

# **AS 9120 Rev B**

## **Internal Auditor Training**



## ***Student Manual***

# *Internal Auditor Training*

## **AGENDA**

### **I. The Standard**

- Introduction to Auditing
- 0:15 Presentation: Guide to Internal Auditing AS 9120 REV B
- 0:15 Review Document: AS 9120 REV B
- 0:30 Exercise: Is it a Requirement?
- 2:00 Presentation: Requirements of AS 9120 REV B
- 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



# A Guide to Internal Auditing AS 9120 B

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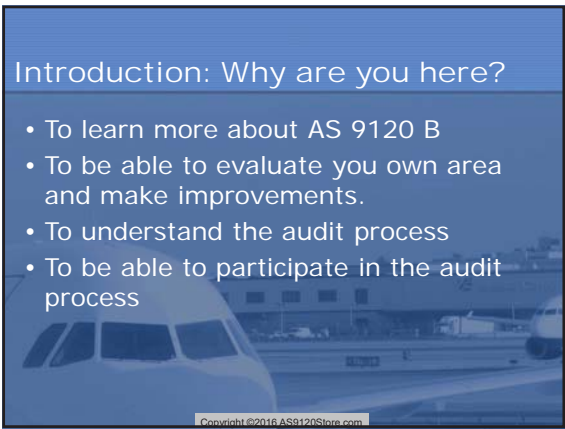
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## Introduction: Why are you here?

- To learn more about AS 9120 B
- 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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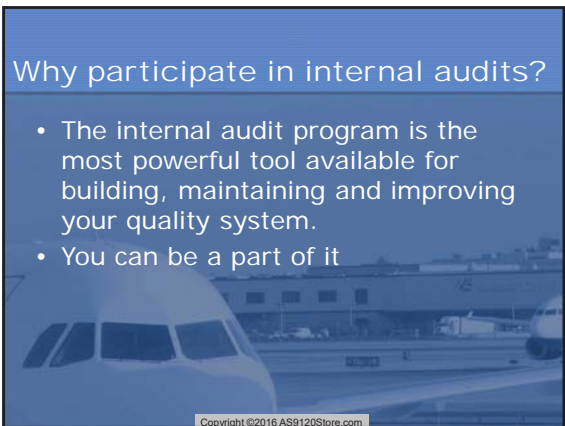
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## Why participate in internal audits?

- 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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## Reactions of auditors after their first audit

- "Its great to see other parts of the system, I had no idea there was so much to it."
- "I thought I would hate this but I really liked getting to see what other people are doing. I learned a lot about the rest of the company"
- "I have to go change a few things in my area now."

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## A Guide to Internal Auditing

- Types of Audits
- Why Audit?
- Who Can Audit?
- Performing an Internal Audit
  - Planning
  - Opening Meeting
  - Techniques
  - Tools
  - Closing Meeting

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## Types of Audits

**There are three kinds of audits that can be conducted in your organization:**

1. **First party audit** or an **Internal audit** - that is the topic of this presentation.
2. **Second party audit**, carried out by a customer or a customer's representative, usually to ensure that you comply with contractual requirements.
3. **Third party audit**, carried out by a Registrar, usually to certify that your quality management system is in compliance to the AS 9120 B standard.

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## Why Audit?

### Why are internal audits so important?

- Sometimes a QMS slips over time and needs to be checked / audited to be sure that everyone is following the procedures and instructions.
- Conditions can change and the auditors will identify departures from the planned arrangements that may in fact be improvements over the existing methods.
- Improvements can be identified and related procedures or instructions upgraded, accepted and approved by the responsible parties.

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## Why Audit?

### AS Standards follow *Plan-Do-Check-Act*

- **Plan** - Establish the objectives and processes needed to deliver the QMS results
- **Do** - Implement the QMS processes
- **Check** - Check the processes against the policy, objectives, targets, regulations, and report on the results. (**Auditing**)
- **Act** - Take actions to improve the QMS.

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## Why Audit?

### The Internal Audit process is one of the most important Requirements in an AS or ISO-Based standard.

AS and ISO Standards require that an audit program be established, implemented, and maintained.

- AS 9120 B, par. 9.2.2
- AS 9110 C, par. 9.2.2
- AS 9100 D, par. 9.2.2
- ISO 9001:2015 par. 9.2.2

**Failure to perform Internal audits becomes a significant "Road-Block to Registration – It will 'Ground You'".**

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## Why Audit?

Internal auditing is one of the most challenging requirements of AS 9120 B.

Audits are necessary and need to be done to take advantage of the possible benefits.

.. Audits are the Key to Improvement ..

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## Who Can Audit?

- Auditors typically represent the people employed by the organization and must be objective and dedicated to this important task.
- AS 9120 B par. 9.2.2 requires that "**selection of auditors shall ensure objectivity and impartiality of the audit process**" ~or~ **Auditors cannot audit their own work.**
- There are important techniques that they must be aware of when they prepare for and perform the audits.
- Internal auditors must become familiar with the auditing process.

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## Performing an Internal Audit

### »Overview

Internal Auditor training covers:

- The purpose and scope for auditing the QMS to the AS Standard
- The requirements for planning and scheduling internal audits
- The practices followed during the internal audit including opening and closing meetings
- How to develop checklists and questions for the various audits
- How to interview and what to look for when asking questions
- Reporting on the internal audit and follow-up activities.

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## Performing an Internal Audit

### » Overview (Cont'd)

**An internal audit on your complete QMS is required before the registration audit is conducted and it is done to:**

1. Help train employees in the requirements of the QMS
2. Ensure that the activities required by the QMS are implemented and are effective
3. Demonstrate the requirements for internal auditing are being implemented.

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## Performing an Internal Audit

### » Planning

**Planning for internal audits is very important.**

Top management in organizations usually prepare an annual internal audit schedule during the Management Review.

The schedule is the authority for the internal audit team to plan their work and perform the audits as planned.

We will prepare a flow chart of the internal audit process  
... on the next slides ..

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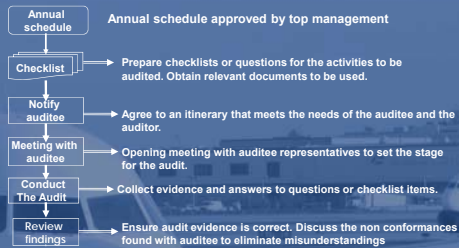
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## Performing an Internal Audit

### » Planning (Cont'd)



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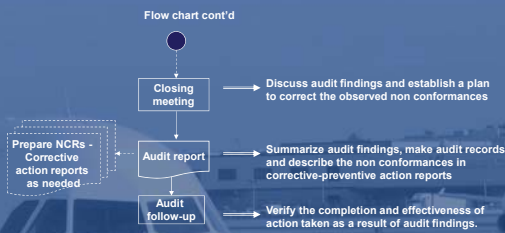
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## Performing an Internal Audit

### » Planning (Cont'd)



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## Performing an Internal Audit

### » Techniques

#### More about audits and auditing techniques

- Auditees must be made comfortable during interviews and there are techniques that are used by auditors to make it easier.
- Experienced auditors learn to read body language and other non verbal clues.
- The auditor will question the auditee, listen to the answers, and anticipate the answer to the question.
- It is necessary to listen critically, analyze the answer, record the information and, at the same time, prepare the next question.

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## Performing an Internal Audit

### » Techniques (Cont'd)

#### The tools used are: Questioning, Observing, Listening

- Care should be taken when collecting evidence to ensure that questions are non-threatening and designed to elicit accurate responses.
- It may be necessary to ask the same question with more than one interviewee, to calm auditees who may feel defensive during an interview, and to uncover underlying objective facts to support statements made during interviews.

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