PECB

CERTIFIED ISO 30301
LEAD AUDITOR

MASTERING THE AUDIT OF A MANAGEMENT SYSTEM FOR RECORDS (MSR) BASED ON ISO 30301

SUMMARY

This five-day intensive course enables participants to develop the necessary expertise to audit a Management System for Records (QMS) based on ISO 30301 and to manage a team of auditors by applying widely recognized audit principles, procedures and techniques. During this training, the participant will acquire the necessary knowledge and skills to proficiently plan and perform internal and external audits in compliance with ISO 19011; the certification process according to ISO 17021. Based on practical exercises, the participant will develop the skills (mastering audit techniques) and competencies (managing audit teams and audit program, communicating with customers, conflict resolution, etc.) necessary to efficiently conduct an audit.

WHO SHOULD ATTEND?

► Internal auditors
► Auditors wanting to perform and lead Management System for Records (RMS) certification audits
► Managers or consultants wanting to master the Management System for Records audit process
► Persons responsible for the Records Management conformity in an organization
► Members of a quality, information security, environmental, or energy management team
► Expert advisors in Management System for Records
► Technical experts wanting to prepare for a Records Management audit function

COURSE AGENDA   DURATION: 5 DAYS

DAY 1

Introduction to Management System for Records (RMS) concepts as required by ISO 30301

► Course objectives and structure
► Standard and regulatory framework
► Certification process
► Fundamental principles of records management
► Management System for Records (MSR)

DAY 2

Audit principles, preperation and launching of an audit

► Fundamental audit concepts and principles
► Audit approach based on evidence and risk
► Initiating the audit
► Stage 1 audit
► Preparing the stage 2 audit (on-site audit)
► Stage 2 audit (Part 1)

DAY 3

On-site audit activities

► Stage 2 audit (Part 2)
► Communication during the audit
► Audit procedures
► Creating audit test plans
► Drafting audit findings and non-conformity reports

DAY 4

Closing the audit

► Documentation of the audit and quality review
► Closing the audit
► Evaluating action plans by the auditor
► Beyond the initial audit
► Managing an internal audit programme
► Competence and evaluation of auditors
► Closing the training

DAY 5

► Certification Exam

LEARNING OBJECTIVES

▶ To acquire the expertise to perform an ISO 30301 internal audit following ISO 19011 guidelines
▶ To acquire the expertise to perform an ISO 30301 certification audit following ISO 19011 guidelines and ISO 17021 specifications
▶ To acquire the necessary expertise to manage an RMS audit team
▶ To understand the operation of an ISO 30301 conformant to Management System for Records
▶ To understand the relationship between a Management System for Records and compliance with the requirements of different stakeholders of the organization
▶ To improve the ability to analyze the internal and external environment of an organization, and audit decision-making in the context of an RMS

EXAMINATION

The "PECB Certified ISO 30301 Lead Auditor" exam fully meets the requirements of the PECB Examination and Certification Programme (ECP). The exam covers the following competence domains:

1 ### Domain 1: Fundamental principles of records management

Main Objective: To ensure that the ISO 30301 Lead Auditor candidate can understand, interpret and illustrate the main Records Management concepts related to a Management System for Records (MSR))

2 ### Domain 2: Management System for Records (MSR)

Main Objective: To ensure that the ISO 30301 Lead Auditor candidate can understand, interpret and illustrate the main concepts and components of a Management System for Records based on ISO 30301

3 ### Domain 3: Fundamental concepts and principles of auditing

Main Objective: To ensure that the ISO 30301 Lead Auditor candidate can understand, interpret and apply the main concepts and principles related to a MSR audit in the context of ISO 30301

4 ### Domain 4: Preparation of an ISO 30301 audit

Main Objective: To ensure that the ISO 30301 Lead Auditor candidate can prepare appropriately a MSR audit in the context of ISO 30301

5 ### Domain 5: Conducting an ISO 30301 audit

Main Objective: To ensure that the ISO 30301 Lead Auditor candidate can conduct efficiently a MSR audit in the context of ISO 30301

6 ### Domain 6: Concluding an ISO 30301 audit

Main Objective: To ensure that the ISO 30301 Lead Auditor candidate can conclude a MSR audit, and conduct the follow-up activities in the context of ISO 30301

7 ### Domain 7: Managing an ISO 30301 audit program

Main Objective: To ensure that the ISO 30301 Lead Auditor understands how to establish and manage a MSR audit program

▶ The "PECB Certified ISO 30301 Lead Auditor" exam is available in different languages (the complete list of languages can be found in the examination application form)
▶ Duration: 3 hours
▶ For more information about exam, refer to PECB section on ISO 30301 Lead Auditor Exam

CERTIFICATION

▸ After successfully completing the exam, participants can apply for the credentials of PECB Certified ISO 30301 Provisional Auditor, PECB Certified ISO 30301 Auditor or PECB Certified ISO 30301 Lead Auditor depending on their level of experience. Those credentials are available for internal and external auditors

▸ A certificate will be issued to participants who successfully pass the exam and comply with all the other requirements related to the selected credential.

▸ For more information about ISO 30301 certifications and the PECB certification process, refer to the PECB section on ISO 30301 Lead Auditor Certification

Credential	Exam	Professional Experience	MS audit/ assessment experience	Other requirements
ISO 30301 Provisional Auditor	PECB Certified ISO 30301 Lead Auditor Exam or equivalent	None	None	Signing the PECB code of ethics
ISO 30301 Auditor	PECB Certified ISO 30301 Lead Auditor Exam or equivalent	**Two years:** One year of work experience in related field	Audit activities totaling 200 hours	Signing the PECB code of ethics
ISO 30301 Lead Auditor	PECB Certified ISO 30301 Lead Auditor exam or equivalent	**Five years** Two years of work experience in related field	Audit activities totaling 300 hours	Signing the PECB code of ethics

GENERAL INFORMATION

▸ Certification fees are included in the exam price

▸ A student manual containing over 450 pages of information and practical examples will be distributed to participants

▸ A participation certificate of 31 CPD (Continuing Professional Development) credits will be issued to participants

▸ In case of failure of the exam, participants are allowed to retake the exam for free under certain conditions