CONCEPT

ISO 9001 QMS Auditing: Audit Programmes, Supplier and Certification Audits



ISO 9001 QMS Auditing: Audit Programmes, Supplier and Certification Audits

Introduction

Rigorous quality management system auditing requires verifying that operational processes consistently produce conforming deliverables and heighten customer satisfaction rather than merely checking procedural documentation. Effective ISO 9001 QMS auditing examines systemic process interactions, supplier performance, and customer expectations across the entire operating cycle. Ineffective audit schemes frequently stagnate by inspecting static paperwork or conducting superficial departmental visits that fail to identify critical nonconformities. This practical practitioner programme delivers methodological mastery over first-party, second-party, and third-party audit protocols in accordance with ISO 19011:2018 guidelines and ISO/IEC 17021-1:2015 certification frameworks. Participants examine complex operational evidence, evaluate outsourced processes, and construct defensible audit trails under the guidance of Core Concept.

Course Objectives

- Formulate a risk-based audit programme targeting high-impact quality processes and critical suppliers using ISO 19011:2018 criteria.
- Direct audit team activities across planning, sampling, nonconformity identification, and closing reporting stages.
- Execute process-based audit trails tracing operational inputs, controls, resource allocation, and outputs using the Plan-Do-Check-Act cycle.
- Classify audit findings accurately into major nonconformities, minor nonconformities, and observations supported by verifiable evidence.
- Conduct supplier quality audits to assess external provider controls and safeguard outsourced process integrity.
- Appraise corrective action plans to verify root cause resolution and prevent recurrence of systemic quality failures.

Target Audience

- Quality directors and managers overseeing organizational audit programmes and management system performance
- Supplier quality engineers and procurement specialists responsible for external provider evaluation and supplier surveillance
- Senior internal auditors leading multi-disciplinary audit teams across operational environments
- Quality management system coordinators preparing facilities for initial third-party certification or surveillance assessments
- Compliance officers and governance professionals seeking rigorous verification of operational quality performance

Course Outline

Day 1: Audit Foundations and the Certification Landscape

- Audit Principles and Systematic Governance Under ISO 19011:2018
- First-Party, Second-Party, and Third-Party Auditing Scope and Practical Distinctions
- Certification Audit Mechanisms and Surveillance Cycles Under ISO/IEC 17021-1:2015
- ISO 9001:2015 Requirements Interpretation from an Auditorial Perspective
- Organizational Audit Maturity Evaluation and Governance Review

Day 2: Audit Programme Architecture and Process Methodology

- Risk-Based Audit Programme Construction Applying ISO 19011:2018 Clause 5
- Auditor Competence Profiling and Team Selection Criteria via ISO/IEC 17021-3:2017
- Process Approach Application and Turtle Diagram Analytical Techniques
- Plan-Do-Check-Act Audit Trails Across Interconnected Operational Functions
- Remote Auditing Protocols and Information Technology Evidence Security

Day 3: Audit Execution, Fieldwork, and Evidence Gathering

- Audit Plan Development: Scope Definition, Objectives, Resource Allocation, and Timetables
- Statistical and Judgemental Sampling Methods with Sample Size Justification
- Interview Strategies: Questioning Techniques, Triangulation, and Active Listening
- Objective evidence documentation within auditor working papers
- Nonconformity Statement Formulation: Requirement, Factual Evidence, and Finding

Day 4: Nonconformity Grading, Supplier Oversight, and Team Leadership

- Grading Criteria for Major Nonconformities, Minor Nonconformities, and Observations
- Supplier Audit Planning and Control of External Providers Under ISO 9001:2015 Clause 8.4
- Corrective Action Plan Evaluation and Root Cause Verification Protocols
- Audit Team Leadership: Conflict Management, Disputed Findings, and Impartiality Safeguards
- Integrated Auditing Methodologies Combining ISO 9001:2015, ISO 14001:2015, and ISO 45001:2018

Day 5: Practical Case Analyses and Audit Programme Deliverable

- Logistics Provider Audit Simulation: Evidence Appraisal and Finding Categorisation
- Healthcare Support Service Case Study: Reconstructing Multi-Departmental Process Trails
- Drafting the Formal Audit Report and Conducting the Closing Meeting Presentation
- Formulating a Risk-Based QMS Audit Programme for the Participant Organisation
- Peer Critique Panel and Audit Programme Presentation Defence

Skills You Will Gain

- Audit Programme Architecture
- Audit Team Leadership
- Process-Based Auditing
- Evidence Sampling Strategies
- Nonconformity Statement Grading
- Supplier Quality Auditing
- Audit Report Drafting
- Corrective Action Verification

Why Attend This Course

- Construct an adaptable risk-based audit programme, an audit plan, and an audit report ready for operational deployment.
- Formulate defensible nonconformity statements that auditees accept through precise linkage to ISO 9001:2015 criteria and objective evidence.
- Concentrate audit resources on high-risk operational nodes and critical external suppliers rather than adhering to rigid departmental schedules.
- Benchmark professional audit approaches against cross-sector practitioners working within structured management systems.

Conclusion

Auditing delivers measurable organizational value when audit schedules target genuine operational risks and findings withstand scrutiny. By integrating ISO 19011:2018 audit guidelines with third-party certification mechanisms, this course establishes competence across programme planning, process investigations, supplier oversight, and evidence grading. Participants synthesize these techniques by designing a functional risk-based audit programme tailored to organizational priorities, establishing a robust framework for upcoming audit cycles.