Aviation Suppliers Association: Audit Programs Workshop

ASA-100/QMS/AQMS Audit Readiness:

Prevent Common NCRs to Strengthen Compliance

June 16, 2026, 1:30pm-3:00pm @ Four Seasons 4

Agenda

Introduction - Wyndie Meyer

What Auditors look for – Wyndie Meyer and Lea Kinney

Common NCRs – AEROSPACE/ISO - Wyndie Meyer

Common NCRs – ASA-100 - Lea Kinney

Real Audit SCENERIOS – Wyndie and Lea

Practical Tools' - Wyndie and Lea

Q&A (15 Minutes) - Wyndie and Lea

BIOS

Wyndie Meyer –

ASACB Director of Certification Services and Operational Performance Lead Auditor ISO 9001 and ASA-100 Lead, AEA AS9100/9110/9120

Wyndie is a well-known Quality Professional with over 35 years of Quality Management System Implementation, Maintenance and Management. She has an excess of Years Organizational Executive Management with experience in Quality, Security, Safety, at DOD MRO's and Manufacturing Companies. She holds AS, BS, MBA Degrees in Business.

Lea Kinney –

ASA-100 Program Manager, Lead Auditor ISO 9001 and ASA-100, AA for AS9100/AS9110/AS9120

Lea has many years experience auditing. Lea graduated with an Electrical Engineering degree from Auburn University and has approximately 30 years' experience in various capacities within the manufacturing industry. Her experience includes achieving ISO9001 and ISO14001 implementation and quality management.

Audit Readiness & Audit Success

- **Why Audit Readiness Matters**
- **What Auditors are Looking For**
- **Top Areas Auditors Focus On**
- **90/30 Days before the Audit**
- **1 Week before the Audit**
- **How Employees Should Respond**
- **Handling Difficult Audit Situations**
- **What Audit Day Success Looks Like**
- **Workshop Scenarios**
- **Key Takeaways**

Why Audit Readiness Matters

- Helps maintain certification and customer approval
- Reduces NCR potential and repeat findings
- Builds customer and regulator confidence
- Supports operational discipline and enhances focus on continuous improvement
- Creates a feeling of process ownership throughout the organization

What Auditors Are Looking For

- Compliance between audited standards and the organizations procedures
- Conformance to your own documented processes
- Evidence of effective process control
- Objective records and traceability
- Effective document and record control
- Continuous improvement

Top Areas Auditors Focus On

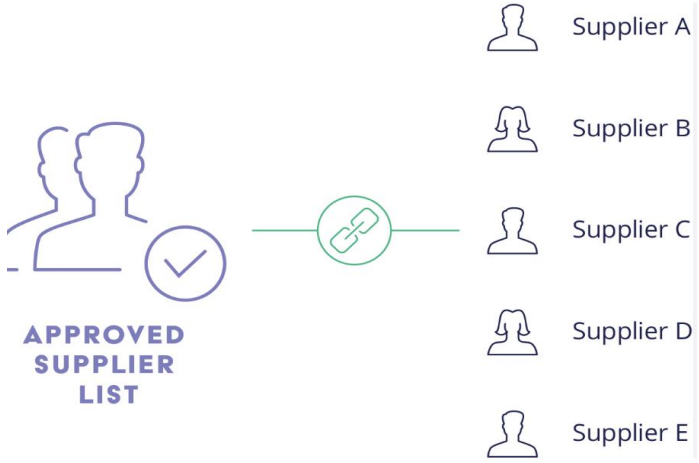
- Performance measurement, Objectives & KPI’s
- Production and process control
- Corrective action effectiveness
- Supplier management
- Document control
- Training and competence
- Traceability and calibration

Audit Preparation: 90 Days Before the Audit

- Complete internal audits
- Close outstanding NCRs
- Review KPIs and management review outputs
- Verify corrective action effectiveness
- Review supplier performance

Audit Preparation: 30 Days Before the Audit

- Refresh employee training
- Spot-check records
  - Review calibration status
  - Audit and Corrective action status
  - Verify approved supplier lists
  - Check traceability records



Audit Preparation : 1 Week Before the Audit

- Clean and standardize work areas
- Prepare audit room and logistics
- Confirm availability of process owners
- Review previous audit findings

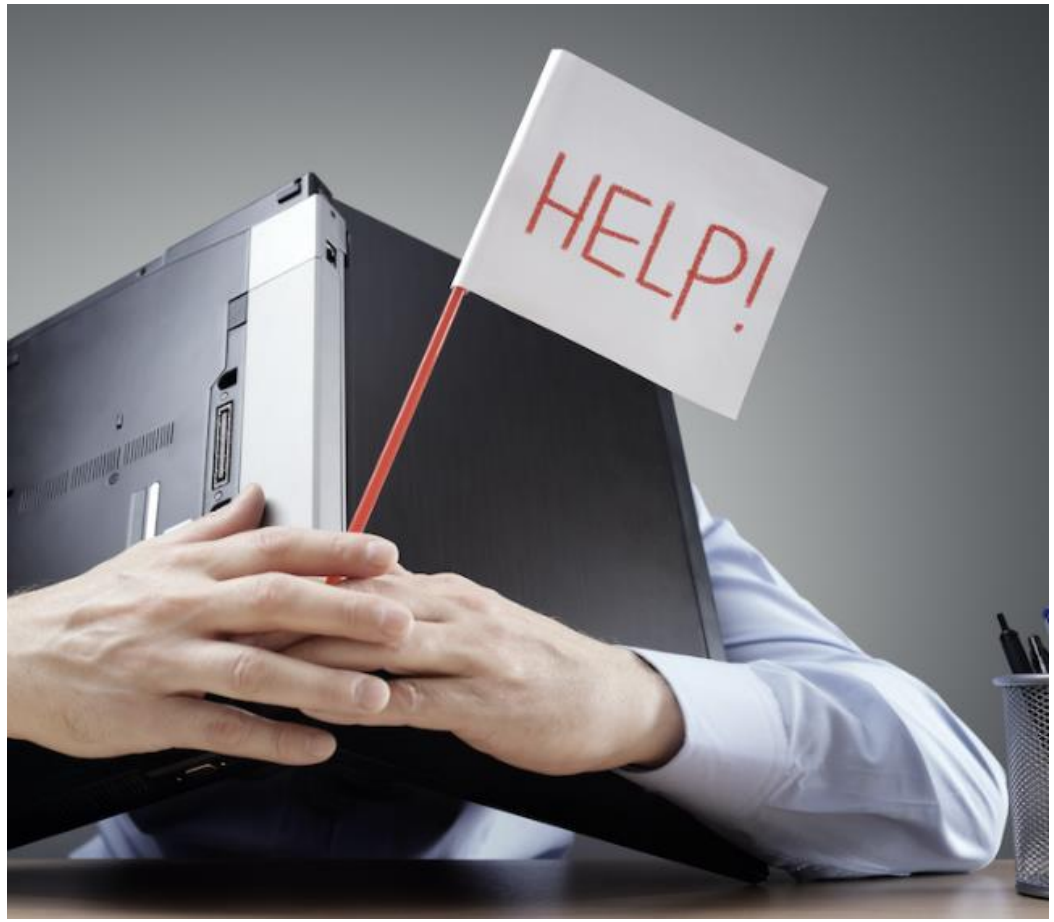
How Employees Should Respond

- Remain on topic - answer only the question asked
- Use evidence and records
- Do not guess, consult documented procedure or supervisor if needed
- Remain professional and transparent
- Communicate clearly and don't be afraid to say, "I'm not sure". Facts can always be verified if unsure.

What Audit Day Success Looks Like

- Calm and organized environment
- Records readily available
- Process owners/Auditees available and ready to answer questions
- Relevant documents and instructions available at the point of use
- Professional and factual communication

Handling Difficult Audit Situations as an Auditee



- Missing records
- Conflicting information
- Potential NCRs identified
- Unavailable personnel

Solutions:

- Escalate issues calmly and gather facts
- Phone a friend
- Take some time

Workshop scenarios

- Expired calibration found
- Incorrect document revision in use
- Operator cannot explain procedure
- Supplier approval missing
- Discuss: Is it an NCR? Major or minor?

Key Takeaways

- Auditors seek effectiveness of processes
- Consistency prevents NCRs
- Preparation reduces stress
- Strong CAPA and internal audit systems are essential
- Audit readiness reflects operational discipline and aids a smooth audit process

Wyndie Meyer
Common NCRs – ISO 9001, AS9100, AS9110, AS9120

- Common Aerospace NCRs (Major/Minor)
- Common ISO 9001 NCRs
- Common Causes: Non-Conformances
- Common Questions
- Questions/Discussion

Aerospace: Common "Major" NCRs

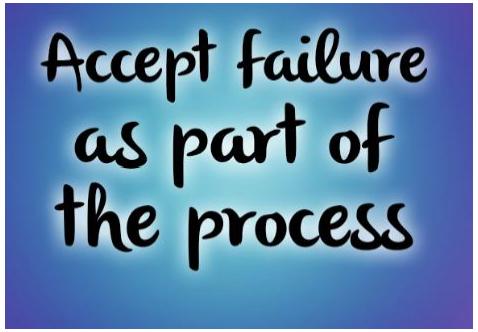
These clauses frequently result in Major non-conformances because they represent systemic breakdowns in operational control:

- **Clause 10.2.1 (Nonconformity and Corrective Action)**: This remains the highest-volume source of major NCRs. Organizations are frequently cited for failing to properly execute root cause analysis, overlooking **human factors** during investigations, or leaving systemic corrective actions open past due dates.
- **Clause 8.5.1 (Control of Production and Service Provision)**: A massive driver for operations, this generates findings for failing to precisely follow written work instructions, missing production routing sign-offs, or violating environmental controls on the shop floor.
- **Clause 8.4.2 & 8.4.3 (Control of and Information for External Providers)**: Driven by ongoing global supply chain volatility, auditors issue NCRs here for poor sub-tier supplier flow-downs, failing to adequately communicate explicit purchase order requirements, or lacking a strict risk-based control protocol over supplier quality.

Aerospace: Common "Minor" NCRs

These clauses represent localized process failures that frequently result in Minor NCRs:

- **Clause 7.2 (Competence / Training)**: Registrar data shows a high concentration of findings where specific on-the-job training records are missing. This includes operators running specialized machinery without a current or validated training record.
- **Clause 7.1.5.2 (Measurement Traceability)**: This frequently yields shop-floor findings due to the presence of expired calibration stickers on tooling, out-of-tolerance gauges that were not isolated, or missing traceability records for measuring equipment.
- **Clause 7.5.3.2 (Control of Documented Information)**: A persistent administrative bottleneck where shops are cited for using unapproved, handwritten notes on active blueprints, out-of-date specifications, or poorly controlled local excel sheets to log data.
- **Clause 9.2.2 (Internal Audit)**: This triggers automated NCRs when organizations fall behind on their annual internal audit schedules or fail to audit core processes within the timeframes outlined in their own internal quality manuals



ISO 9001: Most Common NCRs

In broad industrial settings, auditors frequently focus on high-level continuous improvement loops and standard operational paperwork. The most common findings include:

- **Control of Documented Information (Clause 7.5)**: Employees using outdated revisions of assembly steps, missing signatures on check sheets, or unapproved alterations to local files.
- **Monitoring and Measuring Resources (Clause 7.1.5)**: Basic production floor tools and hand gauges missing calibration tags, or tools being used outside of their specified evaluation windows.
- **Corrective Actions (Clause 10.2)**: Documenting root cause analysis surface-level "human error" updates rather than tracking failures to systemic procedural errors.
- **Competence & Training (Clause 7.2)**: Missing proof of employee training certifications or incomplete onboarding records for critical production machinery operators.

Common Causes: Non-Conformance

Common Questions about NCRs

- What is the average number of NCRs per audit industry wide?
- What is the difference between a “Major” and a “Minor” NCR?
- Why do some auditors issue more or different NCRs than others?
- Can I correct an NCR before the auditor writes it?
- Can / should I refuse an NCR?
- What if my auditors disagree on what to write up as an NCR?
- How many NCRs can I get without losing my certification?

What is the average number of NCRs per audit industry wide?

The current average NCR range:

“ISO 9001” Average **4-6**

“AS9100, AS9110, AS9120” Average **2-5** NCRs

The actual number obviously varies based on many factors:

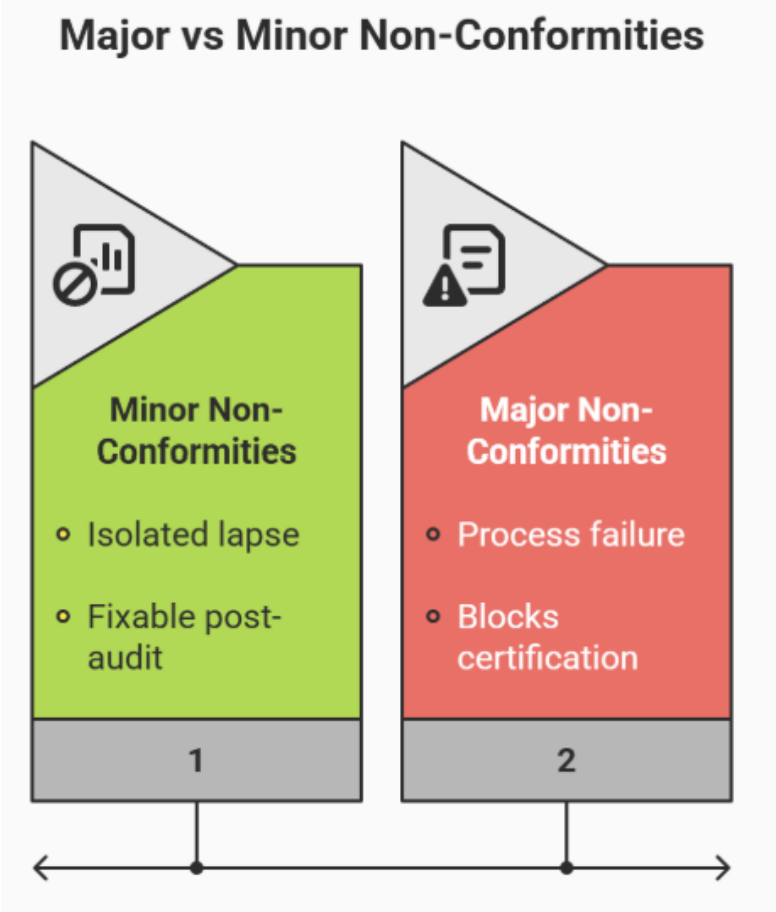
- System Maturity
- Management Support
- Implementation of new processes, systems, etc.
- Personnel changes

How Many NCRs can I get before I lose my Certification?

There is No "Magic Number"

Certifying bodies emphasize that there is no threshold of minor NCRs that automatically results in audit failure. Auditors look for **systemic health**. A company with 8 minor, unrelated documentation errors will easily pass certification after submitting an action plan. Conversely, a company with just 1 or 2 NCRs that expose an unapproved supplier or untested product shipment will instantly fail due to a **Major Nonconformance**

What is the difference between a “Major” and a “Minor” NCR?



Understanding the two types of NCRs can help you avoid a certification freeze.

Minor NCR: A small deviation from a standard or a minor process gap. A company can typically have between 4 to 6 Minors in an audit.

However, an excessive number of Minors (e.g., 10+) might indicate a systemic failure, leading the auditor to elevate one to a Major.

Major NCR: A major breakdown of your Quality Management System (QMS) that poses a high risk to products, services, or regulatory compliance. A complete lack of addressing a requirement and repeat findings

How to Protect Your Certificate

To avoid suspension or loss of certification, strictly follow these steps during your surveillance or recertification audits:

- **Correct Major NCRs Promptly:** An auditor will not issue or renew a certificate until all Major NCRs are officially closed. For AS9100/Aerospace audits, Majors must have a verified correction and action plan typically submitted within 7 days.
- **Address Minor NCRs:** All Minors must have a documented Corrective Action Plan (CAP) submitted before your certificate is issued. If Minors are not addressed, they can turn into Majors on the next audit.
- **Avoid Systemic Failures:** Your QMS must continually show evidence of monitoring, risk assessment, and process improvement.

Why do some auditors issue more or different NCRs than others?

- Time to audit / Number of issues
- Knowledge
- Experience
- Personality Traits – Thoroughness

Can / should I refuse an NCR?

Yes, you can and you should if you disagree. CB's are required by the overarching requirements to have an appeals/complaints process and announce the process for appealing or complaining in the closing meeting. However, do this within 5 days and think about a solution in case your appeal is denied.

Can I correct a possible NCR before the auditor writes it?

Yes, you can however, the auditor may still need to document an NCR depending on several factors.

- Prevent Soft grading
- Ensure proper implementation
- Ensure proper investigation
- Severity of issue

What if my auditors disagree on what to write up as an NCR?

The lead auditor has the final say. The Team Auditor should not state they have an NCR but instead state a possible NCR because it is up to the Lead in all cases.


QUESTIONS?

Lea Kinney
Common NCRs - ASA-100

- 2025/2026 ASA-100 NCR Overview
- Distribution and Trends by Clause
- Top Problem areas &Typical Findings
- Cross-Cutting Root Cause Themes
- Priorities and Management Takeaways
- ASA-100 Audit Trends (2022–2026 YTD)
- What Auditees Should Know

2025/2026 ASA-100 NCR Overview

- **NCRs Generated**
  - ❑ **2025 = Total 2589 NCRs**
  - ❑ **2026 (YTD May 25, 2026) = Total 958 NCRs**
- **Top 6 clauses = ~71 of all findings in 2025 and ~69% in 2026** :
  - ❑Procurement & Supplier Control (2025= 17%, 2026 = 16%)
  - ❑Training & Authorized Personnel (2025 = 16%, 2026 = 16%)
  - ❑Quality Manual (2025 = 13%, 2026 = 11%)
  - ❑Material Control & Segregation (2025 = 11%, 2026 = 8%)
  - ❑Self-Audit (2025 = 10%, 2026 = 10%)
  - ❑Receiving Inspection (2025 = 6%, 2026 = 8%
- **Key risk areas:**
  - ❑Supplier / operational controls
  - ❑Personnel competency and authorization
  - ❑Internal oversight

Distribution & Trends by Clause

Highest volume clauses (% of NCRs):

- **2025 vs. 2024**
  - ❑Procurement & Supplier Control – **17%**, stable vs previous years
  - ❑Training & Authorized Personnel – **16%**, slight increase
  - ❑Quality Manual – **13%**, improved (down from 18%)
  - ❑Material Control & Segregation – **11%**, improved (down from 13%)
  - ❑Self-Audit – **10%**, worsening (up from 8%)
- **2026 vs. 2025**
  - ❑Training & Authorized Personnel **- 17%,** stable vs previous years
  - ❑Procurement & Supplier Control **– 16%,** stable vs previous years
  - ❑Quality Manual **– 11%,** slight decrease
  - ❑Self-Audit **– 10%,** stable vs previous years
  - ❑Receiving Inspection – **8%,** (slight increase - up from 6%)
  - ❑Shipping Inspection – **8%,** (slight increase – up from 7%)
  - ❑Material Control & Segregation – **8%,** (improved down from 11%)

Distribution & Trends by Clause

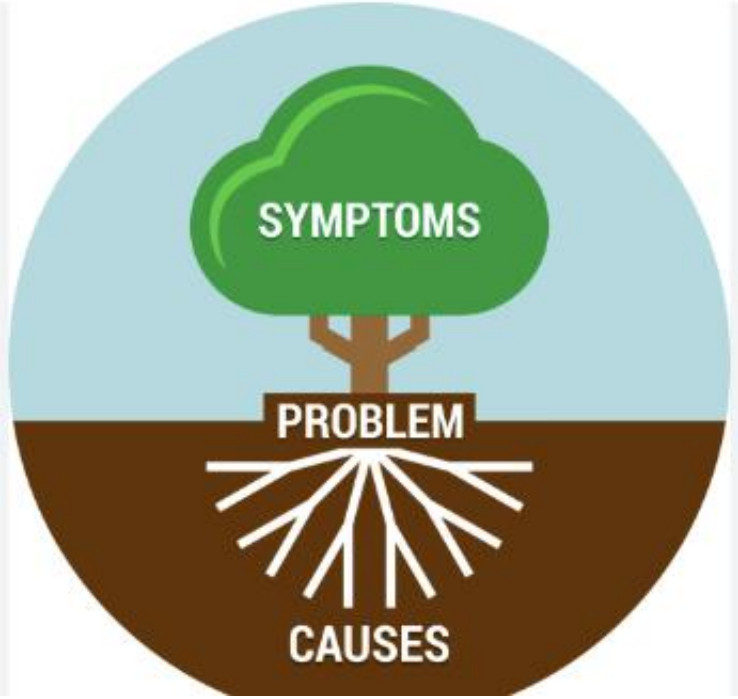
Other notable clauses:

- **2025 vs 2024**
  - ❑Certification & Release Documentation – **8%**, improved (10% → 8%)
  - ❑Receiving Inspection – **6%**, slight increase (5% → 6%)
  - ❑Shelf-Life – **2%**, strong improvement (5% → 2%)
  - ❑Corrective Action Effectiveness – **2%**, strong improvement (6% → 2%)
- **2026 vs 2025**
  - ❑Certification & Release Documentation – **6%**, improved (8% → 6
  - ❑Receiving Inspection – **6%**, slight increase (5% → 6%)
  - ❑Shelf-Life – **3%**, slight increase (2% → 3%)
  - ❑Corrective Action Effectiveness – **3%**, slight increase(2% → 3%)

Top Problem Areas & Typical Findings

- **Procurement & Supplier Control (2025 =17%, 2026 = 16%)**
  - ❑Weak supplier evaluation/approval
  - ❑POs missing quality / traceability requirements
  - ❑Incomplete flow-down of ASA-100 and regulatory clauses
- **Training & Authorized Personnel (2025 = 16%, 2026 = 17%)**
  - ❑Missing / outdated training and authorization records
  - ❑Tasks performed by non-authorized personnel
  - ❑Poor tracking of recurrent training and qualifications
- **Quality Manual (2025 = 13%, 2026 = 11%)**
  - ❑Procedures not reflecting current practice
  - ❑Incomplete coverage of ASA-100 requirements
  - ❑Weak document control (revisions, distribution, access)
- **Material Control & Self-Audit (2025 = 11% & 10%, 2026 = 8% & 10%)**
  - ❑Inadequate segregation and labeling of serviceable vs unserviceable/suspect parts
  - ❑Weak control of nonconforming material
  - ❑Audits not completed per schedule or not covering all clauses
  - ❑Weak follow-up and closure of internal findings

Cross-Cutting Root Cause Themes



Across multiple clauses, four themes recur:

1. **Process Ownership & Integration**
   - Quality requirements not fully built into Procurement, Receiving, Shipping, Warehouse processes.
2. **Training & Competency Management**
   - Inadequate definition, delivery, and tracking of role-based competencies.
3. **Internal Oversight & Follow-Through**
   - Self-audits and corrective actions not consistently effective at preventing recurrence.
4. **Documentation vs Practice Misalignment**
   - Procedures and Quality Manual lag behind actual practice or are not followed.

Priorities & Management Takeaways

- **Procurement & Supplier Control**
  - ❑ Standardize supplier qualification, monitoring, and PO quality clauses.
- **Training & Competency**
  - ❑ Centralize training/authorization records and define competencies by role.
- **Internal Oversight (Self-Audit & CA)**
  - ❑ Risk-based audit program, trained internal auditors, and verified CA effectiveness.

Key Takeaways

- Majority of NCRs stem from a few high-impact clauses.
- Several areas (Quality Manual, Shelf-Life, Corrective Action, Records, Certification & Release) show that targeted action works.
- Focusing on systemic themes (process integration, training, oversight, documentation alignment) offers the greatest reduction in future ASA-100 findings.

ASA-100 Audit Trends (2022–2026 YTD) What Auditees Should Know

1. Audit activity is high and staying high

- ❑ Audits increased from **460 (2022)** to **~850 per year (2024–2025) with 2026 forecast for around 1100 audits.**
- ❑ Plan for **regular, recurring audits** as the new normal.

2. Likelihood of findings remains elevated

- ❑ % of audits with findings: **56% (2022)** → **63–65% (2023–2024)** → **80% (2025)** → **63% (2026 YTD)**.
- ❑ Even with some easing in 2026, **most audits still generate findings**.
- ❑ Treat findings as expected improvement opportunities, not failures.

3. NCRs per audit are higher than early years

- ❑ Avg NCRs per audit: **2.1 (2022)** → **1.8 (2023)** → **3.4 (2024)** → **3.0 (2025)** → **2.25 (2026 YTD)**.
- ❑ You should **anticipate multiple NCRs** per audit and plan resources to respond.

4. Initial accreditation: preparation clearly reduces NCRs

- ❑ Initial audits: **194 (2024) → 136 (2025) → 54 (2026 YTD)**.
- ❑ NCRs per initial audit: **6.5 → 5.3 → 4.9** (improving each year).
- ❑ Well-prepared new applicants are seeing **fewer issues per audit**.
- ❑ Invest in **pre-audits, training, and internal reviews** before your ASA-100 audit.

5. Actions for auditees

- ❑ Build **ongoing readiness** (don't "cram" for audits).
- ❑ Use past NCRs and this trend data to **target weak areas**.
- ❑ Treat the audit as a **tool to mature your QMS**, not just a compliance hurdle.

Questions