SUPPLIER QUALITY ASSURANCE SURVEY

Instructions:

(1) If the organization holds an update-to-date third party certification for AS9100, AS9120, or NADCAP, fill out Section 1 only.
(2) If the organization holds an ISO9001 *only* third party certification, fill out **Section 1** and complete **Section 2** questions that are marked "##" and completed **Section 3** as applicable.
(3) If the organization does not hold any third party certification per (1), complete **Section 2** and complete **Section 3** as applicable.
(4) If the organization does not comply with (1) and is not providing product of supplier design, skip section marked "**Design Only**".
(5) For any answers that are "NO" or "N/A" for **Section 2**, provide explanation in **Section 3**.
(6) Send the completed survey to the level required with any third party certifications to your Dukes purchasing contact.
(7) When filling Section 2 use an "X" to indication YES, NO, or N/A.

SECTION 1: GENERAL INFORMATION

Supplier Information:			
Supplier Name:			
Completed by:	Position:		Date:
Address/City/State/Zip Code:			
Telephone:	Fax:	Email:	
Head of Site:		Title:	
Phone Number:		Email:	
Head of QA:		Title:	
Phone Number:		Email:	
Sales Contact:		Title:	
Phone Number:		Email:	
Facility Size (sq. ft.):		# of Buildings:	
Total Employees:	Mfg.:	QA:	Admin:
Description of capabilities/services:			
List Special Processes Performed ON Site:		List Special Processes Performed OFF Site:	

Third party certification: **Check (X) and fill out all that apply. Include third party certifications with the survey.**						
THIRD PARTY CERTIFICATION	YES	NO	IN-PROGRESS	Expected Date of Certification	Certification Date:	Expiration Date:
Current ISO9001 Certification:						
Current AS9100 Certification:						
Current AS9120 Certification:						

Current NADCAP Certification:						
Current FAA 145 Repair Station Cert.:						
Other Certifications (list name below with certification date and expiration date):						

List major customer approvals:

SECTION 2: AUDIT QUESTIONAIRE

Section		Description	YES	NO	N/A
4.2		**Documentation Requirements**			
4.2.1		**General**			
		Does the organization have a quality policy and quality objectives?			
	##	Does the organization ensure that personnel have access to, and are aware of, relevant quality management system documentation and changes			
4.2.2		**Quality Manual**			
		Does the organization have a quality manual?			
4.2.3		**Control of Documents**			
		Does the organization have a documented procedure to established the controls needed:			
	a)	To approve documents for adequacy prior to issue?			
	b)	To review and update as necessary and re-approve documents?			
	c)	To ensure that changes and the current revision status of documents are identified?			
	d)	To ensure that documents remain legible at point of use?			
	e)	To ensure that relevant versions of applicable documents are available at points of use?			
	f)	To ensure that documents of external origin necessary for planning are controlled?			
	g)	To prevent the unintended use of obsolete documents, and to apply identification to them in the case they are retained?			
4.2.4		**Control of Records**			
		Does the organization control records established to provide evidence of conformity to requirements and of the effective operation of the quality management system?			
		Does the organization have a documented procedure to define the controls needed for the identification, storage, protection, retrieval and disposition?			

	##	Does the organization's documented procedure define the method for controlling records that are created by/and or retained by your sub-tiers?			
		Are records legible, readily identified and retrievable?			
5		**Management Responsibility**			
5.1		**Management Commitment**			
		Does the organization have evidence that it communicates the importance of meeting customer, statutory, and regulatory requirements?			
5.2		**Customer Focus**			
		Does the organization's top management ensure that customer requirements are determined with the aim of enhancing customer satisfaction?			
	##	Are product conformity and on-time delivery measurement against planned results with appropriate action if they are not achieved?			
5.3		**Quality Policy**			
		Does the organization's top management ensure that the quality policy:			
	a)	Is appropriate to the purpose of the organization?			
	b)	Includes a commitment to comply with requirements and continually improve the effectiveness of the Quality Management System (QMS)?			
	c)	Provides a framework for establishing and reviewing quality objectives?			
	d)	Is communicated and understood within the organization?			
	e)	Is reviewed for continuing suitability?			
5.4		**Planning**			
5.4.1		**Quality Objectives**			
		Does the organization's top management ensure that quality objectives, including those needed to meet requirements for product are established at relevant functions and levels within the organization?			
		Are quality objective measureable and consistent with the quality policy?			
5.4.2		**Quality Management System (QMS) Planning**			
	a) b)	Does the organization's top management ensure that the QMS is carried out and its integrity is maintained when changes to the quality management system are planned and implemented?			
5.5		**Responsibility, Authority and Communication**			
5.5.1		**Responsibility and Authority**			
		Does the organization's top management ensure that responsibilities and authorities are defined and communicated within the organization?			

5.5.2		**Management Representative**			

## for (d)		Is there a member of the organization appointed by top management who has the responsibility and authority to (a) ensure that processes needed for the quality management system are established, (b) report to top management on the performance of the quality management system and any need for improvement, (c) ensures the promotion of awareness of customer requirements throughout the organization and (d) the organizational freedom and unrestricted access to top management to resolve quality management issues.			
5.5.3		**Internal Communication**			
		Does the organization's top management ensure that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the quality management system?			
5.6		**Management Review**			
5.6.1		**General**			
		Does the organization's top management review the organization's QMS, at planned intervals to ensure its continuing suitability, adequacy and effectiveness?			
		Are the records from management reviews maintained?			
5.6.2		**Management Review Input**			
		Do the inputs of the management review include information on (a) results of audits (b) customer feedback, (c) process performance and product conformance (d) status of preventive and corrective actions, (e) follow-up actions from previous management reviews, (f) changes that could affect the QMS, and, (g) recommendations for improvement?			
5.6.3		**Management Review Output**			
		Do the outputs of the management review include decisions and actions related to (a) the improvement of the effectiveness of the quality management system and its processes, (b) improvement of product related to customer requirements, and (c) resource needs			
6		**Resource Management**			
6.1		**Resource Provision**			
		Does the organization determine and provide the resources are needed to (a) implement and maintain the quality management system and continually improve its effectiveness, and (b) enhance customer satisfaction by meeting customer requirements?			
6.2		**Human Resources**			
6.2.1		**General**			
		Does the organization ensure personnel performing work affecting conformity to product requirements shall be competent on the basis of appropriate education, training, skills and experience?			
6.2.2		**Competence, Training and Awareness**			
		Does the organization:			
	a)	Determine the necessary competence for personnel performing work affecting conformity to product requirements?			
	b)	Where applicable, provide training or take other actions to achieve necessary competence?			
	c)	Evaluate the effectiveness of the actions taken?			
	d)	Ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives			

	e)	Maintain appropriate records of education, training, skills and experience			
6.3		**Infrastructure**			
		Does the organization determine and manage the work environment needed to achieve conformity to product requirements.			

7		**Product Realization**			
7.1		**Planning of Product Realization**			
		Does the organization plan and develop the processes needed for product realization and is the planning consistent with the requirements of the other processes of the quality management system?			
		In product realization, does the organization determine the following, as appropriate:			
	a)	Quality objectives and requirements for the product which include consideration of aspects such as: (1) product and personnel safety, (2) reliability, availability and maintainability, (3) producibility and inspectability, (4) suitability of parts and materials used in the product, (5) selection and development of embedded software, and (6) recycling or final disposal of the product at the end of its life			
	b)	The need to establish processes and documents, and to provide resources specific to the product?			
	c)	The required verification, validation, monitoring, measurement, 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			
##	e)	Configuration management appropriate to the product			
##	f)	Resources to support the use and maintenance of the product			
7.1.1	**##**	**Project Management (Design Only)**			
		Does the organization plan and manage product realization in a structured and controlled manner to meet requirements at acceptable risk, with resource and schedule constraints as appropriate to the organization and the product?			
7.1.2	**##**	**Risk Management (Design Only)**			
		Does the organization establish, implement and maintain a process for managing risk to the achievement of applicable requirements that includes as appropriate to the organization and the product:			
	a)	Assignment of responsibilities for risk management?			
	b)	Definition of risk criteria (e.g., likelihood, consequences, risk acceptance)?			
	c)	Identification, assessment and communication of risks throughout the product realization			
	d)	Identification, implementation and management of actions to mitigate risks that exceed the defined risk acceptance criteria			
	e)	Acceptance of risks remaining after implementation of mitigating actions			
7.1.3	##	**Configuration Management**			

		Does the organization establish, implement, and maintain a configuration management process that includes as appropriate:			
	a)	Configuration management planning?			
	b)	Configuration identification?			
	c)	Change control?			
	d)	Configuration status accounting?			
	e)	Configuration audit?			
7.1.4	**##**	**Control of Work Transfers**			
		Does the organization establish, implement and maintain a process to plan and control the temporary or permanent transfer of work, (1) from one organization facility to another, (2) from the organization to a supplier (3) from one supplier to another supplier, and to verify the conformity of the work to requirements			
7.2		**Customer-Related Processes**			
7.2.1		**Determination of Requirements Related to the Product**			
		Does the organization determine:			
	a)	Requirements specified by the customer, including the requirements for the delivery and post-delivery activities?			
	b)	Requirements not stated by the customer, but necessary for specified or intended use, where known?			
	c)	Statutory and regulatory requirements applicable to the product?			
	d)	Any additional requirements or special requirements considered necessary by the organization?			

7.2.2		**Review of Requirements Related to the Product**			
		Does the organization review the requirements related to the product prior to the organization's commitment to supply a product to the customer (e.g., submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and shall ensure that :			
	a)	Product requirements are defined?			
	b)	Contract or order requirements differing from those previously expressed are resolved?			
	c)	The organization has the ability to meet the defied requirements?			
##	d)	Special requirements of the product are determined?			
##	e)	Risks (e.g., new technology, short delivery time frame) have been identified?			
		Are records of the review and action arising from the review maintained IAW 4.2.4?			
		Does the organization confirm customer requirements when the customer provides no documented statement of requirement before acceptance?			
		Does the organization ensure that the relevant documents are amended and that relevant personnel are made aware when the product requirements are changed?			

7.2.3		**Customer Communication**			
		Does the organization determine and implement effective arrangements for communicating with customers in relation to:			
	a)	Product information?			
	b)	Enquiries, contracts or order handling, including amendments?			
	c)	Customer feedback, including customer complaints?			
7.3		**Design and Development (Design Only)**			
7.3.1		**Design and Development Planning (Design Only)**			
		During the design and development planning, does the organization determine:			
	a)	The design and development stages?			
	b)	The review, verification, and validation that is appropriate to each design and development stage?			
	c)	The responsibilities and authorities for design and development?			
	##	Where appropriate, does the organization divide the design and development efforts into distinct activities and, for each activity, define the tasks, necessary resources, responsibilities, design content, input and out data and planning constraints?			
	##	Are the different design and development tasks carried out based on the safety and functional objectives of the product in accordance with customer, statutory and regulatory requirements?			
	##	Does the design and development planning consider the ability to product, inspect, test, and maintain the product?			
		Does the organization manage the interfaces between the different groups involved in design and development to ensure effective communication and clear assignment of responsibility?			
		Is the design and development updated, as appropriate, as the design and development progresses?			
7.3.2		**Design and Development Inputs (Design Only)**			
		Are the inputs to product requirements determined and their records maintained IAW 4.2.4?			
		Do the inputs relating to product requirements include:			
	a)	Functional and performance requirements?			
	b)	Applicable statutory regulatory requirements?			
	c)	Where applicable, information derived previous similar designs?			
	d)	Other requirements essential for design and development?			
		Are the inputs reviewed for adequacy? Are the requirements complete, unambiguous and not in conflict with each other?			

7.3.3		**Design and Development Outputs (Design Only)**			
		Are the outputs to design and development in a suitable form for verification against the design & development and approved prior to release?			
		Do the design and development outputs:			
	a)	Meet the input requirements for design and development?			
	b)	Provide appropriate information for purchasing, production and service provision?			
	c)	Contain or reference product acceptance criteria?			
	d)	Specify the characteristics of the product that are essential for its safe and proper use?			
##	e)	Specify, as applicable, any critical items, including and key characteristics, and the specific actions to be taken for these items?			
##		Does the organization define the data required to allow the product to be identified, manufacturing, inspected, used, and maintained; including for example: (1) the drawings, parts lists and specifications necessary to define the configuration and the design features of the product; (2) the material, process, manufacturing, and assembly data needed to ensure conformity of the product?			
7.3.4		**Design and Development Review (Design Only)**			
		Does the organization review at suitable stages, systemic reviews of design and development shall be performed IAW planned arrangements:			
	a)	To evaluate the ability of the results of design and development to meet requirements?			
	b)	To identify any problems and propose necessary actions?			
##	c)	To authorize progression to the next stage?			
		Do the participants in the reviews include representatives of functions concerned with the design and development stage or stages being reviewed?			
		Are the records of the results of the reviews and any necessary actions maintained IAW 4.2.4?			
7.3.5		**Design and Development Verification (Design Only)**			
		Are verifications performed against planned arrangements to ensure that the design and development outputs have met the design and development input requirements?			
		Are records of the results and any necessary actions maintained IAW 4.2.4?			
7.3.6		**Design and Development Validation (Design Only)**			
		Are design and development validation activities performed IAW planned arrangements to ensure that the resulting product is capable of meeting the requirements for the specified application of intended use, where known?			
		Wherever practicable, are validation activities completed prior to the delivery or implementation of the product?			
		Are records of the results of validation and any necessary actions maintained IAW 4.2.4?			
7.3.6.1	##	Where tests are necessary for verification and validation, are these tests planned, controlled, reviewed, and documented to ensure and prove the following:			
##	a)	Test plans or specification identify the product being tested and the resources being used, define test objectives and conditions, parameters to be recorded and relevant acceptance criteria?			

##	b)	Test procedures describe the method of operation, the performance of the test and the recording of the results?			
##	c)	The correct configuration of the product is submitted for the test?			
##	d)	The requirements of the test plan and test procedure are observed?			
##	e)	The acceptance criteria are met?			
7.3.6.2	**##**	**Design and Development Verification and Validation Documentation (Design Only)**			
	##	Does the organization ensure that at the completion of design and/or development, that reports, calculations, test results, etc., demonstrate the at product definition meet the specification requirements for all identified conditions?			
7.3.7		**Control of Design and Development Changes (Design Only)**			
		Are design and development changes identified and records maintained?			
		Are the changes reviewed, verified, and validated, as appropriate and approved before implementation?			
		Does the review of the design and development changes include evaluation of the effect of the changes on constituent parts and product already delivered?			

7.3.7		**Control of Design and Development Changes (continued) (Design Only)**			
		Are records of the results of the review of changes and any necessary action maintained IAW 4.2.4?			
	##	Are the design and development changes controlled in accordance with the configuration management process (7.1.3)?			
7.4		**Purchasing**			
7.4.1		**Purchasing Process**			
		Does the organization ensure that purchased product conforms to specified purchase requirements?			
		Is the type and extent of control applied to the organization's suppliers and the purchased products dependent upon the effect of the purchased product on subsequent product realization or the final product?			
	##	Does the organization demonstrate responsibility for the conformity of all products purchased its suppliers, including product from customer defined sources?			
		Does the organization evaluate and select suppliers based on their ability to supplier product IAW with the organization's requirements?			
		Are criteria for selection, evaluation, and re-evaluation established?			
		Are records from the results of evaluations and any necessary action arising from the evaluation maintained IAW 4.2.4?			
##		Does the organization:			
##	a)	Maintain a register of its suppliers that includes approval status (e.g., approved, conditional, disapproved) and the scope of the approval (e.g., product type, process family)?			
##	b)	Periodically review supplier performance; the results of these reviews shall be used as a basis for establishing the level of controls to be implemented?			

##	c)	Define the necessary actions to take when dealing with suppliers that do not meet requirements?			
##	d)	Ensure where required that both the organization and all suppliers use customer-approved special process sources?			
##	e)	Define the process, responsibilities and authority for the approval status decision, changes of the approval status and conditions for a controlled use of suppliers depending on the supplier's approval status			
##	f)	Determine and manage the risk when selecting and using suppliers IAW 7.1.2?			
7.4.2		**Purchasing Information**			
		Does the purchasing information describe the product to be purchased, including, where appropriate:			
	a)	Requirements for approval of product, procedures, processes and equipment?			
	b)	Requirements for qualification of personnel?			
	c)	Quality management system requirements?			
##	d)	The identification and revisions status of specifications, drawing, process requirements, inspection/ verification instructions and other relevant technical data?			
##	e)	Requirements for design, test, inspection, verification (including production process verification), use of statistical techniques for product acceptance, and related instructions for acceptance by the organization, and as applicable critical items including key characteristics?			
##	f)	Requirements for test specimens (e.g., production method, number, storage conditions) for design approval, inspection/verification, investigation or auditing?			
##	g)	Requirements regarding the need for the supplier's organization to:			
##		(1) Notify the organization of nonconforming product?			
##		(2) Obtain organization approval for nonconforming product disposition?			
##		(3) Notify the organization of changes in product and/or process, change of suppliers, changes of manufacturing facility location and, where required, obtain organization approval?			
##		(4) flow down to the supply chain the applicable requirements including customer requirements			
##	h)	Record retentions requirements			
##	i)	Right of access by the organization, their customer and regulatory authorities to the applicable areas of all facilities, at any level of the supply chain, involved in the order and to all applicable records			
		Does the supplier ensure adequacy of the specified purchase requirement prior to their communication to the supplier?			

7.4.3		**Verification of Purchased Product**			
		Does the organization establish and implement the inspection or other activities necessary for ensuring that purchased product meets specified purchase requirements?			
	##	Does the organization release purchased product for production use pending completion of all required verification activities?			

	##	Is the released product identified and recorded in such a way to allow for recall and subsequent replacement it is found to be nonconforming?			
	##	If the organization delegates verification activities to the supplier, are the requirements for delegation defined and a register of delegations maintained?			
		If the organization or its customer performs verification at the sub-tier's premise, does the organization state the intended verification arrangements and method of product release in the purchasing information?			
7.5		**Production and Service Provision**			
7.5.1		**Control of Production and Service Provision**			
		Does the organization plan and carry out production and service provision under controlled conditions?			
		Do the controlled conditions include:			
	a)	The availability of information that describes the characteristics of the product? *This can include drawings, parts lists, materials and process specifications.*			
	b)	The availability of work instructions, as necessary? *This can include process flow charts, production documents (e.g., manufacturing plans, travelers, routers, work orders, process cards) and inspection documents.*			
	c)	The use of suitable equipment? *This can include product specific tools (e.g., jigs, fixtures, molds) and software programs.*			
	d)	The availability and use of monitoring and measuring equipment?			
	e)	The implementation of monitoring and measuring?			
	f)	The implementation of product release, delivery and post-delivery activities?			
##	g)	The accountability for product during production (e.g., parts quantities, split orders, nonconforming product)?			
##	h)	Evidence that all production and inspection/verification operations have been completed as planned, or as otherwise documented and authorized?			
##	i)	Provision for the prevention, detection and removal of foreign objects?			
##	k)	Criteria for workmanship, specified in the clearest practical way (e.g., written standards, representative samples, illustrations)?			
##		Does the production and service planning consider, as appropriate:			
##		(1) establishing, implementing and maintaining appropriate processes to manage critical items, including process controls where key characteristics have been identified			
##		(2) designing, manufacturing, and using tooling to measure variable data			
##		(3) identifying in-process inspection/verification points when adequate verification of conformance cannot be performed at later stages of realization			
		(4) special processes			
7.5.1.1	**##**	**Production Process Verification *(often referred to first article inspection)***			
	##	Does the organization use a representative item from the first production run of a new part or assembly to verify that the production processes, production documentation and tooling are capable of producing parts and assemblies that meet requirements?			

	##	Is this production verification process repeated when changes occur that invalidate the original results (e.g., engineering changes, manufacturing process changes, tooling changes, etc.)?			
7.5.1.2	**##**	**Control of Production Process Changes**			
	##	Are the personnel authorized to approve changes to production processes identified?			
	##	Does the organization control and document changes affecting processes, production equipment, tools and software programs?			
	##	Are the results of changes to production processes assessed to confirm that the desired effect has been achieved without adverse effects to product conformity?			

7.5.1.3	**##**	**Control of Production Equipment, tools and Software Programs**			
	##	Are production equipment, tools and software programs used to automate and control/monitor product realization processes validated prior to release for production and subsequently maintained?			
	##	Are the storage requirements, including periodic preservation/condition checks defined for production equipment or tooling in storage?			
7.5.1.4	**##**	**Post-Delivery Support**			
##		Does the organization provide post-delivery support as applicable for the:			
##	a)	Collection and analysis of in-service data?			
##	b)	Actions to be taken, including investigation and reporting, when problems are detected after delivery?			
##	c)	Control and updating of technical documentation?			
##	d)	Approval, control and use of repair schemes?			
##	e)	Controls required for off-site work (e.g., organization's work undertaken at the customer's facilities)?			
7.5.2		**Validation of Processes for Production and Service Provision *(also known as special processes)***			
		Does the organization validate any processes for production and service where the resulting output cannot be verified by subsequent monitoring or measurement and, as a consequence, deficiencies become apparent only after the product is in use the service have been delivered?			
		Can the organization demonstrate the ability of these special processes to achieve planned by results?			
		Does the organization establish arrangements for these special processes including, as applicable:			
	a)	Defined criteria for review and approval of the processes?			
	b)	Approval of equipment and qualification of personnel?			
	c)	Use of specific methods and procedures?			
	d)	Requirements for records?			
	e)	Revalidation?			
7.5.3		**Identification and Traceability**			
		Where appropriate, does the organization identify the product by suitable means throughout product realization?			

	##	Does the organization maintain identification of the configuration of the product in order to identify any differences between the actual configuration and the agreed configuration?			
		Does the organization identify the product status with respect to monitoring and measurement requirements throughout product realization?			
	##	Does the organization establish appropriate controls for acceptance media (e.g., stamps, electronic signatures, passwords, etc.)?			
		Does the organization control the unique identification of the product and maintain records when traceability is a requirement?			
		Does the organization maintain the ability to trace all products manufactured from the same batch of raw material or from the same manufacturing batch to the destination (e.g. scrap)?			
		Does the organization maintain the ability to trace its components to the assembly and then to the next higher assembly?			
		For a product, does the organization maintain a sequential record of its production (manufacture, assembly, inspection/verification) to be retrievable?			
7.5.5		**Preservation of Product**			
		Does the organization preserve the product (and constituent parts of a product) during internal processing and delivery to the intended destination in order to maintain conformity to requirements? This can include identification, handling, packaging, storage, and protection as applicable.			
##		Does preservation of product include, where applicable in accordance with product specifications and applicable statutory and regulatory requirements, provisions for:			
##	a)	Cleaning?			
##	b)	Prevention, detection and removal of foreign object damage and debris?			
##	c)	Special handling for sensitive products?			
##	d)	Marking and labeling including safety warnings?			
##	e)	Shelf life control and stock rotation?			
##	f)	Special handling for hazardous materials?			

7.6		**Control of Monitoring and Measurement Equipment**			
		Does the organization determine the monitoring and measurement to be undertaken and the monitoring and measuring equipment needed to provide evidence of conformity of product to determined requirements?			
	##	Does the organization maintain a register of the monitoring and measuring equipment and define the process employed for their calibration/verification including details of equipment type, unique identification, location, frequency of checks, check method and acceptance criteria?			
		Does the organization establish process to ensure that monitoring and measurement can be carried out and are carried out in a manner that is consistent with the monitoring and measurement requirements?			
	##	Does the organization ensure that the environmental conditions are suitable for the calibration, inspection, measurement and testing being carried out?			
		Where necessary, does the organization ensure that measuring equipment:			

	a)	Be calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exists, the basis used for calibration or verified shall be a record IAW 4.2.4?			
	b)	Be adjusted or re-adjusted as necessary?			
	c)	Have identification in order to determine its calibration status?			
	d)	Be safeguarded from adjustments that would invalidate the measurement result?			
	e)	Be protected from damage and deterioration during handling, maintenance and storage?			
	##	Does the organization establish, implement and maintain a process for the recall of monitoring and measuring equipment requiring calibration or verification?			
		Does the organization assess and record the validity of the previous measuring results when the equipment is found not to conform to requirements?			
		Does the organization take appropriate action (e.g., stock purge, segregation, rework, containment, corrective action, notification of escape, etc.) on the equipment and any product affected?			
		Does the organization maintain records of calibration and verification IAW 4.2.4?			
		Does the organization confirm the ability of computer software (before initial use and reconfirmed as necessary) to perform the monitoring and measurement of specified requirements?			
8		**Measurement, Analysis and Improvement**			
8.1		**General**			
		Does the organization plan and implement the monitoring, measurement, analysis and improvement processes needed:			
	a)	To demonstrate conformity to product requirements?			
	b)	To ensure conformity of the quality management system?			
	c)	To continually improve the effectiveness of the quality management system?			
		Does the organization determine the applicable methods for 8.1, including statistical techniques, and the extent of their use?			
8.2		**Monitoring and Measurement**			
8.2.1		**Customer Satisfaction**			
		Does the organization monitor the information relating to customer perception as to whether the organization has met customer requirements?			
		Has the organization determined the methods for obtaining and using this information?			
	##	Does the organization monitor at least the following information: product conformity, on-time delivery performance, customer complaints and corrective action requests?			
	##	Does the organization develop and implement plans for customer satisfaction improvement that address deficiencies by these evaluations and assess the effectiveness of the results?			
8.2.2		**Internal Audit**			
		Does the organization conduct internal audits at planned internals to determine whether the quality management system:			

	a)	Conforms to planned arrangements (including customer contractual arrangements) to the required of the AS9100 Internal Standard and to the quality management system requirements established by the organization?			
	b)	Is effectively implemented and planned?			

8.2.2		**Internal Audit**			
		Does the organization's audit program take into consideration the status and importance of the processes and areas to be audited?			
		Does the organization's audit program define the audit criteria, scope, frequency and methods used?			
		Does the organization's selection of auditors and conduct of auditors ensure objectivity and impartiality of the audit process (e.g. the auditor shall not audit their own work)?			
		Has the organization established a documented procedure to define the responsibilities and requirements for planning and conducting audits, establishing records, and reporting results?			
		Are records of the audits and their results maintained IAW 4.2.4?			
		Does the organization's responsible management for audited areas ensure that any necessary corrective and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes?			
		Are follow-up activities performed which include verification of actions and reporting of the verification results?			
8.2.3		**Monitoring and Measurement of Processes**			
		Does the organization apply suitable methods for monitoring and, where applicable, measurement of the quality management system processes?			
		Do these methods demonstrate the ability of the process to achieve planned results?			
		When planned results are not achieved, are correction and corrective action taken, as appropriate?			
		In the event of process nonconformity, does the organization:			
##	a)	Take appropriate action to correct the nonconforming process?			
##	b)	Evaluate whether the process nonconformity resulted in product nonconformity?			
##	c)	Determine whether the process nonconformity is limited to a specific case or whether it could have affected other processes or products?			
##	d)	Identify and control any nonconforming product?			
8.2.4		**Monitoring and Measurement of Product**			
		Does the organization monitor and measure the characteristics of the product to verify that product requirements have been met?			
		Does the organization carry out the monitoring and measuring product characteristics in accordance with planned arrangements?			

		Does the organization maintain evidence of conformity with the acceptance criteria?			
		Are the organization's measurement requirements for product acceptance documented?			
##		Does the organization's measurement requirements for product acceptance include:			
##	a)	Criteria for acceptance and/or rejection?			
##	b)	Where in the sequence measurement and testing operations are to be performed?			
##	c)	Required records of the measurement results (at a minimum, indication of acceptance or rejection)?			
##	d)	Any specific measurement instruments required and any specific instructions associated with their use?			
##		When critical items, including key characteristics, have been identified, does the organization ensure that they are controlled and monitored in accordance with the established processes?			
##		When the organization uses sampling inspection, has the sampling plan been justified on the basis of recognized statistical principles and appropriate for use (i.e., matching the sampling plan to the criticality of the product and to the process capability)?			

8.2.4		**Monitoring and Measurement of Product (continued)**			
	##	When critical items, including key characteristics, have been identified, does the organization ensure that they are controlled and monitored in accordance with the established processes?			
	##	When the organization uses sampling inspection, has the sampling plan been justified on the basis of recognized statistical principles and appropriate for use (i.e., matching the sampling plan to the criticality of the product and to the process capability)?			
	##	If product is released for production use pending completion of all required measurement and monitoring activities, does the organization identify the product and create a record into order to recall and replace the product if it is subsequently found to be nonconforming?			
		Do the organization's records indicate the person(s) authorizing release of product for delivery to the customer?			
	##	Where required to demonstrate product qualification, does the organization ensure that records provide evidence that the product meets the defined requirements?			
		Does the organization prohibit the release of product to the customer unless it has met planned arrangements or it has been otherwise approved by a relevant authority and, where applicable, by the customer?			
	##	Does the organization ensure that all documents required to accompany the product are present at delivery?			
8.3		**Control of Nonconforming Product (including non-conforming product returned by a customer)**			
		Does the organization ensure that product which does not conform to product requirements is identified and controlled to prevent its unintended use or delivery?			
		Has the organization established a documented procedure to define the controls and related responsibilities and authorities for dealing with nonconforming product?			
		Does the organization's documented procedure define the responsibility and authority for the review and disposition of nonconforming product, and the process for approving personnel making these decisions?			

Part e) is ##		Where applicable, does the organization deal with nonconforming product by one or more of the following ways: a) taking action to eliminate the detected nonconformity (REWORK TO REQUIREMENTS), b) by authorizing its use, release or acceptance concession by a relevant authority and, where applicable, by the customer (USE-AS-IS), c) by taking action to preclude its original intended use or application (REPAIR), d) by taking action appropriate to the effects, or potential effects, of the nonconformity when nonconforming product is detected after delivery or use has started (NOTICE OF ESCAPE), e) by taking actions necessary to contain the effects of the nonconformity on other processes (CONTAINMENT)?			
##		Does the organization's nonconforming product control process provide for time reporting of delivered nonconforming product?			
##		Does the organization obtain approval from an authorized representative of the organization responsible for design for USE-AS-IS and REPAIR dispositions?			
##		Does the organization make dispositions of USE-AS-IS or REPAIR only when authorized by the customer, if the nonconformity results in a departure from the contract requirements?			
##		Does the organization mark product dispositioned for SCRAP in a conspicuous and permanent manner, or positively control the nonconforming product until physically rendered useless?			
		When nonconforming product is corrected, does the organization subject it to re-verification to demonstrate conformity to requirements?			
		Does the organization maintain records IAW 4.2.4 pertaining to the mature of nonconformities and any subsequent actions taken, including any concessions obtained?			
8.4		**Analysis of Data**			
		Does the organization determine, collect, and analyze appropriate date to demonstrate the suitability and effectiveness of the QMS and to evaluate where continual improvement of the effective of the QMS can be made?			
		Does the data generated result from monitoring and measurement and from other relevant sources?			
		Does the organization's analysis of data include information relating to:			
	a)	Customer satisfaction?			
	b)	Conformity to product requirements?			
	c)	Characteristics and trends of processes and products, including opportunities for preventive action?			
	d)	Suppliers?			

8.5		**Improvement**			
8.5.1		**Continual Improvement**			
		Does the organization continually improve the effectiveness of the quality management system through the use of the organization's quality policy, audit results, analysis of data, corrective and preventive actions and management review?			
##		Does the organization monitor the implementation of improvement activities and evaluate the effectiveness of the results?			
8.5.2		**Corrective Action**			
		Does the organization take action to eliminate the causes of nonconformities in order to prevent recurrence?			

		Are the corrective actions appropriate to the effects of the nonconformities encountered?			
		Has the organization established a documented procedure to define requirements for:			
		Reviewing nonconformities (including customer complaints)?			
		Determining the causes of nonconformities?			
		Evaluating the need for action to ensure to ensure that nonconformities do not recur?			
		Determining and implementing action needed?			
		Records of the results of action taken IAW 4.2.4?			
		Reviewing the effectiveness of the corrective action taken?			
##		Flowing down corrective action requirements to a supplier when it is determined that the supplier is responsible for the nonconformity?			
##		Specific actions where timely and/or effective corrective actions are not achieved?			
##		Determining if additional nonconforming product exists based on the causes of the nonconformities and taking further action when required?			
8.5.3		**Preventive Action**			
		Does the organization determine actions to eliminate the causes of potential nonconformities in order to prevent their occurrence?			
		Are the preventive actions appropriate to the effects of the potentials problems?			
		Has the organization established a documented procedure to define requirements for:			
	a)	Determining the potential nonconformities and their causes?			
	b)	Evaluating the need for action to prevent occurrence of nonconformities?			
	c)	Determining and implementing action needed?			
	d)	Records of results of action taken IAW 4.2.4			
	e)	Reviewing the effectiveness of the preventive action taken?			

SECTION 3:

For all answers with “NO” or “N/A”, give a detailed explanation to support the exception:

Section	Explanation