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 tittles 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)?		

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:		
	• Ensuring that the QMS conforms to the requirements of AS 9100 D standards?		
	• Ensuring that the processes are delivering their intended outputs?		
	• Reporting on the performance of the QMS on opportunities for improvement and for reporting to top management?		
	• Ensuring the promotion of customer focus throughout your company?		
	• 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?		

	When measurement traceability is a requirement, such as with a statutory or regulatory requirement, a customer or relevant interested party expectation, or considered by your company to be an essential part of providing confidence in the validity of measurement results, do you manage the measuring instruments as follows:		
	• Verified or calibrated at specified intervals or prior to use against measurement standards traceable to international or national measurement standards.		
	• Where no such standards exist, do you retain documented information for the basis used for calibration or verification?		
	• Identified in order to determine their calibration status?		
	• Safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results?		
	Have you established, implemented, and maintained a process for the recall of monitoring and measuring equipment requiring calibration or verification?		
	Is a register of the monitoring and measuring equipment maintained?		
	Does the register include the equipment type, unique identification, location, and the calibration or verification method, frequency, and acceptance criteria?		

	Is calibration or verification of monitoring and measuring equipment carried out under suitable environmental conditions?		
	When an instrument is found to be out of calibration, does your company determine if the validity of previous measurement results has been adversely affected		
	Do you take corrective action in such cases?		
	Additional Questions		
7.1.6	**Organizational knowledge**		
	Does your company determine the knowledge necessary for the operation of the processes and to achieve conformity of products and services?		
	Is this knowledge maintained and made available as necessary?		
	When addressing changing needs and trends, does your company consider its current knowledge and determine how to acquire or access the necessary additional knowledge?		
	For organizational knowledge, do you consider information such as intellectual property and lessons learned?		

