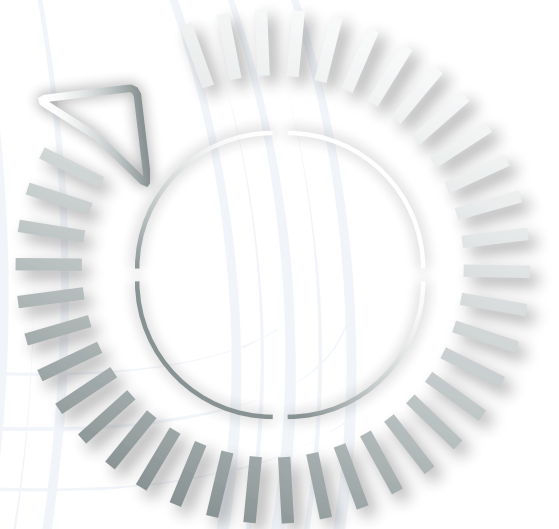




IRCA

INTERNATIONAL
REGISTER OF
CERTIFICATED
AUDITORS



Certification criteria for
Quality Management Systems
Auditor/Lead Auditor Training Course



CERTIFICATION CRITERIA FOR
QUALITY MANAGEMENT SYSTEMS (QMS)
AUDITOR/LEAD AUDITOR TRAINING COURSE

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APPENDIX 1: NOTES FOR GUIDANCE

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1. INTRODUCTION

- 1.1 We, the International Register of Certificated Auditors (IRCA), have prepared these criteria to help you, the approved training organization, to achieve certification of a **Quality Management Systems (QMS) Auditor/Lead Auditor** training course.
- 1.2 Before designing a *QMS Auditor/Lead Auditor* training course to meet the requirements of this document you should consider the following:
- 1.2.1 **Aim of this course.** The aim of this course is to provide students with the knowledge and skills required to perform first, second and third party audits of management systems against ISO 9001, in accordance with ISO 19011. All references in this document to ISO 9000, ISO 9001 and ISO 9004 are to the year 2000 issue versions unless otherwise stated.
- 1.2.2 **Auditor certification.** Students who successfully complete this *QMS Auditor/Lead Auditor* course will satisfy the training requirements for initial certification as an IRCA QMS 2000 Auditor.
- 1.2.3 **Prior knowledge.** We recommend that students have a basic knowledge of the requirements of ISO 9001 before they start this course and students should be informed of this prior to accepting a place on a course.
- 1.2.4 **Flexibility in course design.** These criteria specify the requirements for training courses including the knowledge and skills to be covered during the course. Your training course must be designed and delivered in accordance with these criteria, although you may exercise flexibility in the inclusion of additional material, and in the structure and selection of specific training methods used during the course. Many of the certification requirements common to the management and control of courses are detailed in IRCA/2000, *Requirements for Training Organization approval*. These requirements are in addition to the requirements of IRCA/2245 and are mandatory. It is essential, therefore, that you are familiar with the requirements of IRCA/2000.
- 1.2.5 **Training vs assessment.** There must be two distinct aspects to courses based on these criteria:
- a) Effective training to help students develop the knowledge and skills defined in this document.
 - b) Effective assessment of each individual student's achievement of the knowledge and skills learning objectives through objective testing based on defined outputs.
- 1.2.6 **Training methods.** This course may be designed to be presented in a variety of ways:
- a) Classroom-based over 5 days full-time (i.e. over five consecutive working days).
 - b) Classroom-based as a series of part-time modules over a longer period.
 - c) Blended as a combination of self-study (i.e. e-learning course, correspondence course etc) and classroom-based learning.

However it is designed, students must complete the whole course of study with your organization. Note: we will not accept courses that are wholly based on self-study learning.

2. LEARNING OBJECTIVES

- 2.1 Learning objectives describe in outline what successful students will know and be able to do by the end of the course. By the end of the course successful students will be able to:

Knowledge:

- 2.1.1 Describe the purpose of a quality management system and explain the 8 principles of quality management (see 3.1).
- 2.1.2 Explain the purpose, content and interrelationship of ISO 9000, ISO 9001 and ISO 9004 (see 3.2).
- 2.1.3 Explain the role of an auditor to plan, conduct, report and follow up a quality management system audit in accordance with ISO 19011 (see 3.3).

Skills:

- 2.1.4 Plan, conduct, report and follow up an audit in accordance with ISO 19011 and by interpreting ISO 9001 (see 3.4).

3. ENABLING OBJECTIVES – KNOWLEDGE & SKILLS

In order for students to achieve the overall learning objectives, they will need to acquire and develop specific **knowledge** and **skills**. These are specified below as “enabling objectives” and can be considered as steps to the achievement of learning objectives.

- 3.1 **Describe the purpose of a quality management system and explain the 8 principles of quality management.**

Knowledge:

- 3.1.1 Explain the purpose and business benefits of a quality management system.
- 3.1.2 Explain the 8 principles of quality management.
- 3.1.3 Explain the process approach to management systems.

- 3.2 **Explain the purpose, content and interrelationship of ISO 9000, ISO 9001 and ISO 9004.**

Knowledge:

- 3.2.1 Explain the purpose of the ISO 9000 series and explain the interrelationship between ISO 9000, ISO 9001, ISO 9004 and ISO 19011 and outline the process for the continuing development of these standards.
- 3.2.2 Describe the difference between auditable standards and guidance documents.
- 3.2.3 From an auditing perspective and with regard to ISO 9001:
 - a) Explain the terminology related to ISO 9001 and quality management systems, drawing on ISO 9000 definitions.
 - b) Describe the structure of ISO 9001.

- c) Explain the intent and requirements of each clause of ISO 9001, drawing on ISO 9004 as appropriate to illustrate the broader intent of the ISO 9001 requirements.
- d) Draw links between the 8 quality management principles and the requirements of ISO 9001.
- e) Explain the difference between legal compliance and conformance with ISO standards.
- f) List the benefits of documenting a quality management system and suggest approaches for doing so in a variety of situations.
- g) Differentiate between the scope of audit and the scope of ISO 9001, and describe the basis on which exclusion of ISO 9001 management system requirements might be permissible.
- h) Suggest what objective evidence might be needed to demonstrate conformance with ISO 9001 requirements.

3.3 Explain the role of an auditor to plan, conduct, report and follow up a quality management system audit in accordance with ISO 19011.

Knowledge

3.3.1 Accredited certification and auditor certification:

- a) Explain the terms certification/registration and accreditation, describe the certification/registration and accreditation processes and state the purpose and benefits of a certified/registered quality management system.
- b) Outline the role of IRCA and the IRCA QMS 2000 auditor certification requirements.

3.3.2 Audit process

- a) Explain the differences in the purpose and conduct between 1st, 2nd and 3rd party audits.
- b) Referring to ISO 19011, outline the audit process from initiating the audit to conducting audit follow up, including the 2-stage approach.
- c) The process approach to auditing (see appendix for guidance).

3.3.3 Auditor responsibilities

- a) Describe the roles and responsibilities of the client, auditors, lead auditors, guides and observers, in accordance with ISO 19011.
- b) Explain the management responsibilities of the lead auditor in managing the audit and the audit team.
- c) Explain the need for effective communication with the auditee throughout the audit process.
- d) Explain the need for auditor confidentiality.
- e) Outline the content and intent of the IRCA code of conduct.

3.3.4 **Audit planning**

- a) Describe typical forms of pre-audit contact and their purpose, including when they might be appropriate.
- b) State the purpose of a document review and describe a typical document review process and outputs.
- c) Explain the purpose and significance of the audit scope, the importance of team competency and the selection of team members, particularly with regard to knowledge of the relevant industry, regulations and legislation
- d) Identify objectives and considerations for an on-site, process-based, audit plan.
- e) Explain the use, benefits and potential limitations of a checklist.
- f) Identify considerations for planning an audit of an activity for which there are no documented procedures.

3.3.5 **Conducting the audit**

- a) Explain how to approach a process audit, including audit of process inputs, outputs and results of the process in terms of outcomes and explain how process measures, quality objectives and continual improvement would be addressed through such an audit (see guidance in Appendix 1).
- b) Describe the purpose of, typical content of, and attendees typically present at audit meetings, including opening and closing meetings, audit team meetings and auditee feedback/review meetings.
- c) Differentiate between documents and records.
- d) Describe the benefits and limitations of sampling.
- e) Explain the process of, and different methods for, gathering objective evidence during an audit.
- f) Explain the typical role of top management in an audit and suggest approaches for auditing top management commitment.

3.3.6 **Reporting and following up the audit**

- a) State the purpose and typical content of a non-conformity report.
- b) Describe typical systems for grading non-conformity reports and the implications and further actions required for different grades of non-conformity.
- c) Explain the terms correction, corrective action and preventive action and describe the roles and responsibilities for taking and verifying corrective action.
- d) Identify types of objective evidence that may be required to demonstrate effective implementation of corrective and preventive action.
- e) Explain the purpose of surveillance visits.

3.4 **Plan, conduct, report and follow up an audit in accordance with ISO 19011 and by interpreting ISO 9001.**

Skills (to be practised and tested through tasks and in real or simulated audit situations).

3.4.1 **Audit responsibility**

- a) Undertake the roles of an auditor and audit team leader, including management and co-ordination of the audit team.

3.4.2 **Audit planning**

- a) Perform a document review in order to assess whether documentation meets ISO 9001 requirements and to determine whether adequate arrangements are in place to justify proceeding with the on-site audit.
- b) Establish audit resource requirements.
- c) Write an audit scope.
- d) Prepare an on-site audit plan that is appropriate to the sequence and interaction of the organization's processes.
- e) Prepare the necessary work documents: an audit checklist, sampling plan, forms, etc.

3.4.3 **Conducting the audit.** Conduct an audit and demonstrate ability to:

- a) Control meetings, interviews etc.
- b) Use a checklist effectively and follow audit trails
- c) Gain an understanding of the process, including its purpose, inputs, outputs, controls and related quality objectives
- d) Build rapport with the auditee
- e) Question
- f) Listen
- g) Make notes
- h) Search documents
- i) Select sufficient and relevant samples
- j) Provide feedback to the auditee
- k) Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
- l) Make sense of the information gathered in the context of ISO 9001.

3.4.4 **Reporting and follow up**

- a) Evaluate objective evidence gathered and correctly identify conformance and non-conformance with requirements.
- b) Recognise and report positive audit findings.
- c) Identify opportunities for improvement.

- d) Write and grade non-conformity reports based on objective evidence obtained during the course of the audit.
- e) Make recommendations for certification/supplier approval based on audit findings.
- f) Present audit findings and recommendations to the auditee.
- g) Evaluate proposals for corrective action and differentiate between correction and corrective action.

4. TRAINING METHODS

4.1 Your course may be presented as a wholly classroom-based course or as a blended course (in other words part self-study and part classroom-based). You may also present the course as a series of separate modules, either as full-time or part-time study.

4.2 Classroom-based training

4.2.1 You must provide for students **an environment conducive to effective learning**. At the beginning of the course you must provide the students with a description of the learning objectives, course structure, format and programme, student responsibilities and the assessment processes and assessment criteria, and you must deal with any concerns or worries that students may have.

4.2.2 Your course must be based on the **learning cycle** (see guidance in Appendix 1) and include opportunities for students to:

- Experience new ideas and skills. (Note that tutor-led slide presentations as a sole method to help students learn new knowledge is not acceptable).
- Reflect on their learning and identify strengths and weaknesses. (Note that your course must include methods for monitoring and providing time for tutors and students to review tasks and activities and each student's achievement of the learning objectives).
- Address and improve on areas of weakness. (Note that your course must include provision for review and remedial work, and individual coaching, where necessary.)

4.2.3 Your course must include a **variety of learning methods** to suit the range of learning styles (see guidance in Appendix 1).

4.2.4 Your course must not rely on tutor presentations and tutor-led discussions to achieve **knowledge-based learning objectives**. We expect to see students learning these elements mostly through a process that requires them to complete a task or activities, often in teams, and to produce a defined output.

4.2.5 All students must practise the **skill-based learning objectives** of the course (learning objective 2.1.4) through participation in appropriate tasks and activities (role play, simulation etc).

4.2.6 Timekeeping, planning and programme management are essential elements in the performance of an audit and, although we recognise that effective training is responsive to students' needs, deviations from the timetable must be managed so that all learning objectives are adequately covered and students are kept informed of significant changes to the programme.

4.2.7 You must submit **session plans** or tutor notes for each individual training session. Session plans must specify:

- learning objectives and duration for the session
- nature of the activity and training method to be used
- organizational arrangements, tutor and student briefing details
- deliverables required from students for practical sessions
- materials, exercises and equipment required to run the session
- where training methods or use of exercises etc. are optional, this must be clearly indicated in session plans.

Note that the format of your session plans will depend on your approach to tutor competence and training and the size and complexity of your organization. Medium and high complexity training organizations (see IRCA/3000 Appendix) will require more comprehensive tutor notes to ensure that training in new and amended materials is controlled and effective.

4.3 **Blended courses** (a combination of self-study, including electronic media, and classroom-based learning)

4.3.1 Only knowledge-based learning objectives 2.1.1, 2.1.2 and 2.1.3 may be covered by self-study methods.

4.3.2 Learning objective 2.1.4 (auditing skills) must be completed in a classroom environment in terms of practice and student assessment. See clause 4.2 of this document for requirements for the classroom element of blended learning courses.

4.3.3 Training methods selected should seek to involve and engage students throughout the duration of the course. Simply providing students with a set of reading materials will not be acceptable. Your self-study materials must be designed around a clearly structured learning process with:

- Theory.
- Examples (scenarios, case studies etc).
- Practice (activities, case studies, progress tests etc).
- Feedback/self-assessment on activities and tests where relevant, to ensure students can self-assess their understanding and achievement of the learning objectives and identify any areas requiring further work.

4.3.4 Self-study course materials must be clearly presented and structured for ease of use, with appropriate navigational aids. You must make the following clear to students to help them manage their learning:

- The learning objectives for the overall self-study element of the course.
- The learning objectives for each section within the course.
- How the self-study element of the course links with the classroom component.
- The structure and suggested or intended sequence of the materials.
- Instructions for the students' use of the materials, including realistic timescales.
- Examples of typical documents, reports, forms etc.

- How, when and how often students may contact tutors for help, guidance and feedback.
- Methods for students to assess their learning and to seek timely feedback and coaching from the tutor(s).

4.3.5 You must ensure that each student has timely access to a course tutor to answer questions and queries.

Note: as a guide, a response to communications from students within 24 hours would be acceptable.

5. COURSE CONTENT

- 5.1 At the beginning of the course presentation you must provide the students with a description of the learning objectives, course format and programme, student responsibilities and student evaluation processes and criteria.
- 5.2 You must ensure students secure a copy of ISO 9001 or you must provide them with a copy for self-study (if relevant) and for classroom-based elements of the course.
- 5.3 The course must cover:
- 5.3.1 All aspects defined in clause 2 learning objectives and amplified in clause 3 enabling objectives.
- 5.3.2 Local requirements, culture, practices or approaches to auditing and the application of ISO 9001 as appropriate for each country in which the course is presented.

6. COURSE DURATION

6.1 Classroom-based learning

- 6.1.1 Where the course is wholly classroom-based, the total course must be at least 40 hours net, calculated as detailed in IRCA/2000.
- 6.1.2 This course may be presented over a minimum of 5 consecutive days full-time or on a part-time (modular) basis over a maximum of 8 weeks.

Note: although not mandatory, we recommend that this course be residential if presented over 5 consecutive days.

6.2 Blended learning

- 6.2.1 Elements of the courses that are delivered through self-study will allow students three times longer than classroom training (i.e. approximately 80 hours for learning objectives 2.1.1 – 2.1.3).
- 6.2.2 The classroom element (i.e. the skills learning objective 2.1.4 as a minimum) must be timed to allow each student to practise and be assessed on the skills learning objective. The amount of time given to this classroom element will depend on the learning objectives being covered, however normally 60% (or 3 days, or 24 hours gross as calculated in IRCA/2000) duration will be devoted to classroom-based learning and assessment. Courses with a reduction in classroom time may be allowed if agreed in advance with IRCA. See the Appendix for guidance for instances where reduced classroom time may be allowed.

6.2.3 Each student must complete both the self-study and the classroom part of the training course in no more than 90 days.

6.2.4 Students must complete each element of blended courses in the correct sequence. For example, for courses with a self-study element that is followed by a classroom element the Training Organization must ensure that students who do not complete the self-study element of the course are not accepted on to the classroom-based element. You must have a process for recording and validating each student's completion of each element of blended courses to ensure students complete the course in the correct order.

6.3 Translators

6.3.1 If the course is given through translators, the time must be increased as necessary to satisfy the learning objectives.

7. TUTORS & STUDENTS

7.1 Classroom-based learning

7.1.1 The number of students per course shall not exceed 20, or be less than 4.

7.1.2 The course shall be run with two designated tutors, both of whom shall be present for the full duration of the course. At least one tutor shall satisfy the requirements for a lead tutor as stated in IRCA/2000. Additional resources or trainee tutors may be used for specific activities, however the two tutors remain responsible for the entire presentation.

7.1.3 Where the number of students is 4 to 10 inclusive, the course may be run with one designated tutor, who shall be present for the full duration of the course. That tutor shall satisfy the requirements for a lead tutor.

7.2 Self-study based learning

7.2.1 Tutors who provide educational support on self-study elements of blended learning must be competent to operate any media required.

7.3 All courses. Tutors for this course must demonstrate competence in key attributes:

7.3.1 Competence in training; by satisfying the tutor or lead tutor requirements as appropriate (see IRCA/2000).

7.3.2 Competence in auditing against ISO 9001; by demonstrating auditing competence as a currently certificated QMS 2000 Lead Auditor for Lead Tutors (or QMS 2000 Auditor for Tutors) as described in IRCA/602 or meeting the requirements for such certification.

7.3.3 Competence to deliver training **and** student assessment on your specific course.

8. VARIATIONS

- 8.1 Requests for variations to any of these criteria, or in respect of any special circumstances, will be considered for approval on written submission by the approved training organization to IRCA. Any such request shall be made immediately upon the reason for the variation request becoming apparent.
- 8.2 We will consider the following when evaluating any request for variation:
 - 8.2.1 Reasons for the requested variation.
 - 8.2.2 Proposed modifications to the training.
 - 8.2.3 The impact on the learning and assessment processes and how this will be managed.

9. STUDENT ASSESSMENT & EXAMINATION

We regard the assessment and examination of students to be a very important part of this course.

- 9.1 **Successful completion:** in order to satisfactorily complete the course each student must:
 - 9.1.1 Complete/attend all elements of the course.
 - 9.1.2 Pass the continuous assessment (focused on the 4 learning objectives).
 - 9.1.3 Pass the Written Examination (focused on the 4 learning objectives).
- 9.2 **Conduct and management of continuous assessment**
 - 9.2.1 Students must demonstrate acceptable levels of performance in all 4 learning objectives. During the course you must test each student's achievement of the learning objectives. These tests must be based on practical tasks and activities with defined outputs that students must produce.
 - 9.2.2 You must provide tutors with model outputs and a marking scheme/guidance to assess each student's performance and outputs (see Appendix).
 - 9.2.3 Tutors must provide students with feedback on their performance.
 - 9.2.4 Tutors must give further help and guidance to students who do not initially achieve elements of the learning objectives. They must provide these students with opportunities to complete further tasks to demonstrate competence.
 - 9.2.5 Each student's achievement of learning objectives must be recorded on his/her continuous assessment record.

Note: See the Appendix for guidance on continuous assessment.
- 9.3 **Conduct and management of the written QMS auditor/lead auditor examination.**
 - 9.3.1 IRCA courses: students must sit one of the current issue of IRCA set QMS 2000 auditor/lead auditor examination papers.

9.3.2 IRCA examinations must be conducted in accordance with the criteria set out in IRCA/2000.

9.3.3 IRCA examination papers must state on every page:

“IRCA EXAMINATION PAPER NUMBER [X]” amended for use on approved course [xxxx] operated by [TO], [the date of issue and page number].

Please insert at **X** the IRCA reference number for the paper, at **TO** the name and IRCA certification number of your training organization and at **xxxx** the IRCA certification number of your course.

9.3.4 You may modify the IRCA examination papers as indicated below, but must not change the structure of the paper.

- a) Minor changes in the wording may be made to reflect local language differences.
- b) Changes in wording may be made to better reflect a specific context; e.g. a production or a retail application. These changes must NOT represent substantive changes to either the question or the solution.
- c) A maximum of 25% of each paper may be replaced but this must NOT change the structure of the paper. You must NOT make changes to section 4 except to make a change of context or to remove the requirement to categorize the non-conformity as major or minor, in which case the categories should also be removed from the typical solutions. The NCR form may be replaced by a similar form, which you routinely use.
- d) On replacing a question, you must:
 - Provide a solution and marking scheme for the alternative question.
 - Send IRCA the alternative question (identifying clearly which question it is intended to replace) and its solution for approval before it is incorporated into the IRCA examination paper.

10. COURSE PUBLICITY & ADVERTISING

10.1 Course advertising and promotional literature shall not state or imply that this course satisfies more than the training requirements for certification as an IRCA QMS 2000 auditor.

10.2 Prior to the commencement of the course, you must inform potential students that IRCA recommends all students to have some understanding of the content, application and implementation of the current ISO 9000 series of standards.

APPENDIX 1: NOTES FOR GUIDANCE

1. Coverage of ISO 9001

IRCA/2245 requires that students be able to explain the intent and requirements of each clause, and all clauses will be considered for inclusion in the examination. However, it is recognized that students may have knowledge of ISO requirements before attending the course, either from previous training, experience or pre-course work. Training organizations will not be expected to present a clause-by-clause analysis of ISO 9001, but will need to satisfy themselves that this requirement is met.

IRCA/2245 requires students to interpret and apply ISO 9001 requirements and to suggest what objective evidence might be needed to satisfy requirements. These requirements should be tested through practical exercises and it is recognized that students will only be able to gain this practical experience of limited parts of ISO 9001. Training organizations should use their judgement in deciding which requirements to concentrate on in such practical activities.

2. Process auditing

The move to a process approach to auditing has particular impact on the planning and conducting of audits. The following notes are for guidance and include considerations auditors need to take into account when planning and conducting process audits.

Planning the on-site audit:

- Audit plan includes all activities applicable to the scope of audit and the audit standard (e.g., ISO 9001 or the contract).
- Audit trails are established from top level policy to all relevant functions and levels in the organization.
- Audit plan enables links between policy, objectives, targets, monitoring and continual improvement to be established.
- Audit plan reflects the structure, sequence and interrelationship of processes in the organization.
- Audit plan is sufficiently flexible and enables objective evidence to be gathered to verify activities and results.
- Audit plan reflects the organization's goals and priorities.

Conducting the audit:

- The purpose, inputs, outputs, controls and resources applicable to each process are clear.
- Links are established between processes and high level and local quality objectives.
- The outputs of the process are compared with desired outcomes, the purpose of the process and any specific quality objectives.
- The steps in the process and associated responsibilities are determined, where necessary.
- Inter relating processes are identified and process measures are identified.
- Evidence of continual improvement is sought.
- Needs of internal and external customers are clear.

Document review

Changes in the year 2000 issue version of ISO 9001 have implications for the process of document review. In many instances it will not be possible to assess whether ISO 9001 requirements are satisfied in principle from looking only at the quality manual and procedures. Auditors will need to take a more holistic approach to assessing the adequacy of system documentation (not just procedures) and may perform part or all of this activity on-site. Training organizations should reflect this more holistic approach in both input sessions and exercises.

3. Helping students learn new knowledge & skills

We promote the use of accelerated learning approaches because they are more efficient, in terms of speed and depth of comprehension, and more effective, in terms of long term retention of new knowledge. Therefore, you should employ practical tasks and activities to help students to understand new concepts and ideas. You should not rely on tutor-focused lecture/presentation to transfer new ideas and concepts.

3.1 The Learning cycle

There is a clear link between Deming's familiar Plan-Do-Check-Act and the learning cycle:

- a. ***Students experience something*** (e.g. complete a task to find out about the requirements of ISO 9001)
- b. ***Students reflect on what they did & identify what they learned and what they still do not fully understand or cannot do*** (e.g. feedback to compare their answers to other students' answers and / or model answers, and identify any problems)
- c. ***Students take action to address weak areas.*** (e.g. ask tutor for help or complete task/activity again or complete another task)

Ensuring that your training sessions follow this simple model will make students' learning more effective. We referenced the learning cycle described by David A Kolb in developing these criteria and you might find it useful to consider this when developing your course.

3.2 Learning styles

We promote a variety of training methods in your course design. Different people learn in different ways so your sessions should follow the learning cycle and your course should include a variety of different learning activities to cater for all needs as far as possible. Honey and Mumford (*Learning Style Questionnaire*, Peter Honey Publications, ISBN 1 902899 07 5) provide one model for describing different learning styles that you may find useful as a basis.

3.4 Session plans

Developing session plans is a natural part of designing learning and training processes. Session plans should be simple and easy to use working documents to help your tutors manage effective learning. For organizations with only a few tutors, outline session plans are acceptable. For larger organizations with a number of branches or subcontractors, and the consequent number and turnover of tutors, we will require more comprehensive session plans. A sample session plan is provided below.

3.5 Continuous assessment

Continuous assessment should have a clear link between: session plans (for tutors), clear task/activity instructions with defined and measurable outputs (for students and tutors), activity marking schemes / model answers (for tutors), model answers (for students), individual student continuous assessment record (for recording student performance).

4. Blended Learning – course duration & tutor:student ratios

We will consider courses designed with less than 60% of the course duration (as calculated in IRCA/2000) devoted to classroom activity in circumstances where, for example, there is a smaller tutor:student ratio: for example 2 tutors and a maximum of 6 students.

5. Self-Study

We recommend that you consider the following documents when developing training based on information technology solutions:

BS 7988:2002 A Code of Practice for the use of information technology for the delivery of assessments

BS 8426:2003 A code of practice for e-support in e-learning systems

SAMPLE SESSION PLAN

SESSION PLAN		
Course Title: QMS Auditor/Lead Auditor		
Session Title: Preparing an audit checklist	Session Number: 6	Duration: 1 hr 30 mins
<p>Purpose of the session: To provide students with practical experience in preparing an audit checklist.</p> <p>Learning Objectives:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identify documents and sources of information required to produce a checklist. <input type="checkbox"/> Produce an audit checklist to be used in audit practical later in the course. 		
Tutor Notes: Training Activities and Methods	Materials and Equipment	
<p>Introduction</p> <ul style="list-style-type: none"> • Explain that this session builds on the previous session in which the preparation of an audit checklist was discussed and demonstrated. • Opportunity to try it out in practice. • Explain that students will be formally assessed during this session 	OHP session 6 intro	
<p>Introduce exercise</p> <p>Talk through the exercise brief, highlighting the following points:</p> <p>Task: to prepare a checklist that will enable the students to conduct an effective, process-based audit of that area of the case study organisation.</p> <p>Process:</p> <ul style="list-style-type: none"> • Pair-work exercise. • If the students require further help on how to approach the exercise, highlight suggested steps that they might follow in order to accomplish the task. <p>Output:</p> <ul style="list-style-type: none"> • Audit checklist (either on the pro-forma sheets, or using any format preferred by the students). • A list of the documents and sources of information used in the preparation of the checklist. <p>Note The output from this exercise is part of the formal continual assessment, and will therefore be marked.</p>	<p>Handout - student brief: "preparing an audit checklist"</p> <p>Flip chart process steps</p> <p>Audit checklist pro-forma sheets</p>	
<p>Run exercise</p> <p>Tutors to monitor pairs regularly, and provide clarification, support and coaching as required.</p> <p>Time for exercise: 1 hour</p>		
<p>Feedback from exercise</p> <ul style="list-style-type: none"> • Collect output from students • Lead a brief discussion of the exercise, i.e., how they went about it, what was easy/difficult etc. Draw out any general points observed by tutors during the exercise. 		
<p>Marking exercise</p> <ul style="list-style-type: none"> • Mark each submission in accordance with the marking scheme. • Provide feedback to students on the results of the exercise and any further points for improvement at the earliest opportunity. 	Audit checklist marking scheme (see below)	

SAMPLE AUDIT CHECKLIST MARKING SCHEME

AUDIT CHECKLIST MARKING SCHEME: SESSION 6

Learning objective: 2.1.4 Plan and conduct an audit

Enabling objectives:

3.4.2 c) Identify requirements for process auditing

3.4.2 d) Produce an audit checklist.

Criteria	Marks
Checklist covers all areas within the scope of the audit	2 marks
Relevant ISO 9001 requirements addressed	2 marks
Checklist identifies evidence to be viewed during audit	2 marks
Reference to policy/objectives and planned results included	2 marks
Logical structure for audit, picking up relevant audit trails	2 marks

Maximum 10 marks. Students must score a minimum of 6 marks to successfully complete the exercise. Students achieving less than this may be invited to re-submit.

SAMPLE CONTINUOUS ASSESSMENT METHODOLOGY

This example document has been designed to meet the minimum requirements of IRCA/2245.

PERSONAL CONTINUOUS ASSESSMENT RECORD		
Name: <i>A Person</i>		Course dates: <i>1-5 April</i>
Learning Objective	Tasks / Outputs	Achieved
4.4.1 Undertake the role of an auditor and/or team leader to plan an audit	Complete a desktop review and make the appropriate recommendation.	A
	Prepare an appropriate checklist to complete a defined audit (identifying appropriate activities to audit, documents and records to review and people to question)	A
4.4.2 Undertake the role of an auditor to manage and conduct an audit to evaluate an organization's effective implementation of processes and procedures and methodologies for conformance with ISO 9001.	Demonstrate interpersonal skills to complete an effective audit interview.	NYA
	Conduct an interview using an appropriate checklist and following appropriate audit trails and gathering appropriate information.	A
4.4.3 Undertake the role of an auditor to report an audit.	Make sense of the information gathered to identify conformance and any non-conformance.	A
	Write appropriate and accurate audit findings and make an appropriate recommendation.	A
	Report findings and recommendation to client organization.	NYA
4.4.4 Undertake the role of an auditor to follow up an audit.	Evaluate proposed corrective actions.	A
<p>Performance in each area of competence is marked "A" for achieved or "NYA" for not yet achieved. To pass the course students must achieve each element of the learning objective.</p> <p>Tutor Signature: <u> A Tutor </u> Date: <u> 5 April </u> Tutor Signature: <u> B Tutor </u></p>		