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**certm:nd**



**Syllabus**

# ISO 9001

Quality Management System (ISO 9001:2015)

[www.certmind.org](http://www.certmind.org)



**2021**

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# ISO 9001:2015 –Internal Auditor

Our goal at CertMind is to certify the skills of professionals working in the Technology context. To achieve this, we seek to ensure that professionals demonstrate their skills and knowledge through the application of an International Certification Exam.

## Certification category

**Main category:** ISO Standards

**Category:** Internal Audit

**Subcategory:** Quality Management System (ISO 9001:2015)



## Scope of certification

The purpose of the ISO 9001:2015 Certification - Internal Auditor is to demonstrate that the professional has a practical understanding of the terminology, structure, and considerations for defining, implementing, monitoring, auditing, and improving a Quality Management System (QMS) following the guidelines of ISO 9001:2015 (quality) and ISO 19011:2018 (auditing).

## Prerequisites

- Be of legal age, according to the minimum age determined by law (according to the National Identity Card that must be uploaded to the platform).
- Have basic knowledge of reading, writing and basic arithmetic: addition, subtraction, multiplication and division.
- Reading and acceptance of the Code of Ethics available on the platform before taking the certification exam.

## Code of Ethics

All certified professionals must know, accept and abide by the Code of Ethics, which is available for consultation on the platform.

## Recommendations

- It is highly recommended that the professional attends a formal ISO 9001:2015 Internal Auditor training of at least 20 hours, segmented into 5 sessions of approximately 4 hours.



## Required competencies and job description

In order to ensure that the professional has the minimum competencies and knowledge that can be applied in a real environment, the following topics are addressed in the exam:

Module	Job Description	Required competencies
1. Introduction	Identify, within the context of the organization in which the professional practice is developed, the importance and general aspects of the development of a Quality Management System within the organization.	<ol style="list-style-type: none"> <li>1. What is a Management System and an Integrated Management System?</li> <li>2. History and evolution of the standard.</li> <li>3. What is ISO 9001?</li> <li>4. Scope and benefits of implementing the ISO 9001 standard</li> <li>5. Relationship with other international standards</li> </ol>
2. General	Identify and evaluate the consideration of the PHVA cycle, the process approach and risk-based thinking in the design and implementation of the processes and activities that make up the Quality Management System.	<ol style="list-style-type: none"> <li>1. What is quality management?</li> <li>2. Principles of quality management.</li> <li>3. What is the process approach?</li> <li>4. PHVA Cycle</li> <li>5. Risk-based thinking</li> </ol>
3. Context of the organization	Plan and execute monitoring and review activities to establish the organizational context that affect the ability of the Quality Management System to achieve the expected results.	<ol style="list-style-type: none"> <li>1. Understand the organization and its context through tools such as the SWOT matrix, strategic analysis, legal matrix, mission, vision, values, strategic objectives and policies.</li> <li>2. Understand and manage stakeholder needs and expectations.</li> <li>3. Determine the scope of the Quality Management System.</li> <li>4. Structure and processes of the Quality Management System.</li> </ol>

Module	Job Description	Required competencies
4. Leadership	Determine if there is leadership and commitment to the Quality Management System within the organization. Define and evaluate the organization's quality policy.	<ol style="list-style-type: none"> <li>1. To know the actions that allow evidencing the leadership and commitment to the Quality Management System.</li> <li>2. Understanding Customer Focus.</li> <li>3. To understand what it is, what makes it up and some recommendations on the Quality Policy</li> <li>4. Know the importance of assigning and communicating roles, responsibilities and authorities</li> </ol>
5. Planning	Define and evaluate the risks associated with the Quality Management System, the quality objectives with the respective plans to achieve them, mechanisms to manage the changes made to the Quality Management System.	<ol style="list-style-type: none"> <li>1. Understand and manage risks and opportunities</li> <li>2. Quality objectives and plans to achieve them</li> <li>3. Planning of changes</li> </ol>
6. Support	Identify the necessary resources for the definition and implementation of a Quality Management System.	<ol style="list-style-type: none"> <li>1. Required resources (people, infrastructure, environment, monitoring and measurement resources, organizational knowledge)</li> <li>2. Competition</li> <li>3. Awareness</li> <li>4. Communication</li> <li>5. Documented information</li> <li>6. Control of documented information</li> </ol>

Module	Job Description	Required competencies
7. Operation	Perform the evaluation, planning, implementation and control of all processes involved in achieving the objectives of the Quality Management System.	<ol style="list-style-type: none"> <li>1. Operational planning and control</li> <li>2. Requirements for products and services</li> <li>3. Design and development of products and services</li> <li>4. Control of processes, products and services of external suppliers</li> <li>5. Production and service provision</li> <li>6. Release of products and services</li> <li>7. Control of non-conforming outputs</li> </ol>
8. Performance evaluation	Identify and evaluate the activities necessary to assess the performance of the Quality Management System.	<ol style="list-style-type: none"> <li>1. Monitoring, measurement, analysis and evaluation of the QMS</li> <li>2. Internal Audit</li> <li>3. Senior management review</li> </ol>
9. Improvement	Identify and evaluate actions that contribute to the continuous improvement of the Quality Management System.	<ol style="list-style-type: none"> <li>1. Non-conformities and corrective actions.</li> <li>2. Continuous improvement of the Quality Management System</li> </ol>

Module	Job Description	Required competencies
10. Guidelines for the audit	<p>Define, implement, review and improve the audit program. Prepare and disseminate the audit plan.</p> <p>Coordinate and conduct the opening meeting. Prepare reports of findings.</p> <p>Conduct interviews with process owners and participants. Classify audit findings. Prepare the final audit report. Coordinate and conduct the closing meeting. Determine and evaluate the competencies required by an auditor.</p>	<p><b>Management of an audit program</b></p> <ol style="list-style-type: none"> <li>1. Auditing principles</li> <li>2. Definition of audit program objectives</li> <li>3. Definition of the audit program</li> <li>4. Implementation of the audit program</li> <li>5. Follow-up of the audit program</li> <li>6. Review and improvement of the audit program</li> </ol> <p><b>Performing the Audit</b></p> <ol style="list-style-type: none"> <li>1. Initiation of the audit</li> <li>2. Preparation of audit activities</li> <li>3. Performance of audit activities</li> <li>4. Preparation and distribution of the audit report</li> <li>5. Completion of the audit</li> <li>6. Conducting audit follow-up activities</li> </ol> <p><b>Competence and evaluation of an auditor</b></p> <ol style="list-style-type: none"> <li>1. Determine the auditor's competence</li> <li>2. Establishing the auditor's evaluation criteria</li> <li>3. Selecting the auditor evaluation method</li> <li>4. Conducting the auditor assessment</li> <li>5. Maintaining and improving auditor competence</li> </ol>

## Evaluation of competencies

CertMind performs two types of assessment to ensure that the professional has the required competencies:

1. **Multiple choice questions with only one answer:** this evaluation modality consists of theoretical questions of multiple-choice single answer that seek to measure the degree to which the professional has understood the theoretical concepts of the certification.
2. **Case study:** Its structure is similar to that of the questions mentioned in the previous section, the difference being that, instead of asking about a particular concept, it presents a description of a situation that takes place in the real context and that must be analyzed by the professional in such a way that he/she can first identify the problem and then evaluate which of the options presented reflects the best solution to the problem situation.

Competition	Questions (1)	Case study (2)
Master the basic concepts and context of ISO 9001:2015.	X	
To clearly understand the concept of quality management, its principles and the stages of the PHVA cycle.	X	
Identify external and internal issues (organizational context) that may affect the Quality Management System.	X	
Clearly understand the importance of leadership and the involvement of the organization's top management to create an environment of commitment to the definition of the Quality Management System and the quality policy.	X	
The professional understands the considerations for the definition of the objectives and principles for the orientation of the Quality Management System.	X	



Competition	Questions (1)	Case study (2)
The professional understands the considerations and aspects that are necessary for the definition and implementation of the Quality Management System (QMS), supported by the required documentation.	X	X
The professional understands how to plan, implement and control processes to achieve the quality objectives defined in the Quality Management System (QMS) and the quality policy defined by the organization.		X
The professional understands the importance of permanent monitoring of the Quality Management System and the quality policy, including periodic reviews to improve its operation.		X
The professional understands the organization's responsibility for continuous improvement of the effectiveness of the Quality Management System through monitoring of quality policy, audit findings, corrective actions and review by top management.	X	
The professional clearly understands the considerations for managing an audit program in the organization, following the guidelines of the ISO 19011 standard for auditing a management system.	X	X
The professional understands the phases for conducting an internal audit, following the guidelines of the ISO 19011 standard.	X	
The professional must understand the importance of assessing and maintaining the competence of an auditor, following the guidelines of ISO 19011.	X	

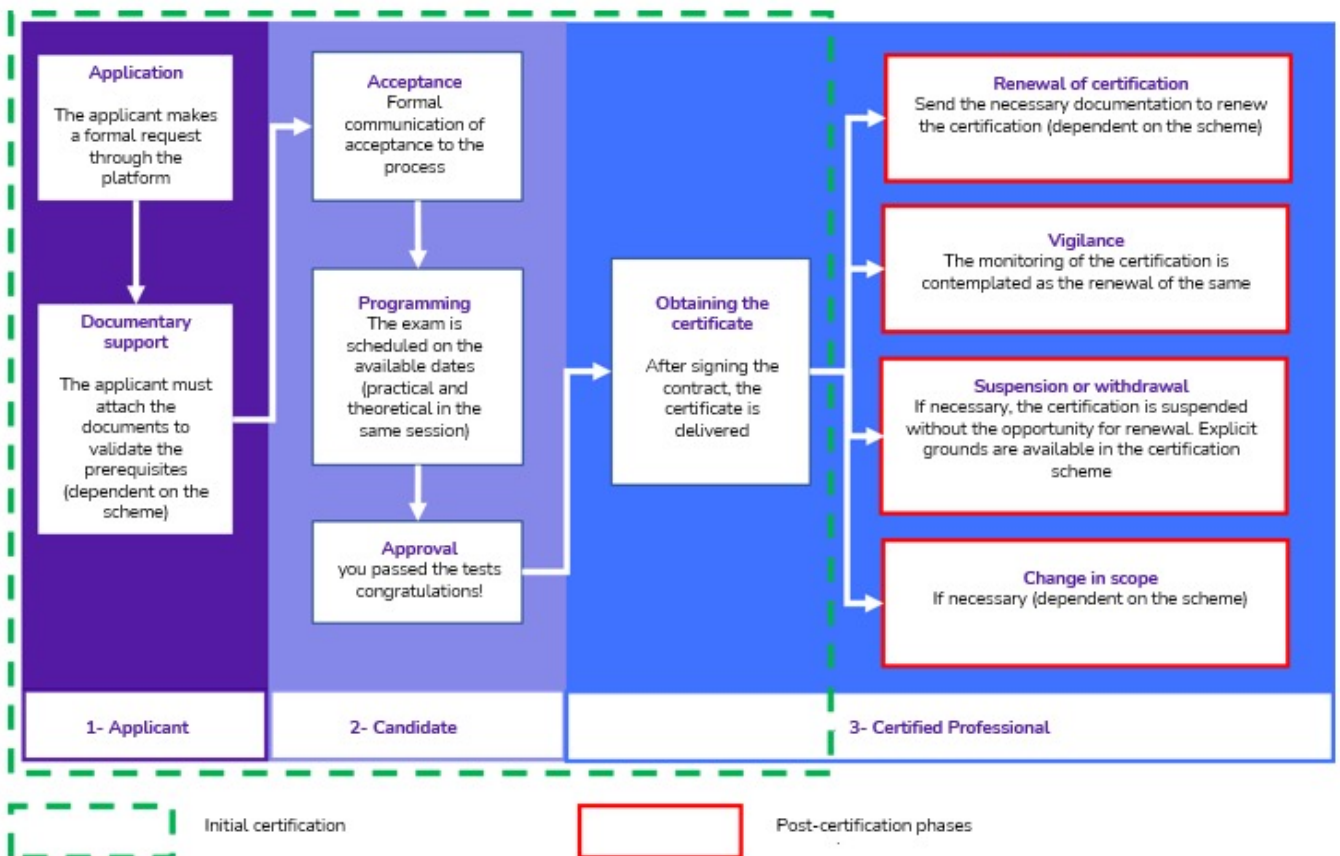
## Who should take this exam?

This exam is ideal for individuals or teams responsible for ensuring the quality of products and services in the organization.

**Roles such as:** process leaders, quality coordinators, persons responsible for the implementation and maintenance of a QMS (Quality Management System), directors or managers in charge of quality assurance, auditors or groups of process auditors.

## Certification process

The following chart shows the general life cycle for obtaining a certification:



## Certification process

Each of the phases for obtaining certification for the first time is described below; the phases after obtaining the certificate (red-bordered boxes) will be explained later.

- 1. Request for certification:** the applicant submits his or her certification application, on the QuizLab platform or through the partner company (where the applicant has taken his or her training). Once the application is approved, the applicant's profile is created in CertMind.
- 2. Documentary support:** the applicant must attach in the CertMind platform his or her identity document and additionally complete the registration of his or her resume (CV).
- 3. Verification and acceptance:** the platform verifies the applicant's compliance with the prerequisites, once verified, the application is accepted and the applicant becomes a candidate for the certification process.
- 4. Programming:** the call for the presentation of the exam is made, directly on the platform or through its representative. The format of the exam is explained below:
  - **Type:** 40-question, multiple-choice, single-answer online exam.
  - **Duration:** 60 minutes.
  - **Minimum passing grade:** 28/40 or 70%.
  - **Additional time:** If the professional does not take the exam in his/her native language, he/she will have an additional 15 minutes and is also allowed to use a dictionary.
  - **Supervision:** CertMind monitors the tests to ensure that they are performed correctly and transparently through the Invigilator Program (also known as "Proctor"). To learn more about this surveillance mechanism, please visit the following website [www.certmind.org](http://www.certmind.org)
  - **Open book:** No.
  - **Modality:** Available online only on the CertMind platform.
  - **Validity :** 5 Years.
  - **Others:** All applicants are required to read and accept the company's code of ethics and terms and conditions.

## Levels of Difficulty: Bloom's Taxonomy

Bloom's Taxonomy is a theory known in the educational sector because many teachers consider it suitable for evaluating the cognitive level acquired in a subject. The objective of this theory is that after a learning process, the learner acquires new skills and knowledge. The following table presents a description of the categories of Bloom's taxonomy present in the certification exam, as well as a description of in the certification exam, as well as the percentage of each type of question in the exam.

Module	Level 1	Level 2	Level 3
Description	Knowledge. It can comprise remembering a wide range of elements, from specific data to complete theory. But all that is needed is to bring to mind the appropriate information.	Compression. This can be demonstrated by passing, or translating, material from one form to another (words to numbers), interpreting the material (explaining or summarizing), and estimating future trends (predicting consequences or effects).	Application. Refers to the ability or capacity to use the material learned in concrete, new situations.
Percentage of questions present in the exam	50%	30%	20%

**Note:** For more information on the monitoring system visit our web site <https://certmind.org>.

**5. Obtaining the certificate:** once the exam is passed and the terms and conditions contract is accepted, the certification is delivered.

## Renewal, surveillance and withdrawal of certification

This phase occurs after the professional has obtained his or her certification. Renewal refers to the reissuance of the certification once its validity has come to an end. Surveillance refers to CertMind's supervision of the professional's performance during the period between certification and recertification to ensure compliance with the stipulations of this certification scheme. The activities that the certified professional must perform in order to obtain recertification are described below:

**1. Application for recertification:** before the certification becomes invalid, the certified professional submits his or her recertification application on the QuizLab platform. In case the certification loses its validity, the professional must go through the certification process again.

**2. Registration of PUC's:** the certified professional is required to register 30 PUC's every 5 years for certification renewal.

For more information about the Professional Update Credits (PUC) system visit our website <https://certmind.org>. The certified professional must attach the supports that accredit the PUC's in the CertMind platform.

**3. Validation of documentation:** the platform verifies compliance with the PUC's of the certified professional, once verified, the recertification application is accepted.

**4. Obtaining recertification:** Once the documents have been validated, the new certification is delivered.

### Criteria for suspension or withdrawal of certification

Certification will be withdrawn from the professional in the following cases:

1. Failure to comply with the code of ethics.
2. Failure to comply with the requirements of the scheme.
3. Unsatisfactory results of the surveillance process.
4. Inability to continuously meet the competency requirements of the scheme.

### Changes to the certification scheme

The ISO 9001:2015 - Internal Auditor certification scheme does not contemplate changes in the scope as currently no extensions or reductions in the scope or level of the certification are applied.



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