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question;
- 2.4.22 Take sufficient notes during the process to provide audit evidence of system conformity as well as nonconformity with the audit criteria;
- 2.4.23 Explain the risks and benefits of sampling during audits;
- 2.4.24 Describe how to establish an audit path or trail and when to deviate;
- 2.4.25 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;
- 2.4.26 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;
- 2.4.27 Evaluate evidence collected during the audit and prepare reports of conformity and nonconformity to the audit criteria;
- 2.4.28 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;
- 2.4.29 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;

2.4.30 Make recommendations on the acceptability of a management system for registration based on audit evidence obtained during the audit;

2.4.31 Describe the roles and responsibilities of the auditor and the auditee at all stages of the corrective action process;

2.4.32 Describe and undertake the roles and responsibilities of an auditor and of an audit team leader during the audit process;

2.4.33 Understand the RABQSA certification criteria for QMS internal auditors;

2.4.34 Understand the RABQSA Auditors' Code of Conduct.

3. COURSE CONTENT

3.1 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.

3.2 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.

4. COURSE STRUCTURE, TRAINING METHODS AND FACILITIES

4.1 Duration

4.1.1 The total course time devoted to direct instruction and to assigned team and individual activities shall be at least 23 hours plus at least one hour additional for examination.

4.1.2 If the course is given through interpreters, this time shall be increased as required to meet the learning objectives.

4.1.3 Time devoted to meals, breaks, or other free time shall not be included in the calculation of the course duration.

4.1.4 The course shall be presented during three consecutive days, unless otherwise authorized by RABQSA (see Section 6).

4.2 Training methods

4.2.1 Training courses shall be designed to have a high degree of interaction between students and the instructor. Training methods shall seek to involve and engage students throughout the duration of the course.

4.2.2 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.

- 4.2.3 Methods for validating student achievement of the learning objectives and for providing timely feedback shall be included in the course.
- 4.2.4 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.
- 4.2.5 Any case studies shall be designed to cover the important aspects of the standard. If a course is advertised as being industry/sector specific, then the case studies shall relate to that sector (see Section 10).
- 4.2.6 When students participate in actual audit situations, transit time to and from the audit site and delay time is not to be counted.
- 4.2.7 Training aids, such as commercial training videos, videos produced during the course to record and review the performance of students, 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.
- 4.2.8 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.

4.3 Class Size; Attendance

- 4.3.1 The number of students in a class shall be no greater than 20, nor fewer than four.
- 4.3.2 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 6.
- 4.3.3 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.

4.4 Number of Instructors

- 4.4.1 Each course offering shall be presented by at least one instructor, who shall be actively involved in the instruction and evaluation for the full duration of the course. Additional resource people or trainee instructors may be used for specific subjects or activities; however, the one instructor remains responsible for the entire course offering.
- 4.4.2 When activities (for example; written quizzes or preparation of checklists) involve neither direct instruction nor evaluation, the instructor shall be available to all students, even if these activities are outside normal class hours.

4.4.3 The instructor shall be present during the entire exam to assure good examination practice.

4.5 Course Materials

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

4.5.2 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.

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

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

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

4.5.6 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.

4.5.7 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.

4.5.8 Instructor materials shall contain sufficient information to ensure consistency of meeting the learning objectives among varying instructors.

4.6 Facilities

4.6.1 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.

4.6.2 Suitable meal and break arrangements must be planned in advance and communicated to students in literature related to the course presentation.

5. EVALUATION OF STUDENTS

5.0.1 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:

- a. The continual evaluation by the instructors of each student's achievement of the Learning Objectives detailed in Section 2 above; and
- b. A written examination, that tests students' ability to apply audit principles and practices against the requirements of ISO 9001.

5.0.2 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.

5.1 Continual Evaluation

- 5.1.1 The continual evaluation shall be documented and shall evaluate each student's:
 - a) achievement of the learning objectives;
 - b) attendance and punctuality during the course.
- 5.1.2 Each student's performance shall be reviewed at the end of each day by the instructor. A daily grade shall be assigned for each student.
- 5.1.3 The course instructor shall identify students who appear to be having difficulty in 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.
- 5.1.4 A student who fails the continual evaluation must satisfactorily complete another full training course before being eligible to receive a certificate of successful completion.

5.2 Written Examination

- 5.2.1 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.
- 5.2.2 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.
- 5.2.3 The maximum time allowed for the examination to be completed is two hours. Strict adherence to the time limit shall be maintained.
- 5.2.4 The instructor 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.
- 5.2.5 The instructor 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.
- 5.2.6 The examination grade shall be based on multiple choice, true/false and/or short answer (50% minimum short answer/50% maximum true/false and/or multiple choice) questions that test the student's comprehension of the audit process and the application of ISO 9001, and their ability to provide justification of their evaluation. The exam must include the writing of a nonconformity.
- 5.2.7 The minimum passing grade shall be 70%.

5.2.8 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.

5.2.9 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.

5.3 Grading; Pass/Fail Decisions

5.3.1 The instructor shall review the written examinations and the continual evaluations, and issue final evaluation, along with pass/fail decisions.

5.3.2 Another qualified individual shall check the addition of the score allocated in each section and shall re-grade all examination papers with scores between 60 and 75 percent.

5.3.3 The training provider shall have procedures to resolve any differences in grading and to issue final grades.

5.3.4 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 effective translations.

5.4 Re-examination

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

5.4.2 The re-examination shall be administered within 12 months after the date of the initial examination.

5.4.3 The same training provider with whom the student took the course and the (failed) examination shall conduct the re-examination.

5.4.4 A different examination paper shall be used for the re-examination.

5.4.5 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.

5.4.6 If the student fails the re-examination, he or she must again take the complete training course before being eligible to take another examination.

5.4.7 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.

6. VARIATIONS

6.1 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.

- 6.2 When evaluating a request for variance, RABQSA shall take into account the training provider's:
- reasons for the requested variance;
 - rationale for the requested variance;
 - modified training plan and/or revised course outline; and
 - assessment of impact on the learning process.

7. COURSE PUBLICITY AND ADVERTISING

7.1 Advertising of a QMS Internal Auditor training course certified by RABQSA and any literature related to the course shall make it clear that the certificate of "Successful Completion" satisfies the training requirement for individual QMS internal auditor certification by RABQSA.

7.2 The following wording (or other very similar wording which 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 Internal Auditors."

NOTE: The word "certified" shall be used. Any words that may imply RABQSA sponsorship of the course shall not be used.

7.3 The training provider's name shall appear in all advertisements and literature as it appears on the certification certificate when the RABQSA name and/or logo appear.

7.4 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.

7.5 If any promotional materials are being contracted through another organization, the other 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.

7.6 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.

8. USE AND MISUSE OF CERTIFICATES AND LOGOS

8.1 The training provider shall exercise proper control over use and display of the RABQSA certification logo.

- 8.2 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.
- 8.3 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 course certification and, if necessary, legal action.
- 8.4 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.

9. INDUSTRY- OR SECTOR-SPECIFIC COURSES

- 9.1 If a course is advertised as being industry- or sector-specific, the case studies shall relate to that industry/sector.
- 9.2 This document describes the course content required to be taught in 23 hours for a QMS Internal Auditor course (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.
- 9.3 Courses shall be advertised as an RABQSA-certified QMS Internal Auditor Course. Any reference to an Internal Auditor course containing industry- or sector-specific requirements shall be submitted to RABQSA for approval prior to implementation.
- 9.4 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.
- 9.5 RABQSA shall require a desk audit of the course materials and/or a site visit to observe the industry- or sector-specific courses.
- 9.6 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