INSERT COMPANY NAME/LOGO HERE

AS 9110 Rev C - Quality Management Systems – The Internal Audit Checklist

This checklist is based on the information provided in the 2016-11 revision of the AS 9110 Rev C, 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 such as '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

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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)?		
	Does your company monitor and review the information		

	related to the external and internal issues?		
	Additional Questions		
4.2	**Understanding the needs and expectations of interested parties**		
	With consideration given to their impact or potential impact on your company's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, do you determine:		
	• The interested parties that are relevant to the QMS?		
	• The requirements of these interested parties that are relevant to the QMS?		
	Does your company monitor and review the information about these interested parties and their relevant requirements?		
	Additional Questions		
4.3	**Determining the scope of the quality management system**		
	To establish the scope of the QMS, does your company determine the boundaries and applicability of the QMS?		
	When determining the scope of the QMS, do you consider the:		

	• External and internal issues (per 4.1)?		
	• Requirements of relevant interested parties (per 4.2)?		
	• The products and services of your company?		
	When a requirement of AS 9110 C can be applied, is the requirement applied by your company?		
	When requirements cannot be applied, and to claim conformity to AS 9110 C, how do you determine if your ability or responsibility to ensure conformity of products and services are not affected?		
	Is the scope of the QMS available and maintained as documented information?		
	Does the scope state the products and services covered by the QMS?		
	Does your company provide justification for any instance where a requirement of the standard cannot be applied?		
	Additional Questions		
4.4	**Quality management system and its processes**		
4.4.1	As required by the standard, do you establish, document, implement, maintain, and continually improve the QMS?		

	Does the QMS also address customer and applicable statutory and regulatory quality management system requirements?		
	Are approvals, certificates, ratings, capability list, and licenses also addressed in the QMS?		
	Does your company determine the processes needed for the QMS, their interactions and applications throughout your company?		
	That is, for the QMS processes do you determine the:		
	• Inputs required and the outputs expected from the processes?		
	• Sequence and interaction of the processes?		
	• Criteria, methods, including measurements and related performance indicators needed to ensure the effective operation, and control of the processes?		
	• Resources needed and ensure they are available?		
	• Assignment of the responsibilities and authorities for these processes?		
	• Risks and opportunities (per 6.1), and plans to implement the appropriate actions to address them? See also Operational risk management (per 8.1.1).		
	• Methods for monitoring, measuring, and evaluation of processes and, if needed, the changes to processes		

	to ensure that they achieve intended results?		
	• Opportunities for improvement of the processes and the QMS?		
4.4.2	Does your company maintain the necessary documented information to support the operation of processes?		
	Does your company maintain and retain the necessary documented information to provide the confidence that the processes are being carried out as planned?		
	Does your company establish and maintain documented information, as required by the competent authority?		
	Does the documented information include:		
	• General description of relevant interested parties, per see 4.2 a?		
	• Scope of the QMS, including boundaries and applicability, per see 4.3?		
	• Description of the processes needed for the QMS and their application throughout the organization?		
	• Sequence and interaction of the processes?		
	• Assignment of the responsibilities and authorities for these processes?		
	• Details of the system used to maintain and retain		

