

## The Effective Internal Auditor

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

### 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 OHSAS 18001. The course 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: 24 hours (3 days).

1. Introduction
  - a. Rational 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
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 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 9001**
15. OHSAS 18001
- a. Health / safety management process concept
16. **Team Exercise 6: Understanding the requirements of OHSAS 18001**
17. Auditing 14001 and 18001 processes
- a. General methods
  - b. Follow the trail
  - c. Key areas
  - d. Other potential problem areas
18. **Team Exercise 7: Case study - environmental / safety process audit**
- a. Teams prepare findings
  - b. Teams present findings
19. Rigorous final exam