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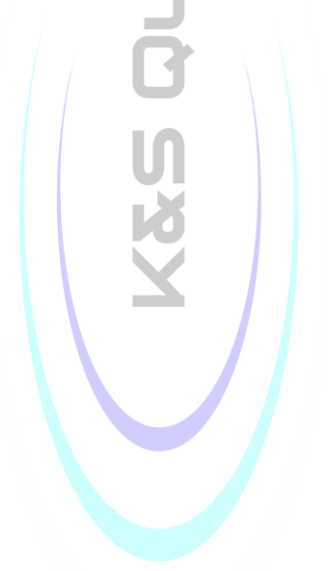
	General Process Questions (You may want to answer these questions after or while the specific questions starting at #23 are answered)	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
01	Is there a process flow diagram that adequately describes the inputs, outputs, responsibilities, resources, measurement point, and other requirement of the process?			
02	Does the Quality Manual properly address all the requirements of this section of the Standard?			
03	Are the documents required for this process controlled according to the requirements given in section 4.2.3 of the Standard?			
04	Are records created by this process controlled according to the requirements given in section 4.2.4 of the standard?			
05	Has management demonstrated an involvement in this process by the communication of a quality policy and objectives to the employees involved in this process?			
06	Is there evidence that management has reviewed this process during the management review meetings?			
Objective evidence assessed / Observations / Comments / N/A explanation				

Control of Product & Service Provision Process Based Audit Checklist By K&S Quality Associates

	General Process Questions (You may want to answer these questions after or while the specific questions starting at #23 are answered)	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
07	Has management provided resources necessary to effectively carry out this process?			
08	Are there adequate work instructions for the employees involved in this process?			
09	Are there adequate job descriptions for the employees involved in this process?			
10	Are there adequate training records for the employees involved in this process?			
11	Is there evidence of appropriate maintenance of all equipment involved in this process?			
12	Is there evidence that the proper work environment is being provided and maintained? (ESD, Clean room, etc...)			
Objective evidence assessed / Observations / Comments / N/A explanation				

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	General Process Questions (You may want to answer these questions after or while the specific questions starting at #23 are answered)	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
13	Is all measuring equipment (if any) used in this process calibrated in accordance with written procedures and the requirements of the standard?			
14	Does the organization conduct internal audits of this process at planned intervals to determine whether the process is effective and meets the requirements of the standard?			
15	Does the organization apply suitable methods for monitoring and, where applicable, measurement of this quality management system processes?			
16	Do these methods demonstrate the ability of the processes to achieve planned results?			
17	When planned results are not achieved, is correction and corrective action taken, as appropriate, to ensure conformity of the product?			
Objective evidence assessed / Observations / Comments / N/A explanation				

	<p align="center">General Process Questions (You may want to answer these questions after or while the specific questions starting at #23 are answered)</p>	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
18	In the event of process nonconformity, does the organization: a) take appropriate action to correct the nonconforming process? b) evaluate whether the process nonconformity has resulted in product nonconformity? c) identify and control the nonconforming product in accordance with clause 8.3?			
19	Does the organization determine, collect and analyze appropriate data to demonstrate the suitability and effectiveness of this process and to evaluate where continual improvement of the effectiveness of this process can be made?			
21	Are corrective actions relevant to this process utilized and verified for effectiveness?			
22	Are preventive actions relevant to this process utilized and verified for effectiveness?			
<p>Objective evidence assessed / Observations / Comments / N/A explanation</p> <div style="text-align: center; font-size: 2em; opacity: 0.5;">  </div>				

Questions in ***Bold Italics*** are specific to the AS9100 standard.

	Process Specific Questions	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
23	<p>7.5.1 Are production and service provisions planned and achieved under controlled conditions including:</p> <ul style="list-style-type: none"> a) availability of product characteristics b) availability of necessary work instructions c) use of suitable equipment d) availability and use of monitoring and measurement (M&M) equipment e) implementation of M&M f) implementation of product release, delivery, and post-delivery activities g) <i>accountability for all product during production</i> h) <i>evidence that all operations have been completed as planned</i> i) <i>provisions for a Foreign Object Debris/Damage (FOD) program</i> j) <i>monitoring and control of utilities and supplies</i> k) <i>criteria for workmanship</i> 			
<p>Objective evidence assessed / Observations / Comments / N/A explanation</p>				

	Process Specific Questions	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
24	When appropriate does planning consider: <ul style="list-style-type: none"> • managing critical items and key characteristics • measurement tooling • identifying in-process verification points • special processes 			
25	7.5.1.1 Is a representative item from the first production run used to verify production processes, documentation, and tooling and is capable of producing parts and assemblies that meet requirements (FAI)?			
26	7.5.1.2 Are personnel authorized to approve changes defined?			
27	Are changes affecting processes, equipment, tools, or software controlled and documented?			
28	Changes are assessed to confirm that product conformity has not been adversely affected?			
Objective evidence assessed / Observations / Comments / N/A explanation				

	Process Specific Questions	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
29	7.5.1.3 Are production equipment, tools, and software used to automate, control, or monitor processes validated prior to release for production and maintained?			
30	Are Storage requirements defined for production equipment and tooling?			
31	7.5.1.4 Does post-delivery support include as applicable: a) collection and analysis of in-service data b) actions to be taken, including investigation and reporting, when problems are detected after delivery c) control and updating technical documentation (data) d) approval, control, and use of repair schemes e) controls required for off-site work			
Objective evidence assessed / Observations / Comments / N/A explanation				

	Process Specific Questions	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
32	7.5.2 Are special processes validated prior to use?			
33	Do special process validations demonstrate the ability to achieve planned results?			
34	Do established arrangements include, as applicable: a) criteria for review and approval b) approval of equipment and qualification of personnel c) use of specific methods and procedures d) requirements for records e) revalidation			
35	7.5.3 Are products identified throughout product realization?			
36	<i>Is product configuration maintained?</i>			
37	Is product status identified throughout product realization?			
Objective evidence assessed / Observations / Comments / N/A explanation				

	Process Specific Questions	(N)Nonconformance (OFI)Opportunity for Improvement (S)Satisfactory	N/A	N/E
38	<i>Are Controls in place for media used for acceptance?</i>			
39	When required, is traceability controlled through unique product identifications and records maintained?			
40	7.5.4 Is Customer property adequately controlled through identification, verification, protection, and safeguarding?			
41	Is lost, damaged, or product unsuitable for use reported to the customer and records maintain?			
42	7.5.5 Are products preserved during internal processing and delivery?			
43	Does preservation include identification, handling, packaging, storage, and protection?			
Objective evidence assessed / Observations / Comments / N/A explanation				



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As your system matures you may want to develop questions specific to any documented procedures/work instructions relating directly to this Process:

Procedure/WI #:

Question #:

Question:

Objective evidence assessed / Observations / Comments / N/A explanation:

Procedure/WI #:

Question #:

Question:

Objective evidence assessed / Observations / Comments / N/A explanation:

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Procedure/WI #:

Question #:

Question:

Conforming:

Minor:

Opportunity For Improvement:

Objective evidence assessed / Observations / Comments / N/A explanation:

Procedure/WI #:

Question #:

Question:

Objective evidence assessed / Observations / Comments / N/A explanation:

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Procedure/WI #:

Question #:

Question:

Conforming:

Minor:

Opportunity For Improvement:

Objective evidence assessed / Observations / Comments / N/A explanation:

Procedure/WI #:

Question #:

Question:

Objective evidence assessed / Observations / Comments / N/A explanation:

Process Performance Evaluation

Minor Findings: _____ OFI's: _____ Total Findings: _____

Is this process meeting set objectives & Targets (Explain)?

Process Evaluation:

1. Process is effectively implemented, planned results are achieved:
2. Process is implemented, planned results aren't achieved but appropriate actions are being taken:
3. Process is not effective, planned results aren't achieved and appropriate actions are not being taken:

Additional Notes:

Auditor: _____ Date: _____

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