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Revised 1998-03
Cancelled 2003-12

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This document has been declared "CANCELLED" as of December 2003 and has been superseded by AS9100.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action, this document will remain listed in the Numerical Section of the Aerospace Standards Index noting that it is superseded by AS9100.

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SAE AS9000 Revision A

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.

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

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					4.11 Insp, Meas & Test Equip				
4.2 Quality System					4.12 Insp & Test Status				
4.3 Contract Review					4.13 Control of NCM				
4.4 Design Control					4.14 Correct/Prevent Action				
4.5 Doc & Data Control					4.15 Hdq, Strg, Pckg, Pres& Del				
4.6 Purchasing					4.16 Quality Records				
4.7 Cust Supplied Product					4.17 Internal Quality Audits				
4.8 Prod Ident & Trace					4.18 Training				
4.9 Process Control					4.19 Servicing				
4.10 Insp & Testing					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: _____
 Parent Company: _____
 Audited Address: _____
 City: _____ ST: _____ ZIP: _____
 Telephone #: () _____
 Fax #: () _____
 Internet Address: _____
 Total Plant Area (Sq.Ft.): _____
 No. Of Buildings: _____
 Total No. Of Employees: _____

Date: _____
 Supplier Control #: _____
 Dun & Bradstreet #: _____
 Cage Code: _____
 ISO Registered (Y/N): _____
 ISO Standard: _____
 Registrar: _____
 Expiration Date: _____
 SIC Codes: _____

Audit Contact: _____
 Title: _____
 Management Rep: _____
 Title: _____
 Phone #: () _____
 Phone #: () _____

Comments/Additional Information:

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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 ___ no ___	yes ___ 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 yes	no 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)		
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 4.1.2.4		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 yes	no no
AS 4.2	Quality System		Nonconformance(s)		
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.	Major Nonconformity	yes	no
Supplier's Procedure Number		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.	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 4.2.2	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)		
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 4.2.3	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:

Element	Title of Element	Requirements	Adequacy Compliance	yes	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)	yes	no
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)		
			Major Nonconformity	yes	no
AS 4.3.4	Records	Records of contractor reviews shall be maintained (see 4.16).	Minor Nonconformity	yes	no
			Observation(s)	yes	no
Supplier's Procedure Number		NOTE: Channels for communication and interfaces with the customer's organization in these contract matters should be established.	Request for Corrective Action Issues	yes	no
Revision					

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
			Minor Nonconformity	yes	no
			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no
Supplier's Procedure Number					
Revision					

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 yes	no 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: a. performing alternative calculations; b. comparing the new design with similar proven design, if available; c. undertaking tests and demonstrations, and d. reviewing the design stage documents before release.	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 4.4.8	Design Validation	Design validation shall be performed to ensure that product conforms to the defined user needs and/or requirements. NOTES: 1. Design validation should follow successful design verification (see 4.4.7). 2. Validation is normally performed under defined operating conditions. 3. Validation is normally performed on the final product, but may be necessary at earlier stages prior to product completion. 4. Multiple validations may be performed if there are different intended uses.	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 4.4.9	Design Changes	All design changes and modifications shall be identified, documented, reviewed, and approved by authorized personnel prior to implementation.	Nonconformance(s)		
			Major Nonconformity	yes	no
			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 4.5	Document and Data Control		Nonconformance(s)		
AS 4.5.1	General	The supplier shall establish and maintain documented procedures to control documents and data that relate to the requirements of this document including, to the extent applicable, documents of external origin such as standards and customer drawings. NOTE: Documents and data may be in hard copy or electronic media	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 4.5.2 Supplier's Procedure Number _____ Revision _____	Document and Data Approval and Issue	Documents and data shall be reviewed and approved for adequacy by authorized personnel prior to issue. A master list or equivalent document control procedure identifying the current revision status of documents shall be established and be readily available to preclude the use of invalid and/or obsolete documents. This control shall ensure that: a. the pertinent issues of appropriate documents are available at all locations where operations essential to the effective functioning of the quality system are performed; b. invalid and/or obsolete documents are promptly removed from all points of issue or use, or otherwise assured against unintended use; c. any obsolete documents retained for legal and/or knowledge-preservation purposes are suitably identified.	Nonconformance(s) Major Nonconformity Minor Nonconformity Observation(s) Request for Corrective Action Issues	yes ___ no ___ yes ___ no ___ yes ___ no ___ yes ___ no ___ yes ___ no ___ yes ___ no ___

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.5.3	Document and Data Changes	Changes to documents and data shall be reviewed and approved by the same functions/organizations that performed the original review and approval, unless specifically designated otherwise. The designated functions/organizations shall have access to pertinent background information upon which to base their review and approval. Where practicable, the nature of the change shall be identified in the document or the appropriate attachment.	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 ___	yes ___ no ___
AS 4.5.3.1	Design Verification	The supplier shall establish a process to ensure the timely review, distribution, implementation and maintenance of all authorized and released drawings, standards, specifications, planning and changes. The supplier shall maintain a record of change effectivity and, when required, shall coordinate these effectivities with the customer.	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 4.6	Purchasing		Nonconformance(s)		
AS 4.6.1	General	The supplier shall establish and maintain documented procedures to ensure that purchased product conforms to specified requirements. NOTE: This requirement also applies to product obtained from customer designated sources.	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 4.6.2	Evaluation of Subcontractors	The supplier shall: a. evaluate and select subcontractors on the basis of their ability to meet subcontract requirements including the quality system and any specific quality assurance requirement. b. define the type and extent of control exercised by the supplier over subcontractors. This shall be dependent upon the type of product, the impact of subcontracted product on the quality of the final product and, where applicable, on the audit reports and/or quality records of the previously demonstrated capability and performance of subcontractors. NOTE: Definition of the extent of control should include a system for disapproval, if necessary. c. establish and maintain quality records of acceptable subcontractors (see 4.16); d. ensure that both the supplier and all subcontractors use customer-approved special process sources, as required by contract.	Nonconformance(s)	yes	no
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 4.6.3	Purchasing Data	Purchasing documents shall contain data clearly describing the product ordered, including where applicable: a. the type, class, grade or other precise identification; b. the title or other positive identification, and applicable issues of specifications, drawings, process requirements, inspection instructions and other relevant technical data, including requirements for approval or qualification of product, process, equipment and personnel; c. the title, number and issue of the quality system standard to be applied. The supplier shall review and approve purchasing documents for adequacy of the specified requirements prior to release.	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 4.6.4	Verification of Purchased Product	NOTE: Verification of purchased product may include receiving/source verification, delegation of verification to the subcontractor, or subcontractor certification.	Nonconformance(s)		
AS 4.6.4.1	Supplier Verification at Subcontractor's Premises	Where the supplier proposes to verify purchased product at the subcontractors premises, the supplier shall specify verification arrangements and the method of product release in the purchasing documents.	Major Nonconformity	yes	no
			Minor Nonconformity	yes	no
			Observation(s)	yes	no
Supplier's Procedure Number			Request for Corrective Action Issues	yes	no
Revision					

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes ___ no ___	yes ___ no ___
AS 4.6.4.2	Customer Verification of Subcontract Product	Where specified in the contract, the supplier's customer or the customer's representative shall be afforded the right to verify at the subcontractor's premises and the supplier's premises that the subcontracted product conforms to specified requirements. Such verification shall not be used by the supplier as evidence of effective control of quality by the subcontractor.	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 4.6.4.3	Right of Entry	The supplier shall provide provisions in the subcontracts to allow the supplier, customer, and regulatory agencies right of entry to any place necessary to determine and verify the quality of contracted work, records and material.	Nonconformance(s)	yes ___ no ___
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 ___	yes ___ no ___
AS 4.6.4.4	Delegation of Supplier Verification to Subcontractor	Where the supplier proposes to delegate product verification to a subcontractor, the supplier shall define the requirements for the delegation and maintain a list of the delegations.	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 4.6.5 Supplier's Procedure Number _____ Revision _____	Requirements Flowdown	The supplier shall flow down quality system requirements to subcontractors to the extent necessary to ensure that characteristics not verifiable upon receipt are adequately controlled by the subcontractor. Key characteristics requirements shall be flowed down if the supplier subcontracts the key characteristics process.	Nonconformance(s)		
			Major Nonconformity	yes	no
			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 4.7	Control of Customer Supplied Product	The supplier shall establish and maintain documented procedures for the control of verification, storage and maintenance of customer-supplied product provided for incorporation into the supplies or for related activities. Any such product that is lost, damaged or is otherwise unsuitable for use shall be recorded and reported to the customer (see 4.16). Verification by the supplier does not absolve the customer of the responsibility to provide acceptable product.	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 4.8	Product Identification and Traceability	Where appropriate, the supplier shall establish and maintain documented procedures for identifying the product by suitable means from receipt and during all stages of production, delivery and installation. Where and to the extent that traceability is a specified requirement, the supplier shall establish and maintain documented procedures for unique identification of individual product or batches. This identification shall be recorded (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 4.9	Process Control	The supplier shall identify and plan the production, installation and servicing processes which directly affect product quality and shall ensure that these processes are carried out under controlled conditions. Controlled conditions shall include the following:	Nonconformance(s)	yes	no
Supplier's Procedure Number		a. documented procedures defining the manner of production installation and servicing, where the absence of such procedures could adversely affect quality;	Major Nonconformity	yes	no
Revision		b. use of suitable production, installation and servicing equipment and suitable working environment;	Minor Nonconformity	yes	no
		c. compliance with reference standACs/codes, quality plans and/or documented procedures;	Observation(s)	yes	no
		d. monitoring and control of suitable process parameters and product characteristics;	Request for Corrective Action Issues	yes	no
		d1. monitoring and control of key characteristics when required by purchase order/contract;			
		e. the approval of processes and equipment as appropriate;			
		f. criteria for workmanship, which shall be stipulated in the clearest practical manner (e.g., written standards, representative samples or illustrations);			
		g. suitable maintenance of equipment to ensure continuing process capability;			

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes	no	yes	no
AS 4.9 (Cont.)	Process Control	h. accountability for all product during manufacture (e.g., part quantities, split orders, nonconformities); i. evidence that all manufacturing and inspection operations have been completed as planned, or as otherwise documented and authorized. j. provisions for the prevention, detection, and removal of foreign objects. Where the results of the processes cannot be fully verified by subsequent inspection and testing of the product and where, for example processing deficiencies may become apparent only after the product is in use, the processes shall be carried out by qualified operators and/or shall require continuous monitoring and control of process parameters to ensure that the specified requirements are met. The requirements for any qualification of process operations, including associated equipment and personnel (see 4.18), shall be specified. NOTE: Such processes requiring pre-qualification of their process capability are frequently referred to as special processes. Records shall be maintained for qualified processes, equipment, and personnel, as appropriate (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 yes	no no
AS 4.9.1	Process Specification Requirements	When special processes requiring customer approval are required by drawing, specification or purchase order, the supplier shall obtain qualification prior to processing or subcontract the process to a customer approved source.	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 4.9.2	Tooling	The supplier's system shall maintain and control production tooling to ensure that the product meets design requirements.	Nonconformance(s)	yes ___ no ___
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 4.10	Inspection and Testing		Nonconformance(s)		
AS 4.10.1	General	The supplier shall establish and maintain documented procedures for inspection and testing activities in order to verify that the specified requirements for the product are met. The required inspection and testing, and the records to be established, shall be detailed in the quality plan or documented procedures.	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 4.10.1.1 Supplier's Procedure Number _____ Revision _____	Subcontracting Inspection Activities	When the supplier proposes to subcontract inspection activities, the supplier shall control the subcontracted activity consistent with the requirements of Section 4.6.	Nonconformance(s)		
			Major Nonconformity	yes ___ no ___	
			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 4.10.2	Receiving Inspection and Testing		Nonconformance(s)		
AS 4.10.2.1	General	The supplier shall ensure that incoming product is not used or processed (except in the circumstances described in 4.10.2.3) until it has been inspected or otherwise verified as conforming to specified requirements. Verification of conformance to the specified requirements shall be in accordance with the quality plan and/or documented procedures.	Major Nonconformity	yes	no
			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 4.10.2.2		In determining the amount and nature of receiving inspection, consideration shall be given to the amount of control exercised at the subcontractor's premises and the recorded evidence of conformance provided. Where incoming product is released for urgent production purposes prior to verification, it shall be positively identified and recorded (see 4.16) in order to permit immediate recall and replacement in the event of nonconformity to specified requirements.	Nonconformance(s)		
AS 4.10.2.3			Major Nonconformity	yes	no
			Minor Nonconformity	yes	no
			Observation(s)	yes	no
AS 4.10.2.4		When certification test reports are used as a means of product acceptance, procedures shall document the types and frequencies of analyses to validate certification.	Request for Corrective Action Issues	yes	no
Supplier's Procedure Number					
Revision					

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.10.3	In-Process Inspection and Testing	The supplier shall: a. inspect and test the product as required by the quality plan and/or documented procedures. b. hold product until the required inspection and tests have been completed or necessary reports have been received and verified, except when product is released under positive-recall procedures (see 4.10.2.3). Release under positive- recall shall not preclude the activities outlined in 4.10.3a	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 4.10.4	Final Inspection and Testing	The supplier shall carry out all final inspection and testing in accordance with the quality plan and/or documented procedures to complete the evidence of conformance of the finished product to the specified requirements.	Nonconformance(s)		
Supplier's Procedure Number			Major Nonconformity	yes	no
Revision			Minor Nonconformity	yes	no
		The quality plan and/or documented procedures for final inspection and testing shall require that all specified inspection tests, including those specified either on receipt of product or in-process, have been carried out and that the results meet specific requirements.	Observation(s)	yes	no
		No product shall be dispatched until all activities specified in the quality plan and/or documented procedures have been satisfactorily completed and the associated data and documentation are available and authorized.	Request for Corrective Action Issues	yes	no

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.10.5	Inspection and Test Records	The supplier shall establish and maintain records which provide evidence that the product has been inspected and/or tested. These records shall show clearly whether the product has passed or failed the inspections and/or tests according to defined acceptance criteria. Where the product fails to pass any inspection and/or test, the procedures for control of nonconforming product shall apply (see 4.13). Records shall identify the inspection authority responsible for the release of the product (see 4.16).	Nonconformance(s)		
			Major Nonconformity	yes	no
			Minor Nonconformity	yes	no
			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no

AS 4.10.5.1**First Production Article**

Supplier's Procedure Number _____

Revision _____

NOTES: _____

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.11	Control of Inspection, Measuring and Test Equipment		Nonconformance(s)		
AS 4.1.1).	General	The supplier shall establish and maintain documented procedures to control, calibrate and maintain inspection and test equipment (including software) used by the supplier to demonstrate the conformance of product to the specified requirements. Inspection measuring and test equipment shall be used in a manner which ensures that the measurement uncertainty is known and is consistent with the required measurement capability.	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 4.11.1.1	Definition: (Control of Inspection, Measuring and Test Equipment)	Inspection, measuring and test equipment includes all types of devices used by any supplier or subcontractor personnel to verify materials, products, processes, or other inspection, measuring and test equipment. This includes tooling used as media for inspection, test hardware, test software, automated test equipment (ATE), and plotters used to produce inspection media. Also included is personally owned equipment used for product or process acceptance.	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 4.11.2	Control Procedure	The supplier shall:			
Supplier's Procedure Number _____		a. determine the measurements to be made and the accuracy required, and select the appropriate inspection, measuring and test equipment that is capable of the necessary accuracy and precision.	Nonconformance(s)	yes	no
Revision _____		b. identify all inspection, measuring and test equipment that can affect product quality, and calibrate and adjust them at prescribed intervals, or prior to use, against certified equipment having known valid relationship to internationally or nationally recognized standards. Where no such standards exist, the basis used for calibration shall be documented.	Major Nonconformity	yes	no
		c. define the process employed for the calibration of inspection, measuring and test equipment, including details of equipment type, unique identification, location, frequency of checks, check method, acceptance criteria and the action to be taken when results are unsatisfactory.	Minor Nonconformity	yes	no
		c1. the process shall consider the recall of inspection equipment as appropriate.	Observation(s)	yes	no
		d. identify inspection, measuring and test equipment with a suitable indicator or approved identification record to show calibration status.	Request for Corrective		
		e. maintain calibration records for inspection, measuring and test equipment (see 4.16);	Action Issues	yes	no
		f. assess and document the validity of previous inspection and test results when inspection, measuring or test equipment out of calibration;			
		g. ensure that the environmental conditions are suitable for calibrations, inspections;			

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.11.2 (Cont.)	Control Procedure	h. ensure that the handling, preservation and storage of inspection measuring and test equipment is such that the accuracy and fitness for use are maintained;	Nonconformance(s)		
Supplier's Procedure Number _____		i. safeguard inspection, measuring and test facilities, including both test hardware and test software, from adjustments which would invalidate the calibration setting.	Major Nonconformity	yes	no
Revision _____		NOTE: The metrological confirmation system for measuring equipment given ISO 10012 may be used for guidance.	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 4.12	Inspection and Test Status	The inspection and test status of product shall be identified by suitable means, which would indicate the conformance or nonconformance of product with regard to inspection and tests performed. The identification of inspection and test status shall be maintained, as defined in the quality plan and/or documented procedures, throughout production, installation and servicing of the product to ensure that only product that has passed the required inspections and tests (released under an authorized concession (see 4.13.2)) is dispatched, used or installed.	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 ___	yes ___ no ___
AS 4.12.1	Acceptance Authority	Where acceptance authority media are used (e.g., stamps, electronic passwords), the supplier's system shall establish and document the controls for the media.	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 4.13	Control of Nonconforming Product		Nonconformance(s)		
AS 4.13.1	General	The supplier shall establish and maintain documented procedures to ensure that product that does not conform to specified requirements is prevented from unintended use or installation. This control shall provide for identification, documentation, evaluation, segregation (when practical) disposition of nonconforming product, and for notification to the functions concerned.	Major Nonconformity	yes	no
			Minor Nonconformity	yes	no
			Observation(s)	yes	no
			Request for Corrective Action Issues	yes	no
Supplier's Procedure Number					
Revision					

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes	no
AS 4.13.2	Review and Disposition of Nonconforming Product	The responsibility for review and authority for the disposition of nonconforming product shall be defined. Nonconforming product shall be reviewed in accordance with documented procedures. It may be:	Nonconformance(s)	yes	no
Supplier's Procedure Number		a. rework to meet specified requirements;	Major Nonconformity	yes	no
Revision		b. accepted with or without repair by concession;	Minor Nonconformity	yes	no
		c. regraded for alternative applications, or	Observation(s)	yes	no
		d. rejected or scrapped.	Request for Corrective Action Issues	yes	no
		Where required by contract, the proposed use or repair of product (see 4.13.2b) which does not conform to specified requirements shall be reported for concession to the customer or customer's representative. The description of the nonconformity that has been accepted, and of repairs, shall be recorded to denote the actual condition (see 4.16). Repaired and/or reworked product shall be re-inspected in accordance with the quality plan and/or documented procedures.			

NOTES:

Element	Title of Element	Requirements	Adequacy Compliance	yes yes	no no
AS 4.13.2.1	Material Review Authority	Notwithstanding the requirements of 4.13.2, the supplier shall not use dispositions of use-as-is or repair, unless specifically authorized by the customer if: 1. the product is produced to customer design, or 2. the nonconformity results in a departure from contract 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: _____
