Certified ISO 9001 Lead Auditor Training

Duration: **4 Day**

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What Can You Achieve with This Training?

- Learn to **plan and conduct ISO 9001 Quality Management System (QMS) audits** using internationally recognised audit principles and methods.
- Develop auditing competencies aligned with **ISO 19011 guidelines** and **ISO/IEC 17021-1 requirements**.
- Apply **audit evidence collection, interviewing, sampling, and process evaluation** techniques.
- Strengthen your ability to **identify nonconformities, document audit findings, and follow up corrective actions**.
- Learn to coordinate audit teams, allocate responsibilities, and complete audits effectively as a **Lead Auditor**.
- Build the knowledge needed to **manage ISO 9001 audit programmes** and prepare for the **PECB Certified ISO 9001 Lead Auditor** certification process.

The **Certified ISO 9001 Lead Auditor Training** provides comprehensive knowledge and practical skills for planning, conducting, and completing audits that assess conformity with **ISO 9001 Quality Management System (QMS)** requirements.

The programme focuses on established **management system auditing principles, procedures, and techniques**. Participants examine **ISO/IEC 17021-1 requirements**, **ISO 19011 guidelines**, and recognised auditing best practices to understand how ISO 9001 conformity assessment audits are performed.

The course begins with the **fundamentals of quality management**, the structure of ISO 9001, and the interpretation of QMS requirements from an auditor's perspective. It then addresses **audit programme management, audit objectives, scope and criteria, audit planning, and audit team selection**.

Practical modules cover **collecting objective audit evidence, interviewing, sampling, reviewing documents and records, evaluating processes, and classifying nonconformities**.

Participants also explore **opening and closing meetings, audit report preparation, verification of corrective actions, and follow-up audits**.

The final modules focus on the **responsibilities of a lead auditor**, coordination of audit teams, and management of audit programmes involving multiple audits.

Throughout the course, **examples, exercises, and quizzes** help reinforce the concepts and support preparation for the certification examination.

Exams and Certification

The course includes the **PECB Certified ISO 9001 Lead Auditor** examination.

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The examination covers competency domains related to **ISO 9001 Quality Management Systems and auditing**.

The **examples, practical exercises, and quizzes** included in the course support examination preparation.

Candidates who pass the examination may apply for the **PECB Certified ISO 9001 Lead Auditor** credential, subject to meeting the applicable certification requirements.

Prerequisites

Participants should have:

- A fundamental understanding of **ISO 9001 Quality Management System requirements**
- Comprehensive knowledge of **auditing principles**

Who Should Attend

This course is designed for professionals who want to **conduct or lead ISO 9001 QMS audits** or develop a career in conformity assessment.

It is particularly suitable for:

- **Auditors** seeking to conduct and lead QMS audits on behalf of certification bodies
- Professionals interested in using **PECB's AMS2 Methodology** for auditing
- Individuals responsible for maintaining **conformity with ISO 9001 requirements**
- **Technical experts** preparing for a QMS audit
- Professionals pursuing a career in **conformity assessment**

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What You Will Learn

By the end of this course, participants will be able to:

- Explain the fundamental **concepts and principles of an ISO 9001-based Quality Management System**.
- Interpret **ISO 9001 requirements from an auditor's perspective**.
- Evaluate **QMS conformity with ISO 9001** using established audit concepts and principles.
- **Plan, conduct, and close ISO 9001 conformity audits** in line with **ISO/IEC 17021-1**, **ISO 19011**, and recognised auditing practices.
- Define **audit programme objectives, scope, criteria, and resources**.
- Prepare **audit plans, checklists, and working documents**.
- Conduct professional **opening and closing meetings**.
- Collect objective evidence through **interviews, observation, sampling, and document review**.
- Compare **audit evidence against ISO 9001 requirements** to determine conformity.
- Identify, classify, and document **major and minor nonconformities**.
- Prepare **audit reports** and communicate findings to relevant stakeholders.
- Verify **corrections and corrective actions** and support follow-up audits.
- Coordinate audit teams and fulfil the responsibilities of a**Lead Auditor**.
- **Plan, monitor, evaluate, and continually improve ISO 9001 audit programmes**.

Training Outline

1. Introduction to Quality Management Systems and ISO 9001

- Introducing **quality management**
- Understanding the **purpose and benefits of a QMS**
- Reviewing **quality management principles**
- Exploring the **process approach**
- Understanding **risk-based thinking**
- Examining the **Plan-Do-Check-Act (PDCA) cycle**
- Relating **organisational objectives to the QMS**

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- Understanding the **role of leadership in quality management**
- Introducing **continual improvement**

2. Understanding ISO 9001

- Reviewing the **structure and purpose of ISO 9001**
- Examining the **context of the organisation**
- Identifying **interested parties**
- Defining the **scope of the QMS**
- Understanding **leadership and commitment**
- Reviewing the **quality policy**
- Establishing **roles, responsibilities, and authorities**
- Examining **planning and quality objectives**
- Assessing **risks and opportunities**
- Reviewing **support and resources**
- Understanding **competence and awareness**
- Managing **documented information**

3. ISO 9001 Requirements — Auditor Perspective

- Evaluating **operational planning and control**
- Reviewing **customer requirements**
- Assessing **design and development**
- Examining the **control of externally provided processes**
- Reviewing **production and service provision**
- Evaluating the **release of products and services**
- Assessing **nonconforming outputs**
- Reviewing **performance evaluation**
- Examining **monitoring and measurement**
- Evaluating **internal audits**
- Reviewing **management review**

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- Assessing **corrective action**
- Examining **continual improvement**

4. Fundamental Audit Concepts and Principles

- Understanding the **purpose of management system auditing**
- Reviewing fundamental **audit principles**
- Applying **integrity and professional conduct**
- Understanding **fair presentation**
- Demonstrating **due professional care**
- Maintaining **confidentiality**
- Ensuring **independence**
- Applying an **evidence-based approach**
- Using a **risk-based approach**
- Evaluating **auditor competence**
- Maintaining **objectivity and impartiality**

5. Audit Programme Management

- Establishing an **audit programme**
- Defining **audit objectives**
- Determining **audit scope and criteria**
- Planning **audit frequency**
- Identifying **audit resources**
- Evaluating **auditor competence**
- Selecting the **audit team**
- Managing **audit risks**
- **Monitoring and reviewing** the audit programme

6. Preparing an ISO 9001 Audit

- Establishing **initial contact with the auditee**
- Determining **audit objectives**

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- Defining the **audit scope**
- Establishing **audit criteria**
- Reviewing **documented information**
- Developing the **audit plan**
- Allocating **audit responsibilities**
- Preparing **working documents**
- Creating **checklists and audit trails**
- Arranging **logistics and communication**

7. Initiating the Audit

- Conducting the **opening meeting**
- Confirming **audit objectives, scope, and criteria**
- Introducing the **audit team**
- Establishing **communication channels**
- Confirming access to **people and information**
- Verifying **audit arrangements**
- Managing **changes to the audit plan**

8. Conducting an ISO 9001 Audit

- Applying **evidence-based auditing**
- Following **audit trails**
- Using **sampling techniques**
- Conducting **interviews**
- Applying **observation techniques**
- Reviewing **documents and records**
- Evaluating **processes**
- **Verifying information**
- Following **objective evidence**
- Maintaining **audit notes**

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- Managing **audit time**

9. Interviewing and Communication

- Developing **effective auditor questions**
- Using **open and closed questions**
- Asking **follow-up questions**
- Practising **active listening**
- Applying **interview techniques**
- Managing **difficult situations**
- Maintaining **auditor objectivity**
- Communicating with **process owners**
- Managing **disagreements**

10. Evaluating Audit Evidence

- Understanding **objective evidence**
- Assessing the **sufficiency and appropriateness of evidence**
- Applying **verification and corroboration**
- Using **sampling**
- Comparing evidence against **audit criteria**
- Determining **conformity**
- Identifying potential **nonconformities**
- Distinguishing **observations from nonconformities**

11. Audit Findings and Nonconformities

- **Classifying audit findings**
- Distinguishing **major and minor nonconformities**
- Writing **clear audit findings**
- Linking findings to **audit criteria**
- Recording **objective evidence**
- Avoiding **subjective statements**

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- Considering **root causes**
- Establishing **corrective action expectations**

12. Completing the Audit

- Reviewing **audit evidence**
- Consolidating **findings**
- Evaluating **audit conclusions**
- Reviewing **audit objectives and scope**
- Preparing **audit conclusions**
- Preparing for the **closing meeting**

13. Closing Meeting

- Understanding the **purpose of the closing meeting**
- Presenting **audit findings**
- Explaining **nonconformities**
- Communicating **audit conclusions**
- Handling **disagreements**
- Agreeing **follow-up arrangements**
- Maintaining **professional communication**

14. Audit Reporting

- Understanding the **structure of an audit report**
- Documenting **audit objectives and scope**
- Recording **audit criteria**
- Identifying the **audit team**
- Summarising **audit activities**
- Documenting **positive findings**
- Reporting **nonconformities**
- Presenting **audit conclusions**
- Including **opportunities for improvement**, where applicable

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- Managing **audit report distribution and control**

15. Follow-Up Activities

- Reviewing **corrective actions**
- Verifying **corrections**
- Verifying **corrective actions**
- Conducting **follow-up audits**
- Confirming the **closure of nonconformities**
- Maintaining **audit records**

16. Leading an Audit Team

- Understanding the **role of the Lead Auditor**
- Coordinating the **audit team**
- Allocating **audit responsibilities**
- Monitoring **audit progress**
- Managing **audit time**
- Resolving **team issues**
- Maintaining **consistency between auditors**
- Communicating with the **auditee's management**

17. Managing an ISO 9001 Audit Programme

- Establishing **audit programme objectives**
- Planning **multiple audits**
- Managing **auditor competence**
- Coordinating **resources**
- **Monitoring the programme**
- Evaluating **audit programme performance**
- Applying **continual improvement** to the audit programme