

**CHANGE**

**U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION**

ORDER 8100.7C  
CHG 3

Effective Date:  
1/30/2009

National Policy

**SUBJ:** Aircraft Certification Systems Evaluation Program

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**1. Purpose.** This change incorporates a modification to paragraph 55 and appendix 5, section 6, paragraph 1 to add a review of a sample of Production Approval Holder (PAH) supplier audit records. This change will allow the Aircraft Certification Systems Evaluation Program (ACSEP) evaluators to verify supplier compliance to quality requirements, corrective action, verification, and closure of those issues documented by the PAH. In addition, it will require the suppliers that are selected for review to be identified on the special emphasis page of the ACSEP report.

**a.** Paragraph 55, Evaluation of System Elements, was changed to add new subparagraph d, PAH Supplier Records. The new subparagraph provides information pertaining to the types of reports eligible for review, the method of documentation of the reports reviewed, supplier identification, and noted noncompliances. Paragraph 55d also establishes the purpose of the results for use in later evaluations.

**b.** Appendix 5, section 6, paragraph 1, Supplier Control, was changed to add subparagraphs a, Review of PAH supplier audit records; b, Recording Reviews; and c, Recording Noncompliances. These new subparagraphs provide information to the evaluator regarding the number of supplier reports to be reviewed and the method and detail for documenting results.

**2. Who This Change Affects.** This change to Order 8100.7C will be used by the following offices during the conduct of an ACSEP activity or during training: the Washington headquarters branch levels of the Aircraft Certification Service, the branch level in the directorate Aircraft Certification Service divisions, all Aircraft Certification Service offices, the Aircraft Certification Service branch at the Federal Aviation Administration Academy, the Regulatory Support Division of the Flight Standards Service, and the Brussels Aircraft Certification Branch.

**3. Disposition of Transmittal Paragraph.** Retain this transmittal sheet until the directive is cancelled by a new directive.

**PAGE CHANGE CONTROL CHART**

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/s/

**Frank P. Paskiewicz**  
**Manager, Production and**  
**Airworthiness Division, AIR-200**

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**f.** Discuss FAA Form 8100–7 sent with the notification letter to the facility being evaluated. Explain that this form is designed to obtain senior management assessment of the conduct of the ACSEP evaluation and is used by the FAA for continuous quality improvement of the certificate management program. Encourage senior management to complete the form and send it to the address on the form within 30 calendar days of the postevaluation conference.

**g.** Allow time for a question-and-answer session.

**55. EVALUATION OF SYSTEM ELEMENTS.** The ACSEP evaluation team evaluates up to six system elements and conducts at least one product audit at PAHs and associate facilities. Each system element addresses a specific activity or function that may affect the maintenance of FAA-approved design or quality data. Each system element is defined in appendix 5. The ACSEP evaluation team will perform the following tasks, as appropriate:

**a.** Review FAA-approved quality systems manuals or procedures manuals/handbooks to determine if current data ensure regulatory requirements are met, if conforming products and parts are manufactured, and if design approval systems are maintained and controlled.

**b.** Review design system, design approval system, and quality system data to determine if current data are FAA-approved.

**c.** Review other facility procedures (related to the production approval facility) that are not part of the facility’s FAA-approved data to determine if the current procedures impact any of the system elements.

**d.** Review PAH supplier records by selecting a random sample of PAH supplier audit reports. (Refer to appendix 5, section 6, paragraph 1a.)

**(1)** The reports may consist of onsite evaluations, mail-in surveys, third-party evaluations, or a combination of all three. The reports must be reviewed for compliance with the PAHs’ quality control system requirements. This may include, but is not limited to, the following conditions:

**(a)** Adherence to scheduled frequency of supplier control audits.

**(b)** Appropriate documentation of audits. This includes a signature by an appropriate authority, and attachment of required certifications and test documents.

**(c)** Determination of whether noncompliances provide evidence of root cause, corrective action, followup, and closure.

**(d)** If a history of similar noncompliances is evident, determination of whether the PAH is appropriately conducting root cause analysis and applying corrective action.

**(2)** The ACSEP report’s Special Emphasis page will be used to record the following information under the section, “Note to MIO Manager and Cognizant Principal Inspector”:

- (a) Total number of audit reports reviewed.
- (b) Identification of suppliers reviewed.
- (c) Total number of noncompliances documented for all supplier reports reviewed.

**NOTE 1: A later revision to CMIS will allow the data from the supplier audit report to be applied to FAA Form 8100–4, ACSEP Survey Sheet for Production Approval Holders.**

**NOTE 2: The results will be used for two purposes: (1) to identify areas that may require more focused attention during evaluation of the supplier control system element; and (2) as input into the following year's risk-based resource targeting assessment of the PAH.**

(3) Any noncompliance noted during the review of PAH supplier audit reports will be recorded under supplier control system element criteria number 602. Noncompliance will also be documented in accordance with paragraph 56 of the order.

**NOTE: Paragraph 55d, and appendix 5, section 6, paragraph 1a, apply only to PAH facilities that use suppliers in the process of manufacturing FAA-approved products. Review of supplier records should be started early in the evaluation process to allow for additional time in case issues are noted.**

e. Evaluate compliance to facility procedures and quality requirements. Prioritize evaluation according to any special concerns raised by the PI or AE. Use the standardized evaluation criteria in appendix 5 to determine the depth of the evaluation in the subject area. Evaluate, as necessary, a combination of document and product review to determine if the system element meets applicable requirements.

**NOTE: The standardized evaluation criteria are a list of questions and related statements of condition in appendix 5 used primarily to plan and document the results of the evaluation of each system element in a standardized manner. The criteria are designed to cross all the functional areas within a facility's organization that have the greatest potential to impact the integrity of the FAA-approved design and product quality. All responses to the questions are direct inputs to the database from which trend analysis is accomplished. Each evaluator should be knowledgeable of all the criteria applicable to the system element assigned to be evaluated and should strive to evaluate as many of the procedures, requirements, and products related to the criteria as time allows.**

f. Select at least one team member to conduct at least one product audit at a PAH or associate facility of a manufactured product (for example, characteristic dimensioning, processing attributes, and physical examination) to determine compliance with current system procedures and quality requirements. Refer to Order 8120.2 for product audit areas, criteria, and procedures for recording audit results.

**NOTE 1: Aviation safety engineers (ASE) who are currently active team members/leaders will gain experience conducting product audits by assisting an aviation safety inspector (ASI) who is part of the team and is conducting the required product audit and/or during certificate management functions, which includes conducting a product audit.**

**NOTE 2: New ASEs will gain experience in performing product audits by assisting ASIs during scheduled ACSEP evaluations as part of their evaluator-in-training requirements and/or assisting during certificate management functions, which includes conducting a product audit.**

**g.** On the basis of facility procedures or quality requirements, identify and document additional standardized evaluation criteria questions and statement-of-condition practices and principles not contained in appendix 5 that were required to document what was evaluated. Write or type additional criteria and statement-of-condition practices and principles, and include the appropriate reference to the facility procedures or quality requirements and the evaluator's recommendation of the system element to which the criteria and statement of condition apply. Team members must present new criteria and statement-of-condition practices and principles to the team leader as soon as they are completed.

**h.** Detect and report nonconformances and areas that may require additional evaluation by the PI or AE.

**56. RECORDING NONCOMPLIANCES.** Evaluators will record all noncompliances on FAA Form 8100-6, Noncompliance Record, or electronic equivalent, according to the guidelines in Order 8120.2.

**NOTE: Record as a certification-related noncompliance any condition that questions the certification basis. Address the noncompliance on the Executive Summary (refer to paragraphs 57b(2)(c) and 62b, and appendix 6) and as a special emphasis item in the evaluation report (refer to paragraphs 57b(2)(d) and 62c, and appendix 7).**

## **57. EVALUATION MEETINGS.**

**a. Daily Meeting.** The team leader or principal evaluator holds the following daily meetings, as appropriate:

**(1) Meeting with Evaluation Team Members.** The team leader will review and discuss the following with team members:

**(a)** Status of the evaluation.

**(b)** Problems encountered.

**(c)** Plan of the next day's evaluation.

**(d)** All Form(s) 8100-6, or electronic equivalent, prepared during the day to ensure correctness, adequacy, and completeness.

**(2) Meeting/Communication With PI and AE.** The team leader or principal evaluator ensures the certificate management PI and AE, and the geographic PI, as applicable, are informed of all discussions concerning the status of the evaluation. This meeting should occur daily when the PI and AE are part of the evaluation team. Otherwise, coordinate with the PI and AE to establish the method and frequency at which these discussions should occur.

**(3) Meeting With the Evaluated Facility's Designated Representative.** The team leader or principal evaluator holds a brief meeting daily with the evaluated facility's designated representative to discuss the progress of the evaluation, including problems encountered, the status of actions requested by the team, schedule changes, and the coordination of further evaluation activities.

**b. Final Critique Meeting/Evaluation Wrap-Up.** At the conclusion of the evaluation, the team leader holds a final critique meeting. The principal evaluator allows time to finalize the details of the evaluation. The team leader and members or the principal evaluator do the following, as appropriate:

**(1) Team Members or Principal Evaluator.**

**(a)** Complete all required Form(s) 8100–6, or electronic equivalent. When using an electronic equivalent, print to paper when all information has been entered. Team members discuss Form(s) 8100–6 with the team leader to determine if there are any possible violations of the applicable requirements of 14 CFR. The team leader must resolve any disagreement on noncompliance(s). The lead evaluation office, or requesting MIDO or CMO, as applicable, must determine the level of corrective action required (see paragraph 65).

**(b)** Ensure all true copies of objective evidence are attached to the appropriate Form(s) 8100–6, or electronic equivalent, appropriately referenced, and clearly identified in accordance with Order 2150.3.

**(c)** Complete Form 8100–4 or electronic equivalent in accordance with appendix 5. When using an electronic equivalent, print to paper when all information has been entered. Prepare original forms as follows:

**1 PAH or Associate Facility.** Prepare one original Form 8100–4.

**2 Facility With Multiple Production Approvals.** Prepare one original Form 8100–4. Base the survey responses on the criteria for the highest-level quality requirement; for the purposes of ACSEP, the quality levels, from highest to lowest, are PC, TSO authorization, APIS, and PMA. For example, if a facility has a PMA and a TSO authorization, prepare one Form 8100–4 based on the TSO authorization criteria.

**(2) Team Leader or Principal Evaluator.**

**(a)** Resolve team disagreements on specific noncompliances.

**(b)** Discuss all noncompliances with the certificate management PI or AE, delegated facility AE, and geographic PI, as applicable.

(c) Prepare the ACSEP Evaluation Executive Summary (see appendix 6). Prepare original forms as follows:

**1 PAH or Associate Facility.** Prepare one original summary.

**2 Facility With Multiple Production Approvals.** Prepare one original summary. For example, if a facility has a PMA and a TSO authorization, prepare one original summary.

(d) Identify and record specific problems or concerns that the ACSEP evaluation team believes require further action and that should be brought to the attention of the ACO, MIO, MIDO, or CMO managers, the geographic PI, the AE, and the flight standards principal maintenance inspector (as appropriate). Use the instructions in appendix 7 to record these special emphasis items. Prepare original documents as follows:

**1 PAH or Associate Facility.** Prepare one original document.

**2 Facility With Multiple Production Approvals.** Prepare only one original document. For example, if a facility has a PMA and a TSO authorization, prepare one original document.

(e) Discuss with team members, as appropriate, and record any lessons learned during the ACSEP evaluation that may improve ACSEP policy or evaluation techniques. Use the instructions in appendix 8. Prepare only one original document and include copies with each report.

(f) Verify that signed original Form(s) 8100–6 have been prepared for inclusion, as applicable, in each ACSEP evaluation report to be sent to the responsible certificate management MIDO, CMO, or ACO having delegation oversight. See paragraph 62f. Each report to be sent must include all applicable Form(s) 8100–6. When a signed original Form 8100–6 is applicable to two or more reports, do the following:

**1** Reproduce the signed original Form(s) 8100–6 as required for inclusion in the applicable ACSEP evaluation report(s) to be sent to the responsible certificate management MIDO or CMO having oversight.

**2** Identify all true copies of the signed form in accordance with Order 2150.3.

(g) Provide a copy of the completed final draft Form(s) 8100–6 to the certificate management PI or AE, and the geographic PI, as applicable, when they are present.

(h) Verify the required number of true copies of objective evidence have been prepared for inclusion, as applicable, in each ACSEP evaluation report to be sent to the responsible certificate management MIDO or CMO having oversight.

(i) Provide all true copies of objective evidence to the certificate management PI or AE, when present. When the PI or AE is not present, forward the copies in accordance with the applicable instructions in paragraph 64a. If the objective evidence will be necessary as a reference during preparation of the evaluation report, make a separate copy and identify each page as “For Reference Only.”

**(3) Certificate Management PI or AE, or Geographic PI (When Present).** As appropriate, consider providing a copy of the completed final draft Form(s) 8100–6 to the facility’s management. Clearly mark each copy as “DRAFT” before release.

**58. POSTEVALUATION CONFERENCE.** The team leader or principal evaluator must conduct a postevaluation conference with appropriate senior management and cognizant supervisory personnel of the evaluated facility. The team leader or principal evaluator must do the following, as appropriate:

a. Introduce FAA personnel not previously introduced at the preevaluation conference.

b. Give a brief presentation of the overall results of the evaluation, using each completed ACSEP Evaluation Executive Summary as a reference:

(1) Provide a copy of each completed ACSEP Evaluation Executive Summary to the evaluated facility’s designated representative.

(2) Summarize all noncompliances. Mention only noncompliances previously discussed with the certificate management PI and AE, the geographic PI, as applicable, and facility personnel.

c. Explain the purpose and use of the ACSEP database.

d. Explain corrective action and followup procedures.

**NOTE: Emphasize that the PI or AE may conduct additional investigations into noncompliances reported in the ACSEP evaluation report. The results of these investigations may be included with the letter requesting corrective action for the ACSEP evaluation noncompliances.**

e. Remind senior management about FAA Form 8100–7 and encourage them to complete the form and send it to the address on the form within 30 calendar days of the postevaluation conference.

f. Request final comments. Clarify any misunderstandings or disagreements before departure.

g. Adjourn the ACSEP evaluation.

**59.–61. RESERVED.**

### SECTION 3. POSTEVALUATION ACTIVITIES

**62. PREPARING THE ACSEP EVALUATION REPORT.** The team leader or principal evaluator must prepare the ACSEP evaluation report. When a facility has one or more production approvals, prepare one original evaluation report. Format and compile each original evaluation report in the following order:

**NOTE: Ensure the evaluation report identifies only noncompliances presented at the postevaluation conference.**

- a. FAA Form 8100–3, ACSEP Evaluation Report, or printed copy of electronic equivalent (appendix 9). Each form or printed copy must be an original and signed. Prepare an original form or printed copy for each PAH affected.
- b. ACSEP Executive Summary or printed copy of electronic equivalent (appendix 6). Each summary must be an original and signed. Prepare an original summary or printed copy for each PAH affected.
- c. ACSEP Evaluation Special Emphasis Items or printed copy of electronic equivalent (appendix 7). Prepare an original list of special emphasis items or printed copy for each PAH affected.
- d. ACSEP Evaluation Lessons Learned or printed copy of electronic equivalent (appendix 8). Prepare an original list of lessons learned or printed copy for each evaluation.
- e. Form 8100–4 or printed copy of electronic equivalent (appendix 5, part B). Prepare an original form or printed copy for each PAH facility affected.
- f. Form 8100–6 or printed copy of electronic equivalent. Include signed originals, or true copies of the signed form when identical signed original Form(s) 8100–6 are required for two or more reports. See paragraph 57b(2)(f). Each report must include all applicable Form(s) 8100–6 and any objective evidence. Each copy of the objective evidence must be a true copy of the original documents, identified as indicated in paragraph 57b(1)(b). Include true copies for each PAH affected.

**NOTE: Do not include reproductions of true copies of objective evidence in an original evaluation report. Objective evidence must be a true copy signed and dated in accordance with Order 2150.3.**

**63. QUALITY REVIEW OF THE ACSEP EVALUATION REPORT.** The ACSEP Evaluation Report contains the data that forms the basis of corrective action requests (see paragraph 65) and the ACSEP national database described in chapter 5 of this order. To this end, the evaluation report must be accurate and complete. Directorate managers (or delegated individuals) must establish a review process within their directorates that ensures accuracy and completion of the evaluation report before distribution.

**64. SENDING THE ACSEP EVALUATION REPORT.** The team leader or principal evaluator and the responsible ACO and MIO managers (or designated individuals) will process the evaluation report as follows (see appendix 10):

**a. Team Leader or Principal Evaluator.**

**(1) PAH/Associate Facility.**

(a) Send, or transmit electronically, an original evaluation report to the review point within 15 working days of the postevaluation conference. The review point must return the report to the team leader or principal evaluator for correction and/or continued processing within 5 working days of receipt.

(b) Send, or transmit electronically, the original evaluation report to the responsible certificate management MIO manager within 5 working days of receipt of review point comments. Do not send copies of objective evidence to the MIO manager. Send all true copies of any objective evidence to the certificate management PI.

(c) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the cognizant ACO manager and to AIR-200. The copy for the ACO manager may be tailored to the requirements of the ACO manager but will always include copies of any objective evidence that the ACO manager may require to investigate identified special emphasis items. Do not send copies of objective evidence to AIR-200.

(d) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the immediate supervisor of any evaluators-in-training assigned to the team.

**b. Certificate Management MIO Manager.**

(1) Send, or transmit electronically, the original evaluation report to the certificate management PI within 3 working days of receipt of the report from the ACSEP team leader.

(2) Include any additional evaluation documents that the team leader provides.

**c. Certificate Management ACO Manager.**

(1) Send, or transmit electronically, the evaluation report copy to the AE within 3 working days of receipt of the report from the ACSEP team leader.

(2) Include all copies of any objective evidence received. When transmitting the report electronically, send the true copies of the objective evidence under separate cover.

**NOTE: ACO investigations of special emphasis items identified during the conduct of an ACSEP evaluation should be coordinated with the responsible MIO or CMO.**

**65. REQUESTING CORRECTIVE ACTION.** The PI must request corrective action in accordance with Order 8120.2.

**66.-71. RESERVED.**

## CHAPTER 5. ACSEP AND CMIS

**72. PURPOSE.** CMIS will provide a capability to detect shifts in performance and statistically significant trends for the industry as a whole and for different segments of the industry. It also will identify trends emerging in the performance of ACSEP evaluations.

**73. FILES.** CMIS will contain selected information from all ACSEP evaluations conducted. It will contain selected facility information, records of noncompliance for each ACSEP evaluation conducted, records of each Form 8100-4 and 8100-6 survey, records of lessons learned, and records of customer feedback reports.

**74. DATABASE MANAGEMENT.** AIR-220 will monitor CMIS and will do the following, as appropriate:

a. Review the database as follows:

(1) Examine new entries.

(2) Note shifting levels of performance in different segments of the industry, including any statistically significant differences in the system elements when compared at all PAHs and associate facilities.

(3) Highlight potential trends emerging in particular aspects of the system elements.

(4) Analyze trends emerging in particular aspects of the system elements.

(5) Highlight trends emerging in the performance of ACSEP evaluations.

b. Provide selected data and reports.

**NOTE: All report recipients will use the information only internally and will not issue any reports outside of AIR. Refer to paragraph 10 of this order.**

c. Obtain, as required, outside support services to augment its resources with qualified and creditable experts and specialists to support database management and system analyses in accordance with budgetary directives and in coordination with AIR-500. Sample contract clauses relating to obtaining support services are contained in appendix 2 to this order.

**NOTE: AIR-220 will complete all necessary FAA administrative measures before assignment of support service personnel to database management and system analyses. These measures include ensuring personnel have signed a certificate of nondisclosure for confidentiality of information (see appendix 2).**

**75. USE OF THE DATABASE.** Directorates may use CMIS to obtain reports on noncompliances, frequently used 14 CFR references, and industry compliance. They may use the database to detect shifts in performance and statistically significant trends for different segments of the industry. Directorates also may use the database to assist in scheduling.

**76.-81. RESERVED.**



## SECTION 6. SUPPLIER CONTROL

**1. SYSTEM ELEMENT DESCRIPTION.** The system by which the evaluated facility ensures supplier materials, parts, and services conform to FAA-approved design. For the purpose of this section, the term “supplier” includes distributors.

**NOTE: With the onset of profit- and risk-sharing ventures by many FAA approval holders, global marketing and procurement strategies, multinational and multicorporate activities, etc., there has been a significant increase in the global expansion of the world’s aircraft manufacturing community. Global production includes the use of associate facilities, the issuance and acceptance of import/export airworthiness approvals, and adherence to bilateral airworthiness agreements (BAA) or bilateral aviation safety agreements (BASA).**

**a. Reviewing PAH supplier audit records.** The evaluator will review a randomly selected sample of documented audit reports from the supplier listing. Use the following guidelines when selecting the sample reports:

(1) For PAHs having a supplier listing of less than or equal to 50, the evaluator will select and review at least 3 audit reports.

(2) For PAHs having a supplier listing of greater than 50, but less than or equal to 100, the evaluator will review at least 6 audit reports.

(3) For PAHs having a supplier listing of greater than 100, the evaluator will review at least 9 audit reports.

**b. Recording reviews.** The evaluator will record the total number of audit reports reviewed, the identification of suppliers reviewed, and the total number of noncompliances documented. This information will be recorded on the ACSEP Special Emphasis page, as a note to the MIO/MIDO manager.

**NOTE: A later revision to CMIS will allow supplier audit report data to be applied to Form 8100-4.**

**c. Recording noncompliances.** Any noncompliance noted during the review of PAH supplier audit reports will be recorded under supplier control system element criteria number 602. Any noncompliances also will be documented in accordance with paragraph 56 of this order.

**2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA.** The following criteria are used to document evaluation of this system element.

**601. Is the use of approved suppliers required?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

a. Procedures provide for—

(1) Criteria for supplier acceptability based as a minimum on evaluation results and quality performance history for the commodities or services provided.

(2) Collection, evaluation, and reporting of quality performance data.

(3) A list of suppliers that have been reviewed, evaluated, and found to be acceptable.

(4) Removal of suppliers from the approved list that do not meet stated requirements.

(5) Notification of the FAA of new priority parts suppliers.

(6) Methods for procurement from suppliers that require special control.

(7) Furnishing a current list to suppliers containing sources evaluated by the PAH.

b. There is objective evidence of observance to established procedures.

**602. Are initial and periodic evaluations of suppliers made as necessary and corrective actions taken to correct deficiencies found in the suppliers system?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

a. Procedures provide for—

(1) Initial, and periodical as necessary, evaluation of suppliers, , to determine their capability to meet requirements.

(2) The methods for determining the extent of the evaluations dependent, as a minimum, on the type, complexity, method of control, and importance of products or services procured, and the extent of the on-site evaluation, process reviews, document reviews, or independent product evaluations.

(3) Implementing and documenting effective corrective action when deficiencies are found.

b. There is objective evidence of observance to established procedures.

**603. Is the supplier's quality manual (or top-level document) approved by the PAH?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

a. Procedures provide the method for reviewing and approving a supplier's quality system data.

b. There is objective evidence of observance to established procedures.

**604. Are procedures for the use of other parties to perform supplier surveillance or assessments on behalf of the PAH contained in the quality manual or other documents?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

a. Procedures provide for a control process that has been fully documented and includes initial and continuing approval of other parties to conduct supplier surveillance and assessments to include—

(1) Extent of authority given by the PAH.

(2) Verification that checklists used by the other party are equivalent or better than the PAH's quality procedures and surveillance criteria currently in place under the PAH's supplier control program.

(3) Verification that the other party's surveillance frequency of the supplier is commensurate with the complexity of the product and with the surveillance frequency currently established by the PAH's supplier control program.

(4) Verification that the supplier surveillance was conducted onsite by the other party.

(5) Verification that the other party has access to applicable proprietary data to the extent necessary to conduct supplier surveillance functions.

(6) Verification that the surveillance report will be made available to the FAA upon request.

b. There is objective evidence of observance to established procedures.

**605. Are procedures for the use of other-party registered suppliers detailed in the quality manual or other documents?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	N	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

**a.** Procedures provide for—

(1) Initial and continuing approval of other-party registered suppliers.

(2) The method used by the PAH to evaluate the registration process of any other-party registration body used. (Note: This applies not only to new suppliers, but to any decision by the PAH to rely on other-party registration of current suppliers.) The method should include the following items as a minimum:

(a) Verification that registration standards and checklists used by the other party are equivalent or better than the PAH’s quality procedures and surveillance criteria currently in place under the PAH’s supplier control program.

(b) Verification that the other party’s surveillance frequency of the supplier is commensurate with the complexity of the product and with the surveillance frequency currently established by the PAH’s supplier control program.

(c) Verification that the supplier surveillance was conducted onsite by the other party.

(d) Verification that the other party has access to applicable proprietary data to the extent necessary to conduct supplier surveillance functions.

(e) Verification that the surveillance report will be made available to the FAA upon request.

(f) Verification that the other party continues to be recognized or accredited.

**b.** There is objective evidence of observance to established procedures.

**606. Do procedures require that suppliers notify the evaluated facility in writing when there are significant facility or organizational changes such as company name, location, or senior quality management?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	N	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

- a. There is objective evidence of observance to established procedures.

**607. Does the evaluated facility make information available to the FAA regarding all delegation of authority to suppliers to make a major inspection/material review of any products/parts?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	§ 21.123	§ 21.143	P	§ 21.143
<b>E</b>	§ 21.125	§ 21.165	N	§ 21.607

**Statement of Condition**

- a. Procedures provide for—

(1) Delegation of authority for major inspections or material review.

(2) Material review requirements that include, as a minimum—

(a) Identification of relevant MRB procedures that define the scope and authority of the supplier MRB.

(b) Maintenance of an MRB system that meets all FAA requirements placed on the evaluated facility's MRB system (for example, documentation of nonconformances, maintenance of records, members of the MRB, and mutilation of "scrap" material).

(c) Process for submittal to the evaluated facility of supplier nonconformances considered major changes to the FAA-approved type design.

(3) All delegations of authority to suppliers for major inspection of any products/parts are available for review by the FAA.

- b. There is objective evidence of observance to established procedures.

**608. Does the PAH notify the FAA of suppliers authorized to direct ship?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

- a. Procedures provide for notification to the cognizant FAA office of each supplier authorized to direct ship.
- b. There is objective evidence of observance to established procedures.

**609. Are suppliers with direct ship authorization controlled to ensure only conforming parts are released?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

- a. Procedures provide for—
  - (1) Flow down of applicable technical and quality requirements.
  - (2) Authorization and requirements for direct shipment.
  - (3) Supplier shipping document requirements for direct shipment.
  - (4) Appropriate part marking/identification and packaging.
- b. There is objective evidence of observance to established procedures.

**610. Do procedures require that approved suppliers have a supplier control program in place for their suppliers?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	N	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

a. There is objective evidence that suppliers have a supplier control program in place for their suppliers. The program should include as a minimum—

(1) Evaluation, approval, and surveillance of suppliers, including a method to ensure corrective action when a problem is identified.

(2) Flow down of all pertinent quality requirements.

(3) Documentation of parts/materials and special processes obtained from suppliers and submitted to the evaluated facility.

**611. Does the evaluated facility flow down applicable technical and quality requirements to both U.S. and international suppliers?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

a. Procedures provide for inclusion of applicable technical data and quality requirements in the purchase documents. Technical data and requirements include the following, as applicable:

(1) Special processing specifications/engineering requirements for suppliers performing special processing.

(2) Calibration traceable to a national standard and submittal of certificates for suppliers performing calibration services.

(3) Software specification requirements for suppliers providing software.

(4) Submittal of certification test reports for all shipments of raw material.

(5) Identification of raw and process material in accordance with industry and/or customer specifications.

## Appendix 5

- (6) Appropriate identification and marking of products/parts thereof.
  - (7) Identification of the actual manufacturers of the supplies provided by warehouses and distributors.
  - (8) Declaration that parts were produced under the terms of the production approval.
  - (9) Identification of the product on which the part is eligible for installation.
  - (10) Special packaging and preservation requirements, when warranted for material protection.
  - (11) Identification of appropriate technical requirement revision levels.
  - (12) Notice of FAA review of supplier's facilities and products as necessary.
  - (13) Incorporation of design changes as specified.
  - (14) Notification to the evaluated facility of any latent defects, or defects listed in § 21.3, in products or parts previously supplied.
  - (15) Formalized SQC policy, when required.
  - (16) Requests for copies of control charts and other pertinent statistical data applicable to the time period during which the supplied products/parts thereof were produced.
  - (17) Submittal of supplier designs and changes to the evaluated facility for approval before incorporation, when required.
  - (18) Submittal of changes to a supplier's quality system that may affect inspection, conformity, or the airworthiness of the product.
  - (19) Record retention requirements.
  - (20) Use of the English language for quality data (for example, supplier quality procedures, certificates, reports, or other similar data required by the evaluated facility).
  - (21) A method to control the issuance and distribution of technical data and quality requirements to suppliers. Control methods include, as a minimum—
    - (a) Control and documentation of revisions to technical data and quality requirements (including subtier and referenced documents).
    - (b) Control of obsolete technical data and quality requirements.
    - (c) Determination of receipt status by the supplier.
- b.** There is objective evidence of observance to established procedures.

**612. Does the evaluated facility control supplier design, including changes?****Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	§ 21.95 § 21.97 § 21.99 § 21.125	§ 21.95 § 21.97 § 21.99	§ 21.303(h)(7)	§ 21.611
<b>E</b>	§ 21.123	§ 21.165	§ 21.303(h)	§ 21.607

**Statement of Condition**

- a. Procedures provide for control over supplier design and changes thereto.
- b. There is objective evidence of observance to established procedures.

**613. Are electronically stored and transmitted technical design and quality data adequately controlled and distributed to suppliers?****Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

- a. Procedures provide for—
  - (1) Documentation of release status of electronic documents.
  - (2) Only properly released data being available online.
  - (3) Other documents, such as purchase orders and engineering data to reflect changes to the source document.
  - (4) Capability determination of in-house and supplier facility to receive and maintain electronic data.
- b. There is objective evidence of observance to established procedures.

**614. Does the quality organization review purchase documents before issuance?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition:**

- a. Procedures provide for review of purchase documents by the PAH’s quality organization before issuance to ensure all pertinent requirements have been incorporated.
- b. There is objective evidence of observance to established procedures.

**615. Does the PAH act on supplier notifications of suspected problems with previously delivered products?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

- a. Procedures provide for methods used to act on notifications of nonconforming products, ensuring proper investigation and corrective action is taken.
- b. There is objective evidence of observance to established procedures.

**616. Do procedures require that approved suppliers have a program in place to ensure the proper operation of manufacturing software and equipment used for product/part inspection/test?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

- a. There is objective evidence of observance to established procedures.

<b>617. Does the PAH notify the FAA of all new suppliers located in other countries and of the receipt of first articles produced by those suppliers?</b>
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**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

- a. Procedures provide for notification to the FAA of all new suppliers located in other countries and of the receipt of first articles produced by those suppliers.
- b. There is objective evidence of observance to established procedures.

<b>618. Are product/parts from associate facilities controlled?</b>
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**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	§ 21.125	§ 21.143	§ 21.303	§ 21.143
<b>E</b>	§ 21.123	§ 21.165	§ 21.303	§ 21.607

**Statement of Condition**

- a. Procedures provide for—
  - (1) Control of product/parts from associate facilities.
  - (2) Collection of quality performance data.
- b. There is objective evidence of observance to established procedures.

**619. Has an interface quality document been prepared for consortium (international/domestic) manufacturing activities?**

**Applicability**

	<b>APIS</b>	<b>PC</b>	<b>PMA</b>	<b>TSO</b>
<b>A</b>	P	P	P	P
<b>E</b>	N	N	N	N

**Statement of Condition**

- a. Procedures provide for a quality document that establishes an interface between the quality requirements of the international/domestic manufacturing activity and the evaluated facility's quality manual or procedures.
- b. There is objective evidence of observance to established procedures.