AS 9120 Rev B
Internal Auditor Training

Trainer's Guide

Overview

These course materials are meant to train people to conduct internal quality audits within your organization, which are necessary to meet the internal audit requirements of the AS 9120 REV B standard.

The course is divided into two sections:

1. The first section will familiarize the students with the AS 9120 REV B requirements for quality management system.
    - Allow 4 hours for this section.
2. The second section is devoted to the auditing process. The students will go through all the steps required for an audit, with hands on involvement in performing each step by conducting a mock audit of a fictitious company.
    - Allow 8 hours for this section.

We recommend that you print this guide as you'll need the PowerPoint speaker notes to lead the class. This guide contains everything the instructor needs to lead the class.

Notes:

- It is assumed that the instructor has certified Lead Auditor credentials or equivalent experience. This is not meant as a self study course.

- It is recommended that the first audit the student is involved with be under the leadership of a lead auditor who has audit experience.

Course Materials

The supplies you will need are:

- PowerPoint: **Guide to Internal Audits** (included).

- PowerPoint: **Requirements of AS 9120 REV B** (included).
  - A complete version with Speaker Notes is in this Trainer's Guide

- PowerPoint: **Steps of Internal Audit** (included).
  - A complete version with Speaker Notes is in this Trainer's Guide

- Student Manual (included).
  - Print one copy for **each student**
  - You may wish to have extra copies of the CAR form
  - It includes reduced versions of all the PowerPoints.

- AeroSource Company - Documented Information (included).
  - Print one copy for **each team** of two or three students.
  - See next page for list of contents.
  - Note that for this training, it is not possible to bring all documents from a fictitious company in the classroom.
  - However, documents relevant to the audit and non-conformances observed are included. In the list of documented information, the relevant manual and procedures are highlighted in **brown font**.

- The AS 9120 REV B Standard (**NOT Included***)
  - You will need one copy for every 2-3 students.
  - Standards are available electronically from http://www.techstreet.com/products

The AS 9120 REV B Standard is a copyrighted document and we are unable to include it.

AeroSource Co Documented Information

AeroSource Co Documented Information – Contents

Qty	Documents and Records	No. of Pages
1	QM-9120-B Quality Manual	8
1	F-750-001 List of Documented Information	2
1	Internal Audit Master Schedule	1
1	P-500 Leadership Procedure	2
1	A-520-001 Quality Policy and Strategic Direction	1
1	P-810 Operational Planning and Control	2
1	F-610-001 Risk and Opportunity Worksheet	1
2	F-810-001 Project Planning Worksheet	3
1	P-820 Customer Related Processes Procedure	3
1	F-820-001 Client Assessment Report	1
2	F-820-010 ASC Quotation / Proposal	2
1	P-840 Control of External Providers Procedure	3
1	F-840-002 List of Approved Sources	1
3	F-840-005 ASC Purchase Order / Amended Purchase Order	3
1	F-840-010 External provider Problem Log Form	1
1	P-1020 Nonconformity and Corrective Action Procedure	2
1	F-912-001 Customer satisfaction survey	1
1	R-1020 Register of Improvement Action Reports - NCR-CAR	1
1	F-1020-001 Corrective Action Request Form (CAR)	1
1	NCR – Section 1 Corrective Action Requests	1
1	CAR – Section 2 Corrective Action Requests	1
1	P-930 Management Review Procedure	2
1	F-930-001 Management Review Meeting Agenda	1
1	F-930-002 Minutes of Management Review	2

INSERT COMPANY NAME/LOGO HERE

AS 9120 Rev B - Quality Management Systems – The Internal Audit Checklist

This internal audit checklist is based on the information provided in the Nov 2016 revision of the AS 9120 Rev B, 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 requires 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 SYSTEMS	OBSERVATIONS / COMMENTS	STATUS OK Yes / No
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)?		

8.3.2	Design and development planning		
	In determining the stages and controls for design and development, does your company consider the:		
	• Nature, duration and complexity of the design and development activities?		
	• Requirements that specify process stages, including applicable design and development reviews?		
	• Required design and development verification and validation?		
	• Responsibilities and authorities involved in the design and development process?		
	• Internal and external resources needed for the design and development process?		
	• Need to control interfaces between individuals and parties involved in the design and development process?		
	• Need for involvement of customer and user groups in the design and development process?		
	• Requirements for subsequent provision of products and services?		
	• Level of control expected by customers or other interested parties?		

	Does the company ensure that all documented information required to accompany the products and services are present at delivery?		
	See the Note in section 8.6.		
	• When there is a formal agreement with the customer, do you deliver a certifying statement that references the original manufacturer's certificate of conformity and documented information that is retained and traceable to your company?		
	• Do the certifying statements indicate that defined requirements have been met throughout your processes?		
	Additional Questions		
8.7	**Control of nonconforming outputs**		
8.7.1	Does your company ensure that outputs that do not conform to requirements are identified and controlled to prevent their unintended use or delivery?		
	See the 1st Note in section 8.7.1:		
	• Do you recognize that the term Nonconforming Outputs includes nonconforming product or service generated internally, received from external providers, identified by a customer?		

