ASA

ASA-100 Audit Corrective Action Report

A. CAR INFORMATION

1. Company Name:	Sample Company	2. Date:	12/1/2015
3. Company Rep:	John Doe, Quality Manager	4. Finding Number:	SC-120115-1

5. Repeat Finding:	☐ Yes ☒ No	6. Previous Finding Number:	N/A	7. Systemic Finding:	☐ Yes ☒ No

B. FINDING WRITTEN BY ASA AUDITOR

8. ASA Auditor Name and Email:	Joe Auditor
9. ASA Auditor Email:	joeauditor@aviationsuppliers.org
10. Classification:	☒ Non-Conformance ☐ Concern
11. ASA-100 section / Organization QMS reference:	ASA-100 Section 2A
12. **Finding:** NOTE: DESCRIPTION OF THE DISCREPANCY	Self-Audit not conducted.
13. **Objective Evidence:** NOTE: EVIDENCE TO SUPPORT FINDING	No evidence of a self-audit to ASA-100 conducted in the last 12 months.

C. RESPONSE TO CORRECTIVE ACTION BY CUSTOMER (complete the section below):

(NOTE: There must be objective evidence submitted to support items 14-22. Objective evidence is information that is verifiable and shows that the statement being asserted is true. This is usually a record but can be other items as long as it proves the statement being asserted is true. For example, if in order to show a fix to a finding, Company "A" trained their staff on Counterfeit parts, then objective evidence is the training record and remember the training record can be a company created training record. Evidence can be typed or pasted into form but typically it is supplied as attached documents.)

14. Correction: NOTE: IMMEDIATE ACTION TAKEN TO ADDRESS THE ISSUE. REFERENCE ASA-100 SECTION 14 (B)(2)	Conducted the self-audit on 12/3/2015 and 12/4/2015. Attached self-audit for evidence submission to auditor.
15. Containment: NOTE: ACTION TAKEN TO ENSURE THE DISCREPANCY DOES NOT SPREAD. MAY NOT BE NEEDED. REFERENCE ASA-100 SECTION 14 (B)(4)	Not needed.
16. Locate and Correct Similar Discrepancies: NOTE: RESPONSE MAY BE NONE NOTED. [REFERENCE ASA-100 SECTION 14 (B)(5)	Reviewed what other scheduling items need to be tracked and found that we weren't tracking annual training. Corrected counterfeit parts training for 2 new employees. As per our manual requirements, approved supplier list needs to be monitored monthly, and verified this is being scheduled and done.
17. Root Cause: NOTE: WHAT CAUSED THE DISCREPANCY? CLIENT CHOOSES THE ANALYSIS METHOD. REFERENCE: ASA-100 SECTION	Conducted a 5 WHY Analysis: 1. Why is there no evidence of a self-audit? a. Because self-audit not conducted 2. Why was self-audit not conducted a. Because a self-audit was not scheduled 3. Why was a self-audit not scheduled for the past year a. Because management didn't schedule the audit 4. Why did management not schedule the audit?

<table>
<tr><td>14 (B)(1)</td><td colspan="5">a. Management forgot
5. Why did management forget?
a. Management didn’t record in Outlook Calendar</td></tr>
<tr><td>18. Corrective Action:

NOTE: LONG-TERM FIX TO DISCREPANCY.

REFERENCE ASA-100 SECTION 14 (B)(3)</td><td colspan="5">Reminder in outlook calendar to schedule and conduct self-audit.

Screen shot of reminder for this year and 5 years out attached.</td></tr>
<tr><td>19. Company Representative:</td><td>John Doe</td><td>20. Projected completion Date:</td><td>12/3/2015</td><td>21. Completion Date:</td><td>12/3/2015</td></tr>
<tr><td>22. Follow up verification of Corrective Action:

NOTE: LONG TERM CHECK TO MAKE SURE ACTION TAKEN WAS EFFECTIVE.

REFERENCE ASA-100 SECTION 14 (B)(6)</td><td colspan="5">Checked calendars of all employees needed for self-audit to make sure it was on their calendar. Attached screen shots of calendar as evidence.</td></tr>
<tr><td>23. Company Representative:</td><td>John Doe</td><td>24. Date of Verification:</td><td colspan="3">12/10/2015</td></tr>
<tr><td colspan="6">D. CLOSURE OF CORRECTIVE ACTION RECORD BY ASA AUDITOR:</td></tr>
<tr><td>25. Response acceptable?</td><td colspan="5">☒ Yes ☐ No</td></tr>
<tr><td colspan="6">26. Comments / Evidence:

Reviewed self-audit and was complete and covered requirements of ASA-100. Root cause evaluation acceptable. Reviewed evidence from computer screen shots.</td></tr>
<tr><td>27. ASA Auditor:</td><td colspan="2">Joe Auditor</td><td>28. Date:</td><td colspan="2">12/13/2015</td></tr>
<tr><td colspan="6">VERIFICATION OF ADDITIONAL RESPONSE BY ASA AUDITOR, IF “NO” ABOVE:</td></tr>
<tr><td>29. 2nd Response acceptable?</td><td colspan="5">☐ Yes ☐ No</td></tr>
<tr><td colspan="6">Comments / Evidence:</td></tr>
<tr><td>30. ASA Auditor:</td><td colspan="2"></td><td>31. Date:</td><td colspan="2"></td></tr>
<tr><td colspan="6">E. VALIDATION OF CAR IMPLEMENTATION TO BE VERIFIED BY ASA AUDITOR AT NEXT ASA-100 AUDIT:</td></tr>
<tr><td>32. Validation Verified and Sufficient?

NOTE: CLOSURE INDICATES VALIDATION. IF VALIDATION ISN’T SUFFICIENT THEN A REPEAT NONCONFORMANCE SHALL BE ISSUED</td><td colspan="5">☒ Yes ☐ No</td></tr>
<tr><td colspan="6">33. Comments / Evidence:

Validated self-audit was on file and that outlook calendars had self-audit reminders.</td></tr>
<tr><td>34. ASA Auditor:</td><td colspan="2">Joe Auditor</td><td>35. Date:</td><td colspan="2">12/1/2016</td></tr>
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