Self-Audit Checklist

Company Name:

Date of audit:

Date of last audit performed:

Name of person performing self-audit:
Signature:

Name of person responsible for quality system:
Signature:

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Number of non-compliances:

ASA-100 Standard	QM Section/Page / Procedures / Work Instructions	N/A	Notes	Comments	Compliant	Non-compliant
1. Quality System and Manual						
A. The distributor shall have an established quality system adequate to assure a quality product that complies with customer specification. 1) The quality system, including procedures and operations, shall be described in detail in a quality manual, or other appropriate documents. 2) ASA-100 accredited distributors must address each and every element of the ASA-100 standard in its manual. To the extent that some elements in the standard are not applicable to the business, and might otherwise be omitted from the manual, the topic area shall be identified to indicate that the element is not applicable.			List quality documents in your quality system:			

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B. These documents shall be readily available to at least first line supervisors responsible for the activities described. The system shall contain all of the elements of the governing specification adopted by the organization and should be described in the manual or supporting documents, e.g., work cards or check sheets, in sufficient detail to be used as operating instructions.			List each element of the standard that is not applicable to your quality system:			
C. The quality manual and/or related documents shall be kept current and readily available to employees and to the customer's auditor or designee.			List current revision level of all quality documents (QM, procedures, work instructions, Forms, ACs, etc.:			

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D. The distributor shall notify the accreditation organization, in writing, of any significant changes to its quality system and receive written notification of the acceptance of the change prior to implementation.			Date the last revision of QM was sent to ASA:			
E. For distributors, the quality control manual shall include, but not be limited to a detailed description of:						
1) the quality control department including an organizational chart showing the relationship of quality control to the rest of the organization,						
2) the assignment of personnel by title, responsible for specific functions within the quality system,						
3) the distribution and revision control system for the quality documentation and other technical data, where required,						
4) the record keeping system to be employed,						
5) the organization's training requirements and records,						
6) how shelf life-limited parts and supplies will be controlled (if applicable),						
7) how incoming discrepant parts and supplies will be controlled,						

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8) receiving inspection procedures,						
9) tool and test equipment calibration program (if applicable),						
10) the storage facilities and applicable specifications,						
11) the parts identification system employed,						

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12) the environmental controls used (as appropriate),						
13) the system employed to control inspection stamps (if applicable),						
14) the self-audit/evaluation program which specifies an annual review.						
15) the corrective action process.						
2. Self-Audit/Evaluation						
A. Self-Audit/Evaluation: The distributor shall have in place a self-audit/evaluation program to insure that the ASA-100 Standard has been implemented and that the quality system as adopted continues to meet the company's needs. The program shall provide the necessary feedback for continuous quality improvement. Self-audit/evaluations shall be conducted, at a minimum, on an annual basis. The distributor shall perform the selfaudit/ evaluation in accordance with written procedures or checklists that determine the effectiveness of the quality system. When a self-audit identifies a non-conformity, the distributor shall follow its Corrective Action Process to address the non-conformity. Audit results shall be documented, including identifying who conducted the audit, the frequency of the audit, and corrective action of non-compliance.			Date of previous audit:			

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B. Accreditation: A distributor that is seeking accreditation to the ASA-100 Standard shall contact ASA. ASA-100 is subject to both copyright and trademark protection. ASA is the only entity who is authorized to provide a certification statement certifying compliance to the ASA-100 Standard. In order to participate in the ASA Accreditation program the distributor is required to sign a contract and ASA shall audit the distributor under a preset audit plan determined by ASA as stated in the contract. Upon notification by ASA of a successful audit, ASA shall provide the distributor with the appropriate documentation needed to participate in FAA AC 00-56 accreditation. A distributor is not considered accredited until it meets the requirements of FAA AC 00-56. An acceptable audit result does not relieve the distributor from maintaining its quality system.						

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3. Facilities						
A. Appropriate facilities shall be maintained so as to insure that storage does not damage inventory. Storage areas shall have adequate space and appropriate racks. Parts should be stored in a manner that will preclude damage.			List areas of concern in storage area:			
B. Distributors that engage in aircraft/component maintenance, as well as part sales, shall secure the storage area to prevent unauthorized access.			How is storage area secured from unauthorized access?			
C. Distributors that deal in non-aircraft related activities including non-aircraft part sales, shall segregate the aircraft function from other functions in a manner that will preclude supplying unapproved materials for aircraft material.						
D. The distributor shall have a system in place to segregate and identify serviceable from unserviceable parts in a manner that will control the issuance of those parts.			What methods are used to segregate material?			
4. Training and Authorized Personnel						

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A. The distributor shall have personnel who are properly trained to perform inspection, handling and recordkeeping procedures to support the organization's adopted quality system. This applies to personnel performing the function of supervisor, inspector, shipping and receiving.						
B. Inspection personnel shall be properly trained and authorized. Such persons shall be knowledgeable of inspection techniques, methods and equipment used to determine part quality. Authorization criteria shall be identified in the distributor's manual.						

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C. All training, both formal (classroom) and on-the-job training (OJT), shall be documented and the records shall be maintained for all employees who underwent training. Training records shall be retained for at least two years after the employee has left employment with the company. Each training record shall include: •A description of the training; •Date(s) and length of instruction; •Name of the student; •Name of the person (instructor) and organization conducting the training (the organization may be the accredited organization itself, such as when OJT is provided); •Any additional information required by law or regulation.			List employees name whose training records were sampled:			
D. The distributor shall maintain a roster of the personnel and their alternates authorized to perform inspection functions and identify the inspection function(s) that each persons authorized to perform.			Attach current copy of roster to this document.			
E. The distributor shall have a training program that addresses unapproved parts; and counterfeit parts and materials. Personnel involved in procurement, receiving inspection, shipping inspection and material control shall be trained in these topics.			List employees name whose training records were sampled:			

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5. Procurement						
A. The distributor shall maintain a procurement system such that materials and components purchased (1) are traceable to a prior source and (2) bear acceptable documentation that conforms to at least one of the receipt requirements listed in Appendix A.			Where are the requirements of Appendix A described in your manual for procurement of material?			

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B. A system shall be in place to assure that special requirements are adequately communicated to the distributor's sources, so that parts conform to the customer's purchase request and that deviations are disclosed and approved by the customer.						
C. The distributor shall maintain a list of their approved suppliers and a quality history for each source.			How do you track quality history for each approved supplier (discrepancy report, non-conformance log, rejection form, etc.)?			
D. In addition, the distributor of surplus parts should have a procurement system which assures that:						
1. a part known to have been subjected to conditions of extreme stress, heat or environment are so identified.			Describe how information is requested and verified. (PO, RO, inspection, etc.)			

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2. all Airworthiness Directives (AD's) that are represented as having been accomplished are documented. Certification of compliance shall specify AD number, AD amendment number, date, and method of compliance, i.e.," AD xx-xx-xx terminated (date). Replaced shaft seal with P/N _____ shaft seal (signature)."			Describe how information is requested and verified. (PO, RO, inspection, etc.)			
3. items identified as overhauled, repaired or modified have the appropriate signed and dated documentation attached to substantiate the condition of the part.			Describe how information is requested and verified. (PO, RO, inspection, etc.)			

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6. Receiving Inspection						
A. Inspectors shall conduct a complete visual inspection of all incoming parts and materials. The inspection shall include, but not be limited to:						
1) a check for any obvious physical damage,						
2) verification that all appropriate plugs and caps are installed, if applicable,						
3) verification that part numbers (including dash numbers and letters), model numbers, serial numbers, lot and/or batch numbers, etc., of the items, match the accompanying documentation,						
4) verification that the quantity, part numbers or noted part number substitutes (including dash numbers and letters), model numbers, etc., of the items match the request/purchase order and agreed upon method between the aircraft operator and supplier for part number substitution,						
5) verification that all appropriate required documentation (maintenance release, material certification, traceability documents, etc.) is at hand, and is properly completed, and signed.						

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B. Receiving inspection for aircraft fasteners shall include a sample visual inspection for general workmanship and presence of certifications from the manufacturer or an FAA regulated source. The distributor shall have a procedure in its quality manual for receiving and retaining Original Certified Statements when those are received.						
C. Unapproved parts should be reported in accordance with Advisory Circular 21-29.						

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D. If inspection stamps are used, the distributor shall have an accountability system in place to control stamp issuance, usage and replacement. Inspection stamp identification imprints shall not be re-used for two years after an inspector to whom the imprint was assigned leaves the position; or the stamp with the imprint is lost or stolen.			Attach copy of inspection stamp roster.			
E. A distributor of new standard parts purchased from a manufacturer shall maintain an inspection program which includes periodic verification that standard parts meet the technical specifications applicable to the part number The distributor shall insure that adequate specifications are available to support the inspection process, and that these specifications are current. The distributor shall maintain a record of inspections used to make this verification.			If you purchase standard parts directly from a manufacturer attach sampled record of inspection used to make this verification.			
7. Measuring and Test Equipment						

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A. If used by the distributor for inspection, then test and measuring equipment shall be maintained under an effective calibration program. The distributor shall have procedures which provide for appropriate storage, usage, and calibration traceable to an international or national measurement standard for all measuring and test equipment (when applicable).			Identify tools/equipment sampled:			
B. The distributor shall have procedures to prevent tools/equipment which are past due calibration from being used. Each unit in the calibration program shall be traceable to the standard against which it was calibrated. Current documentation of calibration status shall be maintained.						

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8. Material Control						
A. Material Handling: Material shall be handled in an appropriate manner and shall be protected from damage and deterioration. Special packaging shall be maintained as necessary. The storage area for aircraft parts should be periodically checked for overall effectiveness of storage and identification methods.			List parts sampled from inventory against inventory records:			
B. Batch/Lot Control: Batch segregation shall be maintained for parts so identified by the manufacturer, such as aircraft fasteners. The system shall include procedures for splitting of lots and the documentation of such splitting. Purchases, less sales, should equal inventory, which shall balance on batch/lot numbered inventories.			List parts sampled for Batch/Lot control:			
C. Recall Control: The distributor shall maintain records for parts identified by batch number and the quantities sold from each batch to each customer, to facilitate a manufacturer's recall notification, if required, which ensures that parts shipped can be traced and recalled.						

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D. Packaging: Whenever practical, materials shall be stored and delivered in the manufacturer's original packaging. Packaging shall identify the manufacturer, distributor, part number, serial number, lot or batch number (if applicable), and the quantity.			Verify availability of ATA Spec 300 (2000 or later version).			
1) The distributor shall use ATA Specification 300 packaging or equivalent, or customer specified packaging when appropriate. If practical, environmentally friendly packaging material should be utilized. Flammable, toxic, or volatile materials shall be packaged in a safe manner per manufacturer's recommendations or as specified by local regulations.						
E. Electro-Static Sensitive Devices: Material subject to damage from electro-static discharge shall be packaged, handled, and protected with necessary precaution and in accordance with requirements for safe handling of electro-static sensitive devices. For additional information see ASA Best Practice – ESD Best Practice.			Verify working order of ESD handling equipment.			

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F. Storage of Parts: The distributor quality system shall assure that serviceable parts/components are adequately protected against the environment and damage by being properly wrapped, packaged, boxed, etc., as appropriate. All fluid passages, lines, or electrical connections shall be capped or plugged. The distributor's quality system shall protect items whose performance will be adversely affected by an "unclean" environment.						
G. Part Numbering: The distributor shall ensure that no part number ambiguity exists. Parts shall not be labeled with multiple part numbers if such labeling could cause confusion as to the part's manufacturer or applicable specification. A distributor's alteration to or replacement of the data plate or manufacturer's part number is unacceptable, unless authorized by the FAA or an FAA certificate holder.						

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H. Non-Conforming Materials: The distributor quality system shall have a procedure for removing suspect or nonconforming material that is identified during receiving inspection (or later), and placing the removed material in a separate area until such suspicion or nonconformance can be properly resolved through the Corrective Action Process. The separate area may be physically segregated or it may be procedurally segregated, as long as the segregation is effective in preventing inadvertent sale or transfer of the suspect or nonconforming material prior to the identification of an appropriate disposition.			List non-conforming parts sampled to verify timely follow-up.			
1) Aircraft parts, and parts that could be reasonably assumed to be sold for aircraft use, shall be segregated from non-aircraft parts.						
I. Scrapped Parts: There shall be a documented procedure in place to mutilate scrapped parts by drilling, grinding, or other appropriate means. When the distributor chooses to scrap a part, the part shall be mutilated to the extent necessary to preclude the possibility of it being restored and returned to service. For additional information see ASA Best Practice – Disposition of Unsalvageable Aircraft Parts.			Review scrap records to ensure that proper documentation is maintained including sub-contractors' proof of destruction. List parts sampled:			

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1) The distributor shall maintain a record of all serialized and/or life-limited parts scrapped out. The record shall contain a description of the part, its part number, serial number (if applicable), and the date the part was scrapped. The distributor shall retain this record for at least seven years.						
2) The procedure shall identify, by title or position, the individual responsible for verifying that parts were adequately mutilated before being discarded.						
3) The distributor shall impose these same requirements on the subcontractors and/or repair facilities that scrap parts as agents of the distributor.						

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J. The distributor should report suspected unapproved parts to the FAA according to AC 21-29 or to the appropriate CAA.						
9. Shelf Life Control						
A. The distributor shall have a system to adequately identify and control shelf life-limited parts and materials. The program shall specify a system that will assure that no expired material or part will be represented as having remaining shelf life. This program includes component subassemblies containing shelf life-limited parts.			List shelf life limited parts reviewed :			
10. Certification and Release of Materials						
A. The distributor shall provide the customer with documentation in accordance with the "Required for Shipment" column of Appendix A of this Standard. The distributor shall have a procedure in its quality manual detailing how it creates a Certified True Copy when such a copy is required for shipment.			Where are the requirements of Appendix A described in your manual?			
B. Additionally, a certified statement disclosing the following should be issued about the material or parts, certifying that they were or were not:			Attach a copy of your C of C.			

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1) subjected to conditions of extreme stress, heat or environment,						
2) previously installed in a public aircraft, such as a government use aircraft or a military aircraft,						
C. The distributor shall have a system documented in its quality manual which demonstrates that released material and components are traceable according to the Procurement Requirements of this Standard.						
D. The distributor shall develop a procedure for accountability when copies are made for redistribution shipments and when the approval tags are copied.						
11. Shipping						

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A. The distributor quality system shall require components and parts to be shipped in an ATA-300 Specification container or equivalent as appropriate for the unit being shipped, or as specified by the customer. The item should be packed in the container in a manner that will preclude damage from rough handling of the container. The distributor may rely on any revision of the SPEC 300 standard released in 2000 or later (inclusive) for purposes of compliance to ASA-100.						
B. The distributor quality system shall provide for appropriately trained personnel to conduct a complete visual inspection of all items being shipped. Inspection shall include, but not be limited to:						
1) a check for any obvious physical damage,						
2) verification that all appropriate plugs and caps are installed,						
WARNING						
TAPE SHALL NOT BE USED TO COVER ELECTRICAL CONNECTIONS OR FLUID FITTINGS/OPENINGS. ADHESIVE RESIDUE CAN INSULATE ELECTRICAL CONNECTIONS AND CONTAMINATE HYDRAULIC OR FUEL UNITS.						
3) verification that part numbers, (including dash numbers and letters), model numbers, serial numbers, lot and/or batch numbers, etc., of the items being shipped match the accompanying documentation,						

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4) verification that part numbers, (including dash numbers and letters), model numbers, serial numbers, etc., of the items being shipped match the customer's request/purchase order,						
5) verification that packing slips contain all information required by the customer,						

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6) verification that the shipping container and packing are appropriate for the items being shipped,						
7)verification that all appropriate required documentation (maintenance release, material certification, traceability documents, etc.) are at hand, properly completed, and signed.						
12. Records						
A. The distributor shall maintain documentation of traceability for at least 7 years from the date of sale to the customer. Documents shall demonstrate serial number, or lot & batch traceability, when applicable. The distributor shall maintain a filing system such that the data is readily available and identifiable for each customer, each purchase.			Describe your recordkeeping system:			
B. The distributor shall have a system in place governing the storage, distribution, and retrieval of documents confirming that the physical and chemical properties of fasteners and raw stock aircraft materials (materials that are installed on and become part of the aircraft) are in conformance with applicable technical specifications.						

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C. Records confirming fastener integrity, including physical and chemical test reports, shall be maintained for a minimum of seven years						
D. All life-limited parts shall have records, traceable to a FAA-certificated source or other acceptable source (in accordance with AC 00-56 para. 4(h)), confirming current life-limited status.						
E. Records shall be protected against damage, alteration, deterioration and loss.			Describe how records are protected and your backup system:			
13. Technical Data Control						
A. Technical data, when required, shall be maintained in a manner that ensures such data is up-to-date and accessible as appropriate. Hand entries or corrections to technical data are not acceptable.						
14. Corrective Action Process						
A. The quality manual shall include a written process describing when and how the organization performs corrective action.			See ASA Corrective Action Response instructions maintained on ASA's website.			

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B. The process for addressing corrective actions shall include the procedures that accomplish the following requirements: 1) The distributor shall identify the root cause of the discrepancy; 2) Describe how the distributor corrects the immediate discrepancy when correction is identified as necessary; 3) The process shall include procedures designed to ensure corrective action is appropriate and prompt; 4) The distributor shall select a containment method that is appropriate to the discrepancy; 5) The distributor shall locate and correct similar discrepancies, if they exist, in other areas; and 6) Describe how the distributor implements follow-up action(s) to prevent recurrence of the discrepancy; the intent of the follow-up is to verify the effectiveness of the corrective action, to ensure that the distributor does not experience a recurrence.						
C. The quality manual shall describe the forms used to document the corrective actions.						