

Quality management systems — Assessment applicable to stockist distributors

The European Standard EN 9121:2005 has the status of a
British Standard

ICS 03.120.10; 49.020

National foreword

This British Standard is the official English language version of EN 9121:2005.

The UK participation in its preparation was entrusted to Technical Committee ACE/1, International and European aerospace policy and processes, which has the responsibility to:

- aid enquirers to understand the text;
- present to the responsible international/European committee any enquiries on the interpretation, or proposals for change, and keep UK interests informed;
- monitor related international and European developments and promulgate them in the UK.

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Summary of pages

This document comprises a front cover, an inside front cover, the EN title page, pages 2 to 40, an inside back cover and a back cover.

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Amendments issued since publication

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English Version

**Aerospace series - Quality management systems - Assessment
applicable to stockist distributors (based on ISO 9001:2000)**

Série aérospatiale - Systèmes de management de la
qualité - Évaluation applicable aux distributeurs stockistes
(basé sur ISO 9001:2000)

Luft- und Raumfahrt - Qualitätsmanagementsystems -
Audit für Händler und Lagerhalter (basiert auf ISO
9001:2000)

This European Standard was approved by CEN on 28 October 2005.

CEN members are bound to comply with the CEN/CENELEC Internal Regulations which stipulate the conditions for giving this European Standard the status of a national standard without any alteration. Up-to-date lists and bibliographical references concerning such national standards may be obtained on application to the Central Secretariat or to any CEN member.

This European Standard exists in three official versions (English, French, German). A version in any other language made by translation under the responsibility of a CEN member into its own language and notified to the Central Secretariat has the same status as the official versions.

CEN members are the national standards bodies of Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden, Switzerland and United Kingdom.



EUROPEAN COMMITTEE FOR STANDARDIZATION
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Foreword

This European Standard (EN 9121:2005) has been prepared by the European Association of Aerospace Manufacturers - Standardization (AECMA-STAN).

After enquiries and votes carried out in accordance with the rules of this Association, this Standard has received the approval of the National Associations and the Official Services of the member countries of AECMA, prior to its presentation to CEN.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by June 2006, and conflicting national standards shall be withdrawn at the latest by June 2006.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN [and/or CENELEC] shall not be held responsible for identifying any or all such patent rights.

In December 1998, the Aerospace Industry has established the International Aerospace Quality Group (IAQG) with the purpose of achieving significant improvements in quality and reductions in cost throughout the value stream.

This organization, with representation from Aerospace companies in Americas, Asia and Europe and sponsored by SAE, SJAC and AECMA has agreed to take responsibility for the technical contents of this standard.

This standard was reviewed by the Domain Technical Coordinator of AECMA-STAN's Quality Domain.

According to the CEN/CENELEC Internal Regulations, the national standards organizations of the following countries are bound to implement this European Standard: Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden, Switzerland and the United Kingdom.

1 Purpose

The purpose of this standard is to define the content and the presentation of the Assessment Report of the EN 9120 (based on ISO 9001:2000).

2 Quality System Assessment Report content

The Assessment Report is made up of:

- Page 5 (*required*)
General Assessment Information
- Page 6 (*required*)
Assessment Conclusions
- Page 7 (*optional*)
General Organization Information
- Page 8 (*required*)
Assessment Result Summary
- Page 9 (*required*)
Quality System Scoring
- Page 10
Corrective Action Request (when required)
- Page 11
List of Recommendations/Observations/Comments
- **Annex**
STOCKIST DISTRIBUTORS – Quality System Questionnaire associated to the International Quality System Standard EN 9120 - Section 1 (based on ISO 9001:2000)
- **Annex**
Documents regarding the company:
 - Organization charts,
 - Copies of agreements and certifications ...

ASSESSMENT REPORT Standards 9120/9121		<i>Assessing company logo</i>	
GENERAL ASSESSMENT INFORMATION			
1 Distributor organization & Work Address			
Company Name: Subsidiary of: Organization Identification: Assessed Site(s) Address(es): Headquarter: Warehouse(s): Main activities: Product Types or Codes:		Tel Number: Fax Number: e-mail: CAGE code: Assessment Representative & Title: Quality Manager Representative & Title:	
2 ISO Registration			
☐ ISO Registered ☐ ISO Standard / Revision ☐ Aerospace Standard / Revision		Registrar Name: Expiration Date (If applicable):	
3 Assessment Team			
Lead Assessor Name: ☐ Certified Auditor – Type & No. ☐ Qualified Auditor		Other Assessor Team Members:	
4 Assessment Dates:			
5 Assessment Scope			
☐ Total facility assessed ☐ Initial assessment ☐ Partial facility assessed ☐ Re-assessment ☐ Other: ☐ Activity assessed:		☐ All 9120 elements assessed ☐ Partial 9120 elements assessed Elements not assessed:	
6 Assessment Disposition		7 Scoring	
☐ Conforming ☐ Conforming with minor (mi) corrective action ☐ Nonconforming with Major (Ma) corrective action		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 _____

ASSESSMENT REPORT	<i>Assessing company logo</i>
ASSESSMENT CONCLUSIONS (To be completed in English)	
General comments about the organization, distributed products and sources, traceability and the quality system of the assessed organization:	
Strong points:	
Weak points- Improvement Opportunities:	

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	
Aircraft, Space and Defence Industry				
Other Activity (be specific)				
3 Clearances or Approvals granted by Authorities				
Name of the Authority	Types and References		End of Validity (date)	

ASSESSMENT REPORT					Assessing company logo
ASSESSMENT RESULT SUMMARY					
Organization:					
Elements* (EN 9120-9121)	Result				Observation / Corrective Action Request Number (Ma/mi)
	S	Ma	mi	N/A	
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					Non applicable
7.2 Customer-related processes					
7.3 Design and development					Non applicable
7.4 Purchasing					
7.5 Production and service provision					7.5.2 Non applicable
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:
Rep's name:	Results				Lead Assessor Name:
Signature:					Signature:

* For each element, cross results of assessment: "S" for Satisfactory, "Ma" for major corrective action, "mi" for minor or "N/A" for non applicable

ASSESSMENT SCORING					(Member logo)		
Organization:		Result					
	SCORING CHART Standards 9120/9121	Major CAR or minor CAR on Key requirement		Minor CAR on non Key requirement		NO CAR	RESULT
		Multiple findings	Single finding	Multiple findings	Single finding		
4	Quality management system (Max. 80)						
4.1	General requirements	0	5	20	30	40	
4.2	Documentation requirements	0	5	20	30	40	
5	Management responsibility (Max. 80)						
5.1	Management commitment						
5.2	Customer focus	0	5	10	15	20	
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 (Max. 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 (Max. 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	Purchasing	0	5	30	40	100	
7.5	Production and service provision	Not required					
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 (Max. 280)						
8.1	General	0	5	10	15	20	
8.2	Monitoring and measurement	Not required					
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	
				Total Points Possible			
				Total Points Achieved			
				Score (pt achieved/pts × 100)			
The assessed Organization agrees on the Quality System scoring and Corrective Action requests							
Organization Representative:		Signature:		Date:			

CORRECTIVE ACTION REQUEST (C.A.R.)			<i>Assessing company logo</i>	
Organization:		Identification C.A.R. No.:		
Site:		Date issued:		
Reference Standard:		Referenced Standard Element concerned:		
Criticality Ma / mi	Non-Conformance Description			
Assessor Name:		Assessor Signature:		
Assessed Organization to complete the Corrective Action Request 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				
<u>Verification date:</u>	Accepted: Yes ☐ No ☐	<u>Assessor Name:</u>		<u>Assessor Signature:</u>

List of Recommendations/Observations/Comments	<i>Assessing company logo</i>
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Organization:	Audit report number:
Site:	Issued date:

Item Number	Section	Description

Lead Assessor Name:	Signature:
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Annex A (normative)

Stockist Distributors Quality System Questionnaire

associated to the International Quality Management System Standard
EN 9120 (based on ISO 9001:2000)

1 Purpose

The purpose of this standard is to present the questionnaire to be used during the “on site” quality system assessment of Organizations in order to ensure common practices for these assessments. This questionnaire is relative to EN 9120 standard (based on ISO 9001:2000).

2 Use of the questionnaire

The use of this questionnaire is mandatory and will be a part of the Assessment Report. The questionnaire is based on the AS / EN / JISQ 9120 standard, section 1, which is relative to:

- **ISO 9001:2000 requirements**
- **Additional Aerospace specific requirements are shown in bold and italics.**

The audit is undertaken by review against the requirements of the questionnaire and the findings are recorded as appropriate by annotation of respective columns,

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

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				
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