

Quality Management Systems Assessment

LICENSE AGREEMENT

The purchase price of this document includes a license to duplicate the forms included within only for the internal use of the organization which purchased the document. Further duplication or licensing is prohibited.

© 2003 SAE International

SAE Technical Standards Board Rules provide that: "This report is published by SAE to advance the state of technical and engineering sciences. The use of this report is entirely voluntary, and its applicability and suitability for any particular use, including any patent infringement arising therefrom, is the sole responsibility of the user."

SAE reviews each technical report at least every five years at which time it may be reaffirmed, revised, or cancelled. SAE invites your written comments and suggestions.

Copyright 2003 SAE International

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system or transmitted, in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise, without the prior written permission of SAE.

TO PLACE A DOCUMENT ORDER:

Tel: 877-606-7323 (inside USA and Canada)
Tel: 724-776-4970 (outside USA)
Fax: 724-776-0790
Email: custsvc@sae.org
http://www.sae.org

SAE WEB ADDRESS:

Foreword

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.

Contents

SECTION 1: QUALITY MANAGEMENT SYSTEMS – ASSESSMENT

1	Purpose.....	5
2	Quality system assessment report content	5
Appendix A	Quality system questionnaire	13
Bibliography		47

SECTION 1

QUALITY MANAGEMENT SYSTEMS ASSESSMENT

1 PURPOSE

The purpose of this document is to define the content and the presentation of the Assessment Report of the section 1 of AS9100.

2 QUALITY SYSTEM ASSESSMENT REPORT CONTENT

The Assessment Report is made up of:

- Page 6 (*required*)
General Assessment Information
- Page 7 (*required*)
Assessment Conclusions
- Page 8 (*optional*)
General Organization Information
- Page 9 (*required*)
Assessment Result Summary
- Page 10 (*required*)
Assessment Scoring
- Page 11
Corrective Action Request (when required)
- Page 12
List of Recommendations/Observations/Comments
- **Appendix A**
Quality System Questionnaire relative to the section 1 of AS9100

ASSESSMENT REPORT		<i>Assessing company logo</i>	
GENERAL ASSESSMENT INFORMATION			
1 Organization & Work Address			
Company Name: Subsidiary of: Organization Identification: Assessed Site Address: 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 9100 elements assessed ☐ Partial 9100 elements assessed Elements not assessed:	
6 Assessment Disposition		7 Scoring	
☐ Conforming ☐ Conforming with minor (mi) corrective action ☐ Non conforming 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 _____

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

Improvement Opportunities:

ASSESSMENT REPORT	<i>Assessing company logo</i>
--------------------------	-----------------------------------

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 Defense 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	<i>Assessing company logo</i>
--------------------------	-----------------------------------

ASSESSMENT RESULT SUMMARY					
Organization :					
Elements* (AS9100 – Section 1)	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					
4.3 Configuration Management					
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					
7.2 Customer-related processes					
7.3 Design and development					
7.4 Purchasing					
7.5 Production and service provision					
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	Major CAR or minor CAR on Key requirement		Minor CAR on <u>non</u> Key requirement		NO CAR	RESULT
		Multiple findings	Single finding	Multiple findings	Single finding		
4	Quality management system					100	
4.1	General requirements	0	10	25	40	50	
4.2 & 4.3	Documentation requirements & Configuration management	0	10	25	40	50	
5	Management responsibility					150	
5.1	Management commitment	0	5	15	20	30	
5.2	Customer focus						
5.3	Quality policy						
5.4	Planning	0	10	20	30	40	
5.5	Responsibility, authority and communication	0	5	15	20	30	
5.6	Management review	0	10	25	40	50	
6	Resource Management					100	
6.1	Provision of resources	0	10	25	40	50	
6.2	Human resources						
6.3	Infrastructure	0	10	25	40	50	
6.4	Work environment						
7	Product realization					450	
7.1	Planning of product realization	0	5	15	20	30	
7.2	Customer related processes	0	10	30	50	60	
7.3	Design and development						
7.3.1	D&D Planning	0	5	15	20	30	
7.3.2-3.4	Inputs, outputs & review	0	5	15	20	30	
7.3.5-6	D&D verification & validation	0	5	15	20	30	
7.3.7	Control of design and development changes	0	5	15	20	30	
7.4	Purchasing	0	10	30	50	60	
7.5	Product and service provision						
7.5.1	Control of production and service provision	0	10	25	40	50	
7.5.2	Validation of processes for production and service provision	0	10	20	30	40	
7.5.3	Identification and traceability	0	10	20	30	40	
7.5.4-5	Customer property & preservation of product	0	5	15	20	30	
7.6	Control of monitoring and measuring device	0	5	10	15	20	
8	Measurement analysis and improvement					200	
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	15	20	30	
8.2.3	Monitoring and measurement of processes	0	5	15	20	30	
8.2.4	Monitoring and measurement of product	0	5	15	20	30	
8.3	Control of nonconforming product	0	5	15	20	30	
8.4	Analysis of Data	0	5	10	15	20	
8.5	Improvement	0	5	10	15	20	
						TOTAL	880 ⁽¹⁾ or 1000
						SCORE	/ 100

The assessed Organization agrees on the Quality System scoring and Corrective Action requests		
Organization Representative :	Signature :	Date :

(1) When 7.3 is not assessed : SCORE = $\frac{\text{RESULT} \times 100}{880}$

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

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

Item Number	Section	Description

Lead Assessor Name:	Signature:
---------------------	------------

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


Documents

Document Sharing Hub

APPENDIX A
AS9101

QUALITY SYSTEM QUESTIONNAIRE

1 PURPOSE

The purpose of this document 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 the section 1 of AS9100.

2 USE OF THE QUESTIONNAIRE

The use of this questionnaire is mandatory and will be a part of the Assessment Report. The questionnaire is used to evaluate AS9100 standard, section 1.

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 14 is considered as a key requirement.

14	Does the output from the management review include any decisions and actions related to :	M				
	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 ?					

In the second example below only part of question 03, i.e. d) is considered Key Requirement.

03	In planning product realization, does the organization determine the following, as appropriate :					
	a) Quality objectives and requirements for the product ?					
	b) The need to establish processes, documents, and provide resources specific to the product ?					
	c) Required verification, validation, monitoring, inspection and test activities specific to the product and the criteria for product acceptance ?					
	d) Records needed to provide evidence that the realization processes and resulting product meet requirements (see 4.2.4) ?	P				
	e) <i>The identification of resources to support operation and maintenance of the product ?</i>					

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 1 part a).

48 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) e ?					
c) Characteristics and trends of processes and products including opportunities for preventive action ? And					
d) Organizations ?					

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 chapter (e.g. 4.1) of AS9100.

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

Non-conformities :

Major : The absence of, or total breakdown of a management element specified in the 9100 standard or any non-conformities 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 9100 standard.

Note : A number of minor non-conformities against one requirement can represent a total breakdown of the system and this can be considered as a major non-conformity

3 USE OF THE ASSESSMENT SCORING CHART

Following completion of each chapter of the Quality System Questionnaire the nomenclature Assessment Scoring chart can now be completed.

The findings of each section and sub-section of the completed Quality System Questionnaire are reviewed and the Assessment Scoring sheet completed as follows.

- If, multiple findings (i.e. greater than 1) with Major (Ma) Corrective Action Request (CAR) or minor (mi) CAR on Key requirement in a section, e.g. 4.1 General Requirements then score in Major CAR or minor CAR on Key Requirement (i.e. any questions with 'M' or 'P' indicator) "Multiple findings" column (result = 0), or
- If, single finding with Major (Ma) CAR or minor (mi) CAR on key requirements in a section, e.g. 4.1 General Requirements then score in Major CAR or minor CAR on Key Requirement "Single finding" column (result =10), or
- If, multiple findings on non Key requirement (i.e. greater than 1) with Minor (mi) (CAR) in a section, e.g. 4.1 General Requirements then score in Minor CAR on non Key requirement "Multiple findings" column (result=25), or