

**113 page Student
Manual included**

AS 9110 Rev C

Internal Auditor Training



Student Manual

Internal Auditor Training

AGENDA

I. The Standard

- Introduction to Auditing
- 0:15 Presentation: Guide to Internal Auditing AS 9110 REV C
- 0:15 Review Document: AS 9110 REV C
- 0:30 Exercise: Is it a Requirement?
- 2:00 Presentation: Requirements of AS 9110 REV C
- 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 5.2 Quality Policy
- 0:45 Audit 8.1 Operational Planning and Control
- 0:45 Audit 8.2 Customer Related Processes
- 0:45 Audit 8.4 Control of External Providers
- 0:45 Audit 10.2 Nonconformity and Corrective Action
- 0:30 Audit 9.3 Management Review
- 0:30 Auditors Document Findings
- 0:30 Final Audit Report
- 0:30 Closing Meeting
- 0:30 Creating the Audit File

Space provided for student notes

5.1 Leadership

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5.1.1 -- Demonstrate leadership and commitment

- Ensuring the integration of the QMS requirements into the company's business processes,
- Promoting awareness of the process approach and risk-based thinking,
- Ensuring that the resources needed for the QMS are available,
- Communicating the importance of an effective QMS and of conforming to the QMS requirements,

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5.1 Leadership

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5.1.1 -- Demonstrate leadership and commitment

- Ensuring that the QMS achieves its intended results,
- Engaging, directing and supporting people to contribute to the effectiveness of the QMS,
- Supporting other relevant management roles to demonstrate leadership in their areas of responsibility,
- Promoting improvement,
- Ensuring that the safety policy and safety objectives are established,
- Ensuring that the corrective actions, especially the ones identified in audits, are promptly implemented.

5.1 Leadership

5.1.2 Customer Focus

Top management must demonstrate leadership and commitment to customer focus by ensuring:

- Customer and applicable statutory and regulatory requirements are determined, understood and consistently met,
- The risks and opportunities that can impact conformity of products and services and the ability to enhance customer satisfaction are determined and addressed,
- The focus on enhancing customer satisfaction is maintained,
- Product and service conformity and on-time delivery performance are measured and action is taken if planned results are not or will not be achieved

5.2 Quality Policy

Top management must establish, review and maintain a quality policy that:

- Is appropriate to the purpose and context of the organization and supports its strategic direction,
- Provides a framework for setting quality objectives,
- Includes a commitment to satisfy applicable requirements,
- Includes a commitment to continually improve the QMS.

5.3 Organizational Roles, Responsibilities and Authorities

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Top management must ensure that:

- The QMS meets the requirements of AS 9110 C;
- The intended outputs of processes are delivered;
- The reporting on the performance of the QMS, on the opportunities for improvement, and on the need for change is performed;
- The promotion of customer focus is done in the company;
- The integrity of the QMS is maintained when changes are planned and implemented.

5.2.3 Establishing and Communicating the Safety Policy

Top management must establish, implement, and maintain a safety policy that:

- Is the framework for setting safety objectives,
- Is a statement that encourages safety reporting and ensures that no punitive action will result,
- Includes a commitment to continually improve safety management,
- Is retained as documented information.

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Basic Steps to an Internal Audit

Scheduling the audit

The audit schedule is usually prepared by the Lead Auditor or by the Management representative and covers a period of one year.

Planning the audit

The lead auditor will prepare the audit plan.

Performing the audit

- Opening meeting
- Audit of the area
- Auditors document the findings
- Final Audit report
- Closing meeting
- Creating the audit file

Find the Requirement:

	Clause:
1. Establish a Quality policy that is appropriate to the organization and that supports the strategic direction.	
2. Establish the Quality management system (QMS) that includes the processes needed and their interactions, and that also addresses customer and statutory and regulatory requirements.	
3. Consider external and internal issues, the requirements of interested parties, and the products and services of the company when determining the scope of the QMS.	
4. Address any applicable statutory and regulatory requirements and the one the company considers necessary when determining the requirements for products and services offered to customers.	
5. Top management demonstrates commitment with respect to the QMS and to customer focus.	
6. Documented information required by the QMS and by the AS standard is controlled to ensure that it is available for use where and when it is needed and to prevent the unintended use of obsolete information.	
7. Review to determine if a corrective action taken to address nonconformities was effective.	
8. Control changes in documented information to ensure that the latest version is available.	
9. Determine the internal and external communication relevant to the QMS including feedback.	
10. Determine the risks and opportunities that need to be addressed to give assurance that the QMS can achieve intended results.	
11. Determine and implement a process for customer communication on obtaining feedback relating to products and services and including complaints.	
12. Ensure that persons whose work affects the performance of the QMS are competent on the basis of education, training, or experience.	
13. Determine the organizational knowledge needed for the operation of the processes and to achieve conformity of products and services.	
14. Determine the length of time that documented information will be retained prior to disposition.	
15. Personnel must be aware of the relevant QMS documented information and changes to it, their contribution to product or service conformity, their contribution to product safety, and to the importance of ethical behavior.	
16. Determine and provide the resources needed to ensure valid and reliable results from the monitoring or measuring activities.	
17. Ensure that externally provided processes, products and services conform to requirements.	
18. Management must be committed to ensuring that the quality policy and objectives are established and are compatible with the context and strategic direction of the company.	

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The Internal Audit Plan / Schedule

Audit Number:		Opening Meeting Attendees:	
Date Scheduled			
Area(s) to be audited:		Closing Meeting Attendees:	
Scope of audit and objectives:		Standard:	
Lead auditor:			
Proposed Schedule			
Time	Process or Procedure	Team 1	Team 2
Corrective Actions to be verified:			
Primary contact:			
Additional information:			
Signature of Lead Auditor			Date

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CORRECTIVE ACTION REQUEST

P-D-C-A REPORT	<input type="checkbox"/> CUSTOMER NONCONFORMITY REPORT - NCR # _____ <input checked="" type="checkbox"/> CORRECTIVE ACTION REQUEST - CAR # 17-A-16 CAR prepared by: R. Richards - Date: April 14, 2017												
Service/Product/System: Internal audit of April 14, 2017 Problem Reported by: R. Roberts April 14, 2017 Identification of Nonconformity: As required in par 5.2.3 of procedure P-1020 for Nonconformity and corrective action, customer survey requests, F-912-001 are not issued at the rate of 4 per quarter.													
PLAN-DO-CHECK-ACT	Resolution of nonconformity assigned to: D. Thomas Evaluation: Analysis indicates actual cause of problem to be: Minimum information and communication relative to the determination of customer satisfaction with the processing, follow up and analysis of customer satisfaction surveys.												
PLAN	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%; text-align: left;">Actions Required:</th> <th style="width: 15%;">By Dept</th> <th style="width: 15%;">Promise date</th> </tr> </thead> <tbody> <tr> <td>Review the procedure P-912 and emphasize the need to initiate and follow up on the issue of customer satisfaction surveys with form F-912-001</td> <td style="text-align: center;">[D. Thomas [[</td> <td style="text-align: center;">[April 28, 2017 [[</td> </tr> <tr> <td>Complete the 1st quarter survey issue schedule and prepare for 2nd quarter issues of the surveys.</td> <td></td> <td></td> </tr> <tr> <td>Provide P-912 and P-1020 procedure training to the sales and marketing personnel</td> <td style="text-align: center;">J. Sample</td> <td style="text-align: center;">[</td> </tr> </tbody> </table>	Actions Required:	By Dept	Promise date	Review the procedure P-912 and emphasize the need to initiate and follow up on the issue of customer satisfaction surveys with form F-912-001	[D. Thomas [[[April 28, 2017 [[Complete the 1 st quarter survey issue schedule and prepare for 2 nd quarter issues of the surveys.			Provide P-912 and P-1020 procedure training to the sales and marketing personnel	J. Sample	[
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Provide P-912 and P-1020 procedure training to the sales and marketing personnel	J. Sample	[
DO	Actions Taken: Training to be completed on May 8, 2017												
CHECK	Actions Effective: <input type="checkbox"/> Yes, <input checked="" type="checkbox"/> no...next follow-up date April 30, 2017 <input type="checkbox"/> yes, <input type="checkbox"/> no...next follow-up date _____ <input type="checkbox"/> YES.												
P-D-C-A Report is closed-out													
ACT	Actual Completion/Implementation Date: _____ Quality Review by: _____ Date: _____												

F-1020-001