

## The Effective Internal Auditor

(For ISO 9001 Quality Management systems only)

### Training Course Outline

Description: This course is for individuals who wish to qualify to internally audit management systems compliant with the requirements of ISO 9001 (2008). The course complies with the guidance of ISO 19011.

Pre-requisites: Each student must come to class with his/her own copy of ISO 9001 standard. (All other course literature is provided.)

Class size: 8 to 12.

Duration: 16 hours (2 days).

1. Introduction
  - a. Rationale for internal audit
  - b. Differences between management system internal audit and other types of audits
  - c. The Plan-Do-Check-Act model
  - d. Internal audit: the ISO 9001 requirement
2. **Team Exercise 1: Understanding the requirements of ISO 9001 (2000)**
  - a. Teams prepare findings
  - b. Teams present findings
3. All about processes
  - a. Definition of a process
  - b. Categories of processes
4. Introduction to process auditing
  - a. Purpose of internal audits
  - b. System document structure
  - c. Who's who in internal audit
  - d. The 5 key principles of effective internal audit
5. Phase 1: audit preparation
  - a. Evaluate process to be audited
  - b. Other background information
  - c. Review / prepare audit checklist
  - d. All about audit evidence
6. **Team Exercise 2: Case study - audit preparation**
  - a. Teams prepare findings
  - b. Teams present findings
7. Phase 2: gathering data
  - a. Data gathering techniques
  - b. The 5 most important rules
  - c. The 5 generic questions
  - d. The 5 key facts

- e. The 5 best lines
- f. Handling potential noncompliances
- g. Drilling down
- 8. **Team Exercise 3: Case study - audit data gathering**
  - a. Teams prepare findings
  - b. Teams present findings
- 9. Phase 3: rationalizing findings
  - a. Positive findings
  - b. Negative findings (and observations)
  - c. Reporting a noncompliance: the 4 elements
  - d. "Finding" and "evidence"
  - e. Ranking noncompliances: major and minor?
  - f. Identifying repeat noncompliances
- 10. Phase 4: reporting findings
  - a. Audit report
  - b. Closing meeting
- 11. **Team Exercise 4: Case study - rationalizing findings and audit reporting**
  - a. Teams prepare findings
  - b. Teams present findings
- 12. Rigorous final exam