AS 9100 Rev D

Internal Auditor Training

Student Manual

AS9100Store

Internal Auditor Training

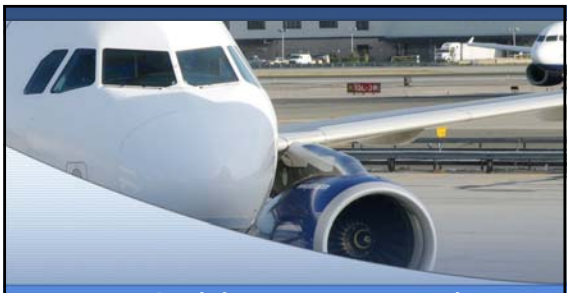
AGENDA

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



A Guide to Internal Auditing

AS 9100 D

Introduction: Why are you here?

- To learn more about AS 9100 D
- To be able to evaluate your own area and make improvements
- To understand the audit process
- To be able to participate in the audit process

Why participate in internal audits?

- The internal audit program is the most powerful tool available for building, maintaining and improving your quality system
- You can be a part of it

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Is it a Requirement?

The standard requires that: If the requirement is true, circle True and list the clause. If it is false, circle False and list the clause used.	True	False
1. The AS 9100 REV D Quality management system (QMS) must be established, documented, implemented and maintained to continually improve its effectiveness.	T *Clause:*	F *Clause:*
2. The Quality policy as defined by top management is required to be communicated, understood and applied within the company.	T *Clause:*	F *Clause:*
3. Top management must appoint a management representative who will have organizational freedom and unrestricted access to top management to resolve quality issues.	T *Clause:*	F *Clause:*
4. Internal and external communication regarding quality matters must be determined.	T *Clause:*	F *Clause:*
5. It is not necessary to identify and control documented information from external origin.	T *Clause:*	F *Clause:*
6. Management must review the QMS at least every quarter of the year.	T *Clause:*	F *Clause:*
7. The QMS must include documented information determined to be necessary for an effective QMS.	T *Clause:*	F *Clause:*
8. Persons performing tasks that may affect the performance and effectiveness of the QMS must be competent.	T *Clause:*	F *Clause:*
9. Employee training must include the awareness of the quality policy and the relevant quality objectives.	T *Clause:*	F *Clause:*
10. The scope of the QMS is not required to be available and maintained as documented information.	T *Clause:*	F *Clause:*
11. The organizational knowledge needed for the operation of the processes & to achieve conformity to requirements must be determined & maintained.	T *Clause:*	F *Clause:*
12. Controls need not be applied when the decision is made for a process, or part of a process, to be provided by and external provider.	T *Clause:*	F *Clause:*
13. Actions to address risks and opportunities need to be determined when planning for the QMS.	T *Clause:*	F *Clause:*
14. Monitoring and measurement resources to ensure valid and reliable results need to be determined and provided.	T *Clause:*	F *Clause:*

Understanding the Requirements of AS 9100 Rev D

Introduction

In this presentation, the text of the AS 9100 D Standard is paraphrased for instructional purposes.

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Refer to the standard for the actual text.

Questions covered

- What is AS 9100 D?
- What is needed for registration to AS 9100 D?
- What are the requirements of AS 9100 D?
  - Section 4 - Context of the Organization
  - Section 5 - Leadership
  - Section 6 - Planning
  - Section 7 - Support
  - Section 8 - Operation
  - Section 9 - Performance Evaluation
  - Section 10 - Improvement
- What are the next steps?

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Find the Requirement:

	Clause:
1. Establish a Quality policy that is appropriate to the organization and that supports the strategic direction.	
2. Establish the Quality management system (QMS) that includes the processes needed and their interactions, and that also addresses customer and statutory and regulatory requirements.	
3. Consider external and internal issues, the requirements of interested parties, and the products and services of the company when determining the scope of the QMS.	
4. Address any applicable statutory and regulatory requirements when determining the requirements for products and services offered to customers.	
5. Top management demonstrates commitment with respect to the QMS and to customer focus.	
6. Documented information required by the QMS and by the AS standard is controlled to ensure that it is available for use where and when it is needed.	
7. Review to determine if a corrective action taken to address nonconformities was effective.	
8. Control changes in documented information to ensure that the latest version is available.	
9. Determine the internal and external communication relevant to the QMS including feedback.	
10. Determine the risks and opportunities that need to be addressed to give assurance that the QMS can achieve intended results.	
11. Determine and implement a process for customer communication on obtaining feedback relating to products and services and including complaints.	
12. Ensure that persons whose work affects the performance of the QMS are competent on the basis of education, training or experience.	
13. Determine the organizational knowledge needed for the operation of the processes and to achieve conformity of products and services.	
14. Determine the length of time that documented information will be retained prior to disposition.	
15. Personnel must be aware of their contribution to the effectiveness of the QMS, to the benefits of improved performance, to product or service conformity, to product safety, and to the importance of ethical behavior.	
16. Determine and provide the resources needed to ensure valid and reliable results from the monitoring or monitoring activities.	
17. Ensure that externally provided processes, products and services conform to requirements.	
18. Management must be committed to ensuring that the quality policy and objectives are established and are compatible with the context and strategic direction of the company.	

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Appendix

QTY	Item	# of Pages
1	P-920 Sample Auditing Procedure……	3
1	Memo from Sample at Aero~Tech Inc (ATI)……..	1
1	Basic Steps for an Audit Outline……..	1
1	F-920-003 Internal Audit Plan Form……	1
1	F-920-003 Internal Audit Plan Form (sample)……	1
1	Opening Meeting Agenda……	1
1	F-920-002 Internal Audit Checklist Form……	1
6	Internal Audit Checklist Samples:	
	• 5.2 Quality Policy……	1
	• 8.1 Operational Planning and Control…….....	1
	• 8.2 Customer Related Processes……...	1
	• 8.4 Control of External Providers …….....	1
	• 10.2 Nonconformity and Corrective Action……	1
	• 9.3 Management Review……...	2
1	F-1020-001 Corrective/Preventive Action Request Form……...	1
1	F-920-004 Internal Audit Report Form……	2
1	F-920-004 Internal Audit Report (sample)……	2
8	Corrective Action Requests (from internal audit/lead auditor):	
	• 16-A-10 Quality Policy Unapproved / Un-posted ……..….	1
	• 16-A-11 Determination of Risk and Opportunity Incomplete	1
	• 16-A-12 Project/Quality Planning Incomplete ……	1
	• 16-A-13 Assessment of Client Needs Incomplete ……..	1
	• 16-A-14 Unapproved Provider/Incomplete PO Information ….	1
	• 16-A-15 Missing Corrections for Provider Problems ……1	
	• 16-A-16 Customer Satisfaction Surveys not on schedule ……	1
	• 16-A-17 Quality Policy not reviewed by management …….	1
1	Closing Meeting Agenda ……	1
1	Audit File ……...1	

Memo

To: Expert Audit Assistance
From: J. Sample
Date: March 5, 2016

Subject: Request for Internal Audit

As discussed on the telephone, our company will be having a registration audit in June 2016. We have developed and are implementing our quality management system and are ready for our first group of planned internal audits and would like your group of expert auditors to perform the audits for us before our registration audit.

During the first audit, we would like your auditors to audit a general process where the audit path goes from the quality policy to operational planning to customer related processes to purchasing to corrective action and finally to management review. Other processes related to the remaining clauses of AS 9100 REV D will be audited during subsequent audits.

I would like you to come in on March 15th to review our audit files and prepare your audit plan. We will schedule the audit for the morning of April 14th.

Best regards

Joe
Aero~Tech Inc QA Manager

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Example Internal Audit Checklists

F-920-002 PAGE 1 of 6	**STANDARD AUDIT IS BASED UPON: AS 9100 REV D**
AUDITORS: *Richard Richards, Ander Anderson, Robbie Roberts*	**DATE:** *April 4, 2016*

Document Reference	Description of Audit Point	Acc / Rej	Comments	C.A.R. #
P-500	*Has the Quality policy been communicated to all persons working on behalf of the organization?*			
	Was the Quality policy formulated and approved by the top management?			
	Is the Quality policy aligned with the defined scope of the QMS?			
	Does the quality policy provide for the framework for establishing specific quality objectives and provides direction for the continual improvement effort?			
	Is the quality policy reviewed to ensure that it continues to be suitable for the organization?			
	Additional questions – Specific to P-500			
	What record keeping forms have been completed?			
	In your own words, please describe what the Quality policy means to you and your daily activities?			
	Is the management representative appointed by top management?			

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Sample: The Internal Audit Plan / Schedule

Audit Number: **One** **Date Scheduled for April 14, 2016**	**Opening Meeting Attendees:** **A Doer, R Ryan, D Delany, D Thomas, M T Moore, J Sample, A Bolt, R Richards, A Anderson, R Roberts**
Area(s) to be audited: **Top Management** **Manufacturing,** **Sales & Marketing,** **Materials / Purchasing,** **QMS Management**	**Closing Meeting Attendees:** **Same as above**
Scope of audit and objectives: **The scope of this audit will include auditing the manufacturing facility for the following clauses of the standard: 5.2, 8.1, 8.2, 8.4, 10.2, and 9.3**	**Standard:** **AS 9100 REV D**
Lead auditor: Richard Richards; **Auditors: Ander Anderson, Robbie Roberts**	

Proposed Schedule

Time	Process or Procedure	Team 1	Team 2
8:00	Opening meeting		
8:30	Auditors meeting (review docs)		
9:30	5.2 Quality policy		
10:00	8.1 Operational planning and control		
11:00	8.2 Customer related processes		
12:00	Lunch break		
1:00	8.4 Control of external providers		
2:00	10.2 Nonconformity and corrective action		
3:00	9.3 Management review		
4:00	Auditors meeting (review findings)		
4:30	Closing meeting		

Corrective Actions to be verified: **None – this is the 1st internal audit at Aero~Tech Inc**	
Primary contact: J Sample **Time and Place for closing meeting: 4:30 pm in Conference room 3**	
Additional information: **Lunch will be catered at noon in conference room 1**	
Signature of Lead Auditor: *Richard Richards*	**Date 4/14/16**

F-930-003