Management system standards

Lead Auditor IRCA (ATP Partnership)

Five days to learn how to plan, conduct and conclude management system audits as an audit team leader. The course, offered in partnership with ATP, covers audit principles, preparation, interviews, evidence collection, writing findings, opening and closing meetings, the report and follow-up of actions. Much of the time is devoted to practical exercises and role plays.

Duration : 5 days

Objectives

1. Explain the principles of auditing and the conduct of a third-party certification audit
2. Plan an audit: objectives, scope, criteria, audit plan, allocation of roles in the team
3. Conduct interviews, observe and collect objective evidence by sampling
4. Write clear audit findings tied to a requirement and supported by evidence
5. Lead an audit team, run the opening and closing meetings and write the report
6. Evaluate the corrective actions proposed by the auditee and follow them up

Programme

Day 1 — morning

• Aims of the course and working arrangements for the week
• Role of a management system and logic of the harmonised structure
• First-, second- and third-party audits
• Principles of auditing: integrity, fair presentation, due professional care, confidentiality, independence, evidence-based and risk-based approach

Day 1 — afternoon

• The certification process: application, two-stage initial audit, surveillance, renewal
• Requirements applicable to certification bodies and their auditors
• Competence and behaviour expected of an auditor
• Quiz on principles and vocabulary

Day 2 — morning

• Reading the requirements of a management system standard from the auditor’s point of view
• What constitutes audit evidence: documents, records, interviews, observations
• Exercise: linking requirements to the evidence to look for

Day 2 — afternoon

• Preparing the audit: document review, objectives, scope, criteria
• Drawing up the audit plan and allocating roles in the team
• Preparing working documents: checklists, interview guides, sampling plans
• Exercise: audit plan for a multi-site case study

Day 3 — morning

• Opening meeting: content, tone, answers to the auditee’s questions
• Interview techniques: open questions, rephrasing, listening, handling silences
• Observation in the field and following an audit trail

Day 3 — afternoon

• Role play: interviews with an auditee, observed and commented on by the group
• Sampling and cross-checking of information
• Difficult situations: reluctant auditee, missing evidence, disagreement over a finding

Day 4 — morning

• Evaluating evidence and formulating a finding: requirement, finding, evidence
• Classifying findings according to the rules of the certification scheme
• Exercise: writing findings from audit situations

Day 4 — afternoon

• Audit team meeting and preparation of conclusions
• Closing meeting: presenting findings, conclusions, handling disagreements
• Writing the audit report
• Role play: closing meeting

Day 5 — morning

• Audit follow-up: analysis of proposed corrective actions, verification of their effectiveness
• Surveillance and renewal audits: what changes for the audit team
• General review and questions

Day 5 — afternoon

• Summary of the week: from audit plan to report
• Knowledge test
• Individual feedback on each participant's strengths and areas for improvement

Teaching methods

• Case study followed throughout the week, from document review to report
• Role plays for interviews, opening meeting and closing meeting, with trainer feedback
• Finding-writing exercises corrected as a group
• Continuous assessment of exercises and daily quizzes
• Delivered by consultants who audit management systems

Assessment and documents

Continuous assessment of audit exercises and role plays, knowledge test, post-course evaluation at D+1 and training report. The details of the assessment arrangements for this course are given in the training proposal.

Bilingual materials for every participant; each classroom course comes with its digital twin on OmniLearn.

Good to know

To audit the processes of your own organisation, the course "Internal Auditor — ISO 19011:2018" is enough. To understand how certification bodies operate, see "ISO/IEC 17021-1 and 17065 — Certification".

Practical information

Duration	5 days
Audience	QHSE managers, experienced internal auditors, consultants, supplier auditors
Prerequisites	Good knowledge of an ISO management system standard
Group size	Groups of 6 to 12 participants, in-company
Format	In-company, face to face on your site
Language	French, Darija or English; bilingual materials
Funding	OFPPT special training contracts (TFP), GIAC, Maroc PME: we prepare the applications with you, at no extra cost.
Programme customisation	Programme adapted to your procedures, your equipment and your audience

Frequently asked questions

How does it differ from the internal auditor course?
The internal auditor audits the processes of their own organisation. This five-day course prepares you to lead an audit team and to conduct second- or third-party audits, with more time devoted to the audit plan, meetings and the report.

What standard and what arrangements apply to this course?
The standard studied, the assessment arrangements and the conditions of the course are set out in the training proposal. Contact us on +212 661 863 618 or at contact@afflatusconsulting.com to find out before you enrol.

Who is this course for?
QHSE managers, experienced internal auditors, consultants and people who audit suppliers or subcontractors. The five-day pace assumes good prior knowledge of a management system standard.

Can this course be funded?
It can be part of a training plan submitted under OFPPT special training contracts, according to the rules in force. We prepare the file with you; funding depends on your situation.