

## FIVE-DAY TRAINING PROGRAMME

### **CQI & IRCA Certified QMS ISO 9001:2015 Lead Auditor Course** **CQI & IRCA PR328 Course Specification** **CQI & IRCA Reg. No. 18126**

#### **Learning Objectives**

On completion, successful students will have the knowledge and skills to:

##### **Knowledge**

- Explain the purpose of a quality management system, of quality management systems standards, of management system audit, of third party certification and the business benefits of improved performance of the quality management system (see 2.1-PR328 Course Specification).
- Explain the role and responsibilities of an auditor to plan, conduct, report and follow-up a quality management system audit in accordance with ISO 19011, and ISO/IEC 17021, as applicable (see 2.2-PR328 Course Specification).

##### **Skills**

- Plan, conduct, report and follow-up an audit of a quality management system to establish conformity (or otherwise) with ISO 9001 and in accordance with ISO 19011, and ISO/IEC 17021, as applicable (see 2.3- PR328 Course Specification)

#### **Notes for Candidates**

1. A core requirement for our approval by the CQI & IRCA, is the need for candidates to participate in the whole five-day training programme comprising **at least 40 hours** of lecture, workshop & study presentations. The Course criteria are in accordance with **PR328 Course Specification**.
2. Candidates need to demonstrate their capability as prospective auditors to the tutors by developing their questioning & reasoning skills at all times. Each delegate shall be required to participate actively in workshops, case studies and auditor role-playing or actual system audit situations as part of the structured class activities. **At least 50% of the course time shall be used for such activities.**
3. To ensure an effective & efficient training, the course itself has a number of time allocations for specific chapters. The training should be conducted in strict adherence to the planned training time-table. **Use of mobile phones, pagers, etc which could disrupt the course is forbidden during the course.**
4. **Pre-requisite:**  
Students are expected to have knowledge of the following quality management principles and concepts:
  - a) Management systems
    - The Plan, Do, Check, Act (PDCA) cycle

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- The core elements of a management system and the interrelationship between top management responsibility, policy, objectives, planning, implementation, measurement, review and continuous improvement.

#### b) Quality management

- The fundamental concepts and the seven quality management principles (see ISO 9000):
  - Customer focus
  - Leadership
  - Engagement of people
  - Process approach
  - Improvement
  - Evidence-based decision making
  - Relationship management.
- The relationship between quality management and customer satisfaction.

#### c) ISO 9001

Knowledge of the requirements of ISO 9001 and the commonly used quality management terms and definitions, as given in ISO 9000, which may be gained by completing an CQI & IRCA Certified QMS Foundation Training course or equivalent.

5. Candidates will be assessed continuously by our tutors over the five days & must pass this assessment before the candidate is allowed to sit for the written examination. **Poor time keeping during the course shall be taken into account during the continuous assessment.**
6. Candidates who pass both the practical & written part of the course are considered to have satisfied the training requirements for the CQI & IRCA.
7. The second part of the assessment involves a closed book written examination of two hours. The pass mark is 63. Only a copy of ISO 9001 and a bilingual dictionary are the only items permitted for reference.
8. To apply as Registered Auditor/Lead Auditor/Senior Auditor under the CQI & IRCA Scheme, appropriate practical audits must be carried out. This will be explained in Chapter 8 during the course.
9. The standard requirements are used solely for the purpose of this training. Participants shall destroy the standard, shall not make any copies after the training, to ensure that there is no copyright infringement.

DAY 1

0830 - 1800 Hours

| TIME        | SUBJECT 課程內容   |
|-------------|--|
| 0830 – 0900 | << <u>Ice-Breaker 講師與學員自我介紹</u><br>- Introduction between delegates<br>- Tutors use outputs from the ICE BREAKER session to determine where to place emphasis as the course unfolds  |
| 0900 – 0930 | << <u>Course Introduction 課程介紹</u><br>- IRCA introduction<br>- Notes for delegates<br>- Course objectives  |
| 0930 – 1015 | << <u>Exercise 1: Quiz 練習 1</u><br>- Team formation by Tutor-in-charge<br>- Appointment of Team Leader<br>- Team Discussion<br>- Document results of team discussion using flip charts/whiteboard/LCD<br>- Open Discussion<br>- Tutor-in-charge summarized accordingly |
| 1015 – 1030 | << <u>Tea Break 早茶</u>   |
| 1030 – 1230 | << <u>Chapter 1: Auditing the ISO 9001 Requirements 第 1 章: 稽核 ISO 9001 要求</u><br>Approach: Tutor Led Discussion  |
| 1230 – 1330 | << <u>Lunch 午餐</u>   |
| 1330 – 1430 | << <u>Chapter 2: Principle of Quality Management and Other Basic Quality Concepts</u><br>Approach: AL Based Presentation 第 2 章: 品質管理原則與其他基本品質觀念  |

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| <b>1430 – 1530</b> | « <b><u>Exercise 2: Audit Planning</u></b> 練習 2：稽核規劃 <ul style="list-style-type: none"><li>- Team formation by Tutor-in-charge</li><li>- Appointment of Team Leader</li><li>- Team Discussion</li></ul>   |
| <b>1530– 1545</b>  | « <b><u>Tea Break</u></b> 午茶  |
| <b>1545 – 1800</b> | « <b><u>Exercise 2: Audit Planning (Continued)</u></b> 練習 2：稽核規劃 <ul style="list-style-type: none"><li>- Document results of team discussion using flip charts/whiteboard/LCD</li><li>- Presentation by each group’s Team Leader (group members shall support presentation, where necessary)</li><li>- Tutor-in-charge summarized accordingly</li></ul> |
| <b>1800</b>        | « <b><u>End of Day 1 Training</u></b> 第一天訓練結束   |

| TIME        | SUBJECT 課程內容  |
|-------------|---|
| 0830 – 0845 | << <u>Daily Course Recapitulation &amp; Students Feedback</u> 每日課程複習與學員回饋 <ul style="list-style-type: none"> <li>- Recapitulation of previous day training program against training objectives</li> <li>- Students feedback for continual improvement on training approach</li> </ul>   |
| 0845 – 1015 | << <u>Chapter 3: QMS Documented Information</u> 第 3 章: 品質管理系統之文件化資訊<br>Approach: AL Based Presentation  |
| 1015 – 1030 | << <u>Tea Break</u> 早茶  |
| 1030 – 1230 | << <u>Exercise 3: Documented Information Review Role Play (Stage 1 Audit)</u><br><u>練習 3: 文件化資訊之審查角色扮演 (第一階段稽核)</u> <ul style="list-style-type: none"> <li>- Team formation by Tutor-in-charge</li> <li>- Appointment of Team Leader</li> <li>- Team Discussion</li> </ul>  |
| 1230 – 1330 | << <u>Lunch</u> 午餐  |
| 1330 – 1515 | << <u>Exercise 3: Documented Information Review Role Play (Stage 1 Audit) (Continue)</u><br><u>練習 3: 文件化資訊之審查角色扮演 (第一階段稽核)</u> <ul style="list-style-type: none"> <li>- Team Discussion</li> </ul>  |
| 1515 – 1530 | << <u>Tea Break</u> 午茶  |
| 1530 – 1800 | << <u>Exercise 3: Documented Information Review Role Play (Stage 1 Audit) (Continue)</u><br><u>練習 3: 文件化資訊之審查角色扮演 (第一階段稽核)</u> <ul style="list-style-type: none"> <li>- Document results of team discussion using flip charts/whiteboard/LCD</li> <li>- Presentation by each group's Team Leader (group members shall support presentation, where necessary)</li> <li>- Tutor-in-charge summarized accordingly</li> </ul> |

1800

<< End of Day 2 Training 第二天訓練結束

| TIME        | SUBJECT 課程內容   |
|-------------|--|
| 0830 – 0845 | << <u>Daily Course Recapitulation &amp; Students Feedback</u> 每日課程複習與學員回饋 <ul style="list-style-type: none"> <li>- Recapitulation of previous day training program against training objectives</li> <li>- Students feedback for continual improvement on training approach</li> </ul>                            |
| 0845 – 1015 | << <u>Chapter 4: Planning &amp; Conducting the ‘Process Approach’ Audit – The Responsibilities &amp; Activities</u> 第4章: 規劃欲執行”過程導向”稽核-責任與活動<br>Approach: AL Based Presentation  |
| 1015 – 1030 | << <u>Tea Break</u> 早茶   |
| 1030 – 1230 | << <u>Chapter 4: Planning &amp; Conducting the ‘Process Approach’ Audit – The Responsibilities &amp; Activities (Continued)</u> 第4章: 規劃欲執行”過程導向”稽核-責任與活動<br>Approach: AL Based Presentation  |
| 1230 – 1330 | << <u>Lunch</u> 午餐   |
| 1330 – 1430 | << <u>Chapter 5: Audit Checklist</u> 第五章: 稽核查檢表<br>Approach: AL Based Presentation   |
| 1430 – 1515 | << <u>Exercise 4: Audit Checklist Preparation</u> 練習4: 準備稽核查檢表 <ul style="list-style-type: none"> <li>- Team formation by Tutor-in-charge</li> <li>- Appointment of Team Leader</li> <li>- Team Discussion</li> </ul>  |
| 1515 – 1530 | << <u>Tea Break</u> 午茶   |
| 1530 – 1800 | << <u>Exercise 4: Audit Checklist Preparation (Continued)</u> 練習4: 準備稽核查檢表 <ul style="list-style-type: none"> <li>- Team Discussion</li> <li>- Document results of team discussion using flip charts/whiteboard/LCD</li> <li>- Presentation by each group’s Team Leader (group members shall support)</li> </ul> |

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|             | <p><b>presentation, where necessary)</b></p> <ul style="list-style-type: none"><li>- <b>Tutor-in-charge summarized accordingly</b></li></ul> |
| <b>1800</b> | <p>« <u>End of Day 3 Training</u> 第三天訓練結束</p>  |



| TIME        | SUBJECT 課程內容  |
|-------------|---|
| 0830 – 0845 | << <b>Daily Course Recapitulation &amp; Students Feedback</b> 每日課程複習與學員回饋 <ul style="list-style-type: none"> <li>- Recapitulation of previous day training program against training objectives</li> <li>- Students feedback for continual improvement on training approach</li> </ul>   |
| 0845 – 1015 | << <b>Chapter 6: Corrective Action Request and Audit Reporting</b> 第 6 章: 矯正措施通知單與稽核報告<br><br><b>Approach: AL Based Presentation</b>  |
| 1015 – 1030 | << <b>Tea Break</b> 早茶  |
| 1030 – 1230 | << <b>Exercise 5: Audit Findings and Corrective Action Request</b> 練習 5 : 稽核發現與矯正措施通知單 <ul style="list-style-type: none"> <li>- Team formation by Tutor-in-charge</li> <li>- Appointment of Team Leader</li> <li>- Team Discussion</li> </ul>   |
| 1230 – 1330 | << <b>Lunch</b> 午餐  |
| 1330 – 1515 | << <b>Exercise 5: Audit Findings and Corrective Action Request</b> 練習 5 : 稽核發現與矯正措施通知單 <ul style="list-style-type: none"> <li>- Team Discussion</li> </ul>  |
| 1515 – 1530 | << <b>Tea Break</b> 午茶  |
| 1530 – 1700 | << <b>Exercise 5: Audit Findings and Corrective Action Request (Continued)</b><br><b>練習 5 : 稽核發現與矯正措施通知單</b> <ul style="list-style-type: none"> <li>- Document results of team discussion using flip charts/whiteboard/LCD</li> <li>- Presentation by each group's Team Leader (group members shall support presentation, where necessary)</li> <li>- Tutor-in-charge summarized accordingly</li> </ul> |

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| <b>1700 – 1800</b> | « <u>Chapter 7: Certification, Registration and Accreditation</u> 第 7 章：驗證,登錄與認證<br>Approach: Tutor Led Discussion |
| <b>1800</b>        | « <u>End of Day 4 Training</u> 第四天訓練結束   |

| TIME        | SUBJECT 課程內容  |
|-------------|---|
| 0830 – 0845 | << <u>Daily Course Recapitulation &amp; Students Feedback</u> 每日課程複習與學員回饋 <ul style="list-style-type: none"> <li>- Recapitulation of previous day training program against training objectives</li> <li>- Students feedback for continual improvement on training approach</li> </ul>   |
| 0845 – 1015 | << <u>Exercise 6: Conduct of Audit &amp; Audit Reporting Role Plays</u><br><u>練習 6：執行稽核與稽核報告角色扮演</u> <ul style="list-style-type: none"> <li>- Team formation by Tutor-in-charge</li> <li>- Appointment of Team Leader</li> <li>- Team Discussion</li> </ul>   |
| 1015 – 1030 | << <u>Tea Break</u> 午茶  |
| 1030 – 1230 | << <u>Exercise 6: Conduct of Audit &amp; Audit Reporting Role Plays (Continued)</u><br><u>練習 6：執行稽核與稽核報告角色扮演</u> <ul style="list-style-type: none"> <li>- Document results of team discussion using flip charts/whiteboard/LCD</li> <li>- Presentation by each group's Team Leader (group members shall support presentation, where necessary)</li> </ul> |
| 1230 – 1330 | << <u>Lunch</u> 午餐  |
| 1330 – 1500 | << <u>Exercise 6: Conduct of Audit &amp; Audit Reporting Role Plays (Continued)</u><br><u>練習 6：執行稽核與稽核報告角色扮演</u> <ul style="list-style-type: none"> <li>- Presentation by each group's Team Leader (group members shall support presentation, where necessary)</li> <li>- Tutor-in-charge summarized accordingly</li> </ul>                               |
| 1500 – 1530 | << <u>Chapter 8: IRCA Certification Scheme for Auditors of Management Systems</u><br><u>第 8 章：IRCA 管理系統之稽核員登錄計畫</u>   |
|             | << <u>Tea Break</u> 午茶  |

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| <b>1530 – 1545</b> |   |
| <b>1545 – 1600</b> | « <b><u>Course Summary &amp; Preparation for Examination</u></b> 課程結論與準備考試 <ul style="list-style-type: none"><li>- Conclusion of 5 days training program against training objectives</li><li>- Briefing of exam format</li><li>- Fill up Course Survey Form by respective delegates</li></ul> |
| <b>1600 – 1800</b> | « <b><u>Written Examination</u></b> 筆試  |
| <b>1800</b>        | « <b><u>End of Training</u></b> 所有訓練結束  |