SAE Aerospace
An SAE International Group

AEROSPACE STANDARD

SAE AS9121
Technically equivalent to ASD-STAN prEN 9100

REV. A

Issued 2003-08
Revised 2007-09

Superseding AS9121

Stockist Distributors Quality System Questionnaire Associated with AS9120

TO PLACE A DOCUMENT ORDER:
Tel: 877-606-7323 (inside USA and Canada)
Tel: 724-776-497 0 (outside USA)
Fax: 724-776-0790
Email: CustomerService@sae.org
SAE WEB ADDRESS: **http://www.sae.org**

RATIONALE

This standard is complementary to the SAE AS 9120 standard - Quality Management Systems – Aerospace – Requirements for Stockist Distributors. This assessment checklist mirrors the standard and forms a basis for evaluation of an organization's compliance. This standard is supporting material for any organization doing an internal assessment, but is mandatory for use by accredited certification bodies issuing AS 9120 certifications.

Foreword

To assure customer satisfaction, aerospace industry organizations must produce, and continually improve, safe, reliable products that meet or exceed customer and regulatory authority requirements. The globalization of the aerospace industry, and the resulting diversity of regional/national requirements and expectations, has complicated this objective. End-product organizations face the challenge of assuring the quality of, and integrating, product purchased from suppliers throughout the world and at all levels within the supply chain. Aerospace suppliers and processors face the challenge of delivering product to multiple customers having varying quality expectations and requirements.

The aerospace industry has established the International Aerospace Quality Group (IAQG) for the purpose of achieving significant improvements in quality and safety, and reductions in cost, throughout the value stream. This organization includes representatives from aerospace companies in the Americas, Asia/Pacific, and Europe. This international standard has been prepared by the IAQG.

Contents

QUALITY MANAGEMENT SYSTEMS ASSESSMENT

Page Intentionally Left Blank

1 PURPOSE

The purpose of this document is to define the content and the presentation of the Assessment Report for the 9120 standard.

2 QUALITY MANAGEMENT SYSTEM ASSESSMENT REPORT CONTENT

The Assessment Report is made up of:

- Page 7 *(required)*
  General Assessment Information
- Page 8 *(required)*
  Assessment Conclusions
- Page 9 *(optional)*
  Specific Organization Information
- Page 10 *(required)*
  QMS **Assessment Result Summary**
- Page 11 *(required)*
  QMS Assessment Scoring
- Page 12 *(required when nonconformities are identified during assessment)*
  Corrective Action Request
- Page 13 *(required when observations/comments are identified during assessment)*
  List of Observations/Comments
- **Appendix A**
  Quality Management System Questionnaire relative to AS 9120 (based on ISO 9001: 2000)
- **Appendix B**
  Quality Management Systems Audit Scoring

Page Intentionally Left Blank

Audit Report No.:	ASSESSMENT REPORT	*Assessing company logo*

GENERAL ASSESSMENT INFORMATION

1 Distributor Organization & Work Address

Company Name:	Tel Number:
	Fax Number:
Subsidiary of:	e-mail:
Organization Identification:	CAGE code:
Assessed Site(s) Address(es):	Assessment Representative & Title:
Headquarters:	
Warehouse(s):	Management Representative & Title:
Main activities:	
Product Types or Codes:	

2 QMS Registration

[ ] ISO Standard / Revision:	[ ] Aerospace Standard / Revision:
Expiration Date (if applicable)	Expiration Date (If applicable):
Registrar Name:	Registrar Name:

3 Assessment Team

Lead Assessor Name:	Other Assessment Team Members:
[ ] Certified Auditor – Type & No.	
[ ] Qualified Auditor	

4 Assessment Dates:

5 Assessment Scope:

[ ] Total facility assessed	[ ] Initial assessment	[ ] All AS9120 clauses assessed	
[ ] Partial facility assessed	[ ] Re-assessment	[ ] Partial AS9120 clauses assessed	
[ ] Other:		Clauses not assessed:	
[ ] Activity assessed:			

6 Assessment Disposition

[ ] Conforming
[ ] Conforming with minor (mi) corrective action
[ ] Nonconforming with Major (Ma) corrective action

7 Scoring

Scoring result:

8 Assessment Approval

Assessing Company	Date	Lead Assessor Name	Signature

Distribution Agreement

This Assessment Report is the property of the assessed organization and the assessing company. Distribution to other companies or individuals is authorized only after written agreement of the assessed organization and of the assessing company.

To that end, a signature below by an Authorized Representative of the assessing company indicates that this report may be copied by the organization for other customers.

If copied, the report must be disclosed in full including findings and any corrective actions.

Authorized Representative Assessing Company Name _____ Signature _____ Date _____

Audit Report No.:	ASSESSMENT REPORT	*Assessing company logo*

ASSESSMENT CONCLUSIONS
General comments about the organization, distributed products and sources, traceability, and the quality management system of the assessed organization.
Strong points:
Weak Points - Improvement Opportunities:

Audit Report No.:	ASSESSMENT REPORT	*Assessing company logo*

GENERAL ORGANIZATION INFORMATION

1 Legal and Financial Aspects

- ❒ Date of Formation:
- ❒ Legal Status:
- ❒ Capital:
- ❒ Other Data:

	Third Prior Financial Year ( )	Second Prior Financial Year ( )	First Prior Financial Year ( )	Current Financial Year ( )
Sales				
Earnings				
Earnings used for Re-Investment				
Workforce				

2 Turnover breakdown and main Customers

Activities	Main Customers	Sales Percentage
Aviation, Space and Defense Industry		
Other Activity (be specific)		

3 Clearances or Approvals granted by Authorities

Name of the Authority	Types and References	End of Validity

Audit Report No.:	ASSESSMENT REPORT	*Assessing company logo*

ASSESSMENT RESULT SUMMARY						
Organization:						
Clauses*	**Result**					**Observation / Corrective Action Request Number (Ma/mi)**
	S	Ma	mi	N/A	N/E	
4 - Quality management system						
4.1 General requirements						
4.2 Documentation requirements						
5 - Management responsibility						
5.1 Management commitment						
5.2 Customer focus						
5.3 Quality policy						
5.4 Planning						
5.5 Responsibility, authority and communication						
5.6 Management review						
6 - Resource management						
6.1 Provision of resources						
6.2 Human resources						
6.3 Infrastructure						
6.4 Work environment						
7 - Product realization						
7.1 Planning of product realization						*Not required*
7.2 Customer-related processes						
7.3 Design and development						*Not required*
7.4 Purchasing						
7.5 Production and service provision						*7.5.2 Not required*
7.6 Control of monitoring and measuring devices						
8 - Measurement, analysis and improvement						
8.1 General						
8.2 Monitoring and measurement						
8.3 Control of nonconforming product						
8.4 Analysis of data						
8.5 Improvement						
Assessed Organization:						Assessing Company:
						Lead Assessor Name:
Management Rep. name:						Signature:
Signature:	**Results**					
	Date:					

* **For each clause, indicate with an "X" the results of assessment: "S" for Satisfactory, "Ma" for major corrective action, "mi" for minor corrective action, "N/A" for not applicable, or "N/E" for not evaluated.**

Audit Report No.:	**ASSESSMENT SCORING**	*Assessing company logo*

Organization:		**Result**					
	SCORING CHART	Major CAR or minor CAR on Key requirement		Minor CAR on **non** Key requirement		NO CAR	RESULT
		(Col. A) Multiple findings	(Col. B) Single finding	(Col. C) Multiple findings	(Col. D) Single finding		
4	**Quality management system**					**(80)**	
4.1	General requirements	0	5	20	30	40	
4.2	Documentation requirements	0	5	20	30	40	
5	**Management responsibility**					**(80)**	
5.1	Management commitment	0	5	10	15	20	
5.2	Customer focus						
5.3	Quality policy						
5.4	Planning	0	5	10	15	20	
5.5	Responsibility, authority and communication	0	5	15	15	20	
5.6	Management review	0	5	10	15	20	
6	**Resource management**					**(80)**	
6.1	Provision of resources	0	5	10	20	30	
6.2	Human resources						
6.3	Infrastructure	0	10	25	40	50	
6.4	Work environment						
7	**Product realization**					**(480)**	
7.1	Planning of product realization	**Not required**					
7.2	Customer-related processes	0	10	20	40	60	
7.3	Design and development	**Not required**					
7.4		0	5	30	40	100	
7.5	Production and service provision						
7.5.1	*Control of production and service provision*	0	5	30	60	80	
7.5.2	*Validation of processes for production and service provision*	**Not required**					
7.5.3	*Identification and traceability*	0	5	40	50	100	
7.5.4	*Customer property*	0	5	10	15	20	
7.5.5	*Preservation of product*	0	5	20	40	100	
7.6	Control of monitoring and measuring devices	0	5	10	15	20	
8	**Measurement analysis and improvement**					**(280)**	
8.1	General	0	5	10	15	20	
8.2	Monitoring and measurement						
8.2.1	*Customer satisfaction*	0	5	10	15	20	
8.2.2	*Internal audit*	0	5	10	15	20	
8.2.3	*Monitoring and measurement of processes*	0	5	20	25	30	
8.2.4	*Monitoring and measurement of product*	0	5	15	15	20	
8.2.5	*Evidence of conformance – Certificate of conformity*	0	5	N/A	N/A	100	
8.3	Control of nonconforming product	0	5	20	25	30	
8.4	Analysis of data	0	5	10	15	20	
8.5	Improvement	0	5	10	15	20	

The assessed organization agrees on the quality management system scoring and corrective action requests		
Organization Representative:	**Signature:**	**Date:**

Total Points Possible	
Total Points Achieved	
Score **(pts achieved/pts possible) x 100**	

Audit Report No.:	CORRECTIVE ACTION REQUEST (CAR)	*Assessing company logo*

Organization: Site:	Identification CAR No.: Date issued:
Reference Standard:	Referenced Standard Element concerned:

Criticality Ma / mi	Nonconformance Description

Assessor Name:	Assessor Signature:

Assessed organization to complete the CAR with root cause analysis, corrective action, and planned completion date of corrective action, and return to the assessing company by due date.	Due date:

Action No.:	Root Cause:

Action No.:	Corrective Action:	**Planned completion date of corrective action:**

Organization Representative Name:	Signature:	Current date:

Verification of the implementation of the completed corrective action by the assessed organization

Organization Representative Name:	Signature:	Current date:

Verification of the implementation of the completed corrective action to be filled out by the assessing company

Verification date:	Accepted:	Assessor Name:	Assessor Signature:
	Yes ☐ No ☐		

Audit Report No.:	**Observations / Comments**	*Assessing company logo*

Organization:	Audit report number:
Site:	Issued date:

Item Number	Section	Description

Lead Assessor Name:	Signature:
	Date :

APPENDIX A
AS9121

***

STOCKIST DISTRIBUTORS

QUALITY MANAGEMENT SYSTEM QUESTIONNAIRE

Associated to the International Quality System Standard
AS 9120

(based on ISO 9001: 2000)

1 PURPOSE

The purpose of this appendix is to present the questionnaire to be used during the “on-site” quality management system assessment of Organizations in order to ensure common practices for these assessments.

2 USE OF THE QUESTIONNAIRE

The use of this questionnaire is mandatory and will be a part of the Assessment Report. The audit is undertaken by review of the organization’s QMS against the requirements of the AS 9120 standard, using the questionnaire as a guide. Findings are recorded as appropriate by the following annotations in the respective columns of the questionnaire:

- Satisfactory (S)
- Not applicable (N/A) the reason shall be documented at the bottom of the page
- Not evaluated (N/E)
- Corrective Action Request (CAR) Major (Ma) or Minor (mi) nonconformity:

The CAR number shall be referenced in the column “CAR number”. The category Ma for Major CAR or mi for Minor CAR shall be included in this column also.

Additional information on questionnaire

Key Requirements: Some requirements are deemed to be very significant and are so identified by the presence of ‘P’ or ‘M’ against the specific section or question within the questionnaire,

- “P” - direct link with Product
- “M” - direct link with Management

The extent of Key Requirement applicability is determined by the location of the ‘M’ or ‘P’.
In the example below all of question 12 is considered as a Key Requirement.

12 Does the output from the management review include any decisions and actions related to (2) : a) improvement of the effectiveness of the quality management system and its processes? b) improvement of product related to customer requirements? and c) resource needs?	M				

In the second example below only part of question 04, item a), is considered Key Requirement.

04 Does the organization: a) determine the necessary competence for personnel performing work affecting product quality (2) ? b) provide training or take other actions to satisfy these needs? c) evaluate the effectiveness of the actions taken? d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives? e) maintain appropriate records of education, training, skills and experience (see 4.2.4) (3) ?	P				

Guidance Notes: Certain questions will have a numeric reference that refers to additional guidance notes, which are detailed within the 'Guidance Notes' section located after the questions on each page. The guidance notes provide the auditor with further insight on type of objective evidence and/or review expectations etc. In the example below, note (1) refers the auditor to additional notes pertaining to question 46 part a).

46) Does the analysis of data provide information relating to : a) customer satisfaction (see 8.2.1) (1) ? b) conformity to product requirements (see 7.2.1)? c) characteristics and trends of processes and products including opportunities for preventive action? and d) suppliers?					

Guidance Note

1) Give examples and check how the organization measures the effectiveness.

References: When a reference (e.g., 4.1) is added to a question, it is linked to the appropriate clause (e.g., 4.1) of the 9120 standard.

Objective evidence assessed / Observations / Comments / N/A explanation
Record the objective evidence reviewed during the assessment or reason for not applicable.

Nonconformities:

Major: The absence of, or total breakdown of, a management element specified in the AS 9120 standard or any nonconformities where the effect is judged to be detrimental to the integrity of the product or service.

Minor: A single system failure or lapse in conformance with a procedure relating to the AS 9120 standard.

Note: A number of minor nonconformities against one requirement can represent a total breakdown of the system and this can be considered as a major nonconformity

3 USE OF THE ASSESSMENT SCORING CHART

Refer to Appendix B for instructions and guidance on how to score the AS 9120 assessment.

Summary

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

4 QUALITY MANAGEMENT SYSTEM

4.1 General requirements

01 Has the organization established, documented, implemented and maintained a quality management system and continually improve its effectiveness in accordance with the requirements of this International Standard?					
02 Does the organization: a) identify the processes needed for the quality management system and their application throughout the organization (1) ? b) determine the sequence and interaction of these processes (1) ? c) determine criteria and methods needed to ensure that both the operation and control of these processes are effective? d) ensure the availability of resources and information necessary to support the operation and monitoring of these processes? e) monitor, measure and analyze these processes? and f) implement actions necessary to achieve planned results and continual improvement of these processes?					
03 Are these processes managed by the organization in accordance with the requirements of this International Standard?					
04 Where an organization chooses to outsource any process that affects product conformity with requirements, does the organization ensure control over such processes (2)?	P				
05 Is the control of such outsourced processes identified within the quality management system?					

Note: Processes needed for the quality management system referred to above should include processes for management activities, provision of resources, product realization and measurement.

Guidance Note

1) Main processes formally identified (e.g., list, flow diagram)
2) List external processes that can affect product conformity.

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

S: Satisfactory - CAR: Corrective action request – Ma: Major corrective action – mi: Minor corrective action
N/A: Not applicable - N/E: Not evaluated - P: Product - M: Management

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

4.2 Documentation requirements

4.2.1 General

06 Does the quality management system documentation include:
- a) documented statements of a quality policy and quality objectives?
- b) a quality manual?
- c) documented procedures required by this International Standard?
- d) documents needed by the organization to ensure the effective planning, operation and control of its processes?
- e) records required by this International Standard (see 4.2.4)?
- ***f) quality system requirements imposed by the applicable regulatory authorities?***

07 Does the organization ensure that personnel have access to quality management system documentation and are aware of relevant procedures?

08 ***Do Customer and/or regulatory authority representatives have access to quality management system documentation?***

Note 1: Where the term "documented procedure" appears within this International Standard, this means that the procedure is established, documented, implemented and maintained.

Note 2: The extent of the quality management system documentation can differ from one organization to another due to
- a) the size of organization and type of activities,
- b) the complexity of processes and their interactions, and
- c) the competence of personnel.

Note 3: The documentation can be in any form or type of medium.

4.2.2 Quality manual

09 Has the organization established and maintained a quality manual that includes (1) :
- a) the scope of the quality management system, including details of, and justification for, any exclusions?
- b) the documented procedures established for the quality management system, or reference to them, and (2) ***when referencing the documented procedures, is the relationship between the requirements of this International Standard and the documented procedures clearly shown (3) ?***
- c) a description of the interaction between the processes of the quality management system?

Guidance Notes

1) Quality manual reference and issue.
2) Check the procedure list.
3) Reference of standard used as referential.

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

__S__: Satisfactory - __CAR__: Corrective action request – __Ma__: Major corrective action – __mi__: Minor corrective action
__N/A__: Not applicable - __N/E__: Not evaluated - __P__: Product - __M__: Management

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

4.2 Documentation requirements (continued)

4.2.3 Control of documents					
10 Are the documents required by the quality management system controlled?					
11 Are records controlled according to the requirements given in 4.2.4?					
12 Has a documented procedure been established to define the controls needed to: a) approve documents for adequacy prior to issue? b) review and update as necessary and re-approve documents? c) ensure that changes and the current revision status of documents are identified? d) ensure that relevant versions of applicable documents are available at points of use? e) ensure that documents remain legible and readily identifiable? f) ensure that documents of external origin are identified and their distribution controlled? g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose?					
13 Does the organization maintain appropriate documentation to verify the status of the products (e.g., manufacturer's data, standards, airworthiness data) (1)? ***P***					
14 Does the organization coordinate document changes with customers and/or regulatory authorities in accordance with contract or regulatory requirements?					
4.2.4 Control of records					
15 Are records established and maintained to provide evidence of conformity to requirements and of the effective operation of the quality management system?					
16 Do records remain legible, readily identifiable and retrievable (2)?					
17 Has a documented procedure been established to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records?					
18 Are records included where applicable (3) : ***P*** ***a) manufacturer, distributor, repair station, test and inspection reports?*** ***b) original certificates of conformity (manufacturer, sub-tier distributor), copies of airworthiness certificates?*** ***c) non-conformance, concession and corrective action records?*** ***d) lot traceability records?*** ***e) environmental or shelf life condition records?***					
19 Are records stored in an electronic form? ***Is the integrity of the system and the back-up procedures appropriately validated?*** ***Are these records without possibility of change by software traceable to the original documentation?***					
20 Are records of product origin, conformity and shipment maintained for a minimum of seven years, or as required by contract (4) ? ***M***					
21 Are records available for review by customers and regulatory authorities in accordance with contract or regulatory requirements?					

Guidance Notes

1) List updated mafufacturer's documentation, standard, and airworthiness data.
2) List records reviewed.
3) List records reviewed.
4) Period of record retention.

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

***S**: Satisfactory - **CAR**: Corrective action request – **Ma**: Major corrective action – **mi**: Minor corrective action*
***N/A**: Not applicable - **N/E**: Not evaluated - **P**: Product - **M**: Management*

QUALITY SYSTEM QUESTIONNAIRE

ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E
5 MANAGEMENT RESPONSIBILITY					
5.1 Management commitment					
01 Has top management provided evidence of its commitment to the development and implementation of the quality management system and continually improving its effectiveness by (1): a) communicating to the organization the importance of meeting customer as well as statutory and regulatory requirements? b) establishing the quality policy? c) ensuring that quality objectives are established? d) conducting management reviews? e) ensuring the availability of resources?	M				
5.2 Customer focus					
02 Has top management ensured that customer requirements are determined and are met with the aim of enhancing customer satisfaction (see 7.2.1 and 8.2.1)?					
5.3 Quality policy					
03 Has top management ensured that the quality policy: a) is appropriate to the purpose of the organization? b) includes a commitment to comply with requirements and continually improve the effectiveness of the quality management system? c) provides a framework for establishing and reviewing quality objectives? d) is communicated and understood within the organization (2) ? e) is reviewed for continuing suitability?					
5.4 Planning					
5.4.1 Quality objectives					
04 Has top management ensured that quality objectives, including those needed to meet requirements for product [see 7.1 a)], are established at relevant functions and levels within the organization (3)? ***Note: Reference to Clause 7.1 a is not required.***					
05 Are the quality objectives measurable and consistent with the quality policy.					
5.4.2 Quality management system planning					
06 Has top management ensured that: a) the planning of the quality management system is carried out in order to meet the requirements given in 4.1, as well as the quality objectives? b) the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented?					

Guidance Notes

1) Evidence of management commitment.
2) Identify and record method of communication.
3) Review objectives and status of their implementation.

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

__S__: Satisfactory - __CAR__: Corrective action request – __Ma__: Major corrective action – __mi__: Minor corrective action
__N/A__: Not applicable - __N/E__: Not evaluated - __P__: Product - __M__: Management

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

5.5 Responsibility, authority and communication

5.5.1 Responsibility and authority					
07 Has top management ensured that the responsibilities and authorities are defined and communicated within the organization (1)?					
5.5.2 Management representative					
08 Has top management appointed a member of management who, irrespective of other responsibilities, has responsibility and authority that includes: a) ensuring that processes needed for the quality management system are established, implemented and maintained? b) reporting to top management on the performance of the quality management system and any need for improvement? c) ensuring the promotion of awareness of customer requirements throughout the organization? ***d) the organizational freedom to resolve matters pertaining to quality?***	M				
Note: The responsibility of the management representative can include liaison with external parties on matters relating to the quality management system.					
5.5.3 Internal communication					
09 Has top management ensured that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the quality management system?					

Guidance Notes

1) Identify and record method(s) of communication within the organization.

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

***S**: Satisfactory - **CAR**: Corrective action request – **Ma**: Major corrective action – **mi**: Minor corrective action*
***N/A**: Not applicable - **N/E**: Not evaluated - **P**: Product - **M**: Management*

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E
5.6 Management review					
5.6.1 General					
10 Has top management reviewed the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness (1)?					
11 Does this review include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives?					
12 Are records from management reviews maintained (see 4.2.4)?					
5.6.2 Review input					
13 Does the input to management review include information on (2): a) results of audits? b) customer feedback? c) process performance and product conformity? d) status of preventive and corrective actions? e) follow-up actions from previous management reviews? f) changes that could affect the quality management system? g) recommendations for improvement?	M				
5.6.3 Review output					
14 Does the output from the management review include any decisions and actions related to (2) : a) improvement of the effectiveness of the quality management system and its processes? b) improvement of product related to customer requirements? and c) resource needs?	M				

Guidance Notes

1) Record management review frequency and functions involved (e.g., quality, sales, warehouse).
2) Verify the availability of input / output data (e.g., statistical data; graphics; summary tables; reports).

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

***S**: Satisfactory - **CAR**: Corrective action request – **Ma**: Major corrective action – **mi**: Minor corrective action*
***N/A**: Not applicable - **N/E**: Not evaluated - **P**: Product - **M**: Management*

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E
6 RESOURCE MANAGEMENT					
6.1 Provision of resources					
01 Has the organization determined and provided the resources needed: a) to implement and maintain the quality management system and continually improve its effectiveness? d b) to enhance customer satisfaction by meeting customer requirements?					
6.2 Human resources					
6.2.1 General					
02 Are personnel performing work affecting product quality competent on the basis of appropriate education, training, skills and experience (1)?					
6.2.2 Competence, awareness and training					
03 Does the organization: a) determine the necessary competence for personnel performing work affecting product quality (2) ? P b) provide training or take other actions to satisfy these needs? c) evaluate the effectiveness of the actions taken? d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives? e) maintain appropriate records of education, training, skills and experience (see 4.2.4) (3) ?					
6.3 Infrastructure					
04 Does the organization determine, provide and maintain the infrastructure needed to achieve conformity to product requirements? Infrastructure includes, as applicable: a) buildings, workspace and associated utilities? b) process equipment (both hardware and software)? c) supporting services (such as transport or communication)?					
6.4 Work environment					
05 Does the organization determine and manage the work environment needed to achieve conformity to product requirements (4)? P					

Note: Factors that may affect the conformity of the product include temperature, humidity, lighting, cleanliness, protection from electrostatic discharge, etc.

Guidance Notes

1) Review training records and plan (status of the current year and of the previous year).
2) Give examples of methods used to determine competence (e.g., competence matrix, multi-skill).
3) Review training certificates for the certified personnel and training records (internal and external training courses).
4) Explain management methods of work environment adapted to stored and distributed products.

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

S: Satisfactory - CAR: Corrective action request – Ma: Major corrective action – mi: Minor corrective action
N/A: Not applicable - N/E: Not evaluated - P: Product - M: Management

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

7 PRODUCT REALIZATION

7.1. Planning of product realization

Note: This clause not required for compliance to this standard.

7.2 Customer-related processes

7.2.1 Determination of requirements related to the product					
01 Does the organization determine : a) requirements specified by the customer, including the requirements for delivery and post-delivery activities? b) requirements not stated by the customer but necessary for specified or intended use, where known? c) statutory and regulatory requirements related to the product? d) any additional requirements determined by the organization?	M				
7.2.2 Review of requirements related to the product					
02 Does the organization review the requirements related to the product?					
03 Is the review conducted prior to the organization's commitment to supply a product to the customer (e.g., submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and does it ensure that (1) : a) product requirements are defined? b) contract or order requirements differing from those previously expressed are resolved? c) the organization has the ability to meet the defined requirements? **d)** ***risks (e.g., new technology, short delivery time scale) have been evaluated?***	P				
04 Are records of the results of the review and actions arising from the review maintained (see 4.2.4) (2)?					
05 Where the customer provides no documented statement of requirement, are the customer requirements confirmed by the organization before acceptance?					
06 Where product requirements are changed, does the organization ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements?	P				

Note: In some situations, such as internet sales, a formal review is impractical for each order. Instead the review can cover the relevant product information such as catalogues or advertising material.

7.2.3 Customer communication					
07 Does the organization determine and implement effective arrangements for communicating with customers in relation to: a) product information? b) enquiries, contracts or order handling, including amendments? c) customer feedback, including customer complaints?					

Guidance Notes

1) Check that all affected functions are involved in the review.
2) Give examples of records reviewed.

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

***S**: Satisfactory - **CAR**: Corrective action request – **Ma**: Major corrective action – **mi**: Minor corrective action*
***N/A**: Not applicable - **N/E**: Not evaluated - **P**: Product - **M**: Management*

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

7.3. Design and development

Note: This clause not required for compliance to this standard.

7.4 Purchasing

7.4.1	**Purchasing process**					
08	Does the organization ensure that purchased product conforms to specified purchase requirements?	P				
09	Is the type and extent of control applied to the supplier and the purchased product dependent upon the effect of the purchased product on subsequent product realization or the final product?					
10	Does the organization evaluate and select suppliers based on their ability to supply product in accordance with the organization's requirements?					
11	Are criteria for selection, evaluation and re-evaluation established?					
12	Are records of the results of evaluations and any necessary actions arising from the evaluation maintained (see 4.2.4)?					
13	***Does the organization:***	***M***				
	a) maintain a register of approved suppliers that includes the scope of the approval (1) ?					
	b) periodically review suppliers performance and use the records of these reviews as a basis for establishing the level of controls to be implemented (2) ?					
	c) define the necessary actions to take when dealing with suppliers that do not meet requirements (3) ?					
	d) prevent the purchase of counterfeit / suspect unapproved products ?					

Guidance Notes

1) Review current list of approved suppliers.
2) Review supplier's performance / measurement system (e.g., supplier rating).
3) Describe the rules applied.

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

__S__: Satisfactory - __CAR__: Corrective action request – __Ma__: Major corrective action – __mi__: Minor corrective action
__N/A__: Not applicable - __N/E__: Not evaluated - __P__: Product - __M__: Management

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

7.4 Purchasing (continued)

7.4.2 Purchasing information					
14 Does purchasing information describe the product to be purchased, including where appropriate (1) (2): a) requirements for approval of product, procedures, processes and equipment? b) requirements for qualification of personnel? c) quality management system requirements? ***d) the name/product description or other positive identification, and applicable issues of specifications, drawings, process requirements, inspection instructions and other relevant technical data (e.g., revision level)?*** ***e) requirements relative to supplier notification to organization of nonconforming product?*** ***f) requirements for the supplier to notify the organization of changes in product definition?*** ***g) right of access by the organization, their customer, and regulatory authorities to all facilities involved in the order and to all applicable records?*** ***h) requirements for a certificate of conformity, test reports, and/or airworthiness approval from the approved manufacturer or approved repair station?***	P				
15 Does the organization ensure the adequacy of specified purchase requirements prior to their communication to the supplier?					

Guidance Notes

1) Examine purchase orders that apply to several types of procurement.
2) Note the purchase order numbers and the text of requirements, applicable issue for specifications, drawings, … and product conformity requirements

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

***S**: Satisfactory - **CAR**: Corrective action request – **Ma**: Major corrective action – **mi**: Minor corrective action*
***N/A**: Not applicable - **N/E**: Not evaluated - **P**: Product - **M**: Management*

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E
7.4 Purchasing (continued)					
7.4.3 Verification of purchased product					
16 Does the organization establish and implement the inspection or other activities necessary for ensuring that purchased product meets specified purchase requirements, ***they may include (1):***	P				
a) obtaining objective evidence of the quality of the product from suppliers and verifying the authenticity of the accompanying documentation(e.g., certificate of conformity from the manufacturer, airworthiness certificate, test reports, statistical records, process control)?					
b) review of the required documentation?					
c) inspection of products upon receipt?					
17 Where the organization or its customer intends to perform verification at the supplier's premises, does the organization state the intended verification arrangements and method of product release in the purchasing information?					
18 Where specified in the contract, is the customer or the customer's representative afforded the right to verify at the supplier's premises and the organization's premises that subcontracted product conforms to specified requirements?					
19 It is ensured that verification by the customer is not used by the organization as evidence of effective control of quality by the supplier (it does not absolve the organization of the responsibility to provide acceptable product, nor shall it preclude subsequent rejection by the customer)?					
7.5 Production and service provision					
7.5.1 Control of production and service provision					
20 Does the organization plan and carry out production and service provision under controlled conditions (2)?					
Do these controlled conditions include, as applicable:					
a) the availability of information that describes the characteristics of the product?					
b) the availability of work instructions, as necessary (3)?	P				
c) the use of suitable equipment?					
d) the availability and use of monitoring and measuring devices?					
e) the implementation of monitoring and measurement?					
f) the implementation of release, delivery and post-delivery activities?					

Guidance Notes

1) List examples, part number, batch number, manufacturers, prove of documentation authenticity, certificate of conformity numbers.
2) List the nature of product under production operations (e.g., splitting operations, cutting operations of raw material, bars, sheets).
3) List of work instructions used in workshop to cut at the sizes raw materials.

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

***S**: Satisfactory - **CAR**: Corrective action request – **Ma**: Major corrective action – **mi**: Minor corrective action*
***N/A**: Not applicable - **N/E**: Not evaluated - **P**: Product - **M**: Management*

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

7.5 Production and service provision (continued)

7.5.2 Validation of processes for production and service provision

Note: This clause not required for compliance to this standard.

7.5.3 Identification and traceability					
21 Where appropriate, has the organization identified the product by suitable means throughout product realization?					
22 Has the organization identified the product status with respect to monitoring and measurement requirements?					
23 When acceptance authority media are used (e.g., stamps, electronic signatures, passwords), does the organization establish and document controls for the media (1) ?					
24 Where traceability is a requirement, does the organization control and record the unique identification of the product (see 4.2.4)?					
25 Does the organization establish and maintain documented procedures for product identification and traceability, by suitable means (e.g., labels, bar codes or other) from receipt; during splitting, storage packaging, and preservation operations; and until delivery (including where handling or packing operations are subcontracted) (2)? ***P***					
26 Does the organization's processes provide for:					
a) maintaining the manufacturer's identification and batch/lot traceability (3)? ***P***					
b) the ability to identify and trace products manufactured from the same batch of raw material or from the same manufacturing batch, as well as the ability to identify, the ultimate destination (delivery, scrap) of all products of the same batch (4)? ***P***					
c) maintaining the identification of the configuration of the product in order to identify any differences between the actual configuration and the agreed configuration (5)? ***P***					

Note: In some industry sectors, configuration management is a means by which identification and traceability is maintained.

7.5.4 Customer property					
27 Does the organization exercise care with customer property while it is under the organization's control or being used by the organization (6)?					
28 Has the organization identified, verified, protected and safeguarded customer property provided for use or incorporation into the product?					
29 Does the organization define methods to identify and record customer products that are lost, damaged or otherwise made unusable and report such to the customer?					

Note: Customer property can include intellectual property.

Guidance Notes

1) Give an example of authority media used.
2) Identify the method used.
3) Give examples of traceability identification.
4) Give examples of traceability of the management of batches from manufacturer's products, incoming, stock deliveries, scraps.
5) Give examples how the identification is maintained and changes of documentation and/or product are traced.
6) Identify types of property supplied by the customer.

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

__S__: Satisfactory - __CAR__: Corrective action request – __Ma__: Major corrective action – __mi__: Minor corrective action
__N/A__: Not applicable - __N/E__: Not evaluated - __P__: Product - __M__: Management

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

7.5 Production and service provision (continued)

7.5.5 Preservation of product					
30 Does the organization preserve the conformity of product during internal processing and delivery to the intended destination?					
31 Does the preservation include identification, handling, packaging, storage and protection?					
32 Does preservation also apply to the constituent parts of a product?					
33 Does preservation of product also include, where applicable in accordance with product specifications and/or regulations, provisions for (1):	***P***				
a) cleaning?					
b) prevention, detection and removal of foreign objects?					
c) special handling for sensitive products?					
d) marking and labeling including safety warnings?					
e) shelf life control and stock rotation?					
f) special handling for hazardous materials?					
g) ***environmental controls (e.g., temperature, humidity)?***					
34 Does the organization ensure that documents required by the contract/order to accompany the product are present at delivery and are protected against loss and deterioration?					

Guidance Notes

1) Give examples adapted to the nature of the product(s).

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

***S**: Satisfactory - **CAR**: Corrective action request – **Ma**: Major corrective action – **mi**: Minor corrective action*
***N/A**: Not applicable - **N/E**: Not evaluated - **P**: Product - **M**: Management*

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

7.6 Control of monitoring and measuring devices

35 Does the organization determine the monitoring and measurement to be undertaken and the monitoring and measuring devices needed to provide evidence of conformity of product to determined requirements (see 7.2.1) (1)? P					
36 Does the organization maintain a register of these monitoring and measuring devices, and define the process employed for their calibration including details of equipment type, unique identification, location, frequency of checks, check method and acceptance criteria? **M**					
37 Does the organization establish processes to ensure that monitoring and measurement can be carried out and are carried out in a manner that is consistent with the monitoring and measurement requirements?					
38 Does the organization ensure that environmental conditions are suitable for the calibrations, inspections, measurements and tests being carried out?					
39 Where necessary to ensure valid results, is measuring equipment: a) calibrated or verified at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exist is the basis used for calibration or verification recorded (2)? b) adjusted or re-adjusted as necessary? c) identified to enable the calibration status to be determined? d) safeguarded from adjustments that would invalidate the measurement result? e) protected from damage and deterioration during handling, maintenance and storage? ***f) recalled to a defined method when requiring calibration?***					
40 Does the organization assess and record the validity of the previous measuring results when the equipment is found not to conform to requirements?					
41 Does the organization take appropriate action on the equipment and any product affected? P					
42 Are records of the results of calibration and verification maintained (see 4.2.4)?					
43 When used in the monitoring and measurement of specified requirements, is the ability of computer software to satisfy the intended application confirmed? P					
44 Is this undertaken prior to initial use and reconfirmed as necessary?					
Note: See ISO 10012-1 and ISO 10012-2 for guidance.					

Guidance Notes

1) Review that the organization has a process for ensuring the capability of measurement system (e.g., Interval Analysis, Resolution Analysis, Gage Repeatable & Reproducibility).
2) Ensure the links to the recognized international / national standard.

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

__S__: Satisfactory - __CAR__: Corrective action request – __Ma__: Major corrective action – __mi__: Minor corrective action
__N/A__: Not applicable - __N/E__: Not evaluated - __P__: Product - __M__: Management

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

8 MEASUREMENT, ANALYSIS AND IMPROVEMENT

8.1 General

01 Does the organization plan and implement the monitoring, measurement, analysis and improvement processes needed (1): a) to demonstrate conformity of the product? b) to ensure conformity of the quality management system? c) to continually improve the effectiveness of the quality management system?	M				
02 Does this include determination of applicable methods, including statistical techniques, and the extent of their use?					

Note: According to the nature of the product and the activities performed statistical techniques may be used for:
- Inspection: matching sampling rate to the criticality of the product;
- Quality management: use of statistical techniques to determine required improvement activities.

Guidance Notes
1) Give examples of data.

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

__S__: Satisfactory - __CAR__: Corrective action request – __Ma__: Major corrective action – __mi__: Minor corrective action
__N/A__: Not applicable - __N/E__: Not evaluated - __P__: Product - __M__: Management

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

8.2 Monitoring and measurement

8.2.1 Customer satisfaction						
03 As one of the measurements of the performance of the quality management system, does the organization monitor information relating to customer perception as to whether the organization has met customer requirements (1)?						
04 Are the methods for obtaining and using this information determined?						
8.2.2 Internal audit ***Note: Reference to clause 7.1 is not required.***						
05 Does the organization conduct internal audits at planned intervals to determine whether the quality management system (2): a) conforms to the planned arrangements (see 7.1), to the requirements of this International Standard and to the quality management system requirements established by the organization? b) is effectively implemented and maintained?	M					
06 Is an audit program planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits (3) ?	P					
07 Is the audit criteria, scope, frequency and methods defined?						
08 Does the selection of auditors and conduct of audits ensure objectivity and impartiality of the audit process (4)?						
09 Does the organization ensure internal auditors do not audit their own work?						
10 Are the responsibilities and requirements for planning and conducting audits, and for reporting results and maintaining records (see 4.2.4) defined in a documented procedure?						
11 Do the management responsible for the areas being audited ensure that actions are taken without undue delay to eliminate detected nonconformities and their causes?	M					
12 Do follow-up activities include the verification of the actions taken and the reporting of verification results (see 8.5.2) (5)?						
13 Do internal audits also meet contract and/or regulatory requirements?						

Guidance Notes

1) Give examples of how customer's satisfaction is measured, committed, and acted upon.
2) Review of audit plan (status of the previous year and progress of the current year).
3) Note if identification and traceability from manufacturer sources to the users are audited on distributed products (if done, note audit report number and main conclusions).
4) Check the list of approved auditors.
5) Review audit follow-up activities (questionnaire, synthesis, circulation, request for corrective actions, corrective actions follow-up).

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

***S**: Satisfactory - **CAR**: Corrective action request – **Ma**: Major corrective action – **mi**: Minor corrective action*
***N/A**: Not applicable - **N/E**: Not evaluated - **P**: Product - **M**: Management*

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E
8.2 Monitoring and measurement (continued)					
8.2.3 Monitoring and measurement of processes					
14 Does the organization apply suitable methods for monitoring and, where applicable, measurement of the quality management system processes?					
15 Do these methods demonstrate the ability of the processes to achieve planned results?					
16 When planned results are not achieved, is correction and corrective action taken, as appropriate, to ensure conformity of the product?					
17 In the event of process nonconformity, does the organization (1) : **P** ***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?***					
8.2.4 Monitoring and measurement of product ***Note: References to clause 7.1 are not required.***					
18 Does the organization monitor and measure the characteristics of the product to verify that product requirements have been met?					
19 Is this carried out at appropriate stages of the product realization process in accordance with the planned arrangements (see 7.1)?					
20 When inspections are performed to verify product status and the organization uses sampling inspection as a means of verification, is the plan statistically valid and appropriate for use (2)? **P**					
21 Does the plan preclude the acceptance of lots whose samples have known nonconformities?					
22 When required, is the plan submitted for customer approval?					
23 Is evidence of conformity with the acceptance criteria maintained?					
24 Do records indicate the person(s) authorizing release of product (see 4.2.4)?					
25 Is product release and service delivery held until all the planned arrangements (see 7.1) have been satisfactorily completed, unless otherwise approved by a relevant authority and, where applicable, by the customer?					

Guidance Notes

1) Give examples of nonconformities reviewed (e.g., product, process).
2) Note the type of verifications.

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

S: Satisfactory - CAR: Corrective action request – Ma: Major corrective action – mi: Minor corrective action
N/A: Not applicable - N/E: Not evaluated - P: Product - M: Management

QUALITY SYSTEM QUESTIONNAIRE					
ASSESSMENT QUESTIONS	KEY Requirements	S	CAR Number Ma or mi	N/A	N/E

8.2 Monitoring and measurement (continued)

8.2.4.1 Inspection documentation						
26 Are measurement requirements for product or service acceptance documented?						
27 Does this documentation, which may be part of the production documentation, include: ***a) criteria for acceptance and/or rejection?*** ***b) a record of the measurement results?*** ***c) type of measurement instruments required and any specific instructions associated with their use?***	**P**					
28 Do test records show actual test results data when required by the specification or acceptance test plan?						
8.2.5. Evidence of conformance - Certificate of conformity						
29 When required, does the organization provide the customer with evidence of the product's conformity to its technical specifications (this may include the manufacturer's conformance documents, the original airworthiness certificate, test analysis, and/or test reports) (1)?	**P**					
30 When splitting product, are copies of original documents annotated with the following information: amount delivered relative to amount received, purchase order number, customer's name, and supplier's name (2)?	**P**					
31 Where there is a formal agreement with the customer, does the organization deliver a certificate of conformity created by the organization that references the original manufacturer's conformance documents that are retained and traceable by the organization as agreed (3)?	**P**					

Guidance Notes

1) Note nature and certificate number, customer and product references.
2) Note examples and means used to trace the quantity of parts after splitting amount received.
3) Note examples of customer agreements.

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

***S**: Satisfactory - **CAR**: Corrective action request – **Ma**: Major corrective action – **mi**: Minor corrective action*
***N/A**: Not applicable - **N/E**: Not evaluated - **P**: Product - **M**: Management*