

INSERT COMPANY NAME/LOGO HERE

AS 9100 Rev D Quality Management Systems - The Internal Audit Checklist

This checklist is based on the information provided in the 2016 revision of the AS 9100 Rev D, SAE international aerospace standard. The checklist is best used by trained and practicing auditors to evaluate or assess Quality Management Systems requirements based on the standard. You will see questions on the checklist that refer to the standard and, for each clause, provisions are made for additional questions.

The auditors are expected to keep in mind that the standard does not require mandatory procedures for the various QMS processes; however, the auditors will expect documented information to be available because in the clauses of the standard, the phrase 'documented procedures' is used to specify that a process, a method, a system, a work instruction, or an arrangement be documented.

The auditors must use a great deal of discretion and therefore must be careful and thoughtful prior to establishing a deficiency against a requirement. Evidence for visible top management leadership, commitment and quality management action must be looked for.

The **bold** numbers and titles used in the first two columns of the checklist indicate the "Requirements" and may be referred to on nonconformity reports prepared by the auditor.

During assessment of each requirement, auditors record the status of the evaluation by indicating in the right-hand column a

Yes - for Acceptable Condition or **No** - for Deficient Condition

---	QUALITY MANAGEMENT SYSTEM	OBSERVATIONS / COMMENTS	STATUS
4	CONTEXT OF THE ORGANIZATION		
4.1	Understanding the organization and its context		
	Does your company determine the external and internal issues that are relevant to your purpose and strategic direction?		
	Do you consider the relevant issues that affect your ability to achieve the intended results of the Quality Management System (QMS)?		

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5.3	Organizational roles, responsibilities and authorities		
	Does the top management ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the company?		
	Does top management assign the responsibility and authority for:		
	<ul style="list-style-type: none"> • Ensuring that the QMS conforms to the requirements of AS 9100 D standards? 		
	<ul style="list-style-type: none"> • Ensuring that the processes are delivering their intended outputs? 		
	<ul style="list-style-type: none"> • Reporting on the performance of the QMS on opportunities for improvement and for reporting to top management? 		
	<ul style="list-style-type: none"> • Ensuring the promotion of customer focus throughout your company? 		
	<ul style="list-style-type: none"> • Ensuring that the integrity of the QMS is maintained when changes to the QMS are planned and implemented? 		
	Has the top management appointed a specific member of management, identified as the management representative, who will have the responsibility and authority for oversight of the above requirements?		

AS 9100 Rev D

Internal Auditor Training



Trainer's Guide

Overview

These course materials are meant to train people to conduct internal quality audits within your organization, which are necessary to meet the internal audit requirements of the AS 9100 REV D standard.

The course is divided into two sections:

1. The first section will familiarize the students with the AS 9100 REV D requirements for quality management system.
 - Allow 4 hours for this section.
2. The second section is devoted to the auditing process. The students will go through all the steps required for an audit, with hands on involvement in performing each step by conducting a mock audit of a fictitious company.
 - Allow 8 hours for this section.

We recommend that you print this guide as you'll need the PowerPoint speaker notes to lead the class. This guide contains everything the instructor needs to lead the class.

Notes:

- It is assumed that the instructor has certified Lead Auditor credentials or equivalent experience. This is not meant as a self study course.
- It is recommended that the first audit the student is involved with be under the leadership of a lead auditor who has audit experience.

AS 9100 Rev D

Internal Auditor Training



Student Manual

Internal Auditor Training

AGENDA

I. The Standard

- Introduction to Auditing
- 0:15 Presentation: Guide to Internal Auditing AS 9100 REV D
- 0:15 Review Document: AS 9100 REV D
- 0:30 Exercise: Is it a Requirement?
- 2:00 Presentation: Requirements of AS 9100 REV D
- 0:45 Exercise: Find the Requirement
- 0:15 Questions

II. The Audit

- 0:30 Scheduling the Audit
- 0:30 Planning the Audit
- 0:45 Opening Meeting
- 0:45 Audit 5.2 Quality Policy
- 0:45 Audit 8.1 Operational Planning and Control
- 0:45 Audit 8.2 Customer Related Processes
- 0:45 Audit 8.4 Control of External Providers
- 0:45 Audit 10.2 Nonconformity and Corrective Action
- 0:30 Audit 9.3 Management Review
- 0:30 Auditors Document Findings
- 0:30 Final Audit Report
- 0:30 Closing Meeting
- 0:30 Creating the Audit File