

**Competency Unit:****RABQSA-HSPM – Hazardous Substances Process Management Assessor**

Effective date: March 2010

**Purpose:**

This document sets out the criteria to be used by RABQSA assessors when assessing Bodies seeking to be certified as IECQ HSPM Training Providers.

**Abbreviations:**

1. CAPA – Cleanup Assurance and Polluter Accountability Act
2. HS – Hazardous Substances
3. HSF- Hazardous Substance Free
4. HSPM – Hazardous Substances Process Management
5. IEC – International Electrotechnician Commission
6. IECQ - International Electrotechnical Commission Quality Assessment System for Electronic Components
7. QMS- quality management system
8. RoHs - Restriction of Hazardous Substances Directive
9. WEEE - Waste Electrical and Electronic Equipment Directive

**Definitions:**

1. Competency Unit – defines the competency requirements.
2. Performance Criteria- defines the required level of performance, in terms of a set of outcomes that need to be achieved in order to be deemed competent for each competency.
3. Evidence Guide - information required to demonstrate the candidate's competency for each Performance Criteria.

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<p>1 Understand the application of standards, directives, specifications and worldwide hazardous substance regulations.</p>	<p>1.1 The most current directives, amendments, specifications and standards are identified and appropriately integrated with their past versions for the following:                      a) RoHS Directives (Directives 2002/95/EC) and its amendments (Commission Decisions 2005/747/EC and 2005/717/EC),                      b) WEEE Directives (Directives 2002/96/EC and 2003/108/EC) and their amendments (Commission Decision 2004/249/EC),                      c) IEC 62321 standard,                      d) IECQ QC 001002-3 and IECQ QC 001002-5 standards, and                      e) IECQ QC 080000 specifications.</p> <p>1.2 The purpose, mission, and activities of the IEC and IECQ are explained, as well as the relationship between these organizations.</p> <p>1.3 The context of environmental regulations worldwide is understood and the application of the various directives and regulations throughout the world's industries are described.</p>	<p>E1.1 The most current directives, amendments, specifications and standards are retrieved and integrated with their past versions.</p> <p>E1.2 The purpose, mission, and relationship between the IEC and the IECQ are described or identified, and the activities of each organization are identified.</p> <p>E1.3 The purpose for many HS regulations worldwide and how various countries around the world implement directives and regulations to address HS concerns are accurately described. The effect that these various directives and regulations have on organizations' processes and products development and manufacturer is described and evaluated.</p>

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<p>2 Prepare an HSPM action plan and assess an HSPM implementation plan.</p>	<p>2.1 The technical knowledge required to establish an organization’s requirements are identified and documented.                      2.2 The types of compliance and certification assessments (1<sup>st</sup>, 2<sup>nd</sup>, and 3<sup>rd</sup> party) are explained and the purpose of each is identified.                      2.3 The process used to implement an HSPM plan is defined and its deployment described.</p>	<p>E2.1 Various techniques or methods for identifying the technical knowledge required within an organization in order to establish their HSF requirements are used are documented according to its products/services and its known requirements.                      E2.2 The types of compliance and certification assessments (1<sup>st</sup>, 2<sup>nd</sup>, and 3<sup>rd</sup> party) are accurately identified and the importance and value of each type is described. The potential risk associated with each is described for situations when each is not conducted and validated appropriately.                      E2.3 The process used for planning an HSPM implementation is documented and described, including identifying the technical requirements and establishing an implementation team that includes appropriate qualified assessors.</p>

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<p>3 Prepare for and perform a technical assessment of an HSPM system.</p>	<p>3.1 The process for obtaining the internationally recognized IECQ HSPM certificate is explained and the requirements for each assessment stage are described.</p> <p>3.2 The requirements of an organization during the contract review are explained, the aspects reviewed by the IECQ certification body (CB) are described, and the adequacy of the contract is determined.</p> <p>3.3 The process for the stage 1 documentation assessment is described.</p> <p>3.4 The process for the stage 2 technical assessment is described.</p> <p>3.5 The process for ongoing surveillance is described.</p> <p>3.6 The integration of an organization’s HSPM system with its QMS is assessed.</p>	<p>E3.1 The process for obtaining a HSPM certificate is accurately documented, including the requirements for each assessment stage.</p> <p>E3.2 A contract review is performed to determine if an organization’s products/services are applicable under IECQ rules of procedures, to establish the scope of the assessment, to determine the Rules of Procedures that are appropriate for the assessment and to determine the technical knowledge required by the CB Assessor(s).</p> <p>E3.3 The process for the stage 1 documentation assessment is described, including the type of document that is necessary to demonstrate an HSPM system is aligned to QC 080000, how the CAPA review and acceptance is completed, and what a lead assessor must review in order to approve an organization for stage 2 assessment. (NOTE: Evidence that a document review can be performed is evaluated in 4.2.)</p> <p>E3.4 The process for the stage 2 technical assessment is described, including descriptions on how the QC 080000 requirements are assessed, descriptions on how the QC 001002-3 and QC 001002-5 requirements are used during the assessment, descriptions on how the CAPA review and acceptance is completed, and what a lead assessor must review in order to provide a recommendation for approval for the organization.</p> <p>E3.5 The process for ongoing surveillance is documented for an organization.</p>

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		E3.6 A quality manual is reviewed to determine if an organization has fully integrated its HSPM processes and procedures within its quality management system, including determining whether an organization's QMS meets the IECQ Rules of Procedures (IEC QC 001002-3 and IEC QC 001002-5).

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<p>4 Perform a technical assessment of an organization's HSPM system.</p>	<p>4.1 The compliance with the documentation requirements according to QC 080000 is assessed.                      4.2 The evidence for management responsibility and resource management is assessed.                      4.3 The effectiveness of plans for HSF process and product realization is assessed.                      4.4 The effectiveness of the methodologies used to control hazardous substances is assessed.                      4.5 The types of monitoring and measuring devices used to control HS for HSF processes and products is determined and/or assessed.</p>	<p>E4.1 A document review is conducted to determine whether an organization has adequately met the documentation requirements according to QC 080000. The review should include the application form, contract document, quality manual, HSPM process description, HSPM procedures and records, and organization charts. Processes are assessed to validate that the requirements included in the documentation meet the technical requirements of the product(s) and process(es).                      E4.2 Techniques are demonstrated for collecting evidence for management responsibility, including evidence that the policy and objectives were effectively communicated by management to employees, that the policy is appropriate for the organization, on how management identifies its HSF requirements (customer and regulatory) and incorporates them into their policy, etc. HS/HSF technical techniques are demonstrated by collecting evidence for resource management, including whether job descriptions, training manuals and training records incorporate the HS/ HSF required knowledge related to the employees' work, whether the organization's infrastructure was reviewed to control HS, etc.                      E4.3 Quality plans or process diagrams are reviewed and a determination is made as to whether an organization has accurately identified its critical HS/HSF points. The methods used for determining</p>

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		<p>customer, regulatory, and other requirements are explained and how these requirements relate to the product and process is recorded.</p> <p>E4.4 The types of evidence that is needed in order for an organization to show compliance for monitoring and measurement of the technical HS/HSF requirements for processes are identified for each of these areas: customer satisfaction, internal audits, and monitoring of restricted substances processes and products.</p> <p>E4.5 The types of monitoring and measurement devices needed to meet the technical HS/HSF requirements are identified and their effectiveness evaluated.</p>

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<p>5 Develop and use various audit tools and techniques.</p>	<p>5.1 Various auditing tools (checklists, fishbone diagram, process clause matrix, Plan-Do-Check-Act (PDCA), etc.) are developed and used appropriately for an IECQ HSPM assessment.</p> <p>5.2 The structure of a process-based audit is described.</p> <p>5.3 Various questioning techniques are used in appropriate audit and/or technical assessment situations.</p> <p>5.4 Various sampling techniques and principles are known and applied throughout an audit, technical assessment, or document review.</p>	<p>E5.1 A checklist and a fishbone diagram are developed for a HSF process that is being assessed. A process clause matrix is developed for a technical assessment of an HSPM system. An example of the PDCA cycle is documented from a past improvement goal or CAPA review. The difference between the importance of these tools during an HSMP assessment and a QMS assessment is described.</p> <p>E5.2 The elements of a process-based audit (inputs, outputs, monitoring controls, and interrelated activities) is accurately described.</p> <p>E5.3 The skills needed to interview employees and an organization's management team are demonstrated and are appropriately used to gain and record information needed during various parts of a technical assessment.</p> <p>E5.4 The sampling techniques (using sampling tables) and principles are accurately used in various situations such as certain audit activities, technical assessment steps, document reviews, risk analysis for implementation, assessment planning, etc.</p>

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<p>6 Develop a final assessment report.</p>	<p>6.1 Nonconformance reports are developed, nonconformance statements are appropriately written, and each nonconformance is appropriately rated.</p> <p>6.2 The legal ramifications of observations and nonconformances (and their ratings) are known.</p> <p>6.3 The components of the final report are known and a final assessment report is created.</p> <p>6.4 The final assessment report is presented during the closing meeting.</p>	<p>E6.1 Nonconformance statements are written to include the requirement and a measurable fact and are appropriately rated as major, minor, or opportunity for improvement. A nonconformance report is developed to include all elements required for the final report.</p> <p>E6.2 The legal ramifications of writing an observation or a nonconformance (as major, minor, or an opportunity for improvement) are described.</p> <p>E6.3 A final report is developed to include the results of a technical assessment, including appropriate documents and records that show technical due diligence was provided by the company.</p> <p>E6.4 An agenda for a closing meeting is developed, and the final report is presented to the organization's management team using appropriate presentation techniques and tools.</p>