

The Effective Internal Auditor

(For ISO/TS 16949 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/TS 16949 (2002). The course complies with the guidance of ISO 19011.

Pre-requisites: Each student must come to class with his/her own copy of ISO/TS 16949 standard. (All other course literature is provided.)

Taught at: Client site only.

Class size: 8 to 16.

Duration: 24 hours (3 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/TS 16949 requirement
 - e. Differences among ISO/TS mandated audits
2. **Team Exercise 1: Understanding the requirements of ISO/TS 16949 (2002)**
 - a. Teams prepare findings
 - b. Teams present findings
 - c. Review: customer-specific requirements
3. All about processes
 - a. Definition of a process
 - b. Categories of processes
 - c. Customer-oriented processes (“octopus” diagram)
 - d. Process maps
 - e. Process analysis diagrams (“turtle”)
4. **Team Exercise 2: Constructing a turtle diagram**
5. 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
6. Phase 1: audit preparation
 - a. Evaluate process to be audited
 - b. Risks to customer
 - c. Process inputs / outputs
 - d. The “core tools” and data to be derived

- e. Review / prepare audit plan
- f. All about audit evidence
- 7. **Team Exercise 2: Case study - audit preparation**
 - a. Teams prepare findings
 - b. Teams present findings
- 8. Phase 2: gathering data
 - a. Data gathering techniques
 - b. Follow the data
 - c. The 5 most important rules
 - d. The 5 generic questions
 - e. The 5 key facts
 - f. The 5 best lines
 - g. Handling potential noncompliances
 - h. Drilling down: linkages among processes
- 9. **Team Exercise 3: Case study - audit data gathering**
 - a. Teams prepare findings
 - b. Teams present findings
- 10. 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
- 11. Phase 4: reporting findings
 - a. Audit report
 - b. Closing meeting
- 12. **Team Exercise 4: Case study - rationalizing findings and audit reporting**
 - a. Teams prepare findings
 - b. Teams present findings
- 13. Rigorous final exam