



## Norman Quality Tools

# AS9100 Audit-Prep Kit

### SAMPLE PREVIEW

Gap checklist by AS9100D clause, internal audit templates, 8D/CAPA and NCR forms, FAI guide and a live tracker workbook — now with a full worked example and a step-by-step implementation guide.

| What's inside                                                                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------|
| 01 Audit-Readiness Checklist — gap assessment by clause                                                                        |
| 02 Internal Audit Plan & Report — annual program, plan, checklist, report                                                      |
| 03 8D / CAPA Form — corrective action                                                                                          |
| 04 FAI (AS9102) Guide — first article prep                                                                                     |
| 05 NCR Template — nonconformance & disposition                                                                                 |
| 06 Excel Tracker — readiness %, NCR, CAPA, FAI and audit logs                                                                  |
| <b>Examples/</b> — filled-in worked example (fictional company)                                                                |
| <b>Implementation Guide</b> — order of steps, RACI, time estimates, 30/60/90 plan, audit-prep checklist, auditor findings, FAQ |

Templates, not regulatory advice.  
Pages that follow are excerpts. Example pages show fictional data.

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# AS9100 Audit-Prep Kit: Implementation Guide

Step-by-step rollout for a small shop (about 10–50 people). Replaces the former Start Here README.

| Doc no.     | Rev | Date    | Approved by |
|-------------|-----|---------|-------------|
| NQT-AS91-00 | A   | 2026-10 | _____       |

**Templates, not regulatory advice.** Clause and section numbers are cited for navigation only; this guide paraphrases and does not reproduce any standard. Buy the standard from its publisher and confirm requirements against your licensed copy, contract and customer flow-downs.

**Status note:** AS9100D is current at time of writing. IAQG is developing an IA9100 revision; it is not yet published (as of Oct 2026) — check [iaqg.org](https://iaqg.org) for status.

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## 1. What is in this kit

| File                            | Use it for                                 |
|---------------------------------|--------------------------------------------|
| 01 Audit-Readiness Checklist    | gap assessment by clause                   |
| 02 Internal Audit Plan & Report | annual program, plan, checklist, report    |
| 03 8D / CAPA Form               | corrective action                          |
| 04 FAI (AS9102) Guide           | first article prep                         |
| 05 NCR Template                 | nonconformance & disposition               |
| 06 Excel Tracker                | readiness %, NCR, CAPA, FAI and audit logs |

## 2. Order of steps

| Step | What to do                                                                       | Kit file              | Clause / ref. | Est. time (small shop) |
|------|----------------------------------------------------------------------------------|-----------------------|---------------|------------------------|
| 1    | Define scope, products, sites and exclusions; list interested parties and issues | 01 Checklist §4       | 4.1–4.4       | 4–6 h                  |
| 2    | Run the gap assessment; set Y/P/N in the tracker                                 | 01, 06 Readiness      | 4–10          | 8–12 h                 |
| 3    | Write/refresh quality policy, objectives and process map                         | 01 §5–6               | 5.2, 6.2, 4.4 | 6–8 h                  |
| 4    | Close document & record control gaps (rev control, retention)                    | 01 §7.5               | 7.5           | 6–10 h                 |
| 5    | Stand up NCR and CAPA logs; work open issues through the forms                   | 03, 05, 06            | 8.7, 10.2     | 6–8 h                  |
| 6    | Confirm FAI, configuration and supplier control on live jobs                     | 04, 06 FAI log        | 8.4, 8.5.1.3  | 8–12 h                 |
| 7    | Run a full internal audit cycle                                                  | 02, 06 Audit Schedule | 9.2           | 12–16 h                |

|   |                                                       |         |     |       |
|---|-------------------------------------------------------|---------|-----|-------|
| 8 | Hold management review; record decisions              | 01 §9.3 | 9.3 | 3-4 h |
| 9 | Mock audit and close findings; book registrar stage 1 | 01, 02  | —   | 6-8 h |

**Total effort:** About 60-90 hours of staff time spread over 8-12 weeks for a 10-50 person shop that already has basic work instructions.

### 3. Who owns what (RACI)

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R = Responsible, A = Accountable, C = Consulted, I = Informed. Rename roles to fit your org chart; one person often wears several hats.

| Activity                      | Quality Mgr | GM / Owner | Prod. Lead | Inspector | Purchasing |
|-------------------------------|-------------|------------|------------|-----------|------------|
| Scope, policy, objectives     | R           | A          | C          | I         | I          |
| Gap assessment                | R           | A          | C          | C         | C          |
| Document control              | A/R         | I          | C          | C         | I          |
| NCR / CAPA                    | A           | I          | R          | R         | C          |
| FAI & product verification    | A           | I          | C          | R         | I          |
| Supplier control & flow-downs | C           | A          | I          | C         | R          |
| Internal audits               | A/R         | I          | C          | C         | C          |
| Management review             | R           | A          | C          | I         | C          |

*Dropdowns on status columns. Overdue open items turn red.*

[illegible]



**EXAMPLE – FICTIONAL DATA** — Example Precision Machining LLC is fictional. Names, part numbers and dates are invented to show how the form is completed.

Document control

| Doc no.     | Rev | Date       | Approved by                     |
|-------------|-----|------------|---------------------------------|
| EPM-AS91-02 | B   | 2026-03-02 | Dana Whitfield, Quality Manager |

## Internal Audit Plan and Report Templates

AS9100 Audit-Prep Kit - Document 02 - Rev A (2026-10)

Five templates that cover one full internal audit cycle: the annual program, the plan for a single audit, the auditor's working checklist, the finding record, and the report. Copy the page you need; keep completed forms as records.

### How to run an internal audit in a 10-50 person shop

- **Plan by process, not by clause.** Audit 'Receiving', 'Machining', 'Final inspection and shipping', 'Purchasing'. Use the clause column to make sure everything is covered across the year.
- **Weight by risk.** Audit high-risk processes (special processes, final inspection, purchasing, areas with customer complaints or recent findings) more often. Low-risk areas can be once per cycle.
- **Stay objective.** An auditor must not audit their own work. In a small shop, trade audits between departments, or bring in a qualified outside auditor for the quality department itself.
- **Follow the part.** Pick a shipped job and trace it backward: C of C, final inspection, traveler, NC program revision, material cert, PO to the supplier, contract review. One trail tests a dozen clauses.
- **Write findings an outsider can verify.** Requirement, what you saw (objective evidence), and why it does not meet the requirement. No opinions.
- **Close the loop.** Every finding goes to the CAPA process (Document 03) with a due date. Follow-up is part of the audit, not optional.

### 02-A Annual internal audit program

|              |              |               |                |
|--------------|--------------|---------------|----------------|
| Program year | 2026         | Program owner | Dana Whitfield |
| Approved by  | Ken Albright | Approval date | 2026-01-12     |

| Process / area                             | Clauses         | Risk | Auditor                     | J | F | M | A | M | J | J | A | S | O | N | D |
|--------------------------------------------|-----------------|------|-----------------------------|---|---|---|---|---|---|---|---|---|---|---|---|
| Context, leadership, planning, mgmt review | 4, 5, 6, 9.3    | M    | Tom Becker                  |   | X |   |   |   |   |   |   |   |   | X |   |
| Document and record control                | 7.5             | M    | Tom Becker                  |   |   | X |   |   |   |   |   |   |   |   |   |
| Training and competence                    | 7.1.6, 7.2, 7.3 | M    | Priya Raman                 |   |   |   |   |   | X |   |   |   |   |   |   |
| Calibration                                | 7.1.5           | H    | J. Ortiz (contract auditor) |   |   |   |   | X |   |   |   |   |   | X |   |
| Contract / PO review                       | 8.2             | M    | Priya                       |   |   |   |   | X |   |   |   |   |   |   |   |

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|                                     | IS                                     | IS NOT (could be, but is not)        |
|-------------------------------------|----------------------------------------|--------------------------------------|
| What (part, defect)                 | EPM-1042-A, Ø12.700 bore oversize      | Other bores on the same part         |
| Where (machine, station, found at)  | VMC-2, op 30                           | VMC-1 running the same program       |
| When (date, shift, lot, first seen) | 2026-03-09, 2nd shift, lot L26-3101    | Lots before L26-3101                 |
| How many / how big                  | 6 of 25 pcs, +0.002 to +0.006 over max | Not the whole lot; no other features |

### D3 Containment

| Location                        | Qty checked | Qty bad | Action / method                       | By / date             |
|---------------------------------|-------------|---------|---------------------------------------|-----------------------|
| In-house stock                  | 25          | 6       | Inspected 100%, tagged and segregated | P. Raman / 2026-03-09 |
| Work in process                 | 40          | 0       | Measured all WIP at op 30             | P. Raman / 2026-03-09 |
| At supplier / outside processor | 0           | 0       | N/A – no outside processing           | P. Raman / 2026-03-09 |
| In transit                      | N/A         | N/A     | N/A                                   | N/A                   |
| At customer / field             | 0           | 0       | None shipped – no customer stock      | P. Raman / 2026-03-09 |

Containment is effective only when you have checked every location where suspect product could be, and marked accepted parts so they can be told apart (for example a dot or tag on 100% re-inspected parts).

### D4 Root cause

Find two causes: why it happened (occurrence) and why it was not caught (escape). Consider human factors (fatigue, distraction, unclear instructions, lack of tools, pressure), not only 'operator error'. Verify the cause by turning it on and off if you can.

|                       | Occurrence: why did it happen?                                          | Escape: why was it not detected?                          |
|-----------------------|-------------------------------------------------------------------------|-----------------------------------------------------------|
| Why 1                 | Bore cut oversize                                                       | 1-in-10 bore check did not catch drift                    |
| Why 2                 | Insert worn past edge life                                              | Check frequency set before tight-tolerance bore was added |
| Why 3                 | No insert change interval defined                                       | Inspection plan not reviewed at rev change                |
| Why 4                 | Tool-life log omitted boring bars                                       | No trigger to review inspection plan                      |
| Why 5                 | Log set up before boring op was added                                   | Rev-change checklist lacked inspection-plan step          |
| Root cause (verified) | Insert not on tool-life schedule (trial: new insert holds size 120 pcs) | Inspection frequency not updated at rev change            |