

## The Effective Internal Auditor

(For integrated quality, environmental, and safety management systems)

### Training Course Outline

Description: This course is for individuals who wish to qualify to internally audit integrated management systems compliant with the requirements of ISO 9001, ISO 14001, and ISO 45001 (OHSAS 18001). This workshop style course, combining tutorial matter as well as team exercises and case studies, complies with the guidance of ISO 19011.

Pre-requisites: Each student must come to class with his/her own copies of the standards / specifications referenced above. (All other course literature is provided.)

Taught at: Client site only.

Class size: 12 maximum.

Duration: 3.5 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**
  - a. Teams prepare findings
  - b. Teams present findings
3. All about processes
  - a. Definition of a process
  - b. Categories of processes
  - c. Objectives and purposes of the 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. Relevant laws and regulations
  - d. Risks and opportunities
  - e. Review / prepare audit checklist
  - f. 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
  - g. Relevant laws and regulations
  - h. Updating system risk data
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. Introduction: ISO 14001 and ISO 45001 (OHSAS 18001)
  - a. Similarities and differences among the standards
13. ISO 14001
  - a. Environmental management process concept
14. **Team Exercise 5: Understanding the requirements of ISO 14001**
15. OHSAS 18001
  - a. Health / safety management process concept
16. **Team Exercise 6: Understanding the requirements of ISO 45001 (OHSAS 18001)**
17. Auditing environmental and health/safety processes
  - a. General methods
  - b. Follow the trail
  - c. Key areas
  - d. Other potential problem areas
18. **Team Exercise 7: Case study - environmental / health/safety process audit**
  - a. Teams prepare findings

b. Teams present findings  
19. Review exercise

## What past students have said about our courses. . . .

Instructor knowledgeable, with excellent communication skills. Hands-on exercises very helpful.

--Anonymous Kantner & Company student,  
General Dynamics

Practical exercises were very valuable in providing reference to the course material.

--Anonymous Kantner & Company student,  
General Dynamics

The instructor was very knowledgeable. He made a very boring process fun. He was great!

--Kristine Logan, Beanstalk Group

Information given was very specific. Eliminated the unknowns.

--Luanne Reece

Subject matter was pretty dry, but the material was presented in an interesting way.

--Dave Frederick, General Dynamics

Rob was very informative and easy to understand.

--Deanna Johnson, Beanstalk Group

Clean and to the point. Knowledge of real world scenarios and telling how it *really* works instead of blowing smoke.

--Keith Thome

Very relevant to our type of organization. Presented in an interesting and casual manner; makes it more of a reality than a far-fetched process.

--Pam Carlin, MP Pumps

Not boring - time went by too fast.

--Ron Bilgo, Miller Compressing

Instructor made this somewhat dry material very interesting.

--Jerry Stafford, Beanstalk Group

Portions of this seminar would be extremely beneficial to all employees from an educational standpoint in

regards to quality.

--Janet Dell, Beanstalk Group

Instructor kept things in simple English rather than "ISO"ese.

--Mike Herderich

I liked the manual, the time-frame, and the location.

--Charles Perry

I liked the animated abilities of the instructor to keep the class interested in subject matter, on track, and focused.

--Anonymous Kantner & Company student,  
General Dynamics

I liked the hands-on training backed up by manual presentations.

--A. Amato, General Dynamics

Instructor balanced the activities and functions to help the trainees focus on the topic material. Will recommend to other companies.

--David Sharkey, DiClimente Siegel

I liked the interaction; this was not just a straight lecture format. Nice job!

--Bill Graybar, DiClimente Siegel

Simple and straight-forward.

--Tony Serabia

Good pace.

--Bob Quail

Informative, well organized, and presented in a relaxed atmosphere. Instructor was very helpful - never failed to answer questions no matter how insignificant.

--Tricia Watts, MP Pumps

The knowledge of the instructor in this subject really made class very informative. Really learned a lot about auditing and ISO.

--Andy Waluszko, General Dynamics

Informative without making you feel inadequate.

--Anonymous Kantner & Company student,  
Miller Compressing

What I liked was instructor's humor and preparation.

--Anonymous Kantner & Company student,  
DiClimente Siegel

Great training!

--Diane Jarvis, Beanstalk Group

Excellent. Keep it up. And thanks.

--Anonymous Kantner & Company student,  
Miller Compressing

Instructor kept it light hearted and entertaining, yet we still learned what we needed to know.

--Anonymous Kantner & Company student,  
Miller Compressing

Instructor kept it interesting with occasional bits of humor. Case studies were great. Course would not have been done justice without them.

--Anonymous Kantner & Company student,  
Miller Compressing

I liked instructor's ability to make a relatively dull topic more interesting.

--Anonymous Kantner & Company student,  
DiClimente Siegel

Instructor spoke in layman's terms; easy to understand. Manual very helpful.

--Sally Johnson

Doing the case exercises made what could have been a very dry subject much more interesting. I learn more by doing rather than just being lectured. Very good course - I learned a lot.

--Anonymous Kantner & Company student,  
General Dynamics

Very experienced and excellent instructor.

--Lisa Bryant, General Dynamics

Guidebook is an excellent reference.

--Christine Zimmer

User-friendly. Moved along. Organized.

--Rich Breckinridge

Interactive; moved along well. Good mix of

Very knowledgeable in field. I learned quite a bit about auditing.

--Barbara Owens, Beanstalk Group

Interesting, informative, great pace. Mr. Kantner made it easy to ask questions - very comfortable setting.

--Bess Pliakos

Again, thanks for everything. I've really enjoyed all the training. This information will follow me anywhere.

--Michael Warren, Beanstalk Group

The team exercise was informative. Great job!

--Melissa Benedetti, Beanstalk Group

Subject was covered quickly and concisely, without just stating what the Standard was without explanation.

--Anonymous Snapshot Seminar attendee

Very good course - well organized.

--Steven Sturm, General Dynamics

Course was condensed, and informative. Instructor was helpful even when "sidetracked" by passing out and discussing forms.

--Anonymous Kantner & Company student,  
DiClimente Siegel

instruction. Excellent instructor. Would highly recommend this course to anyone learning how to audit.

--Carmen Simonelli, General Dynamics

Rob did a great job presenting the material and comparing our manual to the Standard.

--Karen Hoch, Beanstalk Group

Rob did a good job communicating. Good teacher.

--Anonymous Kantner & Company student,  
Miller Compressing

[Instructor] made a potentially dull subject very interesting. I recommend this to all employees.

--Mike Doore, General Dynamics

Tour of the [ISO 9001] Standard could have been grueling. Your approach to carve it up and make it interactive made all the difference.

– General Dynamics student

The pace and level of detail were right on. Instructor was excellent.

– Mike Borer, General Dynamics student

Instructor's enthusiasm kept things fast and interesting. Time flew by.

– Bill Rodriguez, General Dynamics student

I liked the group activities and the interaction we got to have with our teams. I like how the activities really made you think.

– Kelly A. Choppy, General Dynamics student

The extensive use of case studies was outstanding.

– General Dynamics student

Real world examples were good. Instructor kept everyone on task and pace.

– General Dynamics student

[Course was] Not simply lecture. Hands-on activities helped learning.

– General Dynamics student