

Supplier Audit and Compliance Assurance Training Course

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Overview

Supplier Audit and Compliance Assurance Training Course is a one-week intermediate course for supplier quality, procurement assurance, compliance, vendor management, and contract-performance teams who leave with a Supplier Audit File. Participants apply risk-based planning, criteria mapping, sampling, interviews, site observation, document review, evidence evaluation, findings, corrective-action verification, and compliance monitoring. The course separates second-party supplier assurance from relationship management, certification audits, and fraud investigation. Agile Leaders Training Center delivers this course in supplier audit and compliance assurance.

Who Should Attend

- Supplier-quality teams responsible for qualification, audit evidence, and corrective action
- Procurement-assurance teams responsible for supplier controls and compliance monitoring
- Compliance teams responsible for ethical, contractual, and operational requirements
- Vendor-management teams responsible for supplier risk and performance follow-up
- Contract-performance teams responsible for obligations, exceptions, and remediation evidence

The course assumes participants handle supplier requirements, records, performance data, or site reviews and leaves out certification-body audits, legal opinions, criminal investigation, and general supplier relationship management.

Departments and Industries

The course supports departments that need evidence-based assurance over suppliers in industrial, public, healthcare, and service environments.

- Supplier quality and assurance
- Procurement and vendor management
- Compliance, risk, and governance
- Manufacturing, energy, and construction
- Healthcare, retail, and professional services

Learning Objectives

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

- Apply risk-based supplier audit planning.
- Build criteria, evidence, and sampling plans.
- Use interviews, observation, and document review.
- Evaluate findings against supplier requirements.
- Diagnose root causes and corrective actions.
- Build follow-up and compliance-monitoring decisions.

Course Agenda

Day 1: Scope the Supplier Audit

- Supplier Risk Segmentation and Audit Priority Matrix
- Second-Party Audit Objective and Scope Statement
- Supplier Requirement and Audit Criteria Map
- ISO 19011:2026 Audit Principles Alignment
- Audit Program, Team, and Resource Plan

Day 2: Design the Audit Evidence Plan

- Supplier Process and Control Map
- Document Request and Record Trace List
- Audit Population and Sampling Worksheet
- Interview Question and Role Matrix
- Site Observation and Verification Checklist

Day 3: Conduct and Document the Audit

- Opening Meeting and Audit Communication Plan
- Evidence Triangulation and Reliability Grid
- Quality, Contractual, Operational, and Ethical Test Sheet
- Audit Trail and Working-Paper Index
- Exception Validation and Closing Meeting Record

Day 4: Report and Verify Corrective Action

- Finding Criteria, Condition, Cause, and Consequence Model
- Finding Significance and Priority Matrix
- Corrective and Preventive Action Review Sheet
- Root-Cause and Remediation Adequacy Test
- Closure Evidence and Residual-Risk Register

Day 5: Practice Supplier Audit Decisions

- Suggested Exercise: Scope a Risk-Based Supplier Audit
- Suggested Exercise: Test a Supplier Evidence Sample
- Suggested Exercise: Draft and Prioritize Audit Findings
- Suggested Exercise: Verify Corrective-Action Closure
- Capstone Exercise: Complete a Supplier Audit File

Practical Exercises

The course uses suggested activities with fictional supplier profiles, requirements, records, interview notes, site observations, findings, and corrective-action evidence.

- Suggested activity: prioritize supplier audits for an industrial supply base.
- Suggested activity: trace quality and contract evidence for a healthcare supplier.
- Suggested activity: test ethical and operational controls for a service provider.
- Suggested activity: evaluate a corrective-action response and closure evidence.

FAQs

Who suits supplier audit and compliance training, and what does it assume?

Supplier quality, procurement assurance, compliance, vendor management, and contract-performance teams suit supplier audit and compliance training. The course assumes experience handling supplier requirements, records, performance evidence, or review activities.

How does supplier auditing differ from supplier relationship management training?

Supplier auditing evaluates evidence against defined requirements and records findings and follow-up, while supplier relationship management training focuses on segmentation, collaboration, performance dialogue, development, and commercial relationships.

How should a supplier audit sample be selected?

A supplier audit sample should reflect the audit objective, requirements, supplier risk, process volume, control frequency, history, and available records. Auditors document the population, selection method, rationale, procedures, exceptions, and limits.

What evidence supports a supplier compliance finding?

A supplier compliance finding requires relevant, reliable, and sufficient evidence linked to a defined criterion and observed condition. Auditors corroborate interviews, records, observation, and system data before stating cause, consequence, and significance.

How is supplier corrective-action closure verified?

Supplier corrective-action closure is verified through evidence that addresses root cause, implements the agreed action, and reduces the identified risk. Follow-up may use document review, data testing, interviews, or site verification according to significance.

Conclusion

Participants take back a Supplier Audit File. It combines a risk matrix, scope, criteria map, sampling plan, interview guide, observation checklist, evidence index, findings, corrective-action review, closure tests, and residual-risk register. The file helps teams connect supplier requirements to documented assurance decisions and accountable remediation.

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