

AS 9120 Rev B

Internal Auditor Training



Trainer's Guide

Overview

These course materials are meant to train people to conduct internal quality audits within your organization, which are necessary to meet the internal audit requirements of the AS 9120 REV B standard.

The course is divided into two sections:

1. The first section will familiarize the students with the AS 9120 REV B requirements for quality management system.
 - Allow 4 hours for this section.
2. 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 8 hours for this section.

We recommend that you print this guide as you'll need the PowerPoint speaker notes to lead the class. This guide contains everything the instructor needs to lead the class.

Notes:

- It is assumed that the instructor has certified Lead Auditor credentials or equivalent experience. This is not meant as a self study course.
- It is recommended that the first audit the student is involved with be under the leadership of a lead auditor who has audit experience.

Course Materials

The supplies you will need are:

- PowerPoint: **Guide to Internal Audits** (included).
- PowerPoint: **Requirements of AS 9120 REV B** (included).
 - A complete version with Speaker Notes is in this Trainer's Guide
- PowerPoint: **Steps of Internal Audit** (included).
 - A complete version with Speaker Notes is in this Trainer's Guide
- Student Manual (included).
 - Print one copy for **each student**
 - You may wish to have extra copies of the CAR form
 - It includes reduced versions of all the PowerPoints.
- AeroSource Company - Documented Information (included).
 - Print one copy for **each team** of two or three students.
 - See next page for list of contents.
 - Note that for this training, it is not possible to bring all documents from a fictitious company in the classroom.
 - However, documents relevant to the audit and non-conformances observed are included. In the list of documented information, the relevant manual and procedures are highlighted in **brown font**.
- The AS 9120 REV B Standard (**NOT Included***)
 - You will need one copy for every 2-3 students.
 - Standards are available electronically from <http://www.techstreet.com/products>

The AS 9120 REV B Standard is a copyrighted document and we are unable to include it.

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AeroSource Co Documented Information

AeroSource Co Documented Information – Contents

Qty	Documents and Records	No. of Pages
1	QM-9120-B Quality Manual	8
1	F-750-001 List of Documented Information	2
1	Internal Audit Master Schedule	1
1	P-500 Leadership Procedure	2
1	A-520-001 Quality Policy and Strategic Direction	1
1	P-810 Operational Planning and Control	2
1	F-610-001 Risk and Opportunity Worksheet	1
2	F-810-001 Project Planning Worksheet	3
1	P-820 Customer Related Processes Procedure	3
1	F-820-001 Client Assessment Report	1
2	F-820-010 ASC Quotation / Proposal	2
1	P-840 Control of External Providers Procedure	3
1	F-840-002 List of Approved Sources	1
3	F-840-005 ASC Purchase Order / Amended Purchase Order	3
1	F-840-010 External provider Problem Log Form	1
1	P-1020 Nonconformity and Corrective Action Procedure	2
1	F-912-001 Customer satisfaction survey	1
1	R-1020 Register of Improvement Action Reports - NCR-CAR	1
1	F-1020-001 Corrective Action Request Form (CAR)	1
1	NCR – Section 1 Corrective Action Requests	1
1	CAR – Section 2 Corrective Action Requests	1
1	P-930 Management Review Procedure	2
1	F-930-001 Management Review Meeting Agenda	1
1	F-930-002 Minutes of Management Review	2

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

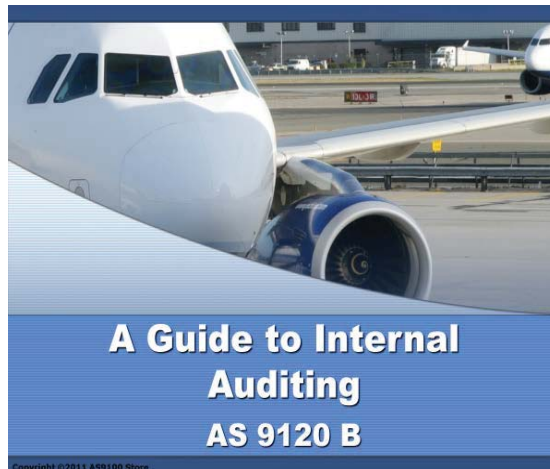
- 0:30 Scheduling the Audit
- 0:30 Planning the Audit
- 0:45 Opening Meeting
- 0:45 Audit 5.2 Quality Policy
- 0:45 Audit 8.1 Operational planning and control
- 0:45 Audit 8.2 Customer Related Processes
- 0:45 Audit 8.4 Control of External providers
- 0:45 Audit 10.2 Nonconformity and Corrective Action
- 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

The AS Standard

Introduction to Auditing

This section will familiarize the students with the requirements AS 9120 REV B quality management system (QMS).

1. Review the **Guide to Internal Auditing AS 9120 REV B** Power Point Presentation with the group.
2. Review and discuss the organization of the AS 9120 REV B document so the students can familiarize themselves with how the standard is structured.
3. Complete the exercise “Is it a Requirement?” below.



Exercise: Is it a Requirement?

Have the students open to “**Is it a Requirement**” in the student manual. Working in groups of 2 or 3, have them determine whether or not:

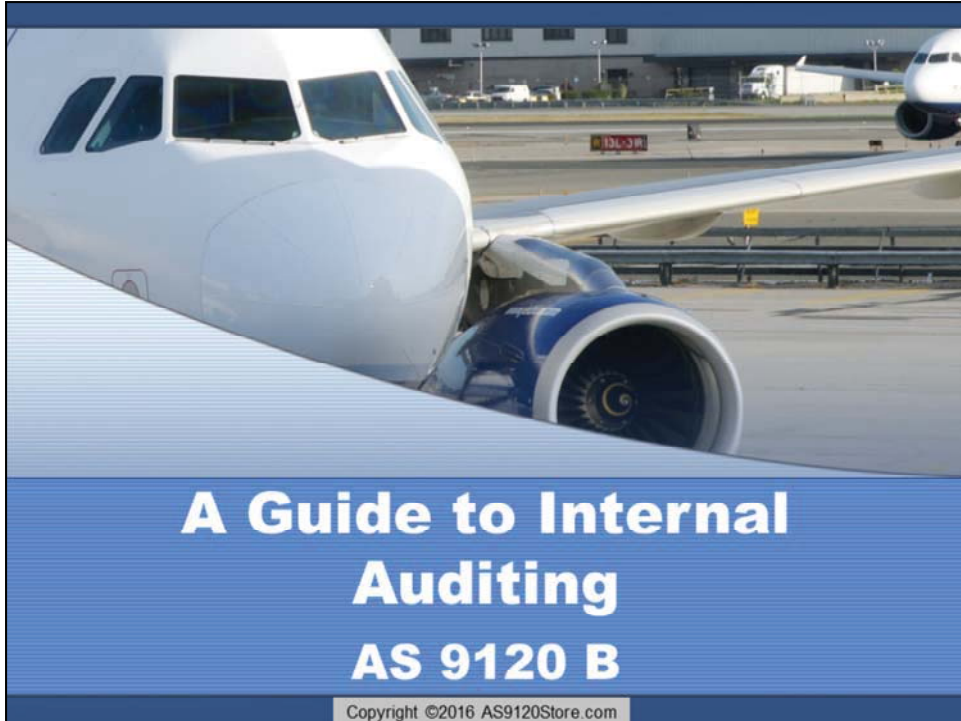
- The statement is true or false
- Write down the clause of the standard where they found it.

Notes:

- 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.
- This can be done individually ahead of time to reduce class time.

After one or two teams finish, or after a maximum of about 45 minutes, you can go through the statements and discuss the answers.

- An answer key is on the next page.
- 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 Guide to Internal
Auditing
AS 9120 B**

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Introduction: Why are you here?

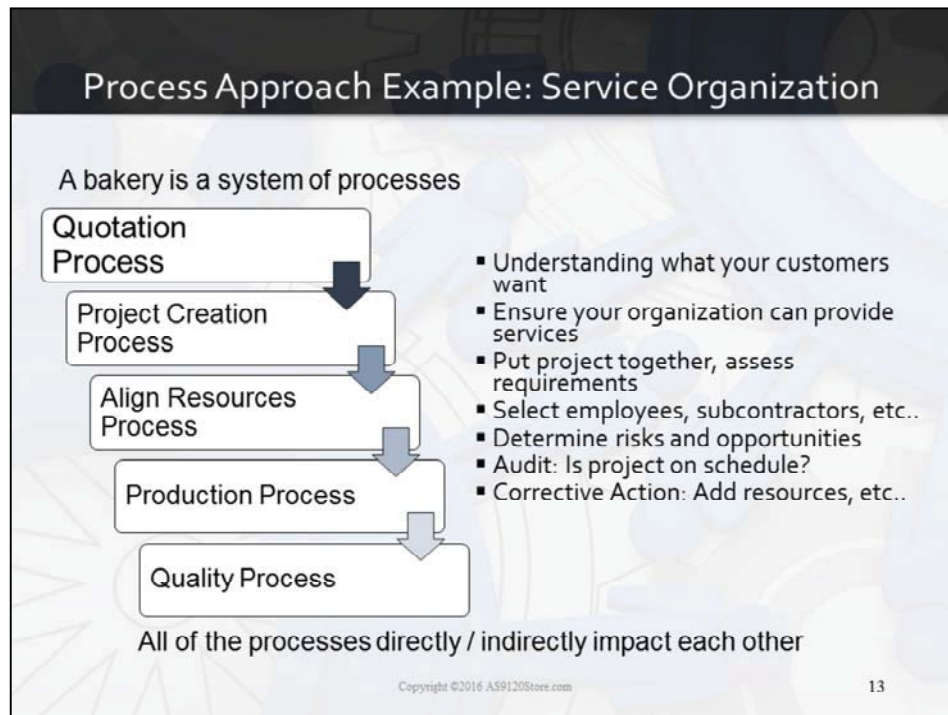
- To learn more about AS 9120 B
- To be able to evaluate you own area and make improvements.
- To understand the audit process
- To be able to participate in the audit process

Performing an Internal Audit

» Planning (Cont'd)

Flow chart cont'd





A process approach allows an organization to systematically evaluate each part of their business.

You are then able to look at each portion and measure the results against the desired objective.

In this example we've used a bakery to demonstrate how an organization is actually a system of processes.

The output of one process (purchasing) impacts the input of another process (production).

If the purchasing people only buy the least expensive ingredients, it may negatively impact the quality of the bread.