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Supersedes AS9000, Appendix 1

**AS9000 AUDIT SUMMARY AND
SUPPLIER PROFILE INSTRUCTIONS**

CANCELLATION NOTICE

This document has been declared "CANCELLED" as of December 2003 and has been superseded by AS9100. By this action, this document will remain listed in the Numerical Section of the Aerospace Standards Index noting that it is superseded by AS9100.

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1. SCOPE:

To assure customer satisfaction, aerospace industry manufacturers must produce world class quality products at the lowest possible cost. AS9000 standardizes, to the greatest extent possible, the quality system requirements of the aerospace industry. Standardization of compliance requirements results in cost savings due to the elimination or reduction of unique requirements developed for each different customer. AS9000 Appendix 1, AS9000 Audit Summary and Supplier Profile Instructions, facilitates the standardization of this process.

2. REFERENCES:

There are no referenced publications specified herein.

3. GENERAL INSTRUCTIONS:

- A. Definitions for Major and Minor findings are defined in ISO 8402.
- B. All blanks must be filled in. If any blank is not applicable, enter "N/A."
- C. All "N/A's" must be fully explained.
- D. This audit package should not include any customer proprietary information since it may be shared by any customer requiring compliance to AS9000.
- E. Any partial audits are to be fully explained, noting the AS9000 elements that were not audited.
- F. Audits of multiple supplier locations should indicate each location and the scope of audit at each location. Partial audits at any location will be fully explained, noting the AS9000 elements that were not covered.
- G. Requirements above and beyond AS9000 should not be included on the AS9000 checklist.
- H. At the conclusion of the audit, a full copy of the audit package should be provided to the supplier.

4. AUDIT SUMMARY INSTRUCTIONS:

- A. Fully explain the scope of the audit and the results of the audit on the Audit Summary form.
- B. Indicate the number of Major and Minor findings and Observations for each element of AS9000.
- C. List the Corrective Action documents that were issued or are expected to be completed as a result of this audit.
- D. The lead auditor should enter their company's name and sign and date the Audit Summary sheet upon completion.

5. SUPPLIER PROFILE INSTRUCTIONS:

- A. Enter the supplier's street address (not a PO Box).
- B. For audits involving multiple locations, list additional facility addresses on a supplement sheet.
- C. Enter other pertinent information about the supplier in the "Comments/Additional Information" section.

SAE AS9000 Revision A

6. CHECKLIST INSTRUCTIONS:

- A. The supplier's procedure number and revision level is to be entered for each element of AS9000. Completion of this section of the checklist demonstrates existence to AS9000 requirements.
- B. The notes section following each element is to be used to enter pertinent information regarding the audit.
- C. Each finding should be categorized as Major, Minor or an Observation.
- D. Sufficient detail should be included in the notes section following each AS9000 element for Major or Minor finding.

PREPARED UNDER THE JURISDICTION OF
SAE COMMITTEE G-14, AMERICAS AEROSPACE QUALITY GROUP (AAQG)

SAE AS9000 Revision A

AS9000 Appendix 1

Company Name: _____ Supplier Control # _____

Date: _____

Scope of Audit: ☐ AS9000

☐ Initial Survey

☐ AS9000 (w/o Design)

☐ Re-Audit

	M A J	M I N	O B S	Notes	M A J	M I N	O B S	Notes
4.1 Mgmt Resp								
4.2 Quality System								
4.3 Contract Review								
4.4 Design Control								
4.5 Doc & Data Control								
4.6 Purchasing								
4.7 Cust Supplied Product								
4.8 Prod Ident & Trace								
4.9 Process Control								
4.10 Insp & Testing								
4.11 Insp, Meas & Test Equip								
4.12 Insp & Test Status								
4.13 Control of NCM								
4.14 Correct/Prevent Action								
4.15 Hdq, Strg, Pckg, Pres& Del								
4.16 Quality Records								
4.17 Internal Quality Audits								
4.18 Training								
4.19 Servicing								
4.20 Statistical Techniques								

Corrective Action Documents: _____

Comments: _____

NOTICE: This audit report shall be retained by the supplier in accordance with contractual record retention requirements. Unless prohibited by contract, this audit package and related audit data may be shared with other customers upon request.

☐ Certified Auditor

☐ Qualified Auditor (IAW ISO 10011-2)

☐ Company Qualified

Auditing Company: _____

Lead Auditor's Name: _____

Signature: _____

Phone #: () _____

AS9000 Appendix 1

Company Name: _____	Date: _____
Parent Company: _____	Supplier Control #: _____
Audited Address: _____	Dun & Bradstreet #: _____
City: _____ ST: _____ ZIP: _____	Cage Code: _____
Telephone #: (____) _____	ISO Registered (Y/N): _____
Fax #: (____) _____	ISO Standard: _____
Internet Address: _____	Registrar: _____
Total Plant Area (Sq.Ft.): _____	Expiration Date: _____
No. Of Buildings: _____	SIC Codes: _____
Total No. Of Employees: _____	
Audit Contact: _____	Phone #: (____) _____
Title: _____	Phone #: (____) _____
Management Rep: _____	
Title: _____	
Comments/Additional Information: _____	

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.1	Management Responsibility	The supplier's management with executive responsibility shall define and document its policy for quality. Including objectives for quality and its commitment to quality. The quality policy shall be relevant to the supplier's organizational goals and the expectations and needs of its customers. The supplier shall ensure that this policy is understood, implemented and maintained at all levels of the organization.	Nonconformance(s)		
AS 4.1.1	Quality Policy		Major Nonconformity	yes	no
Supplier's Procedure Number			Minor Nonconformity	yes	no
Revision			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes	no	yes	no
AS 4.1.2	Organization		Nonconformance(s)				
AS 4.1.2.1	Responsibility and Authority	The authority and interrelationship of personnel who manage, perform and verify work affecting quality shall be defined and documented, particularly for personnel who need the organizational freedom and authority to:	Major Nonconformity	yes	no		
Supplier's Procedure Number		a. initiate action to prevent the occurrence of any nonconformities relating to the product, process and quality system;	Minor Nonconformity	yes	no		
Revision		b. identify and record any problems relating to the product, process and quality system;	Observation(s)	yes	no		
		c. initiate, recommend or provide solutions through designated channels;	Request for Corrective Action Issues	yes	no		
		d. verify the implementation of solutions;					
		e. control further processing, delivery or installation of nonconforming product until the deficiency or unsatisfactory condition has been corrected.					

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.1.2.2	Resources	The supplier shall identify resource requirements and provide adequate resources, including the assignment of trained personnel (see 4.18) for management, performance of work and verification activities including internal quality audits.	Nonconformance(s)		
Supplier's Procedure Number			Major Nonconformity	yes	no
Revision			Minor Nonconformity	yes	no
			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes ___ no ___
AS 4.1.2.3	Management Representative	The supplier's management with executive responsibility shall appoint a member of the supplier's own management who, irrespective of other responsibilities, shall have defined authority for: a. ensuring that a quality system is established, implemented and maintained in accordance with this document, and b. reporting on the performance of the quality system to the supplier's management for review and as a basis for improvement of the quality system. NOTE: The responsibility of a management representative may also include liaison with external parties on matters relating to the supplier's quality system.	Nonconformance(s) Major Nonconformity Minor Nonconformity Observation(s) Request for Corrective Action Issues	yes ___ no ___ yes ___ no ___ yes ___ no ___ yes ___ no ___ yes ___ no ___

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.1.2.4		Suppliers having a quality assurance activity performed by an individual process owner (e.g., operator, buyers, planner) shall have procedures that define the specific tasks and responsibilities that are authorized and the corresponding requirements and training necessary to perform those tasks.	Nonconformance(s)		
Supplier's Procedure Number			Major Nonconformity	yes	no
Revision			Minor Nonconformity	yes	no
			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.1.3	Management Review	The supplier's management with executive responsibility shall review the quality system at defined intervals sufficient to ensure its continuing suitability and effectiveness in satisfying the requirements of this document and the supplier's quality policy and objectives (see 4.1.1). Records of such reviews shall be maintained (see 4.16).	Nonconformance(s)		
Supplier's Procedure Number			Major Nonconformity	yes	no
Revision			Minor Nonconformity	yes	no
			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes ___ no ___
AS 4.2	Quality System		Nonconformance(s)	yes ___ no ___
AS 4.2.1	General	The supplier shall establish, document and maintain a quality system as a means of ensuring that product conform to specified requirements. The supplier shall prepare a quality manual covering the requirements of this document. The quality manual shall include or make reference to the quality system procedures and outline the structure of the documentation used in the quality system. NOTE: Guidance on quality manuals is given in ISO 10013.	Major Nonconformity	yes ___ no ___
Supplier's Procedure Number _____			Minor Nonconformity	yes ___ no ___
Revision _____			Observation(s)	yes ___ no ___
			Request for Corrective Action Issues	yes ___ no ___

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes ___ no ___
AS 4.2.2	Quality System Procedures	The Supplier shall: a. prepare documented procedures consistent with the requirements of this document and the supplier's quality policy; b. effectively implement the quality system and its documented procedures; c. ensure that quality system procedures are readily available to personnel who are responsible for compliance to requirements and to customer and/or regulatory agency representatives. For the purpose of this document, the range of detail of the procedures that form part of the quality system shall be dependent upon the complexity of the work, the methods used and the skills and training needed by personnel involved in carrying out the activity. NOTE: Documented procedures may make reference to work instructions that define how an activity is performed.	Nonconformance(s) Major Nonconformity Minor Nonconformity Observation(s) Request for Corrective Action Issues	yes ___ no ___ yes ___ no ___ yes ___ no ___ yes ___ no ___ yes ___ no ___

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes	no
AS 4.2.3	Quality Planning	The supplier shall define and document how the requirements for quality will be met. Quality planning shall be consistent with other requirements of a supplier's quality system and shall be documented in a format to suit the supplier's method of operation. The supplier shall give consideration to the following activities, as appropriate, in meeting the specified requirements for products, projects or contract:	Nonconformance(s)	yes	no
Supplier's Procedure Number _____		a. the preparations of quality plans;	Major Nonconformity	yes	no
Revision _____		b. the identification and acquisition of any controls, processes, equipment (including inspection and test equipment), fixtures, resources and skills that may be needed to achieve required quality objectives;	Minor Nonconformity	yes	no
		b1. the design, manufacture, and use of tooling so variable measurements can be taken, particularly for key/critical characteristics;	Observation(s)	yes	no
		c. ensuring the compatibility of the production process, installation servicing inspection and testing procedures and the applicable documentation;	Request for Corrective Action Issues	yes	no
		d. the updating as necessary, of quality control, inspection and testing techniques, including the development of new instrumentation;			
		e. the identification of any measurement requirement involving capability that exceeds the known state of the art, in sufficient time for the needed capability to be developed.			

NOTES:



Documents

Document Sharing Hub

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.2.3 (Cont.)	Quality Planning	f. the identification of suitable verification at appropriate stages in the realization of product; f1. the identification of in-process verification points when adequate verification of conformance cannot be performed at a later stage of realization;	Nonconformance(s)		
Supplier's Procedure Number _____		g. the clarification of standards of acceptability for all features and requirements, including those which contain a subjective element;	Major Nonconformity	yes	no
Revision _____		h. the identification and preparation of quality records (see 4.16);	Minor Nonconformity	yes	no
		i. the identification and selection of subcontractors capable of meeting quality requirements and the appropriate flowdown of requirements (see 4.6.5);	Observation(s)	yes	no
		j. the establishment of appropriate process controls and development of control plans if key characteristics have been identified by the customer.	Request for Corrective Action Issues	yes	no
		NOTE: The quality plans referred to (see 4.2.3a) may be in the form of a reference to the appropriate documented procedures that form an integral part of the supplier's quality system.			

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.3	Contract Review		Nonconformance(s)		
AS 4.3.1	General		Major Nonconformity	yes	no
AS 4.3.2	Review		Minor Nonconformity	yes	no
Supplier's Procedure Number _____		The supplier shall establish and maintain documented procedures for contract review and for the coordination of these activities. Before submission of a tender, or acceptance of a contract or order (statement of requirement), the tender, contract or order shall be reviewed by the supplier to ensure that:	Observation(s)	yes	no
Revision _____		a. requirements are adequately defined and documented, where no written statement of requirement is available for an order received by verbal means, the supplier shall ensure that the order requirements are agreed before their acceptance;	Request for Corrective Action Issues	yes	no
		b. any differences between the contract or order requirements and those in the tender are resolved;			
		c. the supplier has the capability to meet the contract or order requirements.			

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.3.3	Amendment to a Contract	The supplier shall identify how an amendment to a contract is made and correctly transferred to the functions concerned within the supplier's organization.	Nonconformance(s)		
AS 4.3.4	Records	Records of contractor reviews shall be maintained (see 4.16). NOTE: Channels for communication and interfaces with the customer's organization in these contract matters should be established.	Major Nonconformity	yes	no
Supplier's Procedure Number			Minor Nonconformity	yes	no
Revision			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.4	Design Control	NOTE: Compliance with Section 4.4 is only required by suppliers with design responsibility for the product being produced.	Nonconformance(s)		
AS 4.4.1	General	The supplier shall establish and maintain documented procedures to control and verify the design of the product in order to ensure that the specified requirements are met.	Major Nonconformity	yes	no
Supplier's Procedure Number			Minor Nonconformity	yes	no
Revision			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.4.2	Design and Development Training	The supplier shall prepare plans for each design and development activity. The plans shall describe or reference these activities and define responsibility for their implementation. The design and development activities shall be assigned to qualified personnel equipped with adequate resources. The plans shall be updated as the design evolves.	Nonconformance(s)		
Supplier's Procedure Number			Major Nonconformity	yes	no
Revision			Minor Nonconformity	yes	no
			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.4.3	Organizational and Technical Interfaces	Organizational and technical interfaces between different groups which input into the design process shall be defined and the necessary information documented, transmitted, and regularly reviewed.	Nonconformance(s)		
Supplier's Procedure Number			Major Nonconformity	yes	no
Revision			Minor Nonconformity	yes	no
			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.4.4	Design Input	Design input requirements relating to the product including applicable statutory and regulatory requirements shall be identified and documented and their selection reviewed by the supplier for adequacy. Incomplete, ambiguous, or conflicting requirements shall be resolved with those responsible for imposing the requirements.	Nonconformance(s)		
Supplier's Procedure Number			Major Nonconformity	yes	no
Revision			Minor Nonconformity	yes	no
			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes ___ no ___
AS 4.4.5	Design Output	Design output shall be documented and expressed in terms that can be verified against design-input and validated (see 4.4.8). a. meet design input requirements; b. contain or make reference to acceptance criteria; c. identify those characteristics of the design that are crucial to the safe and proper functioning of the product (e.g., operating, storage, handling, maintenance, and disposal requirements).	Nonconformance(s) Major Nonconformity Minor Nonconformity Observation(s) Request for Corrective Action Issues	yes ___ no ___ yes ___ no ___ yes ___ no ___ yes ___ no ___ yes ___ no ___
AS 4.4.6	Design Review	Design output documents shall be reviewed before release. At appropriate stages of design, formal documented reviews of the design results shall be planned and conducted. Participants at each design review shall include representatives of all functions concerned as well as other specialist personnel, as required. Records of such reviews shall be maintained (see 4.16).		
Supplier's Procedure Number _____				
Revision _____				

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes ___ no ___	yes ___ no ___
AS 4.4.7	Design Verification	At appropriate stages of design, design verification shall be performed to ensure that the design-stage output meets the design stage input requirements. The design verification measures shall be recorded (see 4.16). NOTE: In addition to conducting design reviews (see 4.4.6) design verification may include activities such as:	Nonconformance(s)		
Supplier's Procedure Number _____			Major Nonconformity	yes ___ no ___	
Revision _____			Minor Nonconformity	yes ___ no ___	
			Observation(s)	yes ___ no ___	
			Request for Corrective Action Issues	yes ___ no ___	

NOTES:
