



400 Commonwealth Drive, Warrendale, PA 15096-0001

AEROSPACE STANDARD

SAE AS9101

Technically equivalent to
AECMA prEN 9101

Issued

2000-09

Quality System Assessment

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1. SCOPE:

The purpose of this procedure is to define the content and the presentation of the Assessment Report.

2. QUALITY SYSTEM ASSESSMENT REPORT CONTENT:

The Assessment Report is made up of:

- Page 3 (required)
General Assessment Information
 - Page 4 (required)
Assessment Conclusions
 - Page 5 (optional)
General Company Information
 - Page 6
Assessment Result Summary
 - Page 7
Assessment Scoring Chart
 - Page 8
Corrective Action Request Form
 - Appendix 1
Quality System Questionnaire
 - Appendix 2 (*Supplied by Auditor*)
Documents regarding the company:
 - Organization charts
 - Copies of agreements and certifications
- } *One of these 2 pages is required, the other one is optional.*

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		ASSESSMENT REPORT		(Member logo)	
GENERAL ASSESSMENT INFORMATION					
1. Supplier & Work Address					
Company Name :			Fax Number :		
Parent Name :			E-Mail :		
Supplier Identification :			CAGE code :		
Site Address :			Assessment Representative & Title :		
			Management Representative & Title :		
2. ISO Registration					
☐ ISO Registered			Registrar Name :		
☐ ISO Standard / Revision			Expiration Date :		
Product Codes :					
3. Assessment Team					
Lead Assessor Name :			Other Assessor Members :		
☐ Certified Auditor					
☐ Qualified Auditor (e.g., ISO10011-2)					
4. Assessment Dates					
Begin Date :			End Date :		
5. Assessment Scope					
☐ Total facility assessed		☐ Initial assessment		☐ All AS9100 / EN9100 elements assessed	
☐ Partial facility assessed		☐ Re-assessment		☐ Partial AS9100 / EN9100 elements assessed	
☐ Other :		Elements not assessed :			
6. Assessment Disposition					
☐ Compliant			☐ Non compliant		
☐ Compliant with minor corrective actions			Scoring result :		
7. Assessment Approval					
Assessing Company	Date	Lead Assessor Name	Signature		

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ASSESSMENT REPORT

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ASSESSMENT CONCLUSIONS

(To be completed in English)

General comments about the organization and the quality system of the assessed Supplier:

Strong points :

Weak points :

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	ASSESSMENT REPORT	(Member logo)
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GENERAL SUPPLIER 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 Defense Industry		
Other Activity (be specific)		

3. Clearances or Approvals granted by Authorities

Name of the Authority	Types and References	End of Validity (date)

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	ASSESSMENT REPORT	(Member logo)
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ASSESSMENT RESULT SUMMARY					
Supplier:					
Assessment Results :					
Elements (AS9100 / EN9100 Standard)	Result				Corrective Action Request Number (MA/mi)
	S	MA	mi	N/A	
1. Management Responsibility					
2. Quality System					
3. Contract Review					
4. Design Control					
5. Document and Data Control					
6. Purchasing					
7. Control of Customer-supplied Product					
8. Product Identification and Traceability					
9. Process Control					
10. Inspection and Testing					
11. Control of Inspection, Measuring & Test Equipment					
12. Inspection and Test Status					
13. Control of Non-conforming Product					
14. Corrective and Preventive Actions					
15. Handling, Storage, Packaging, Preservation & Delivery					
16. Control of Quality Records					
17. Internal Quality Audits					
18. Training					
19. Servicing					
20. Statistical Techniques					
Results Summary					Assessing Company : Lead Assessor Name : Signature

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	ASSESSMENT REPORT	(Member logo)
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ASSESSMENT SCORING CHART

Supplier:		Result							Observation Corrective Action Request No. (MA/mi)
Elements (AS9100 / EN9100 Standard)		3	2	1	0	Coef. Item	Result	Max. Result	
1.	Management Responsibility					2			
2.	Quality System					2			
3.	Contract Review					2			
4.	Design Control					5			
5.	Document and Data Control					2			
6.	Purchasing					2			
7.	Control of Customer-supplied Product					1			
8.	Product Identification and Traceability					2			
9.	Process Control					5			
10.	Inspection and Testing					2			
11.	Control of Inspection, Measuring & Test Equipment					1			
12.	Inspection and Test Status					1			
13.	Control of Non-conforming Product					2			
14.	Corrective and Preventive Action					2			
15.	Handling, Storage, Packaging, Preservation & Delivery					2			
16.	Control of Quality Records					1			
17.	Internal Quality Audits					2			
18.	Training					2			
19.	Servicing					2			
20.	Statistical Techniques					1			

R ⇨ ⇨ M

$$\text{QUALITY SYSTEM RATING : } \frac{20 \times R}{M} =$$

Note : Non-conformities to major requirements in Elements 4 or 9 prevent classification A (see Questionnaire)

20	19	18	17	16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1	0
A GOOD					B MEDIUM					C POOR					D UNACCEPTABLE					

Cross according to the Quality System Rating

The assessed Supplier agrees on the Quality System scoring and the Corrective Action Request		
Supplier Representative :	Signature :	Date :

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		CORRECTIVE ACTION REQUEST (C.A.R.)		<i>(Member logo)</i>	
Supplier:			Identification C.A.R. No.:		
Site:			Date issued:		
Reference Standard :			Referenced Standard Element concerned :		
Action No.	Criticality MA / mi	Non-Conformance Description			
Assessor Name :			Assessor Signature :		
Assessed Supplier 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 :
1st Step	Action No.:	Root Cause :			
	Action No. :	Corrective Action :			Planned completion date of Corrective Action :
	Supplier Representative Name :		Signature :	Current date :	
2nd Step	Supplier Representative Name :		Signature :	Current date :	
Verification of the implementation of the completed Corrective Action to be filled out by the Assessing Company					
Completed on :		Accepted : Yes ☐ No ☐		Name : Signature :	

To be filled out by the Assessed Supplier Representative

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APPENDIX 1 QUALITY SYSTEM QUESTIONNAIRE

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1. SCOPE:

The purpose of this document is to present the questionnaire to be used during the "on site" quality system assessment of suppliers 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 questionnaire is based on the AS9100/EN9100 standard, which is relative to:

- ISO 9001 requirements (1994)
- Additional Aerospace specific requirements are shown in bold and italics

Important questionnaire elements are defined below:

- Critical (C)
The levels of criticality are used for the scoring, and determines the level of corrective action (Major if the level of criticality is critical, otherwise minor).
- Reference and revision
If needed, write the number and the revision level of the considered procedures.
- Document
Mark the appropriate box for each requirement with:
 - Satisfactory (S)
 - Corrective action required (CA)
 - Not applicable (N/A)
- Use
Mark the appropriate box for each requirement with:
 - Satisfactory (S)
 - Corrective action needed (CA)
 - Not applicable (N/A)
 - Not evaluated (N/E)

The criticality of the corrective action is either Major (MA) or Minor (mi) depending whether the discrepancy is related to a critical requirement identified by the capital letter "C" in the 1st column.

2. (Continued):

- Objective evidence assessed

Write the objective evidence reviewed during the assessment. Guidance is provided for certain questions, as indicated in the S column by a small number (for example: 1).

- Discrepancy with Standard's requirement

Write the identified deviation or the number of corrective action request.

- Observations/Comments

Write as appropriate in this box, the observations and comments that could be helpful for the supplier (e.g., clarification, continuous improvement, safety issue). This is not a deviation.

Summary

Section headings	Page numbers
1. <i>Management responsibility</i>	4 - 5
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6. <i>Purchasing</i>	15 - 17
7. <i>Control of customer-supplied product</i>	18
8. <i>Product identification and traceability</i>	19
9. <i>Process control</i>	20 - 22
10. <i>Inspection and testing</i>	23 - 25
11. <i>Control of inspection, measuring and test equipment</i>	26 - 28
12. <i>Inspection and test status</i>	29
13. <i>Control of nonconforming product</i>	30 - 31
14. <i>Corrective and preventive action</i>	32
15. <i>Handling, storage, packaging, preservation and delivery</i>	33 - 34
16. <i>Control of quality records</i>	35
17. <i>Internal quality audits</i>	36
18. <i>Training</i>	37
19. <i>Servicing</i>	38
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Abbreviations used

S : Satisfactory
 CA : Corrective action required
 MA : Major corrective action
 mi : Minor corrective action
 N/A : Not applicable
 N/E : Not evaluated

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	AS9101 QUALITY SYSTEM QUESTIONNAIRE	Page : 4/39														
ASSESSMENT QUESTIONS	CRITICAL	REFERENCE and Revision														
		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="3">DOCUMENT</th> <th colspan="4">USE</th> </tr> <tr> <td>S</td> <td>CA MA/ml</td> <td>N/A</td> <td>S</td> <td>CA MA/ml</td> <td>N/A</td> <td>N/E</td> </tr> </table>	DOCUMENT			USE				S	CA MA/ml	N/A	S	CA MA/ml	N/A	N/E
DOCUMENT			USE													
S	CA MA/ml	N/A	S	CA MA/ml	N/A	N/E										

4.1. Management responsibility

4.1.1. Quality policy

01 Has the supplier's management with executive responsibility defined and documented the quality policy including objectives and the commitment to quality?	C	1)									
02 Is the quality policy relevant to the supplier's organizational goals and the expectations and needs of its customers?	C	2)									
03 Does the supplier ensure that the quality policy is understood, implemented and maintained at all levels of the organization?	C	3)									

4.1.2. Organization

4.1.2.1. Responsibility and authority

04 Are the responsibility, authority and interrelation between the people who manage, perform and verify work affecting quality defined and documented?	C	4)									
05 Do the documented definitions address personnel which:											
a) Initiate actions to prevent the occurrence of any nonconformance relating to product, process and quality system?	C										
b) Identify and record any problems relating to product, process and quality system?	C										
c) Initiate, recommend or provide solutions through designated channels?	C										
d) Verify the implementation of solutions?	C										
e) Control further processing, delivery or installation of nonconforming product until the deficiency or unsatisfactory condition has been corrected?	C										

4.1.2.2. Resources

06 Has the supplier identified resource requirements and provided adequate resources which includes the assignment of trained personnel for:											
a) management?											
b) performance of work?											
c) verification activities?											
d) internal quality audit?											

- 1) Management commitment written and issued (quality manual or other documents).
2) Yearly objectives (current and previous year).
3) Formalized issue (information notice to the personnel or meeting report).
4) Organizational notice, organizational charts, job description.

Objective evidence assessed

Discrepancy with Standard's requirements (corrective action request numbers)

Recommendations/Observations

C : Critical - S : Satisfactory; - CA : Corrective action required - MA : Major corrective action
ml : Minor corrective action - N/A : Not applicable - N/E: Not evaluated

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	AS9101 QUALITY SYSTEM QUESTIONNAIRE	Page : 5/39
ASSESSMENT QUESTIONS	CRITICAL	REFERENCE and Revision
	DOCUMENT	USE
	S CA MA/ml N/A	S CA MA/ml N/A N/E

4.1. Management responsibility (continued)

4.1.2.3. Management Representative											
07 Has the supplier's management with executive responsibility appointed a member of the supplier's own management who, irrespective of other responsibilities, has defined authority for:											
a) ensuring that a quality system in accordance with AS9100/EN9100 is established, implemented and maintained?											
b) reporting on the performance of the quality system to the supplier's management for review and improvements ?											
08 Does the management representative have the necessary authority and the organizational freedom to resolve matters pertaining to quality?											
4.1.2.4. Process performer											
09 (applicable to suppliers having a quality assurance activity performed by an individual process performer (e.g. operator, buyer, planner)) Does the supplier have procedures that define the specific tasks and responsibilities of an individual process performer performing quality assurance activities, that are authorized and the corresponding requirements and training necessary to perform a quality assurance activity?											
4.1.3. Management review											
10 Is the quality system reviewed by the supplier's management with executive responsibility at defined intervals sufficient to ensure its continued suitability and effectiveness in satisfying the requirements of AS9100/EN9100 and the supplier's stated quality policy and objectives?											
10 Are records of such reviews maintained?								1)			

1) Minutes, topics dealt on the reviews, availability of improvement plans.

Objective evidence assessed

Discrepancy with Standard's requirements (corrective action request numbers)

Recommendations/Observations

C : Critical - S : Satisfactory; - CA : Corrective action required - MA : Major corrective action
ml : Minor corrective action - N/A : Not applicable - N/E : Not evaluated

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	AS9101 QUALITY SYSTEM QUESTIONNAIRE	Page : 6/39
ASSESSMENT QUESTIONS	CRITICAL REFERENCE and Revision	DOCUMENT S CA MA/mi N/A
		USE S CA MA/mi N/A N/E

4.2. Quality system

4.2.1. General									
01 Has the supplier established, documented and does he maintain a quality system as a means of ensuring that product conforms to specified requirements?	C		1)						
02 Has the supplier prepared a Quality Manual: a) covering the requirements of AS9100/EN9100? b) which includes or makes reference to the quality system procedures? c) which includes an outline of the structure of the documentation used in the quality system?	C		2)						
03 Are other quality system requirements imposed by the applicable regulatory authorities included or referenced in the quality system documentation?									
4.2.2. Quality system procedures									
04 Has the supplier prepared procedures consistent with the requirements of AS9100/EN9100 and the supplier's stated quality policy?									
05 Has the supplier effectively implemented the quality system and its documented procedures?									
06 Has the supplier ensured that quality system procedures are readily accessible to personnel who are responsible for performing work in conformance to requirements, and to customer and/or regulatory authorities representatives?									
07 Are the range and detail of the procedures that form part of the quality system dependent upon the complexity of the work, the methods used, and the skills and training needed by personnel involved in carrying out the activity?									

- 1) Quality manual and associated documents.
2) System structure

Objective evidence assessed

Discrepancy with Standard's requirements (corrective action request numbers)

Recommendations/Observations

C : Critical - S : Satisfactory - CA : Corrective action required - MA : Major corrective action
mi : Minor corrective action - N/A : Not applicable - N/E : Not evaluated