



AS9120 REV A 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 AS9120 REV A standard.

The course is divided into two sections:

1. The first section will familiarize the students with the requirements AS9120 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: AS9120 **Guide to Internal Audits** (included).
- PowerPoint: **Requirements of AS9120 REV A** (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).
 - Ø Print one copy for **each student**
 - Ø You may wish to have extra copies of the CPAR form
 - Ø It includes reduced versions of all the PowerPoints.
- OK Stock Distributors Documents and Records (included).
 - Ø Print one copy for **each team** of two or three students.
 - Ø See next page for list of contents.
- The AS9120 REV A Standard (**NOT Included***)
 - Ø One copy for every 2-3 students.
 - Ø Standards are available electronically from <http://www.as9100store.com/BuyStandards.aspx>

The AS9120 REV A Standard is a copyrighted document and we are unable to include it.



The Standard

Introduction to Auditing

This section will familiarize the students with the requirements AS9120 REV A quality management system (QMS).

1. Review the **Guide to Internal Auditing AS9120** Power Point Presentation with the group.
2. Review and discuss the organization of the AS9120 REV A 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.

Find the Requirement: *(Answer key)*

	Clause:
1. Establish a Quality policy appropriate to the organization.	5.3
2. Establish the Quality management system (QMS) and documentation that includes the scope of the quality system and any justified exclusions.	4.1 / 4.2.2 a
3. A management representative is required to be appointed to oversee the QMS.	5.5.2
4. Address the customer and applicable statutory and regulatory requirements. .	4.1
5. Top management ensures that product conformity and on-time delivery performance are measured and that appropriate action is taken if planned results are not or will not be achieved.	5.1
6. Identify and ensure that personnel have access to and are aware of relevant QMS documentation and changes.	4.2.1
7. Review to determine if a corrective or preventive action was effective.	8.5.2 f
8. Provide controlled documents to prevent the unintended use of obsolete documents.	4.2.3 g
9. Ensure internal communication between the various levels and functions of the organization.	5.5.3
10. Ensure that the risks associated with requirements related to the product are identified.	7.2.2 d
11. Determine and implement a process for customer communication on matters related to product, contracts, and complaints.	7.2.3
12. Identify the training needs to provide the competence necessary to ensure product conformity.	6.2.2 b
13. Changes and current revisions to documents should be identified.	4.2.3 c
14. Determine the length of time that records will be stored and retained.	4. 2.4
15. Personnel must be aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives.	6.2.2 d
16. Plan, establish, implement and maintain a configuration management process appropriate to the product.	7.1 e / 7.1.1
17. Establish, implement and maintain a process to plan and control the transfer of temporary and permanent work.	7.1.2
18. Management must be committed to the development and implementation of the QMS & to continually improve its effectiveness.	5.1
19. Management must be committed to communicating the importance of complying with the customer as well as the applicable statutory and regulatory requirements.	5.1 a



The Audit

The second section is devoted to the auditing process. Normally the class size will vary from 4 to 12, and it is recommended that you divide the class into teams of 2-3. It works best to have an even number of teams for holding opening and closing meetings.

>>>Allow 8 hours for this section.

The students will go through all the steps required for an audit, with hands on involvement in performing each step by conducting an audit of a fictitious company, OK Stock Distributors or OSD including:

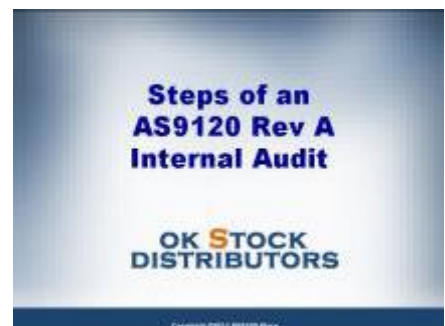
- Scheduling the Audit
- Planning the Audit
- Opening Meeting
- Audit sections of the OK Stock Distributors' QMS:
 - 5.3 Quality Policy
 - 7.2 Customer Related Processes
 - 7.4 Purchasing
 - 7.5 Product and Service Provision
 - 8.5 Corrective Action
 - 5.6 Management Review
- Auditors Document Findings
- Final Audit Report
- Closing Meeting
- Creating the Audit File

You will lead this section using the **Steps of AS9120 Internal Audit** Power Point presentation the entire time, using the materials in this package. The Speaker Notes in the PowerPoint (beginning on the next page) will guide you along as an outline.

Note: The trainer plays the part of “Joe Sample”, the OSD Quality Manager and others OSD personnel as required.

Each team should have:

1. A copy of the AS9120 REV A Standard.
2. A copy of the OK Stock Distributors (OSD) Documents & Records.
3. The Student Manual which allows them to:
 - Follow the presentation and take notes
 - View sample forms (which are presented in the PowerPoint)
 - Use blank forms (CPAR, etc.) to conduct their audit.



Write up the Nonconformance

- Identify the requirement
 - Identify the procedure and what it requires
- Identify the nonconformance
 - What is happening that does not follow the procedure?

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In the student manual there are copies of the Corrective/Preventive Action Request.

- Have the students each write one nonconformance on a CPAR for each clause of the standard that they audited
- It should be different from the ones their teammates are writing.
- If they took good notes on the checklist this should not be difficult. (Remind them of that for future audits.)
- Emphasize the importance of being specific so those following up with the corrective actions know what they mean.

What is the requirement, and what was the nonconformance?



Conclusion

After the students have completed their presentations, you can:

1. Show them the final slides in the **Steps of AS9120 Internal Audit** Power Point presentation outlining the nonconformances for each section.
 - Remember, there is often more than one way to look at a situation, especially in a fictitious setting like OSD. Therefore, encourage open discussion on why they consider items a nonconformance.
 - You may want to add their suggestions to the course material for next time.
2. If you feel that the student has satisfactorily understood the material, you may issue them a certificate (this is a separate MS Word file in your package). Use your judgment to issue this based upon:
 - Participation
 - Ideas
 - Leadership
 - Approach
 - Etc.
3. Schedule an audit of your facility to reinforce the material.

