

Internal Auditing to ISO 9001:2000

Overview

This course is to train people to be able to conduct your internal quality audits so you can meet the internal audit requirements of the standard. The course is divided into two sections. The first section will familiarize the students with the requirements of the ISO 9001:2000 quality management system. This normally is ½ day. The second section is devoted to the auditing process. The students will go through all the steps required for an audit, with hands on involvement in performing each step by conducting a mock audit of a fictitious company. Allow 1 day for this section.

It is recommended that the first audit the student is involved with, be under the leadership of a lead auditor that has audit experience.

What you will need to conduct this course

The supplies you will need are:

- Copies of the Student Manual (included). Print one copy for each student.
- Copies of the Sticky Bubble Gum Documents and Records (included). Print one copy for each team of two or three students.
- Copies of the ISO 9001:2000 Standard (one copy for each two or three students) Standards are available electronically from <http://www.asq.org>
- Introduction to ISO 9000 Power Point Presentation by Vinca, LLC (included). This can be done by showing the presentation from a PC, or by printing the slides out as overhead transparencies and using an overhead projector.
- Internal Auditing to ISO 9000 Power Point Presentation by Vince, LLC (included). These can be used as overheads to supplement your training activities.

The method of setting up the classroom will depend on the facility you have available. The class can be delivered with everyone sitting around a conference table, or if you have a larger room with tables that can be arranged, some suggested configurations are included on the next page. You will need a screen or suitable wall to show the power point presentations or the overheads on.

An explanation of the room set-up and how to use it will be explained later as the situations arise.

The standard

Introduction

You can put up an overhead of the Agenda and explain what is coming, and do any introductions or icebreakers. At this point each student should have a student manual, and each team of 2 or 3 should have a copy of the standard.

Introduction overheads – You could show and discuss the first three slides of the “Internal Auditing to ISO 9001” Power Point Presentation.

Exercise

Review the organization of the ISO standard with them so they have an idea where to find things in the standard.

Have the students open to “Is it a requirement” in the front of the student manual.

Working in groups of 2 or 3, have them determine whether or not the statement is true or false, and write down the clause of the standard where they found it. This is not a test, but an exercise to get them familiar with the standard, so the trainer can go around and help the teams, particularly the slower teams that get behind the rest.

After one or two teams finish, or after a maximum of about 45 minutes, you can go through the statements and discuss the answers. Remind the students that there are some things that are mentioned in more than one place in the standard, so there could be more than one correct answer in some cases. A copy of the exercises with the answers is included on the following pages.

ISO 9001:2000 Standard

Review the standard using the Power Point presentation. If you use the speaker’s notes this review could take about 2 hours. Encourage questions as you go. The student manual has note pages so students can follow along in their manual and take notes.

Find the requirement

Next in the Student Manual is another exercise “Find the Requirement”. Have students find the clause in the standard that applies. Have them work in groups as in the previous exercise. Again, discuss the answers together.

To conclude this first section of the course, open it up to questions and answers on the standard.

The Audit

Normally the class size will vary from 4 to 12. Divide the class into teams of 2 or 3. It works best to have an even number of teams for holding opening and closing meetings. Now in addition to a copy of the standard, each team should have a copy of the Sticky Bubble Gum Documents and Records. This includes the SBG Quality Manual, Procedures, Work Instruction and various records, audit schedule and org chart.

Refer to the page showing the room layout suggestions. The conference table option shows 4 teams of 3 each. The trainer is at the head of the table and the screen for projecting overheads.

The other configuration shows a head table for the trainer, and 6 tables, each with a team of 2 (12 in a class). With a smaller class, 4 tables with 2 or 3 on a team will work well. This layout could hold 6 teams of 3 at a table for a class of 18.

Next is the Student Manual is a copy of a typical Internal Audit Procedure, QP-822. You could go through this with the class, have them read it now, or have them read it on their own late. You could insert your own Internal Audit Procedure here in the Student Manual instead of this example.

Next in the student manual is a MEMO from Somersby (Sticky Bubble Gum's Quality Manager) to "Expert Audit Assistance". The class is "Expert Audit Assistance". Read the memo in class. If you desire, you could show the memo as an overhead. It is now September 12th, and the class is going to perform an internal audit of Sticky Bubble Gum's management's area.

Overhead – Basic Steps for an Audit

This will show the class what steps they will be going through for the balance of the class.

Have each student fill out the audit plan that is next in the student manual. Have them use the Sticky Bubble Gum Internal Audit Schedule and audit chart in the SBG Documents and Records, following the SBG Quality Manual, before the procedures.

Overhead – Prepare an audit plan for SBG

Discuss filling out the plan; as they are doing it you can show the example included in the appendix.

Overhead – Sample Audit plan (in appendix)

Overhead - Opening Meeting Agenda

Have each team choose a lead auditor. Now have them conduct an opening meeting. If you are using a conference table, Team 1 can hold a meeting with Team 2 across the

table, and team 3 with team 4 etc. If you have the individual tables, now team one can turn around and meet with team 2, 3 with 4, and 5 with 6. Have the odd number team be the auditors and the lead auditor will lead the meeting. The even number team will be Sticky Bubble Gum management. When they have finished, have them reverse the roles, and do it again with the even number team lead auditor can conduct the meeting.

Overhead – Prepare your checklists

Have the students turn their manual to the Audit checklist for 4.2 Control of documents. The students are now ready to audit Stick Bubble Gums Control of Documents. They should make all their notes on the checklist. To audit they have the SBG Quality Manual, P 4.2-009, the Procedure for Control of Documents, and the Master Document List. There are also the rest of the procedures in the manual, to see if they match the master list. Have the students write down any questions they want to ask on the checklist.

Overheads – Ask Question of Employees

When they are ready to audit SBG management, let the teams ask questions of the Trainer who will act the part of Somersby, the document control coordinator for SBG. Make sure students note any nonconformances they find on their checklist. This should take about 45 minutes.

Now review their findings. Ask the teams what nonconformances they found. A list of some of the things they could find is included in the appendix “Control of Document Nonconformances” If you want you could show these on an overhead as you discuss them.

Repeat the process for 5.0 Management Responsibility. They have:

- The 5.0 checklist in their student manual
- SBG Quality Manual
- Procedure P 5.0-002
- SBG org chart
- Minutes on management review

The Trainer could act the part of Mary Tyler Moore, the Management Representative for this one. Again, some nonconformances they could find are listed in the appendix.

Repeat for 7.2 Customer-related processes. They have:

- The 7.2 checklist in their manual
- Quality manual
- P 7.2 Customer –related processes
- Quotes
- Customer purchase orders

The Trainer could act as Mary again for this since she is the Customer Service Manager.