| AS910 | 0D:201 | 6 Master Internal Audit Ch | ecklist | t service s | | | | | | | | |
|---|--------|--|---------|---|--|---------------|--|--|---|---|---|------------|
| The internal audit checklist will ensure your audits concisely appraise your management system and processes against the requirements of AS9100D:2016. Answer questions 1 to 450 to determine conformance. The audit results are summarized in the 'Audit Results' worksheet. | | | | | | | Enter 'x' into Column F, G or H. Capture OFIs separately in Column I. | | Describe the possible cause of the minor or | Provide a reference to the documentation, | Note any process or practice that seems | Audit Risk |
| Each audit question phrases each AS9100D:2016 'shall' requirement as a question, in order to elicit either a 'yes' or 'no' response, that can be represented as an 'x'. The scoring formula assumes each requirement conforms, until an 'x' is entered into Column G or H. | | | | | | Audit Finding | | | major nonconformance. | records, observations, questioning, etc. supporting the answer <u>each</u> audit finding. | weak, cumbersome, redundant or complex. | Score |
| 8.1 | | Quality Operational Planning & Control | 145 | Does your organization plan, implement and control the processes (see 4.4) needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6 by engaging representatives of affected organization functions for operational planning and control? | | | | | | | | 100 |
| 8.1 | 8.1h | Quality Operational Planning & Control | 146 | Does your organization plan, implement and control the processes (see 4.4) needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6 by determining the process and resources to support the use and maintenance of the products and services? | | | | | | | | 100 |
| 8.1 | 8.1i | Quality Operational Planning & Control | 147 | Does your organization plan, implement and control the processes (see 4.4) needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6 by determining the products and services to be obtained from external providers? | | | | | | | | 100 |
| 8.1 | 8.1j | Quality Operational Planning & Control | 148 | Does your organization plan, implement and control the processes (see 4.4) needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6 by establishing the controls needed to prevent the delivery of nonconforming products and services to the customer? | | | | | | | | 100 |
| 8.1 | 8.1 | Quality Operational Planning & Control | 149 | As appropriate to the organization, customer requirements, and products and services, is product and service provision planned and managed in a structured and controlled manner, including scheduled events performed in a planned sequence to meet requirements at acceptable risk, within resource and schedule constraints? | | | | | | | | 100 |
| 8.1 | 8.1 | Quality Operational Planning & Control | 150 | Is the output of this planning suitable for the organization's operations? | | | | | | | | 100 |
| 8.1 | 8.1 | Quality Operational Planning & Control | 151 | Does your organization control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary? | | | | | | | | 100 |
| 8.1 | 8.1 | Quality Operational Planning & Control | 152 | Does the organization ensure that outsourced processes are controlled (see 8.4)? | | | | | | | | 100 |
| 8.1 | 8.1 | Quality Operational Planning & Control | 153 | Has a process been established, implemented, and maintained to plan and control the temporary or permanent transfer of work, to ensure the continuing conformity of the work to requirements, and does the process ensure that work transfer impacts and risks are managed? | | | | | | | | 100 |
| 8.1 | 8.1.1a | Operational Risk Management | 154 | Has a process been planned, implemented and controlled for managing operational risks to the achievement of applicable requirements, that includes as appropriate to the organization and the products and services, the assignment of responsibilities for operational risk management? | | | | | | | | 100 |
| 8.1 | 8.1.1b | Operational Risk Management | 155 | Has a process been planned, implemented and controlled for managing operational risks to the achievement of applicable requirements, that includes as appropriate to the organization and the products and services, the definition of risk assessment criteria (e.g., likelihood, consequences, risk acceptance)? | | | | | | | | 100 |
| 8.1 | 8.1.1c | Operational Risk Management | 156 | Has a process been planned, implemented and controlled for managing operational risks to the achievement of applicable requirements, that includes as appropriate to the organization and the products and services, the identification, assessment, and communication of risks throughout operations? | | | | | | | | 100 |
| 8.1 | 8.1.1d | Operational Risk Management | 157 | Has a process been planned, implemented and controlled for managing operational risks to the achievement of applicable requirements, that includes as appropriate to the organization and the products and services, the identification, implementation, and management of actions to mitigate risks that exceed the defined risk acceptance criteria? | | | | | | | | 100 |
| 8.1 | 8.1.1e | Operational Risk Management | 158 | Has a process been planned, implemented and controlled for managing operational risks to the achievement of applicable requirements, that includes as appropriate to the organization and the products and services, the acceptance of risks remaining after implementation of mitigating actions? | | | | | | | | 100 |
| 8.1 | 8.1.2 | Configuration Management | 159 | Has a process been planned, implemented, and controlled for configuration management as appropriate to the organization and its products and services in order to ensure the identification and control of physical and functional attributes throughout the product lifecycle? | | | | | | | | 100 |
| 8.1 | 8.1.2a | Configuration Management | 160 | Does this process control product identity and traceability to requirements, including the implementation of identified changes? | | | | | | | | 100 |
| 8.1 | 8.1.2b | Configuration Management | 161 | Does this process ensure that the documented information (e.g., requirements, design, verification, validation and acceptance documentation) is consistent with the actual attributes of the products and services? | | | | | | | | 100 |
| 8.1 | 8.1.3 | Product Safety | 162 | Have the processes needed to assure product safety during the entire product life cycle been planned, implemented and controlled, as appropriate to the organization and the product? | | | | | | | | 100 |
| 8.1 | 8.1.4 | Prevention of Counterfeit Parts | 163 | Have processes, appropriate to your organization and the product been planned, developed and controlled for the prevention of counterfeit or suspect counterfeit part use and their inclusion in product(s) delivered to the customer? | | | | | | | | 100 |
| 8.2 | 8.2.1a | Customer Communication | 164 | Does communication with customers include providing information relating to products and services? | | | | | | | | 100 |
| 8.2 | 8.2.1b | Customer Communication | 165 | Does communication with customers include handling enquiries, contracts or orders, including changes? | | | | | | | | 100 |
| 8.2 | 8.2.1c | Customer Communication | 166 | Does communication with customers include obtaining customer feedback relating to products and services, including customer complaints? | | | | | | | | 100 |