Report No.(*) : _____

(*) Supplier Code/ MM/ YY

Product Focused Recertification Audit Checklist for Supplier Types 12, 13

Audit Date:		**Supplier Code:**	**Supplier Name:**		**Supplier Type:**
Address:			**Tel:**	**Fax:**	
			Email:		
Supplier Representatives:	**Name:**		**Name:**		**Name:**
	Position:		**Position:**		**Position:**

Std. Sec.	Subject under Audit	Conforming	Partly Conforming	Non-Conforming	N/A	Notes
4	**Context of the organization**					
4.1	Understanding the organization and its context	☐	☐	☐	☐	
4.2	Understanding the needs and expectations of interested parties	☐	☐	☐	☐	
4.3	Determining the scope of the quality management system	☐	☐	☐	☐	
4.4	Quality management system and its processes	☐	☐	☐	☐	
5	**Leadership**					
5.1	Leadership and commitment	☐	☐	☐	☐	
5.2	Policy	☐	☐	☐	☐	
5.3	Organizational roles, responsibilities and authorities	☐	☐	☐	☐	
6	**Planning**					
6.1	Actions to address risks and opportunities	☐	☐	☐	☐	
6.2	Quality objectives and planning to achieve them	☐	☐	☐	☐	
6.3	Planning of changes	☐	☐	☐	☐	
		☐	☐	☐	☐	
7	**Support**					
7.1	Resources	☐	☐	☐	☐	
7.2	Competence	☐	☐	☐	☐	
7.3	Awareness	☐	☐	☐	☐	
7.4	Communication	☐	☐	☐	☐	
7.5	Documented information	☐	☐	☐	☐	
8	**Operation**					
8.1	Operational planning and control	☐	☐	☐	☐	
8.2	Requirements for products and services	☐	☐	☐	☐	
8.3	Design and development of products and services	☐	☐	☐	☐	
8.4	Control of externally provided processes, products and services	☐	☐	☐	☐	
8.5	Production and service provision	☐	☐	☐	☐	
8.6	Release of products and services	☐	☐	☐	☐	
8.7	Control of nonconforming outputs	☐	☐	☐	☐	
9	**Performance evaluation**					
9.1	Monitoring, measurement, analysis and evaluation	☐	☐	☐	☐	
9.2	Internal audit	☐	☐	☐	☐	
9.3	Management review	☐	☐	☐	☐	
10	**Improvement**					
10.1	General	☐	☐	☐	☐	
10.2	Nonconformity and corrective action	☐	☐	☐	☐	
10.3	Continual Improvement	☐	☐	☐	☐	

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

General notes – summary of recommendations											
Audit Type: ☐ Initial ☐ Repeated ☐ Complementary Follow up required: ☐ Yes ☐ No Disposition: ☐ Qualified ☐ Disqualified											
Product Codes:											

Auditor: _____ Signature: _____ Date:_____
Authorizer: _____ Signature: _____ Date:_____
Initiator Authorization: _____ Signature: _____ Date:_____

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(*) Supplier Code/ MM/ YY

Product Focused Recertification Audit Checklist for Supplier Types 12, 13

Preparations: Ask the supplier have the following information available in preparation for the audit:

1.1 Manpower and construction infrastructures:											
Manpower							**Constructed Area (square meters)**				
Mgt.	Eng.	QM	Prod.	Insp,	Other	Total	Prod.	Stores	Labs	Other	Total

1.2	Ask the supplier to have copies of the following documents available in preparation for the audit:	Comments: (Conforming/ Nonconforming/ N/A)
1.2.1	Letters of certification	
	AS9100 or IS09001 (mandatory) effective until _____	
	Plus documents as listed below to the extent available:	
	NADCAP	
	Accreditation of laboratories (A2LA)	
	Civil Aviation Authority certificates (FAA ,CAAI , EASA)	
	Certificates by leading aviation companies	
1.2.2	Organizational structure	
1.2.3	Quality Manual Index effective _____	

1.3	Have the supplier verify the following before the audit:	Comments: (Conforming/ Nonconforming/ N/A)
1.3.1	The supplier is registered on WWW.IAI.CO.IL/SUPPLIER and can access the website and log into the CAG Quality Requirements page.	
1.3.2	Items designated for IAI, or other, identical items, are in production and available for inspection.	

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

Overview:

- **This focused questionnaire is designed for use in audits of active manufacturers whose Quality Management Systems conform with AS9100 requirements and have been audited before using the full audit questionnaire.**
- **AS9100 sections marked N/A on the first page of this document are not included in the questionnaire.**
- **The auditor may expand the questionnaire and address any of the concerns included at own discretion.**

Comments and findings: C – Comment; F – Finding; MF – Major Finding; RF – Recurring Major Finding; Reference – applicable AS9100/ CAG9000 section C.

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
Phase A – Administrative Operations (estimated time: 90 minutes)				
1	Review the status of corrective/ preventive actions prescribed in the previous audit. Indicate: • N/A _____ • Completed _____ • Partially completed, see report _____ • Not completed, see report _____ • Requires improvement, see report _____			
2	Review the status of corrective/ preventive actions prescribed in resolution of nonconformance Unsatisfactory Reports (UR). Request the supplier to access the suppliers website at WWW.IAI.CO.IL/SUPPLIER, log into the UR page and present corrective actions as was taken pursuant to faults reported in the system.			

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	Reports reviewed _____ **Indicate:** • **N/A _____** • **Completed _____** • **Partially completed, see report _____** • **Not completed, see report _____** • **Requires improvement, see report _____**			
3	**From the information presented in preparation for the audit, select a purchase order / product and verify the following:**			
3.1	Review the contract / purchase order for product related requirements, and verify that:	AS 8.2.3 CAG 11.5		
	1. All of the contract / purchase order documents are available and accessible to users at the supplier's facility			
	2. All of the contractual / purchase order requirements are flowed down to the Production, Purchasing and QA organizations.			
	3. For suppliers types 13 (BTS), customer's authorization has been received for any design changes in the event of discrepancy between specification requirements as provided on the suppliers website and those provided under customer's drawings.	CAG 12.6		
3.2	Review the Supplier's Configuration management and change control system (Ref. ISO 10007) and verify	AS 8.1.3		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	that:			
	1. Customer's and supplier's documents are subject to configuration management.	CAG 10.2		
	2. The supplier is aware of the configuration requirements specified in the design documents (drawings, models, specifications) distributed to him via the IAI Supplier Site: WWW.IAI.CO.IL/SUPPLIER and that he receives and acknowledges the receipt of documents (e.g. drawings, models and specifications) and updates through the website.	AS 8.1.3		
	3. All design changes are subject to customer's authorization before they are implemented.	CAG 12.6		
	4. The Supplier's (DPD/MBD) processes and procedures are authorized by IAI for use (Ref. QMP 342.40.07) if the Supplier is receiving engineering definition data in digital format.	CAG 11.6		

Phase B – Review of Product on the Production Floor (estimated time: 120 minutes)

Sample a product in process on the production floor. Ask for the production file. As the audit progresses, collect information as required for further review:

a. Production operator and inspector names – for review of certifications:

_____ _____ _____

b. Tool and jig numbers – for review of effective calibration:

_____ _____ _____

c. Specification numbers – for review of configuration management:

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
_____	_____	_____		
d. Material / process COCs – for review of traceability and manufacture by qualified suppliers in incoming inspection: **Process** _____ **Manufacturer** _____ **Ref.** _____ **Process** _____ **Manufacturer** _____ **Ref.** _____ **Process** _____ **Manufacturer** _____ **Ref.** _____				
4	**Review the Route Card (R/C):**			
4.1	Verify that the R/C is a controlled and duly authorized document.	AS 7.5.3		
4.2	Verify conformance of product configuration, P/N and revision with the design requirements.	AS 7.5.3		
4.3	Verify recording of tools, jigs, measurement programs, specification numbers and test setups.	AS 8.5.1		
4.4	Verify that the R/C and process flowcharts are comprehensible and covering the following: • All information as required for product manufacture and test. • R/C requirements meeting design requirements (raw materials, processes).	AS 8.5.1		
4.5	Verify inclusion of inspection stages on the R/C, to cover the following: • Stage inspections during the production process and the various process stages. • FOD inspections before assemblies are closed.	AS 8.5.1 CAG 3.3		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	• Final inspection.			
	Verify provision of space as required to record the following: • Raw materials COCs. • Remaining service life for materials in use (where so required). • Special process certifications. • Intervals (date / time) between stages subject to timing limitations (e.g. coating and painting).	AS 8.5.1		
4.7	Verify that any document revisions are made and authorized by qualified functions.	AS 7.5.3		
4.8	Verify that process operators are allowed access to such documents as process instructions, specifications and drawings as required completing the process.	AS 8.5.1		
4.9	Verify that the various process stages are signed by an operator / inspector.	AS 8.5.1		
4.10	Verify recording of quantities and completion dates.	AS 8.5.1		
4.11	Verify that processes are run against authorized documents and no use is inadvertently made of outdated/ cancelled documents.	AS 7.5.3		
4.12	Verify traceability of critical items (from raw materials to final assembly).	AS 8.5.2 CAG 15.3		
5	**On the production / assembly floor (work environment), verify the following:**			
5.1	The work environment and conditions are as specified for product manufacture (e.g. noise, temperature,	AS 7.1.4		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	humidity, & lighting).			
5.2	Products are identified and traceable.	AS 8.5.2		
5.3	Use is made of calibrated and serviceable tools and jigs, all subject to periodic validation.	AS 7.1.5.2 CAG 16		
5.4	Adequate preservation, protection and packing of products is secured throughout production, storage, transportation and delivery as required to prevent damage.	AS 8.5.4 CAG 15.5		
5.5	All foreign bodies are identified and removed to secure cleanliness of the work environment, adequate inventory of tools in personal and unit tools cabinets, product packing and protection, and product inspection before modules are closed.	AS 8.5.4 CAG 15.5		
Phase C – Purchasing and Incoming Inspection Processes (estimated time: 60 minutes) **For incoming inspection, sample the purchase order of a product or material received, and verify the following:**				
6	**Product requirements and definition under the order:**			
6.1	The product and the product configuration are duly defined under the purchase orders.	AS 8.4.3 CAG 14.2		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
6.2	Customer requirements are flown down to subcontractors throughout the chain of supply (see requirements under CAG9000), to cover the following, as applicable: • Requirements for COCs. • Requirements for COTs. • Requirements for flight worthiness certificates. • FAI reports – assurance of customer's access to all sites as related to the order. • Record retention requirements. • Reporting of non-conforming products to the organization.	AS 8.4.3 CAG 14.3		
7	**Purchased order verification:**			
7.1	All purchasing information is available for review by the incoming inspectors, to include the following: Access to applicable drawings, specifications and standards, recent information on approved purchase sources and manufacturers certified for special processes.	AS 8.4.3 CAG 14.4		
7.2	For suppliers' type 12, verify use of sources qualified for special processes.	AS 8.4.2 CAG 13		
7.3	For suppliers' type 12, verify use of sources qualified by IAI for materials and fasteners.	AS 8.4.2 CAG 14.1		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
7.4	Action is taken as required to verify product conformance with order requirements, including review of documents as listed below: • COCs. • COTs. • Others quality records. Also, the documents received are compared against purchase documents and order requirements.	AS 8.4.2 CAG 14.4		
7.5	Visual inspection is performed to verify adequate marking, identification, quantities and no damage.	AS 8.4.2 CAG 14.4		
7.6	Shelf products (e.g. raw materials, fasteners, adhesives) purchased with framework agreement suppliers are subject to sample laboratory tests as required under purchasing specification and CAG9000 requirements.	AS 8.4.2 CAG 14.4		
7.7	Product shelf life is monitored and controlled.	AS 8.5.4		
7.8	For materials requiring transportation under controlled temperature and humidity conditions (e.g. adhesives, chemicals, sealants, and composites), readings are taken of the temperature recorders accompanying the shipment.	AS 8.5.4 CAG 14.3		
7.9	Quality records are kept as required.	AS 7.5.3 CAG 3.7		
7.10	Non-conforming products are rejected and quarantined.	AS 10.2 CAG 18		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	Phase D – Miscellaneous (estimated time: 30 minutes)			
8	**Customer property:**			
8.1	Customer property is duly controlled, identified, preserved and protected from damage.	AS 8.5.3 CAG 15.4		
8.2	Customer property lost, damaged or found unserviceable is reported to the customer without delay and records are made to document such reports.	AS 8.5.3		
8.3	Tools and Jigs defined as customer property and serving in product inspection and acceptance are subject to calibration control.	AS 7.1.5 CAG 15.4		
9	**Stores – finished product store, in process product store and quarantine store:**			
9.1	Products in storage are identified and traceable to production batches, with items status indicated (Serviceable / In Process).	AS 8.5.2		
9.2	Sensitive items are stored under adequate and controlled conditions (temperature, humidity).	AS 8.5.4		
9.3	Products are preserved, packed and protected from impact and FOD.	AS 8.5.4 CAG 15.5		
9.4	Materials of limited service life are duly controlled.	AS 8.5.4		
9.5	Items found non-conforming are quarantined.	AS 8.7		
9.6	Access to the quarantine store is	AS 8.7		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	limited to authorized personnel alone.			
9.7	Quarantined items admitted in / issued out of storage are recorded and monitored.	AS 8.7		
Phase E – Review of the Quality Management System during Final Inspection (estimated time: 120 minutes) **Sample a product in final inspection or one released to the customer.** **Sampled Item No. _____ Work order No.** **Ask for item's R/C and inspection reports.** **As the audit progresses, collect information as required for further review:** **a. Production operator and inspector names, for review of certifications:** _____ _____ _____ **b. Tool and jig numbers – for review of effective calibration:** _____ _____ _____ **c. Specification numbers – for review of configuration management:** _____ _____ _____ **d. Material/ process COCs – for review of traceability and manufacture by qualified suppliers in incoming inspection:** **Process** _____ **Manufacturer** _____ **Ref.** _____ **Process** _____ **Manufacturer** _____ **Ref.** _____ **Process** _____ **Manufacturer** _____ **Ref.** _____				
10	**Review inspection documents and quality records to verify the following:**			
10.1	No non-conformance is left unauthorized or unreported.	AS 8.5.1		
10.2	All quantities conform to the			

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	requirements.			
10.3	All raw materials, special processes and serial numbers are traceable to the respective COCs.	AS 8.5.2		
10.4	All tools and test means are recorded in the inspection reports.	AS 8.6		
10.5	All inspection reports and quality records are duly signed by operators and inspectors as applicable (using personal stamps or digital signatures allowing operator / inspector identification).	AS 8.5.2 CAG 21.1		
11	**FAI reports are produced under AS9102 requirements. Ask for the FAI report of the sampled item and verify the following:**			
11.1	• FAI is accomplished for an item representing mass production. • Dimensions, processes and comments as provided under the design requirements are reviewed in the FAI process. • Tools, jigs, measurement programs and special means are recorded. • FAI is repeated on any change to the product or to the production method.	AS 8.5.1 CAG 15.2		
12	**Certification of process operators and inspectors: Ask for the certification files of the sampled process operators / inspectors and verify the following:**			
12.1	• Process operators and inspectors are certified for the operations which	AS 7.2 CAG 9.1		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	they pursue. • Process operators and inspectors qualifications are based on adequate formal training, technical training, skill and experience. • Process operators and inspectors take periodic refreshing trainings to assure their professional ability • Process operators and inspectors take periodic eye tests as required			
13	**Review control of production equipment, tools and computer programs as employed in production to verify the following:**			
13.1	Product test and control equipment is identified and validated before release, and subsequently maintained regularly.	AS 7.1.5.2		
14	**Review the methods that are implemented to control monitoring and measuring (M&M) equipment to verify the following:**			
14.1	Equipment records are maintained.	AS 7.1.5.2		
14.2	Test intervals, test methods and acceptance criteria are all specified.	AS 7.1.5.2		
14.3	The equipment is calibrated and/or verified at the specified intervals which do not exceed 24 months, and documented in the records.	AS 7.1.5.2 CAG 16.1		
14.4	For equipment non-conforming with the requirements, the organization estimates and documents in the records the validity of previous measurement results.	AS 7.1.5.2		
14.5	Calibration and/or verification results	AS 7.1.5.2		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	are documented and kept on record.			
15	**Review non-conforming product control processes to verify the following:**			
15.1	Non-conforming products are identified and controlled (segregated). Note: Verify provision of a quarantine store.	AS 10.2		
15.2	Products authorized for scrapping are so marked prominently and permanently and subject to control.	AS 10.2		
15.3	Action is taken as required to eliminate any non-conformance detected in products in stock or in process.	AS 10.2		
15.4	Non-conforming products detected following delivery or use is reported to the customer without delay.	AS 10.2 CAG 18.7		
15.5	Products are used, released and accepted under customer's authorization.	AS 10.2 CAG 18.1		
15.6	Products repaired are subject to repeated verification.	AS 10.2		
15.7	Non-conforming product records are maintained (audit reports, R/Cs).	AS 10.2		
15.8	Non-conformances are investigated for root causes and are subject to corrective / preventive actions.	AS 10.2		
16	**Review the quality record retention practice to verify the following:**			
16.1	• Quality records are kept for 7 years. • The quality records of serial or critical products and those of SSI items are kept for 15 years.	AS 7.5.3 CAG 3.7		

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

No.	QMS Requirements	Ref.	Comment/ Finding Code	Objective View/ Comment (observations, improvement opportunities)
	• FAI reports are kept for 10 years.			
17	**Product Safety**			
	The organization shall plan, implement, and control the processes needed to assure product safety during the entire product life cycle, as appropriate to the organization and the product.	AS 8.1.3		
18	**Prevention of counterfeit products**			
	The organization shall plan, implement, and control processes, appropriate to the organization and the product, for the prevention of counterfeit or suspect counterfeit part use and their inclusion in products delivered to the customer	AS 8.1.4		
19	**Human Factors**			
	The organization shall plan and implement actions to prevent human errors	AS 8.5.1(g)		
20	**Other concerns audited:**			

Action is required on findings classified F, MF or RF.

Please provide your response no later than: _____

Attached hereunder are nonconformance (Unsatisfactory) reports and corrective action reporting instructions.

Confirmed by (supplier Representative)	Audited by	

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

		Name:
		Signature:
Fax: **Email:**		**Address to:**

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

Forms Filling Instructions

Major Nonconformance:

A major nonconformance is defined as failure to meet a requirement, which is likely to result in failure of the quality management system or impairment of its effectiveness in controlling processes or conforming products/services.

Major non-conformances may be such which result in any one of the following:

- Impaired product or service integrity;
- System failure to meet a 9100 standard, Company, procedure or customer QMS requirement;
- Potential delivery of a nonconforming product; and/or
- Failure or reduced usability of a product or service for its intended purpose.

Minor Nonconformance:

A minor nonconformance is defined as failure to meet a requirement, which is not likely to result in failure of the quality management system or impairment of its effectiveness in controlling processes or conforming products/services.

Minor non-conformances may be such which result in any one of the following:

- One discrete system failure or deviation from a 9100 standard or customer QMS requirement; or
- One discrete system failure or deviation from a Company QMS procedure.

Note: Multiple minor non-conformances with any one requirement (e.g. as may occur on multiple sites or in multiple departments/ functions/ processes within one single site) may result in a total system failure and hence constitute a major nonconformance.

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

Date:	Supplier Name:	Supplier Code:

	To:
	From:

Audit Summary

	Audit objective:
	Departments/ concerns audited:

#	Ref.	List of Findings and Corrective/ preventive Action Items Categories: F – Finding; MF – Major Finding; RF – Recurrent Major Finding	Finding Category

Please provide your response no later than: _____
Attached hereunder are nonconformance (Unsatisfactory) reports and corrective action reporting instructions.

Confirmed by (supplier Representative)	Audited by	

Report No.(*) : _____

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

		Name:
		Signature:
Fax: **Email:**		**Address to:**

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

Assessment Scoring

Audit Date:	Supplier Type:	Supplier Code:	**Supplier Name:**
Signature:		Auditor Name:	
Signature:		Authorized By:	

Element (AS9100)	Scoring Chart	Major CAR or minor CAR on key requirement		Minor CAR on non-key requirement		No CAR (**)	Result
		Multiple Findings	Single Finding	Multiple Findings	Single Findings		
4	**Context of the organization**					**80**	
4.1	Understanding the organization and its context	0	5	10	15	20	
4.2	Understanding the needs and expectations of interested parties	0	5	10	15	20	
4.3	Determining the scope of the quality management system	0	5	10	15	20	
4.4	Quality management system and its processes	0	5	10	15	20	
5	**Leadership**					**60**	
5.1	Leadership and commitment	0	5	10	15	20	
5.2	Policy	0	5	10	15	20	
5.3	Organizational roles, responsibilities and authorities	0	5	10	15	20	
6	**Planning**					**60**	
6.1	Actions to address risks and opportunities	0	5	10	15	20	
6.2	Quality objectives and planning to achieve them	0	5	10	15	20	
6.3	Planning of changes	0	5	10	15	20	
7	**Support**					**200**	
7.1	Resources	0	5	10	15	20	
7.2	Competence	0	10	25	40	50	
7.3	Awareness	0	5	15	20	30	
7.4	Communication	0	10	25	40	50	
7.5	Documented information	0	10	25	40	50	
8	**Operation**					**480**	
8.1	Operational planning and control	0	5	10	15	20	
8.2	Requirements for products and services	0	20	50	70	100	
8.3 (*)	Design and development of products and services	0	20	60	80	120	
8.4	Control of externally provided processes, products and services	0	5	10	15	40	
8.5	Production and service provision	0	35	50	80	100	
8.6	Release of products and services	0	10	25	40	50	
8.7	Control of nonconforming outputs	0	10	25	40	50	
9	**Performance evaluation**					**60**	
9.1	Monitoring, measurement, analysis and evaluation	0	5	10	15	20	
9.2	Internal audit	0	5	10	15	20	
9.3	Management review	0	5	10	15	20	
10	**Improvement**					**60**	

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

10.1	General	0	5	10	15	20	
10.2	Nonconformity and corrective action	0	5	10	15	20	
10.3	Continual Improvement	0	5	10	15	20	
				Total	880* or 1000		
				% Score			

* When 8.3 is not assessed, (**) (?) full score if N/A

Score (%) = $\frac{\text{Result X 100}}{\text{880* or 1000}}$

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Product Focused Recertification Audit Checklist for Supplier Types 12, 13

Attn:		
Subject:	**Report No.**	**Date:**

Nonconformance Description	**Nonconformance Category**		
	Recurring ☐	**Major** ☐	**Minor** ☐
Auditor Name	**Signature**	**Date**	

Please complete and report corrective and preventive actions taken no later than: _____

Immediate Corrective Action: **Date/ Effectivity:**

Root Cause:

Root Cause Correction: **Date/Effectivity:**

Corrective Action Verification Plan:

Follow-up:

Date:	**Name:**	**Title:**	**Signature:**

Response Authorization: ☐ **Accepted** ☐ **Rejected**

Corrective Action Verification: ☐ **To be reviewed in next audit** ☐ **Completed** ☐ **Not Completed**

Comments:

Report No.(*) : _____

(*) Supplier Code/ MM/ YY

Product Focused Recertification Audit Checklist for Supplier Types 12, 13

Auditor Name	Signature	Date of Completion

Report No.(*) : _____

(*) Supplier Code/ MM/ YY

Product Focused Recertification Audit Checklist for Supplier Types 12, 13

Nonconformance (Unsatisfactory) Report Response Instructions

Copy the nonconformance description into the nonconformance report and provide your response to each of the following 5 items.

1. Immediate Corrective Action:

Describe actions taken on nonconformance symptoms in the short run. Indicate when, where, how, and who completed the action. Also investigate and address any potential ramifications of the findings. For example, on identification of outdated drawings or materials, investigate and record all items as had been manufactured using such drawings and materials, and indicate MRB disposition with regard to the affected items.

Please also indicate corrective action date to complete and effectivity.

2. Root Cause:

Any nonconformance is normally indicative of a specific root cause problem. Describe the analysis run to find such root cause, e.g. inadequate procedures, processes or training, or either premeditated or inadvertent failure to meet the requirements. To uncover the root cause of a nonconformance, run a thorough analysis and ask detailed and in-depth questions. To analyze the results, AQS tools may be used. Where a management problem is suspected, identify it.

3. Root Cause Corrective Action:

To prevent recurrence, secure such corrective action which addresses the root cause of the nonconformance. In your response, include changes to procedures, processes and/or training as a minimum requirement. Correction of a root cause requires long term preventive action and process improvement rather than merely an immediate fix.

Please also indicate corrective action date to complete and effectivity.

4. Corrective Action Verification Plan:

Present a **plan** whereby completion of corrective action will be verified. Indicate whether you have verified or will verify completion of the corrective action prescribed (who, where, when and how) so as to ensure prevention of recurrence and effectiveness of the corrective action.

5. Follow-up:

Monitor the corrective action plan to verify its effectiveness in preventing recurrence of the nonconformance. Describe your follow up both on the nonconformance symptoms and on corrective action implementation and effectiveness.