Domain & Job Task Analysis

PEEB 9001 Lead Auditor

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Sr. No.	Domain Category	Percentage
Domain 1	Fundamentals/ Concepts of Quality Management System (QMS) 9001 Audit	10%
Domain 2	Risk Analysis and Quality Management System	12%
Domain 3	Principles of ISO Audit 9001 and Sustainability	11%
Domain 4	Managing /Organizing an ISO 9001 Audit Programme	20%
Domain 5	Conducting an Audit (Stages/Process)	20%
Domain 6	Conducting the Closing of ISO Audit 9001	15%
Domain 7	Assessment/Managing an ISO 9001 Lead Auditor Programme	12%

1 Domain 1. Fundamentals/Concept of Quality Management system (QMS) 9001 Audit – 10%

Knowledge of:

1. Knowledge of Quality management system – QMS ISO 9001 standards and its scope of pertinency.
2. Elements of MS and based terminologies, strategies.
3. Knowledge of interrelationship between top management responsibility, accountabilities.
4. Quality policy, planning, implementation, measurement, review, and continuous improvement.
5. Objective of a quality management system and the business benefits of increasing quality management system performance.
6. Correlation between ISO and 9001, principles/rules and regulations, usability of the standards in existing environment.
7. Incorporated Expertise of ISO 9001 standards and Quality management system.
8. Expertise of seven principles of Quality management system.
9. The key element of the management system (plan, do, check, act) (PDCA)
10. Detailed development tools, management techniques, for improving QMS.

Skills:

1. To Illustrate the determinants of product quality and services.
2. Explain interaction between misconceptions about ISO 9001.
3. Capability to make clear the methodologies and its role in a QMS based on ISO 9001.
4. To discover the inclusion of QMS constraints in standard ISO 9001.
5. Analysis of Plan-Do-Check-Act cycle and risk-based thinking.
6. Apply management principles of authority, responsibility, and accountability
7. Capability to illustrate the determinants of product and service quality.
8. Skill to distinguish risks and opportunities and to validate the appropriateness of quality objectives.

2 Domain 2. Risk Analysis and Quality Management System – 12%

Knowledge of:

1. Prerequisites of ISO 9001 for creating, establishing, implementing, maintaining, and continually improving Quality Management System – QMS.
2. Risk management principles and requirements of ISO 9001 structure.
3. Risk control process and techniques with organisational interest and concerned parties.
4. Hierarchy of control management, and risk analysis of quality policy, effectiveness of management leadership roles, and responsibilities associated to the quality management system.
5. Investigate the nature of risk, & risk prioritization (management strategies, action plans, control decisions).
6. Previous risk mitigation strategies and appropriate actions, analyse the risk analysis cost and predicted risk management for the sustainability and continuity of QMS.

7. Apply risk-based decision-making tools for prioritizing risk management options.
8. Valuing the context, Issues, risks within the organisation leadership and services support and operations.
9. Strong understanding of external and internal crises that effect framework of an organisation and methods for scop establishment.

Skills:

1. Apply management principles of authority, responsibility, and accountability.
2. Utilize the appropriate strategies and approaches in risk management process to the establishment of quality objectives.
3. To utilize effective approaches, methods, techniques for analysis, evaluation, measurement, internal and external audit management for quality improvement.
4. Recognition of available resources, competencies, and documented information for the smart QMS.
5. Compare quality management systems with benchmarks.
6. Accountability for duties at the workplace and (managers, supervisors, quality committee etc.)

3 Domain 3. Principles of ISO Audit 9001 and Sustainability – 11%

Knowledge for:

1. Essential characteristics of an auditor in audit ISO 9001, number of principles. (Integrity, fair presentation, dual professional care, confidentiality, independence, evidence-based approach, risk -based approach).
2. Knowledge of Professional job responsibilities, legal requirements for audit.
3. Demonstrate competencies, fair and unbiased judgement, while carrying out audit.
4. Common structure, concepts, principles, identical core requirements and common terms and core definitions of Audit ISO 19011.
5. Work Style Assessment that demonstrates independencies/impartiality of the audit.
6. Appropriate work values, style, and attitude attributes related to. ISO 19011.
7. Knowledge of methods for reproducing audit conclusions in systematic audit process (Evidence-based approach)
8. Consider risks free significance audits for the auditee (Risk-based approach)
9. Proficiency to understand, justify, and demonstrate the application of the audit principles in a QMS audit.
10. Audit requirement for management system, and audit types (internal, external & third party)
11. Elements of business continuity & contingency plans and sustainability
12. Estimation of required sources and maintenance of quality services
13. Professional responsibility and PEEB Code of Ethics. (Care, fair presentations, confidentiality, independence, integrity).

Skills:

1. Conduct effective leadership analyses and task analyses (job descriptions, responsibilities, accountabilities).
2. Ability to present fair audit findings, conclusions, reposting accurately.

3. Ability to provide good communication, professional care towards judgement in aiding.
4. Quality management system evaluation within organisation and Continual Improvement.
5. Relate management system plan to the provision of specific outputs of a management system (e.g., quality plan, project plan).
6. Roles & Responsibilities of audit parties
7. Identify the requirements of ISO 9001 standards for the sustainability, maintaining and continuity delivery of QMS.
8. Integrate the quality management system and management functions according to ISO 19011 into organisational structure, culture & design etc.
9. Ability to evaluate the audit management and auditing Performance of audit team.

4 Domain 4. Managing /Organizing an ISO 9001 Audit Programme – 20%

Knowledge of:

1. Establish objectives, methods for the audit programme.
2. Make audit outlines for the implementation in quality management system.
3. Clarify the audit requirements, functionality with the context of the organisation which is being audited.
4. Relevant requirements, information about internal, external issues.
5. QMS requirements, Legal and conformity commitment.
6. Performance level of the auditee and other members of the audit team.
7. Analyse the potential risk opportunities associated with the ISO 9001 Lead Auditor.
8. Make clear the relevant scope, schedule, and audit types (internal, external).
9. Maintain and develop a quality and significance for QMS auditors.
10. Establish Quality management system processes, standards, and requirements defined by the organisation or other parties/competitors.
11. Outline and planning for stage 2 (on-site audit activities, preparation of working document, organizing audit/opening meetings.
12. Analyse first, second- and third-party audit differences and theories of maternity (ISO) and its application to an audit.
13. Understanding Policies, laws, statutory and applicable regulatory requirements to auditee.
14. Justification of roles, Competencies, responsibilities, and amount of evidence in a QMS of the team leader, audit team members, and professional experts.
15. Effective utilizations of evidence-based approach and risk-based approach for an audit risk related activities (intrinsic risk, control, detection, judgment) in QMS ISO 9001.
16. Determining, evaluating the level of materiality and feasibility during the stages of QMS audit.

Skills:

1. Ability to conduct desk review.
2. Audit to the ISO 9001/19011 system theories/ of reasonable assurance and its application.
3. Combined the audit approaches while management systems of different disciplines are audited together.
4. Ability to establish the extent of the audit programme (auditee information, functionality, level, or maturity.)

5. Ability to demonstrate the availability of the audit resources.
6. Ability to select audit methods and assessing responsibilities of individuals in audit.
7. Ability to verify any follow-up action with the context of previous audit.
8. Integrated Audit and Presentation tools & method of facilitating in ISO 9001 QMS.
9. Define approaches to audit, communication, behaviour, (desire, comfortability, social interaction, feelings)
10. Ability to manage the audit outcomes and audit program records.
11. Monitoring the audit process and improving the ISO 9001 audit programme.

5 Domain 5. Conducting an Audit (Stages/Process) – 20%

Knowledge of:

1. Establish contact with auditee and conduct opening meetings with auditee.
2. Conformity of communication channels, and authority to conduct the audit.
3. Access relevant information for planning purposes
4. Clarify and consider the (documentation, requirements, relevant management discipline, terms & Condition) of ISO 9001.
5. Determining the feasibility of the audit (information for planning, cooperation with auditee, resources).
6. Evaluate and distinguish the maintaining and retaining documented information and criteria.
7. (Emails, training process of staff, supplier registration, legal documents, purchasing)
8. Develop and maintain audit working papers and elaborate appropriate audit test plans, techniques, in a QMS audit.
9. Evaluate boundaries and verify audit objectives, criteria, and pertinence scope for a quality management system QMS audit.
10. Evaluate the auditee's planning (Competencies, Quality objective, Roles, responsibilities and authorities, support requirements, Operational processes, management review).
11. Communicating with audit team members and verifying the collected information from auditee.
12. Determining findings, define assessments, prepare conclusion, corrective actions report.
13. Analyze and justify the need for effective communication with the auditee and technical experts throughout the audit process.

Skills:

1. Ability to conduct management system audits and individual's accountability and activities.
2. Ability to provide document of clear guidance on auditing management system, managing audit program.
3. Evaluate auditee's knowledge and implementation between external and internal issues, relevant parties' interests, and action to meet up the risk/conflict resolution.
4. Validate auditee's determination for customer and Quality policy, strategic direction as established by top management.
5. Commits to Continual improvement and knowledge of advantages and disadvantages of using audit checklist.
6. Ability to clarify the need for auditor confidentiality and best practice of communication to collect the appropriate audit evidence and evaluate objectively.
7. Audit the provided considerations and discover the specific competencies are needed.

8. Ability to use documented information and primary audit sampling methods illustrate the audit data.
9. Understanding of requirements, steps, and activities of audit stage 1, 2, evaluation criteria according to ISO 9001.
10. Ability to review the audit findings and determine the audit conclusion.

6 Domain 6. Conducting the Closing of ISO Audit 9001 – 15%

Knowledge of:

1. Conducting closing meetings with auditee to present audit findings.
2. Insight the guidelines of NCR and best practices to evaluate action plans.
3. Apply and explain evidence evaluation process/procedure, layout audit outcomes and preparing audit final conclusions/ decision of an audited organization.
4. Clarify the benefits conception of the doubt and its use/application in quality policy/management system.
5. Identification of positive feedback of audit findings in addition to nonconformity, and acknowledgement of potential risks and opportunities for improvement/development.
6. Evaluate audit evidence correctly and identify conformity and nonconformity with requirements of QMS.
7. Provide good practice, guidelines, characteristics, and distinctions between the concepts of conformity, minor nonconformity, major nonconformity, anomaly, and observation.
8. Provide appropriate audit observations report in accordance with ISO 9001 audit rules and principles.
9. Preparing complete, accurate, concise, and clear record report and distributing audit report.
10. Report the audit grade nonconformity appropriately reports.
11. Potential recommendations during the certification audit for an audited organization to auditee at a closing meeting.

Skills:

1. Ability to Conduct the activities following an initial audit activity.
2. Ability to evaluate the action plans, audit follow-ups, and surveillance activities.
3. Ability to provide guidelines and best practices to complete audit working documents and perform a quality review.
4. Ability to identify the scope, functions/processes audited.
5. Able to evaluate the related evidence, and audit conclusion.
6. Evaluate the conditions for the modification, extension, suspension, or withdrawal of an organization's certification.
7. Generate a statement on the degree to which the audit criteria have been fulfilled.
8. Distributing the audit reports (should be dated, reviewed, accepted, and appropriate) in accordance with the audit program.

7 Domain 7. Assessment/Managing an ISO 9001 Lead Auditor Programme – 12%

Knowledge for:

1. Manage the significance of protecting the integrity, availability, and confidentiality of audit records and the auditors' responsibilities in this regard.
2. Status of required actions from previous and existing management reviews.
3. Potential requirements of resources to mitigate the customers satisfactions.
4. Clarity of understanding the documented quality management procedure information.
5. Performance evaluation, efficiency check and distinguishing the role, responsibilities of each member of audit team.
6. Opportunities to improve the product and services.
7. Corrective action review of strategies and plan structure, analyze the risk analysis cost and predicted risk management.
8. Develop conflict resolution and generating potential problem solutions.
9. Follow up audit action review requirements, course revision, and clarification of doubts.

Skills:

1. Ability to demonstrate the application of the personal attributes and behaviours in audit.
2. Explanation of required actions and controls to make the decisions correct.
3. Ability to distinguish the nonconformity outputs, before and after.
4. Determining the same NCR existence in review procedure.
5. Evaluate proposals for corrective action and differentiate between preventive and corrective action.