# AS9100 Rev C (2009) Internal Audit Checklist

| 4. REQUIREMENTS | Observations/Comments | Results |
|---|---|---|
| **4. Quality Management System**<br>**4.1 General Requirements** | | |
| a) Check for documentation of the processes included in the QMS | | |
| b) Check for information on the relationship and sequence of the QMS processes. | | |
| c) Ask Management if operation and control of processes is effective. How do they know if it is effective? | | |
| d) Ask how they are able to know if resources and information needed to support processes have been provided. | | |
| e) Is there any information on the effectiveness of processes? | | |
| f) How are improvements made to processes? | | |
| What processes does your organization outsource? How is the process controlled? | | |
| Additional Questions: | | |
| **4.2 Documentation Requirements** | | |
| Is there a list or other means of identifying other documentation required by your QMS? | | |
| Does your quality system documentation include the documentation required by the standard? | | |

| 7. REQUIREMENTS | | |
|---|---|---|
| controls on the results of review | | |
| c. Actions taken when requirements are not met | | |
| d. Special process sources | | |
| e. Define the responsibility for approval stats decisions, changes of status and conditions for controlled use | | |
| f. Determining and evaluating the risk when selecting suppliers | | |
| Are evaluation and any necessary actions being recorded? | | |
| Additional Questions: | | |
| **7.4.2 Purchasing Information** | | |
| What does purchasing information include? | | |
| Does this meet the standard requirements with respect to: | | |
| a. Approval requirements | | |
| b. Qualification of personnel | | |
| c. QMS requirements | | |
| d. Technical data: identification and issue status of specifications, drawings, process requirements and other data | | |
| e. Requirements for design, test, inspection, verification, use of statistical techniques for acceptance and other instructions for acceptance | | |
| f. Test specimens | | |
| g. Requirements for notification of nonconforming product and approval for disposition | | |
| h. Notification of changes in product or process definition, changes of suppliers, change of manufacturing location and any approvals needed | | |
| i. Access to records | | |

| 8. REQUIREMENTS | | |
|---|---|---|
| | | |
| Do records provide evidence of product compliance? | | |
| Is there evidence that product release and service delivery does not proceed until all activities have been completed (unless otherwise approved by a relevant authority or customer)? | | |
| Is there a process to ensure that all required documents accompany the product? | | |
| Additional Questions: | | |
| **8.3 Control of Nonconforming Product** | | |
| How has your organization ensured that product which does not conform to requirements is identified and controlled to prevent unintended use? | | |
| Is there a procedure that identifies responsibilities for taking action? Does it include responsibility for disposition? | | |
| Does the procedure identify the ways that nonconforming product can be handled? | | |
| Do these methods match the standard requirements for: | | |
| e. Action to eliminate nonconformity | | |
| f. Concession | | |
| g. Preclude original intended use | | |
| h. Action appropriate to the effects of the nonconformity | | |
| i. Timely reporting of delivered nonconforming product | | |
| j. Action to contain effect on | | |