

The Effective Internal Auditor (For ISO 9001:2015 quality management systems) Training Course Outline

Description: This course is for individuals who wish to qualify to internally audit quality management systems compliant with the requirements of ISO 9001:2015. 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 ISO 9001:2015 standard. (All other course literature is provided.)

Taught at: Client site only.

Class size: 12 maximum.

Duration: 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**
 - 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. Review / prepare audit checklist
 - e. 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. 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

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,

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

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

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

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

[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

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

Interactive; moved along well. Good mix of 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

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