Competency Unit: Exemplar Global-QM

Competency Unit: Exemplar Global- QM Quality Management Systems Auditing

How to use this document

The purpose of this Competency Unit is to give Training Providers detailed information on the performance criteria required of those who are seeking to become certified Exemplar Global – QM – Quality Management Systems Auditors. This competency unit applies to the knowledge requirements for several Exemplar Global personnel certification schemes.

A **Training Provider** is someone who has received the Exemplar Global Training Provider and Examiner Certification Scheme (TPECS) certification for the development and delivery of the Exemplar Global-Management Systems Auditing examination.

A **potential Exemplar Global QMS Auditor** is someone who conducts Quality Management System audits, oftentimes as a member of an audit team.

To become a certified **Exemplar Global Quality Management Systems Auditor**, an individual must show evidence that they have adequate skills in the two (2) areas of Competencies shown in the tables below. These individuals show competency by meeting the performance criteria shown in the second column. Training Providers are responsible for ensuring that these individuals provide adequate evidence of the performance criteria, according to the Evidence Guide.

Training Providers use an accompanying Examination Profile to document how evidence will be collected and are authorized to administer the TPECS Competency Unit examination through their TPECS certification.

All TPECS examinations will measure the performance criteria shown in this competency unit as written.

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Competency	Performance Criteria	Evidence Guide
1: Understand the application of Quality Management Principles in the context of ISO 9001:2015.	1.1 Understand the intent and requirement of each clause of ISO 9001:2015 within the context of the given business/industry sector. 1.2 Evaluate the documented information required by ISO 9001:2015 and the interrelationships between the quality processes - quality planning, policy and objectives within the context of the given business/industry sector. 1.3 Understand the evidence needed to demonstrate conformity to the requirements of ISO 9001:2015. 1.4 Assess that Quality terminology and sector specific terminology is correctly used. 1.5 Analyze the effectiveness of the entire quality management system, including the process approach and risk-based thinking used to develop, implement and improve the effectiveness of the management system, customer focus and improvement.	E1.1 The intent and requirements of each clause in ISO9001:2015 are described. E1.2 The documented information required by ISO 9001:2015 is assessed and described in relation to risks in terms of product realisation, product delivery and financial, succession, legal contexts, etc. in the organization. E1.3 Audit evidence needed to demonstrate conformity to the clauses of ISO 9001:2015 is identified. E1.4 Terminology used in the audit process is correct. E1.5 The operational effectiveness of the auditee's ISO 9001:2015 quality management system is evaluated.

	1.6 Determine that audit reference documented information is suitable and appropriate to the requirements of ISO 9001:2015 in the context of the auditee business size, industry, and environment.	E1.6 The requirements of the specific business under audit are explained in the assessment.

Competency	Performance Criteria	Evidence Guide
	1.7 Understand the relationship between legal compliance and ISO 9001:2015 conformity and determine that it is demonstrated in the context of an audit in the given business/industry sector.	E1.7 The difference between legal compliance and conformity with ISO standards is identified.
	1.8 Determine that relevant external and internal issues related to the purpose and strategic direction of the organization are addressed, monitored, and reviewed.	E1.8 Relevant external and internal issues, with respect to the purpose and strategic direction of the organization within the QMS as well as their appropriateness, are identified and explained.

	1.9 Understand how top management demonstrates leadership and commitment to QMS.	E1.9 Leadership and commitment for the QMS by top management is observed and explained.
	1.10 Determine that responsibilities and authorities for relevant roles are assigned, communicated and understood.	E1.10 Communication and understanding of responsibilities and authorities are defined and described.
	1.11 Understand how organizational knowledge necessary for the operation of processes and achieving conformity is determined, maintained and made available while also assessing the need for additional knowledge.	E1.11 Determination, maintenance, and availability of organizational knowledge is understood and described.
	1.12 Understand how competence is determined, achieved, assessed as effective, with evidence of competence maintained.	E1.12 Assessment of effective competence is defined and described.

	1.13 Understand how awareness for those working under the organization's control takes place.	E1.13 Personnel awareness of the quality policy, relevant quality objectives, contribution/improvement towards the effectiveness of the QMS, and the implications of not conforming to the requirements of the QMS are identified and described.
	1.14 Understand how internal and external communication is determined, including what, when, with whom, and how communication occurs and who performs the communication.	E1.14 Communication with internal and external parties is identified and described.
	1.15 Determine that the QMS includes required and necessary documented information to support effectiveness of the QMS, with appropriate identification/description, format, review/approval, availability/suitability, and such documented information is adequately protected.	E1.15 The process to protect required and necessary documented information to support the effectiveness of the QMS is evaluated and explained.
	1.16 Understand how risks to business are identified, evaluated and addressed.	E1.16 The identification, evaluation, and how a risk is address is determined and explained.

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2: Relate the quality management system to the organizational products, including services, and operational processes.	2.1 The product realization processes and supporting activities are evaluated effectively in order to verify the degree of conformity and effectiveness of these activities.	E2.1 The product realization processes and supporting activities, to verify the degree of conformity and effectiveness, are defined and described.
	2.2 Process-based activities and associated inputs, outputs, controls, and resources, are understood in different organizational contexts.	E2.2 Process-based activities and associated inputs, outputs, controls, and resources, with omission or deviation justified, identified and described.
	2.3 Understand how the organization considers risks and actions appropriately taken when risk is identified.	E2.3 Organizational processes to identity risk and the appropriate actions taken are identified and assessed.

Competency	Performance Criteria	Evidence Guide
	2.4 Understand how the needs and expectations of interested parties are determined, monitored, and reviewed relevant to the QMS.	E2.4 The determination, monitoring methods, and review process of the needs and expectations of interested parties are identified and explained.
	2.5 Understand the established scope of the QMS is it's applicability to the organization and that it is available and maintained as documented information.	E2.5 The documentation information and applicability of the organization's established scope of the QMS is described and explained.
	2.6 Documented and maintained quality objectives are established at relevant functions, levels, and processes.	

	2.7 Determine required resources, responsibility, timeframe, and evaluation of results related to quality objectives. 2.8 Determine that monitoring and measurement resources are suitable and maintained, with documented information to show evidence of fitness. 2.9 Understand the control processes (including external providers) needed to meet product/service requirements including the establishment of criteria/acceptance, determination of resource needs, process controls, appropriate documented information, with changes controlled.	E2.6 Quality objectives for relevant functions, level, and processes, are applied and evaluated. E2.7 The resources, responsible party(ies), time frame for completion, and assessment of results related to the quality objectives are identified and explained. E2.8 The needs and resources related to monitoring/measurement have been identified and assessed. E2.9 The control processes to meet product/service requirements are identified and assessed.

	2.10 Determine that infrastructure and environment needs related to conformity of products/services and those needed for monitoring/measurement activities to ensure effective operation and control are provided for and are being maintained. 2.11 Processes needed for the monitoring, measurement, analysis and evaluation of products, services and the whole of the QMS are determined. 2.12 Verify that risks and opportunities are identified by the organization to address nonconformities and continual improvement to meet customer requirements.	E2.10 The provision for and maintenance of the infrastructure and environmental needs related to conformity of products/services and monitoring/measurement activities are identified and explained. E2.11 Evidence of monitoring, measuring, analysis and evaluation of the organization's products, services and processes appropriate to the organization are reviewed for effectiveness. E2.12 Evidence of nonconformities, correction, corrective actions and continual improvements are identified and assessed to ensure their effectiveness in preventing recurrence and to ensure the continuing suitability, adequacy and effectiveness of the management system.