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# ISO 9001:2008 Internal Auditor Training



## ***Student Manual***

# *Internal Auditor Training*

## **AGENDA**

### **I. The Standard**

	Introduction to Auditing
0:15	Presentation: Guide to Internal Auditing 9001
0:15	Review Document: ISO 9001:2008
0:30	Exercise: Is it a Requirement?
2:00	Presentation: Requirements of ISO 9001:2008
0:45	Exercise: Find the Requirement
0:15	Questions

### **II. The Audit**

0:30	Scheduling the Audit
0:30	Planning the Audit
0:45	Opening Meeting
0:45	Audit 4.2 Documentation
0:45	Audit 5.0 Management Responsibility
0:45	Audit 7.2 Customer-Related processes
0:45	Audit 7.4 Purchasing
0:45	Audit 8.5 Corrective Action
0:30	Auditors Document Findings
0:30	Final Audit Report
0:30	Closing Meeting
0:30	Creating the Audit File

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# A Guide to Internal Auditing ISO 9001

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## Introduction: Why are you here?

- To learn more about ISO 9001
- To be able to evaluate you own area and make improvements.
- To understand the audit process
- To be able to participate in the audit process

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## Why participate in internal audits?

- The internal audit program is the most powerful tool available for building, maintaining and improving your quality system.
- You can be a part of it

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# Is it a Requirement?

<p><b>The standard requires that:</b>                      If the requirement is true, circle True and list the clause.                      If it is false, circle False and list the clause used.</p>	True	False
1. Verbal orders may not be accepted.	T <i>Clause:</i>	F <i>Clause:</i>
2. Management must review the quality system every quarter.	T <i>Clause:</i>	F <i>Clause:</i>
3. A procedure must be written for contract review (receiving and processing of customer orders).	T <i>Clause:</i>	F <i>Clause:</i>
4. The effectiveness of employee training must be assessed.	T <i>Clause:</i>	F <i>Clause:</i>
5. Statistics must be used to monitor processes.	T <i>Clause:</i>	F <i>Clause:</i>
6. Customer complaints are handled by management.	T <i>Clause:</i>	F <i>Clause:</i>
7. The results of corrective actions taken must be documented.	T <i>Clause:</i>	F <i>Clause:</i>
8. Release of product for delivery must be authorized.	T <i>Clause:</i>	F <i>Clause:</i>
9. There must be a documented procedure for purchasing of product.	T <i>Clause:</i>	F <i>Clause:</i>
10. A list of approved suppliers must be maintained.	T <i>Clause:</i>	F <i>Clause:</i>
11. All non-usable customer supplied product must be returned to the customer.	T <i>Clause:</i>	F <i>Clause:</i>
12. Work instructions may be changed if quality assurance approves the changes.	T <i>Clause:</i>	F <i>Clause:</i>

# Find the Requirement

	Clause:
1. Establish a quality policy.	
2. Determine customer requirements.	
3. Check to see if a corrective action was effective.	
4. Provide controlled conditions for servicing.	
5. Identify any quality requirements your supplier must meet on your purchasing documents.	
6. Ensure that purchased product meets specified requirements.	
7. Ensure communication between different groups involved in the design and development of products.	
8. Determine what training is required for staff.	
9. Changes to documents should be identified.	
10. Determine how changes to customer orders will be communicated to the appropriate people in you facility.	
11. Planning processes needed for product realization.	
12. Select your suppliers on their ability to meet requirements.	
13. Management must communicate the importance of meeting customer requirements.	
14. If your customer intends to perform verification at your supplier's site, the arrangements need to be in the purchasing documents.	
15. Document how planning will be done.	
16. Obsolete documents must be protected against unintended use.	

# Appendix

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## Basic Steps for an Audit

### ➤ Scheduling the audit

The audit schedule, usually prepared by the lead auditor or the Management Representative, is generally prepared to cover a year

### ➤ Planning the audit

The lead auditor will prepare the audit plan

### ➤ Performing the audit

- Opening Meeting
- Audit of the area
- Auditors document findings
- Final Audit Report
- Closing Meeting

### ➤ Creating the audit file

Example

Internal Audit Plan

Audit Number: 5	Opening Meeting Attendees:			
Date: <i>April 1, 2008</i>				
Area(s) to be audited:  <i>Warehouse</i>	Closing Meeting Attendees:			
Scope of audit and objectives: <i>The scope of this audit will include auditing the warehouse for the following clauses of the standard: 6.2, 7.5, 8.2, 8.3, and 8.5</i>			Standard: X ISO 9001 Other: _____	
Auditors: <i>Lead auditor: Richard Richards Auditors: Ander Anderson, Robbie Roberts</i>				
Proposed Schedule				
Time	Process or Procedure	Team 1	Team 2	
8:00	<i>Opening meeting</i>			
8:30	<i>Auditors meeting</i>			
	<i>( doc review)</i>			
9:30	<i>7.5 Product provision</i>			
11:00	<i>8.2 Monitoring and measure.</i>			
12:00	<i>Lunch break</i>			
1:00	<i>8.3 Control of N/C material</i>			
2:00	<i>8.5 Corrective action</i>			
2:30	<i>6.2 Training</i>			
3:00	<i>Auditors meeting</i>			
4:00	<i>Closing meeting</i>			
Corrective Actions to be verified: <i>0094, 0103, 0110</i>				
Primary contact: <i>Pete Peters</i>			Time and Place for closing meeting: <i>4:00 Conference room B</i>	
Additional information:				
Signature of Lead Auditor: <i>Richard Richards</i>			Date: April 1, 2008	



<b>PAGE</b>	<b>of</b>	<b>STANDARD AUDIT IS BASED UPON:</b>
<b>AUDITOR:</b>	<b>DATE:</b>	

Document Reference	Description of Audit Point	Acc / Rej	Comments	C.A.R. #
5.1	<p><i>Has importance been communicated?</i></p> <p><i>Is there a Quality Policy statement</i></p> <ul style="list-style-type: none"> <li>• <i>Does it include improvement</i></li> <li>• <i>Has it been communicated</i></li> <li>• <i>Is it approved and dated</i></li> </ul>			
5.4	<p><i>Have objectives been established at relevant levels of the organization?</i></p> <p><i>Is integrity maintained when changes To the QMS are implemented?</i></p>			
5.5	<p><i>How are responsibilities and authority defined and communicated?</i></p> <p><i>Is there a management representative?</i></p>			
5.6	<p><i>Are management review meetings held?</i></p> <p><i>Are all topics covered as required?</i></p> <p><i>Are minutes available?</i></p>			