

Course Overview



- **Three primary Chapters (4 hrs)**
 - Audit Planning & Preparation
 - Performing the Audit
 - Reporting the Audit
- **One primary Chapter (30 min)**
 - Follow up with Corrective Action & Closeout
- **One Graded Quiz (30 min)**
- **There are 3 Team Breakouts (90 min)**
- **Two Reliefs (2@15 min=30 min)**

Total Course Time: 7 hrs

The Objectives of Audit Planning and Preparation



For the auditor

- To make the auditor aware of the purpose of the audit that is to be performed, the scope of the investigation required and to allow the auditor enough time to conduct a preliminary investigation of the audit

For the auditee

- To make the auditee aware of the purpose and scope of the investigation and the audit schedule to enable preparations to be made to ensure that the audit can proceed smoothly and achieve valid results

Determine Resources Required



Recommended number of audit days

-for an annual entire Quality Management System internal audit of one site

# of Employees	Minimum Audit Days	# of Employees	Minimum Audit Days
1 – 14	2.0	1311 – 1569	9.0
15 – 28	2.5	1570 – 1860	9.5
29 – 49	3.0	1861 – 2187	10.0
50 – 80	3.5	2188 – 2551	10.5
81 – 122	4.0	2552 – 2953	11.0
123 – 176	4.5	2954 – 3398	11.5
177 – 246	5.0	3399 – 3886	12.0
247 – 332	5.5	3887 – 4419	12.5
333 – 436	6.0	4420 – 5001	13.0
437 – 562	6.5	5002 – 5632	13.5
563 – 710	7.0	5633 – 6317	14.0
711 – 883	7.5	6318 – 7057	14.5
884 – 1082	8.0	7058+	15.0
1083 – 1310	8.5		

Rules for Certification

-minimum audit days mean total audit days- ie; 2 audit days can mean 2 auditors auditing for 1 day each

-ALL SHIFTS MUST BE AUDITED-

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Key points:

-The chart lists the 3rd party audit days required for a QMS site audit. Your internal audit should include at least the minimum amount of audit days as outlined in the chart.

-On-going internal audits conducted throughout the year should exceed the number of days on the chart and frequency should be increased considering the importance of the processes and their performance

Team Breakout #2

Writing Nonconformities



Instructions:

Review USA Automotive Company's documentation; and using your Customer Expectation Sheet, Turtle Diagrams and Audit Planning Worksheet, write at least two nonconformities using the Corrective Action Request forms.

Key points:

- This exercise will help you identify and write clear and concise nonconformities

Completing the Audit Report



- **Corrective Action Requests**
 - The **nonconformity statements** should be identical with those left with the auditee
- **Approving and Distributing the Audit Report**
 - The audit report should be issued within the agreed time period
 - **If this is not possible, the reasons for the delay should be communicated to the audit client and a new issue date should be agreed upon**
 - The **audit report** should be dated, reviewed and approved in accordance with audit program procedures
 - The **approved audit report** should then be distributed to the recipients designated by the Management Representative

How Corrective Action Works



- **Following** the internal audit, the **auditee** will be requested formally to **take appropriate action** to resolve each identified **nonconformity**
- In **second party audits**, the auditing organization would follow-up the audit by:
 - **Receiving corrective actions and evidence of conformity, and/or**
 - **On-site follow up visit to verify the corrective actions**