

Issued 2003-08
Revised 2007-09
Cancelled 2012-11

Superseded by AS9101

Stockist Distributors
Quality System Questionnaire
Associated with AS9120

RATIONALE

This document is Cancelled and Superseded by the inclusion of the requirements in the latest version of AS9101.

CANCELLATION NOTICE

This document has been declared "CANCELLED" as of November 2012 and has been superseded by AS9101. By this action, this document will remain listed in the Numerical Section of the Aerospace Standards Index noting that it is superseded by AS9101.

Cancelled specifications are available from SAE.

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 revised, reaffirmed, stabilized, or cancelled. SAE invites your written comments and suggestions.

Copyright © 2012 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: +1 724-776-4970 (outside USA)
Fax: 724-776-0790
Email: CustomerService@sae.org
http://www.sae.org

SAE WEB ADDRESS:

Full document details: SAE AS9121B

SAE values your input. To provide feedback
on this Technical Report, please visit
<http://www.sae.org/technical/standards/AS9121B>

Documents
Document Sharing Hub

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.

© 2007 SAE International

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

1.	Purpose	5
2.	Quality Management System Assessment Report Content	5
Appendix A	Quality Management System Questionnaire	14
Appendix B	Quality Management System Audit Scoring	39
Annex A	Bibliography	44

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		<i>Assessing company logo</i>
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		7 Scoring	
☐ Conforming		Scoring result:	
☐ Conforming with minor (mi) corrective action			
☐ Nonconforming with Major (Ma) corrective action			
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

Documents
Document Sharing Hub

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	<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	
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:
Management Rep. name:						Lead Assessor 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 <u>non</u> Key requirement		NO CAR	RESULT
		(Col. A)	(Col. B)	(Col. C)	(Col. D)		
		Multiple findings	Single finding	Multiple findings	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						
6.4	Work environment	0	10	25	40	50	
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			Total Points Possible		
Organization Representative:	Signature:	Date:	Total Points Achieved		
			Score (pts achieved/pts possible) x 100		

Audit Report No.: 	CORRECTIVE ACTION REQUEST (CAR)		<i>Assessing company logo</i>
Organization:	Identification CAR No.:		
Site:	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: Yes ☐ No ☐	Assessor Name:	Assessor Signature:

Audit Report No.: 	Observations / Comments	<i>Assessing company logo</i>
Organization:	Audit report number:	
Site:	Issued date:	

Item Number	Section	Description

Lead Assessor Name:	Signature:
	Date :