

9/23/2005

SUBJ: PRODUCTION APPROVAL AND CERTIFICATE MANAGEMENT PROCEDURES

1. PURPOSE. This change is issued to revise information to harmonize with the Certificate Management Information System.

2. DISTRIBUTION. This order is distributed to Washington Headquarters division levels of the Flight Standards Service, to the branch levels of the Aircraft Certification Service, to the branch levels in the regional Flight Standards Divisions and Aircraft Certification Directorates, to all Flight Standards District Offices, to all Aircraft Certification Offices, to all Aircraft Certification field offices, to all Manufacturing Inspection District and Satellite Offices, to the Aircraft Certification and Airworthiness Branches at the Federal Aviation Administration Academy, to the Suspected Unapproved Parts Program Office, to the International Policy Office, and to the Flight Standards Service Regulatory Support Division.

3. DISPOSITION OF TRANSMITTAL. After filing the attached pages, retain this transmittal.

4. PAGE CONTROL CHART. See the attached page control chart.

Remove Pages	Dated	Insert Pages	Dated
vii-x	8/17/2004	vii-x	9/23/2005
1 thru 6	8/17/2004	1 thru 6	9/23/2005
17	8/17/2004	17	9/23/2005
18	8/17/2004	18	8/17/2004
25	8/17/2004	25	9/23/2005
26	8/17/2004	26	8/17/2004
29 and 30	8/17/2004	29 and 30	9/23/2005
39	8/17/2004	39	9/23/2005
40	8/17/2004	40	8/17/2004
49	8/17/2004	49	9/23/2005
50 and 51	8/17/2004	50 and 51	8/17/2004
52 thru 83 (and 84)	8/17/2004	52 thru 84	9/23/2005

PAGE CONTROL CHART

APPENDIX 2 1 thru 6	8/17/2004	APPENDIX 2 1 (thru 6)	9/23/2005
APPENDIX 3 1	8/17/2004	APPENDIX 3 1	9/23/2005
2	8/17/2004	2	8/17/2004
APPENDIX 5 1 (and 2)	8/17/2004	APPENDIX 5 1 (and 2)	9/23/2005
APPENDIX 6 1 and 2	8/17/2004	APPENDIX 6 1 and 2	9/23/2005
APPENDIX 7 1	8/17/2004	APPENDIX 7 1	9/23/2005
2	8/17/2004	2	8/17/2004
3	8/17/2004	3	9/23/2005
4	8/17/2004	4	8/17/2004
APPENDIX 8 1	8/17/2004	APPENDIX 8 1	9/23/2005
2	8/17/2004	2	8/17/2004
APPENDIX 9 1 (and 2)	8/17/2004	APPENDIX 9 1 (and 2)	9/23/2005

/S/

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

PART 2. RESOURCE TARGETING

<i>Paragraph</i>	<i>Page</i>
108. Resource Targeting Model.	52
109. Scope.	52
110. Resource Targeting Groups.	52
111. Resource Targeting Categories.	53
* 112. Resource Targeting Assessment of Facilities.	53
Figure 11. Sample AIR Form 8120-9.	54
113. Identification of Resource Targeting Groups.	56
114. Modification of Resource Targeting Groups.	56
115. Resource Targeting Model Validation Plan.	56
116. Modification of the Resource Targeting Model.	57
117.-122. Reserved.	57

PART 3. DETERMINING SUPPLIER CONTROL BY A PAH OR ASSOCIATE FACILITY

123. General.	57
124. Certificate Management Activity.	59
125. Determination of Supplier Control.	59
126.-128. Reserved.	59

PART 4. PRINCIPAL INSPECTOR EVALUATION

129. General.	59
130. Recording a PI Evaluation.	61
131.-134. Reserved.	61

PART 5. AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM EVALUATION

135. General.	61
136.-138. Reserved.	62

PART 6. SUPPLIER CONTROL AUDIT

139. General.	62
140. Supplier Selection.	63
141. Directorate Supplier Control Audit List.	64
142. Coordination of Supplier Control Audits Between Directorates.	65
143. Notifying a PAH or Associate Facility.	65
144. Recording a Supplier Control Audit.	65
145.-147. Reserved.	65
Figure 12. Sample Supplier Control Audit Notification Letter.	66

PART 7. PRODUCT AUDIT

<i>Paragraph</i>	<i>Page</i>
* 148. General.	67
149. Selection of Product Audit Characteristics.	68
150. Product Audit Areas.	68
151. Product Audit Criteria.	68
Figure 13. Applicability of Product Audit Criteria to Product Audit Areas (Minimum).	69
152. Recording Product Audit Results.	69
153. Recording Completion of a Product Audit.	70
154.-156. Reserved.	70

SECTION 3. RANDOM CM RESPONSIBILITIES

PART 1. INTRODUCTION

157. General.	71
158.-159. Reserved.	71

PART 2. EVALUATION OF CHANGES TO A PAH'S OR ASSOCIATE FACILITY'S QC OR INSPECTION SYSTEM

160. General.	71
161. Prioritization of Review.	71
162. Review of Changes.	71
163. Post-Review Actions.	72
164.-167. Reserved.	72
Figure 14. Sample Letter of Approval for Quality Control System Changes by a PC or TSO Authorization Holder.	73
Figure 15. Sample Letter of Acknowledgement for Inspection System Changes by an APIS or PMA Holder.	74

PART 3. INVESTIGATION OF SERVICE DIFFICULTIES

168. General.	72
169. Investigation.	75
170. Corrective Action.	75
171. Reporting a Service Difficulty Investigation.	75
172. Foreign Manufacturers.	76
173.-175. Reserved.	76

*

PART 4. INVESTIGATION OF REGULATORY VIOLATIONS

<i>Paragraph</i>	<i>Page</i>
* 176. Enforcement Actions on Safety-Related or Systemic Noncompliances.	76
177. Enforcement Procedures.	77
178. Multiple Enforcement Actions.	77
179. Timeliness.	77
180. Invalid Alleged Violations.	77
181. Voluntary Disclosure Procedures.	77
182.-184. Reserved.	78

PART 5. CORRECTIVE ACTION

185. General.	78
186. Corrective Action Procedures.	78
Figure 16. Corrective Action Flowchart.	79
187. Corrective Action Response.	81
188. Corrective Action Validation.	82
189.-191. Reserved.	82

PART 6. UNSCHEDULED AUDITS, EVALUATIONS, OR INVESTIGATIONS

192. General.	82
193. Non-Scheduled CM Audits/Evaluations.	82
194. Other Random Investigations.	83
195.-197. Reserved.	83

PART 7. PROVIDING GUIDANCE TO A PAH OR ASSOCIATE FACILITY

198. General.	84	*
--------------------	----	---

APPENDIX 1. EVALUATION OF A PAH’S QUALITY CONTROL OR INSPECTION SYSTEM

1. Purpose.	1
2. Data Review.	1
3. Data Approval/Acceptance Standards.	3

* **APPENDIX 2. RESERVED**

*

APPENDIX 3. RESOURCE TARGETING INDICATOR ASSESSMENT CRITERIA

<i>Paragraph</i>	<i>Page</i>
1. Purpose.	1
2. Specific Guidance.	1
Figure 1. Resource Targeting Indicators	1

APPENDIX 4. CATEGORY PARTS LIST

1. Purpose.	1
2. Category Parts List.	1
3. Structure of the CPL.	1
4. CPL Revision Process.	1
Figure 1. Sample Category Parts List.	2
Figure 2. CPL Revision Process Flowchart.	4
Figure 3. Sample Part Categorization Memo for Requesting an Addition to the CPL.	5
Figure 4. Sample Part Categorization Memo for Requesting a Change to the CPL.	6
Figure 5. Sample Part Categorization Memo for Requesting Removal of an Assembly/Part From the CPL.	7

APPENDIX 5. RESOURCE TARGETING REPORTS

1. Purpose.	1
2. Types of Reports.	1

APPENDIX 6. RESOURCE TARGETING MODEL VALIDATION PLAN

1. Purpose.	1
2. Resource Targeting Validations.	1

APPENDIX 7. PREPARATION INSTRUCTIONS FOR FAA FORM 8100-6, NONCOMPLIANCE RECORD

1. Purpose.	1
2. Specific Guidance.	1
Figure 1. Sample FAA Form 8100-6.	4

APPENDIX 8. PREPARATION INSTRUCTIONS FOR FAA FORM 8120-14, PRODUCTION APPROVAL/CERTIFICATE MANAGEMENT ACTIVITY REPORT

1. Purpose.	1
2. Specific Guidance.	1
Figure 1. Sample FAA Form 8120-14.	3

APPENDIX 9. FORMS LISTING

1. Purpose.	1
Figure 1. Forms Available From FAA Logistics Center.	1
Figure 2. Forms Available Within CMIS.	1

*

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CHAPTER 1. INTRODUCTION

- * **1. PURPOSE.** This order contains guidance related to—
- a. Production approvals and certificate management (CM) of manufacturers of type-certificated products, technical standard order articles, and replacement and modification parts, to ensure fair and uniform administration of Title 14, Code of Federal Regulations (14 CFR).
 - b. The Certificate Management Information System (CMIS). In those cases in which activities and work processes are automated by CMIS, aviation safety inspectors, aviation safety engineers, and flight test pilots must use CMIS to perform that work. In the event a manual activity or work process described in this order becomes automated in CMIS, the use of CMIS to perform that activity or work process will take precedence. *
- 2. DISTRIBUTION.** This order is distributed to Washington Headquarters division levels of the Flight Standards Service, to the branch levels of the Aircraft Certification Service, to the branch levels in the regional Flight Standards Divisions and Aircraft Certification Directorates, to all Flight Standards District Offices, to all Aircraft Certification Offices, to all Aircraft Certification field offices, to all Manufacturing Inspection District and Satellite Offices, to the Aircraft Certification and Airworthiness Branches at the Federal Aviation Administration Academy, to the Suspected Unapproved Parts Program Office, to the Brussels Aircraft Certification Staff, and to the Flight Standards Service Regulatory Support Division.
- 3. CANCELLATION.** Federal Aviation Administration (FAA) Order 8120.2C, Production Approval and Certificate Management Procedures, dated April 5, 2002, is canceled.
- 4. EXPLANATION OF MAJOR CHANGES.** This revision—
- a. Removes all references to the Manufacturer's Maintenance Facility.
 - b. Modifies the requirement for the FAA to conduct a preliminary district office (DO) audit when a production approval holder (PAH) moves an associate facility or adds a new plant.
 - c. Adds language regarding the use of temporary registration numbers.
 - d. Allows an Approved Production Inspection System (APIS) holder to extend its production approval to an associate facility.
 - e. Adds language regarding the requirement for the FAA to make a determination of undue burden or no undue burden after reviewing the initial production approval application involving non-U.S. manufacturing facilities.
 - f. Clarifies direct ship authorization requirements.
 - g. Reduces the notification period for supplier control audits.
 - h. Clarifies that suppliers to a Technical Standard Order (TSO) authorization holder and/or a Parts Manufacturer Approval (PMA) holder may identify parts.

i. Explains the criteria by which new unused products and parts may be reintroduced into a PAH's quality control or inspection system.

j. Renumbers the Resource Targeting Facility Assessment Sheet.

k. Revises the preparation instructions for FAA Form 8100-6, Noncompliance Record.

l. Incorporates a sample of the current FAA Form 8120-14, Production Approval/Certificate Management Activity Report.

5. ACRONYMS. Acronyms used in this order are as follows:

14 CFR	Title 14, Code of Federal Regulations	
AC	Advisory Circular	
ACO	Aircraft Certification Office	
ACSEP	Aircraft Certification Systems Evaluation Program	
APIS	Approved Production Inspection System	
ASI	Aviation Safety Inspector	
CAA	Civil Aviation Authority	
* CM	Certificate Management	
CMIS	Certificate Management Information System	
CMO	Certificate Management Office	*
CPL	Category Parts List	
DMIR	Designated Manufacturing Inspection Representative	
DO	District Office	
DOA	Delegation Option Authorization	
EEP	Enhanced Enforcement Program	
FAA	Federal Aviation Administration	
FIS	Fabrication Inspection System	
ICSSP	International Cooperative Supplier Surveillance Program	
MIDO	Manufacturing Inspection District Office	
MIO	Manufacturing Inspection Office	

MRB	Material Review Board	
NDT	Nondestructive Testing	
OAC	Original Airworthiness Certificate	
ODAR	Organizational Designated Airworthiness Representative	
PAH	Production Approval Holder	
PC	Production Certificate	
PCB	Production Certification Board	
PI	Principal Inspector	
PLR	Production Limitation Record	
PMA	Parts Manufacturer Approval	
* QC	Quality Control	
SDR	Service Difficulty Report	*
STC	Supplemental Type Certificate	
TC	Type Certificate	
TSO	Technical Standard Order	

6. DEFINITIONS. For the purpose of this order, the following definitions apply:

a. Article. Materials, parts, and/or appliances produced under the provision of a TSO authorization. All references in this order to “parts thereof” include TSO articles, as applicable. An article as specified in 14 CFR § 21.143(a) (which includes any material, part, subassembly, assembly, system, or appliance that is used in the type-certificated product) is referred to herein as a “part thereof.”

b. Associate Facility. This is a facility that has been approved as an extension to an original PAH. This facility is owned and operated by the same corporate management as the original PAH that controls the design and quality of the product or part(s) thereof, except for companies participating in joint-production and/or co-production business agreements. The associate facility must be listed as a manufacturing facility on the production certificate (PC) or the letter of authorization for other production approvals, e.g., APIS, PMA, or TSO authorization (reference chapter 2, section 6 of this order).

c. Audit. A systematic and independent examination to determine compliance of an established supplier system, inspected product or part(s) thereof, or processes with purchase order requirements, technical data, or specifications.

d. Category 1 Product or Part(s) Thereof. A product or part(s) thereof whose failure could prevent continued safe flight and landing; resulting consequences could reduce safety margins, degrade performance, or cause loss of capability to conduct certain flight operations.

e. Category 2 Product or Part(s) Thereof. A product or part(s) thereof whose failure would not prevent continued safe flight and landing; resulting consequences may reduce the capability of the aircraft or the ability of the crew to cope with adverse operating conditions or subsequent failures.

f. Category 3 Product or Part(s) Thereof. A product or part(s) thereof whose failure would have no effect on continued safe flight and landing of the aircraft.

g. Certificate. A document (i.e., a certificate or approval) issued by the FAA that recognizes an applicant's or PAH's established quality control or inspection system and allows for the production of products or parts thereof in accordance with an FAA-approved design.

h. Certificate Management. The method by which the FAA ensures that a PAH remains in compliance with those pertinent regulations that govern the manufacturing of its particular products or parts thereof.

i. Corrective Action. The measures taken to resolve unsatisfactory conditions and to prevent reoccurrence.

j. Days. A reference to calendar days, unless otherwise specified.

k. Distributor. A broker, dealer, reseller, or other person or agency engaged in the sale of parts for installation in type certificated aircraft, aircraft engines, propellers, and in appliances.

l. District Office. The Manufacturing Inspection District Office (MIDO), and where applicable, Certificate Management Office (CMO), having CM responsibility for a defined geographical area.

m. Evaluation. A systematic and independent examination of an established PAH or associated facility system based on the system elements defined in Order 8100.7.

n. Foreign Manufacturer. A person other than an FAA production approval holder who causes a product or part(s) thereof to be produced outside the United States.

o. Group I Facility. A PAH or associate facility identified by resource targeting as having the greatest potential to produce nonconforming products or parts thereof.

p. Group II Facility. A PAH or associate facility identified by resource targeting as having a moderate potential to produce nonconforming products or parts thereof.

q. Group III Facility. A PAH or associate facility identified by resource targeting as having a low potential to produce nonconforming products or parts thereof.

r. Group IV Facility. A PAH or associate facility identified by resource targeting as having little or no potential to produce nonconforming products or parts thereof.

s. Inspection System. The total network of administrative and technical data at an APIS or PMA holder required to control the product or part(s) thereof to 14 CFR.

- t. Internal Procedure.** A PAH's or associate facility's procedures that are not included as part of the FAA-approved data.
- u. Manufacturer.** A person as defined by 14 CFR part 1, Definitions and Abbreviations (part 1), who causes a product or part(s) thereof to be produced. A manufacturer may be a PAH or a supplier to a PAH.
- v. Noncompliance.** A PAH's or associate facility's operating practice that is found to be inconsistent with 14 CFR, FAA-approved data, or internal procedures. A supplier's operating practice found to be inconsistent with a PAH's or associate facility's purchase order requirements is considered to be a noncompliance by the PAH or associate facility.
- w. On-going Certificate Management.** The performance of CM requirements based on resource targeting that may be accomplished on a continuing basis.
- x. Part(s) Thereof.** Any part, material, appliance, system, subassembly, assembly, or software used in a product.
- y. Production Approval.** An authorization, approval, or certificate issued by the FAA that allows a manufacturer to produce products or parts thereof in accordance with FAA-approved design and an FAA-approved quality control or inspection system.
- z. Production Approval Holder.** This is a holder of a PC, APIS, PMA, or TSO authorization who controls the design and quality of a product or part(s) thereof. [A person who has been issued a production approval by the FAA.]
- aa. Principal Inspector.** A manufacturing inspector who has been assigned CM responsibility of a particular PAH or associate facility.
- bb. Produce.** To manufacture, or cause to be manufactured, a product or part(s) thereof.
- cc. Product.** Aircraft, aircraft engine, or propeller.
- dd. Production Certification Board.** An FAA evaluation function consisting of a selected group of FAA specialists acting under the direction of the Production Certification Board (PCB) chairperson for the purpose of determining eligibility of the holder of a type certificate (TC) or supplemental type certificate (STC), or a licensee, for the issuance of a PC.
- ee. Quality Control Data.** Data that provides a description of the quality control system required by part 21 for a PC or TSO authorization holder. These data would encompass the methods, procedures, processes, inspections, tests, specifications, charts, lists, forms, etc., which the PAH employs to produce products or parts thereof.
- ff. Quality Control System.** The total network of administrative and technical data and detailed procedures at a PC or TSO authorization holder required to control the product or part(s) thereof to 14 CFR.
- gg. Random Certificate Management.** The performance of CM tasks that may be accomplished on an as-needed basis.

hh. Random Sampling. A sampling procedure that ensures that each element in a population has an equal chance of being selected.

ii. Resource Targeting. A method of categorizing PAH's and associate facilities that provides for effective FAA CM resource deployment.

jj. Root Cause. The underlying cause of a systemic or recurring noncompliance, usually identified through structured analysis.

kk. Specialist. As related to the facility audit function of PC or APIS Boards, FAA manufacturing inspectors/supervisors or flight test, structures, systems, and/or equipment engineering personnel.

ll. Supplier. Any person, including a distributor, who furnishes parts or related services (at any tier) to an applicant, PAH, or another supplier.

7. FORMS. This order identifies several forms used for the evaluation, approval, and CM of production activities. Some of the forms are provided by AIR-200 in electronic format. Appendix 9, Forms Listing, provides a listing of the forms and their sources.

8. RELATION TO OTHER DIRECTIVES. Orders referenced in this directive list only the basic order number. It is the responsibility of the user to establish that the latest revision/amendments are being utilized.

9. REQUESTS FOR INFORMATION. All public requests for information regarding production approval or CM activities will be processed in accordance with the Freedom of Information Act. Refer to FAA Order 1270.1, Freedom of Information Act Program. Any deficiencies found, clarifications needed, or improvements regarding the content of this order should be forwarded to the Planning and Financial Resources Management Branch, AIR-530, Attention: Directives Management Officer, for consideration. FAA Form 1320-19, Directive Feedback Information, is located on the last page of this order for your convenience or you may obtain it electronically from the FAA Web site. A copy may be forwarded to the Production and Airworthiness Division, AIR-200, Attention: Comments to Order 8120.2. If an interpretation is urgently needed, you may contact AIR-200 for guidance, but you should also use the Form 1320-19 as a follow up to each verbal conversation.

10. AUTHORITY TO CHANGE THIS ORDER. The issuance, revision, or cancellation of the material in this order is the responsibility of the Aircraft Certification Service, Production and Airworthiness Division, AIR-200. This division will accomplish all changes, as required, to carry out the agency's responsibility to provide for production approval and CM.

11. DEVIATIONS. Adherence to the procedures in this order is necessary for uniform administration of this directive material. Any deviations from this guidance material must be coordinated and approved by AIR-200. If a deviation becomes necessary, the FAA employee involved should ensure the deviations are substantiated, documented, and concurred with by the appropriate supervisor. The deviation must be submitted to AIR-200 for review and approval. The limits of federal protection for FAA employees are defined by Title 28 U.S.C. § 2679.

12. ELECTRONIC SIGNATURE. The use of an electronic signature for the issuance of a production certificate and a production limitation record, or a production approval letter (i.e., APIS, PMA, or TSO authorization) is not permitted.

29. REVIEW OF PRODUCTION INSPECTION SYSTEM DATA. When an APIS applicant submits production inspection system data as evidence of compliance with part 21, subpart F, the cognizant MIDO will evaluate these data in accordance with the criteria contained in appendix 1 of this order. Any inadequacies in the data submitted must be identified to the applicant for corrective action. After the data has been reviewed, and any applicable corrective actions taken, the MIDO will accept the production inspection system data submitted by the applicant. The FAA does not approve this data since there is no part 21 requirement for submittal of this data for approval.

30. PROVISIONAL APPROVAL PROCEDURES. Evaluation of the applicant's inspection system should be accomplished by the MIDO, concurrent with conducting conformity inspections and making those airworthiness determinations required of the FAA prior to the issuance of an APIS. It is, therefore, to the advantage of the FAA to evaluate and provisionally approve the inspection system on a progressive basis. As portions of the system are determined to meet the regulatory requirements, the MIDO should:

- a. Maintain a record of those portions of the system considered satisfactory.
- b. Reduce conformity inspections to a spot-check basis for articles covered by the provisionally approved portion of the system.
- c. Place increased emphasis on securing corrective actions on the portions of the system where procedural discrepancies have been found or where the system has been found to be inadequate.

31. PRELIMINARY DO AUDIT. When the MIDO has determined that the applicant has the capability to comply with § 21.125, the MIDO will conduct a DO audit as follows:

a. The DO audit evaluates the applicant's production facilities in accordance with 14 CFR, the FAA-approved design data, and the production inspection system data accepted in paragraph 29 above. The cognizant MIDO manager will select a team to conduct this audit. The team may consist of the cognizant principal inspector (PI) and at least one other manufacturing inspector or the MIDO manager. It is also recommended that an engineer be selected for the team when deemed necessary by the type and complexity of processes and procedures being utilized at the facility. The standardized evaluation criteria contained in Order 8100.7, Aircraft Certification Systems Evaluation Program, may be used as an aid to evaluate compliance. Team members should be advised, however, that some of the evaluation criteria contained therein may not be related to 14 CFR, and therefore may only be evaluated as a best practice. This audit is not considered an Aircraft Certification Systems Evaluation Program (ACSEP) evaluation. Document noncompliances on FAA Form 8100-6, Noncompliance Record. Refer to appendix 7.

b. **Notifying the Applicant.** Upon completion of the DO audit, the MIDO will formally notify the applicant as to any corrective actions necessary to comply with § 21.125. The MIDO should advise the applicant that an APIS Board will be scheduled that could result in a request for additional actions.

c. **Reporting.** The MIDO will prepare FAA Form 8120-14, Production Approval/Certificate Management Activity Report upon completion of the DO audit, and provisional approval of the applicant's inspection system when applicable. The MIDO will provide notification to the directorate office that the Form 8120-14 may be viewed in CMIS. In addition, the MIDO will provide information to the directorate office concerning the applicant's ability to comply with § 21.125. Refer to appendix 8 for a sample Form 8120-14.

32. APIS BOARD. Upon receipt of Form 8120-14 and notification by the MIDO that the applicant is in a position to comply with § 21.125, the directorate office should schedule an APIS Board. The primary objective of this board is to make a final determination as to whether or not the applicant has established a production inspection system that complies with § 21.125 and that is capable of producing products and parts thereof in conformity with the type design and in a condition for safe operation.

a. Conduct of the APIS Board. The directorate office will conduct the APIS board in a manner similar to a PCB, including the use of a Chairman. Use the PCB procedures contained in chapter 2, section 3, part 3 of this order, as appropriate.

b. APIS Board Minutes. Document the APIS Board minutes in the same manner as a PCB, as applicable to the particular situation. Refer to paragraph 49 of this order.

PART 4. ISSUANCE OF AN APIS

33. APIS APPROVAL LETTER.

a. Preparation and Delivery. When the APIS Board has determined and documented that the applicant's complete production inspection system complies with the requirements of part 21, subpart F, the directorate office will prepare a letter approving the production inspection system. Refer to figure 4 for a sample letter. Electronic signature is not permitted. The approval letter should be delivered to the manufacturer by the MIDO or may be forwarded by certified mail when deemed most expeditious.

b. Additions to the APIS. If the APIS holder desires to add another type-certificated product or a new model to the APIS, the MIDO should evaluate any changes to the APIS that may be involved in the manufacture of the new product. Upon receipt of a completed Form 8120-14 and a satisfactory recommendation from the MIDO, the directorate office may then issue a superseding approval letter. The letter should be issued listing the original and the new product(s) and/or model(s). The APIS holder will be requested to return the original letter. The directorate office will annotate the word "Superseded" on the original letter and retain it in the directorate files.

34.-40. RESERVED.

PART 2. PROCESSING AN APPLICATION FOR A PC

44. APPLICATION. Application for a PC is made on Form 8110-12. Refer to figure 3 for a sample form. The applicant must submit the application, accompanied by one copy of the QC procedures showing compliance with § 21.143, to the Manager, Manufacturing Inspection Office (MIO), in the directorate in which the applicant's principal manufacturing facility is located. Refer to paragraph 43d(2)(a)1 and 2 above. Upon receipt of a properly executed Form 8110-12, the MIO manager will forward a copy to the MIDO/CMO. The MIDO/CMO will prepare a letter of acknowledgement, advising the applicant that it has been authorized to initiate a DO audit to determine compliance with applicable regulations. A copy of the letter should be forwarded to the MIO. Refer to figure 5 for a sample letter.

45. PRELIMINARY DO AUDIT. The MIDO/CMO should make arrangements to conduct a DO audit within 30 days after acknowledging the PC application. This audit will be conducted as follows:

a. Evaluate the applicant's QC data for compliance with § 21.143. Additional guidance is provided in appendix 1 of this order. Any inadequacies in the data submitted must be identified to the applicant for corrective action. After the data have been reviewed, and any applicable corrective actions taken, the MIDO/CMO will approve the QC data submitted by the applicant. The approved QC data may be retained in the MIDO/CMO files.

b. Evaluate the applicant's production facilities in accordance with 14 CFR, the FAA-approved design data, and the QC data approved in paragraph 45a above. The cognizant MIDO/CMO manager will select a team to conduct this audit. The team may consist of the cognizant PI and at least one other manufacturing inspector or the MIDO/CMO manager. It is also recommended that an engineer be selected for the team when deemed necessary by the type and complexity of processes and procedures being utilized at the facility. The standardized evaluation criteria contained in Order 8100.7 may be used as an aid to evaluate compliance. Team members should be advised, however, that some of the evaluation criteria contained therein may not be related to 14 CFR, and therefore may only be evaluated as a best practice. This audit is not considered to be an ACSEP evaluation. Noncompliances will be documented on Form 8100-6. Refer to appendix 7.

c. Notifying the Applicant. Upon completion of the DO audit, the MIDO/CMO will formally notify the applicant as to any corrective actions needed to comply with § 21.135. The applicant should be further advised that these items represent only the result of the FAA's preliminary DO audit. Additional requests for corrective actions can be anticipated as a result of subsequent noncompliances, which may be noted during the PCB evaluation activity, as detailed in part 3 below.

d. Reporting. The MIDO/CMO will provide notification to the MIO that the "Preliminary" Form(s) 8100-6 may be viewed in CMIS. The "Preliminary" Form(s) 8100-6 should identify any unresolved items requiring corrective action. In addition, letters issued to the applicant requesting corrective action also may be viewed in the CMIS project folder.

FIGURE 5. SAMPLE PC APPLICATION ACKNOWLEDGEMENT LETTER

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
TRANSPORT AIRPLANE DIRECTORATE
SEATTLE MANUFACTURING INSPECTION DISTRICT OFFICE
2500 EAST VALLEY ROAD, SUITE C-2
RENTON, WASHINGTON 98055-4056

June 10, 1999

ABC Aircraft Company
4954 Airport Drive
Renton, Washington 12345

Production Certification Application Acknowledgement

This will acknowledge receipt of your application dated May 30, 1999, for a Production Certificate. This office has been authorized to initiate a preliminary evaluation of your manufacturing operations, quality control system, and testing procedures. The quality control data, required by Title 14, Code of Federal Regulations (14 CFR), part 21, Certification Procedures for Products and Parts (part 21), section 21.143, and submitted with your application, were forwarded to this office for our utilization in determining compliance with applicable regulations.

Accordingly, your quality control system and manufacturing facilities (including any supplier facilities, as appropriate) will be evaluated by this office to determine compliance with part 21, subpart G. To preclude any misunderstandings, please notify your suppliers as soon as possible that they are subject to FAA evaluations. We will contact you in the near future to advise you of our evaluation schedule.

Subsequent to our preliminary evaluation, a Production Certification Board will be established to make a final determination as to eligibility for issuance of a Production Certificate. This will be accomplished as soon as practicable following our recommendations to the Manager, Manufacturing Inspection Office, Transport Airplane Directorate. You will be given adequate notice so that a date for convening the Production Certification Board at your principal facility can be mutually agreed upon.

Roger C. Moore
Manager, ANM-108S

c. PCB Audit. Following the Pre-Production Board meeting with the applicant, the PCB should evaluate the applicant's QC data and perform an on-site evaluation of the applicant's QC system, organization, production facility, and any suppliers, as deemed appropriate. Refer to paragraph 45 above for audit procedures.

d. Internal FAA PCB Meetings. Board meetings, attended by all board participants, will be conducted as needed to discuss and evaluate each unsatisfactory condition submitted by each member.

e. Recording Unsatisfactory Conditions. All unsatisfactory conditions will be recorded on Form(s) 8100-6 and 8120-14. Refer to appendixes 7 and 8 of this order. *

f. Final PCB Meeting. A final meeting, attended by all PCB members and representatives of the applicant, will be held to advise the applicant of the PCB findings. Each unsatisfactory condition should be presented and discussed briefly.

(1) Corrective Action. In those instances where a product is being produced under a TC only, the PC applicant must be requested to commence immediate corrective action on those items that directly involve the product and related QC practices. A reasonable time may be allowed for correcting deficiencies in the QC data. However, the applicant must be advised that the PCB cannot recommend that a PC be issued unless all applicable regulations are complied with and until the MIDO/CMO has evaluated all corrective actions and found them to be satisfactory.

(2) Formal Confirmation. The applicant must also be advised that an official letter will be sent confirming the verbal presentation of the list of unsatisfactory conditions. This formal notification should be prepared by the PI for the signature of the Chairman of the Board, within ten working days following the final meeting with the manufacturer.

(3) Violations. If the PC applicant is manufacturing a product under a TC only, and any of the unsatisfactory conditions are determined to be violations to part 21, subpart F, appropriate enforcement actions should be initiated by the MIDO/CMO in accordance with FAA Order 2150.3.

g. Final Phase of PCB. The final phase of a PCB is the evaluation by the MIDO/CMO of the corrective action taken by the applicant. The results of the reinspection should be reported to the Chairman of the Board using Form 8120-14. Refer to appendix 8 of this order. *

h. PCB Conclusion. The MIDO/CMO will formally advise the applicant in writing, as soon as practicable, that a PC will be issued based on a showing of compliance to § 21.135, or that a PC will not be issued if there is failure to show compliance with § 21.135. The MIDO/CMO will provide notification to the MIO that the letter has been issued and may be viewed in the CMIS project folder. *

49. PCB MINUTES. The MIDO/CMO will prepare the PCB minutes for the signature of the Chairman. The minutes should encompass a concise record of the entire PCB proceedings, including the names and titles of all participants.

a. All correspondence relating to the PCB, including letters to the applicant, replies, etc., are considered to be part of the minutes and should be attached as appendixes.

b. All Form(s) 8100-6 and 8120-14, or printed copy of electronic equivalent, should also be attached to the PCB minutes as a separate appendix.

c. Distribution of PCB Minutes. The PCB minutes should be distributed as follows:

(1) Original to the directorate office involved. In accordance with Manual FAA-IR-04-01, Aircraft Certification Service Records Management Requirements Manual, destruction of the original is not authorized.

(2) One copy to the cognizant MIDO/CMO that participated in the PCB.

50. PCB ADJOURNMENT. The PCB will be adjourned when the PCB minutes are accepted by the Chairman and distributed to the board members.

PART 4. ISSUANCE OF PRODUCTION CERTIFICATE AND PRODUCTION LIMITATION RECORD

51. PREPARATION AND DELIVERY OF PC AND PLR. Upon a finding by the PCB that the PC applicant's QC data/system, organization, and facilities comply with § 21.135, the MIDO/CMO will prepare Form 8120-4 and FAA Form 8120-3, Production Limitation Record, for the signature of the MIO Manager. Refer to figures 6 and 7 for sample forms. Signature authority for the PC and PLR may be delegated to the PCB Chairman. Electronic signature is not permitted. Delivery of the PC and PLR should be in person by the PI; however, if this procedure will result in an undue delay, the PC and PLR may be sent to the PC holder by certified mail. Whichever method of delivery is used, it is essential that the PC holder be advised of the PC display requirements and of the PC responsibilities by a letter. Refer * to figure 8 for a sample letter.

a. PC. The PC will be consecutively numbered within each directorate; e.g., PC-6CE would indicate that the PC was the sixth one issued by the Small Airplane Directorate. However, numbers issued prior to the date of this order need not be changed. Each directorate should establish and maintain a summary of PC's issued and a listing of changes made thereto. *

NOTE: When a PC is issued based on a licensing agreement that is for a specific period of time, it must be indicated on Form 8120-4 under "Duration."

b. PLR. The PLR will include the TC and model number of each product authorized for production, and the date that production was authorized.

(1) **Additions to the PLR.** If a PC holder desires to add a new TC or new model under an existing TC to the PLR, the PC holder must make application in the same manner as for the original issuance. In this instance, it is not normally necessary to establish a PCB. In place of the PCB, the MIDO/CMO should conduct an audit using the guidelines in paragraph 45, as appropriate, to determine whether the QC system is adequate or has been appropriately changed to ensure positive control of the product to be added to the PLR. When changes to the QC system are substantial, the PI may elect to request a nonscheduled ACSEP evaluation to make this determination. Refer to Order 8100.7. The MIDO/CMO having CM responsibility may issue revisions to the PLR to include new products or models, when authorized.

b. Evaluate the applicant's production facilities in accordance with 14 CFR, the FAA-approved design data, and the QC data approved in paragraph 61a above. The cognizant MIDO manager will select a team to conduct this audit. The team may consist of the cognizant PI and at least one other manufacturing inspector or the MIDO manager. It is also recommended that an engineer be selected for the team when deemed necessary by the type and complexity of processes and procedures being utilized at the facility. The standardized evaluation criteria contained in Order 8100.7 may be used as an aid to evaluate compliance. Team members should be advised, however, that some of the evaluation criteria contained therein may not be related to 14 CFR, and therefore may only be evaluated as a best practice. This audit is not considered to be an ACSEP evaluation. Record all noncompliances on Form(s) 8100-6 and 8120-14. Refer to appendixes 7 and 8 of this order.

c. Reporting. The MIDO will advise the ACO concerning the results of the DO audit. Any unresolved items requiring corrective action should be identified and copies of letters to the applicant requesting corrective action will be provided.

PART 3. ISSUANCE OF A TSO AUTHORIZATION OR LETTER OF TSO DESIGN APPROVAL

62. TSO LETTER OF AUTHORIZATION. Upon a showing of compliance with part 21, subpart O, the cognizant ACO will issue a letter in accordance with established procedures. Electronic signature is not permitted. This letter should be amended, as appropriate, to reflect subsequent additions to a manufacturer's original TSO authorization, after appropriate coordination between the ACO and MIDO in determining the need for a DO audit.

63. LETTER OF TSO DESIGN APPROVAL. The cognizant ACO may issue a letter of TSO design approval for an import appliance to a foreign manufacturer located in a country with which the United States has an agreement that provides for the reciprocal acceptance of appliances, provided the following criteria are met:

a. The CAA of the country in which the appliance will be manufactured certifies to the FAA that the design of the particular appliance meets the pertinent design requirements of the specific TSO.

b. The CAA is advised that each appliance produced under the provisions of the TSO design approval and exported to the United States must be accompanied by a certificate of airworthiness for export as specified in § 21.502.

64.-67. RESERVED.

SECTION 5. PARTS MANUFACTURER APPROVAL (SPECIAL GUIDANCE)

68. GENERAL. The guidance relative to the issuance of a PMA is located in FAA Order 8110.42, Parts Manufacturer Approval Procedures. The subjects and procedures in this section provide supplemental guidance to that order.

69. MARKING DETAIL PARTS OF PMA ASSEMBLIES. PMA part markings required by § 45.15 are applied to the top-level assembly of the approved replacement or modification part. Marking subassemblies or individual detail parts is not required. For example, if the PMA were approved for a hydraulic pump, the PMA marking would be affixed to the completed assembly. It is not required that each individual subassembly or detail part within the assembly be marked with FAA-PMA, unless it is being produced under its own PMA. If a PMA is granted for an assembly, individual detail parts of the assembly sold separately must be accompanied by a shipping document containing the information required by § 45.15 and will identify the PMA assembly for which they are eligible. The part marking requirements for detail parts that are sold by the original PMA holder for installation into its related PMA assemblies, may be found within the applicable design data for the assembly. This provides traceability of the individual detail parts to their related PMA assemblies.

70. IDENTIFICATION MARKING OF REPLACEMENT AND MODIFICATION PARTS PRODUCED PURSUANT TO THE ENHANCED ENFORCEMENT PROGRAM (EEP) AS PUBLISHED IN FEDERAL REGISTER NOTICE, FEBRUARY 27, 1995. Section 45.15 states that each person who produces a replacement or modification part under a PMA issued under § 21.303 will permanently and legibly mark the part. Parts produced without a PMA, such as parts produced under the EEP, were not produced under § 21.303 and therefore are not eligible for marking in accordance with § 45.15. Although parts produced under the authority of the EEP are not eligible for part marking, these parts were considered acceptable for sale/installation under the provisions of § 21.305(d). Section 21.305(d) allows parts to be approved in any manner approved by the FAA Administrator. Parts produced under the authority of the EEP continue to be acceptable subsequent to the expiration of the EEP.

71. SUPPLIER MARKING OF PMA PARTS. Suppliers to PMA holders can identify parts with PMA markings provided the PMA approval holder adequately controls those suppliers as part of its quality system. Suppliers that mark parts should be treated the same as any other supplier furnishing parts or services, using supplier control procedures as part of the quality system. MIDOs may require that specific part marking controls be included in these procedures, along with any additional conditions that may be necessary for suppliers with direct-ship authorization.

72.–84. RESERVED.

c. Supplier control audit list (refer to chapter 3, section 2 of this order).

d. Continuous improvement program (refer to chapter 1 of this order).

* e. Dissemination of general CM-related information.

99. STATUS OF A PAH. For purposes of CM, the status of a PAH and its applicable project(s) can be * identified as one of the following:

a. Pending. The FAA has received the production approval application and is in the process of evaluating it, but has not yet issued the production approval.

b. Active. The FAA has issued the production approval and the PAH has produced and/or shipped products or parts within the past 12 months.

c. Inactive. The FAA has determined that the PAH has not produced or shipped products or parts within the past 12 months.

d. Canceled. The FAA has completed action to revoke or otherwise terminate the PAH's production approval.

100.-102. RESERVED.

SECTION 2. ONGOING CM RESPONSIBILITIES

PART 1. INTRODUCTION

103. GENERAL. Parts 2 through 6 of this section provide detailed guidance for accomplishing ongoing CM responsibilities. Figure 10 of this order provides a graphic summary of the tasks associated with ongoing CM. These tasks are accomplished on a continuing basis, and are minimum requirements only. Tasks beyond the specified frequency may be performed at the discretion of the managing office when required to ensure continued operational safety.

**FIGURE 10. CERTIFICATE MANAGEMENT RESPONSIBILITIES (ONGOING)
Minimum Requirements**

ONGOING CM RESPONSIBILITY	GROUP I FACILITY			GROUP II FACILITY		
	CAT 1	CAT 2	CAT 3	CAT 1	CAT 2	CAT 3
Resource Targeting Assessment	During PI evaluations	During PI evaluations	During PI evaluations	During PI evaluations	During PI evaluations	During PI evaluations
PI Evaluations	1 every 3 months (See Note 1)	1 every 3 months (See Note 1)	1 every 12 months (See Note 2)	1 every 6 months (See Note 1)	1 every 6 months (See Note 1)	1 every 12 months (See Note 2)
Supplier Control Audit	4 suppliers annually	2 suppliers annually		2 suppliers annually	2 suppliers annually	
Product Audits	2 every 12 months in conjunction w/PI evaluations; also during ACSEP evaluations	1 every 12 months in conjunction w/PI evaluations; also during ACSEP evaluations		1 every 12 months in conjunction w/PI evaluations; also during ACSEP evaluations	During ACSEP evaluations only	
ACSEP Evaluations	18-24 months	24-36 months		24-36 months	32-48 months	
ONGOING CM RESPONSIBILITY	GROUP III FACILITY			GROUP IV FACILITY		
	CAT 1	CAT 2	CAT 3	CAT 3		
Resource Targeting Assessment	During PI evaluations	During PI evaluations	During PI evaluations; by telephone in outyears	During PI evaluations; by telephone in outyears		
PI Evaluations	1 every 12 months (See Notes 1 & 2)	1 every 12 months (See Notes 1 & 2)	1 every 24 months (See Notes 2 & 3)	1 every 36 months (See Notes 2 & 3)		
Supplier Control Audit						
Product Audits	During ACSEP evaluations only	During ACSEP evaluations only				
ACSEP Evaluations	32-48 months	42-60 months				

General Note: Functions associated with shaded blocks are optional based on justified need (e.g., evaluation results, history, investigation, or service difficulties).

Note 1: Evaluation of ALL system elements/subelements APPLICABLE at the specific facility WILL BE completed in the interval between ACSEP evaluations.

Note 2: Evaluation of the top four noncompliant system elements/subelements applicable at the facility, as identified by the current annual ACSEP report.

Note 3: One-half of all Group III Category 3 facilities will be evaluated annually. One-third of all Group IV facilities will be evaluated annually.

104. CERTIFICATE MANAGEMENT PLAN. A CM plan assists the PI in planning and tracking the performance of ongoing CM responsibilities. Each MIDO/CMO may prepare a CM plan annually for each PAH and associate facility after resource targeting has been completed, within a timeframe established by the MIO. The MIDO/CMO may subsequently amend the CM plan as necessary to include additional or reduced requirements and schedule changes. As a minimum, the CM plan should include the following:

- a. Name of PAH or associate facility.
- b. Current resource targeting group and category.
- c. Schedules for PI evaluations, ACSEP evaluations, product audits, and supplier control audits to be conducted within the geographical boundaries of the MIDO/CMO. For supplier control audits, and product audits at suppliers, include the names of the suppliers.
- d. List of hand-offs or CAA requests sent, including, as a minimum, the name of the geographic MIDO/CMO that has accepted the hand-off or the CAA that has accepted the request, the type of audit requested, the name of the facility receiving the audit, and the name of the responsible PAH or associate facility.
- e. List of hand-offs or CAA requests received, including, as a minimum, the name of the geographic MIDO/CMO or CAA that has requested the hand-off, the type of audit or surveillance requested, and the name of the applicable facility.

105. COORDINATION OF AUDIT ACTIVITIES WITH OTHER CAA'S. AIR-200 has developed management plans with certain CAA's that permit those CAA's to conduct audit activity on the FAA's behalf, in accordance with FAA Order 8120.13, International Cooperative Supplier Surveillance Program Procedures. The management plans with the current International Cooperative Supplier Surveillance Program (ICSSP) participants may be found on the CM bulletin board. Audit activity conducted outside the United States will be handled in accordance with Order 8120.13 when the local authority is a program participant. However, if the FAA must conduct the supplier control audits or product audits in a country that is not an ICSSP participant or that is a participant but will not support the requested activity, the PI will perform the following activities:

a. Notify the responsible CAA and invite CAA participation as an observer. Prepare a formal letter signed by the directorate manager, or delegated signatory. The letter should be addressed to the Production contact for the CAA. A list of CAA's and respective contacts is available from the International Policy Office, AIR-40. Send an electronic facsimile (FAX) of the letter 45 days prior to the audit, followed by the formal letter. Notify the CAA of any changes in the audit's schedule. The CAA's participation in the audit is not mandatory, and the choice to provide an observer is at its discretion. The letter should include the following information, as a minimum:

- (1) Identity of the facility to be audited.
- (2) Type of audit to be conducted (supplier control audit, product audit, or both). Provide a general outline of what will be included in the audit.
- (3) Date(s) of the audit.
- (4) Number of FAA auditors participating in the audit.

(5) Name, address, telephone number, and e-mail address of responsible PI.

b. Provide the managing office with details of any finding or observation (noncompliance) encountered during the audit. For example, if there is a trend showing recurring test failures or nonconforming articles, it may be evidence of a system breakdown or a compliance problem at that facility. The managing office will determine if there are any system issues or major problems that should be forwarded to the applicable CAA for its consideration.

* **106. RECORDING NONCOMPLIANCES.** The PI will record all noncompliances, including those reported by a CAA while performing CM activities for the FAA, on Form 8100-6, in accordance with paragraph 1b and the guidelines listed in appendix 7 of this order. The FAA will notify a PAH of noncompliances found at its supplier. For all other circumstances, the FAA will not reveal noncompliances to a manufacturer other than the particular manufacturer involved unless a formal request has been processed in accordance with the Freedom of Information Act. Reference Order 1270.1. *

107. RESERVED.

PART 2. RESOURCE TARGETING

108. RESOURCE TARGETING MODEL. In the interest of safety and effective resource allocation, a resource targeting model has been developed to identify critical impact indicators that serve to categorize facilities according to their potential for producing nonconforming products or parts thereof. The FAA will assess annually each facility subject to resource targeting based on the critical impact indicators. As a result, the resource targeting model places each facility into one of four resource targeting groups according to the potential for producing nonconforming products or parts thereof. Each directorate will use the resource targeting model and its application procedures to provide a rational and justifiable basis for effective deployment of FAA resources for ongoing CM responsibilities.

109. SCOPE. Holders of an APIS, PC, PMA, and/or TSO authorization and their associate facilities are subject to resource targeting assessment. Suppliers, delegated facilities, holders of a letter of TSO design approval, and PAH's in an inactive status are not subject to resource targeting.

110. RESOURCE TARGETING GROUPS. Resource targeting assessment of each applicable facility is based on 21 indicators that demonstrate a facility's potential for producing nonconforming products or parts thereof. See appendix 3 of this order. The assessment is also based on the category of the products or parts thereof produced. See paragraph 111 below. Resource targeting assessment results in placing a facility into one of the following resource targeting groups:

- a. **Group I:** Facilities with greatest potential to produce nonconforming products or parts thereof.
- b. **Group II:** Facilities with moderate potential to produce nonconforming products or parts thereof.
- c. **Group III:** Facilities with low potential to produce nonconforming products or parts thereof.
- d. **Group IV:** Facilities with little or no potential to produce nonconforming products or parts thereof.

111. RESOURCE TARGETING CATEGORIES. Resource targeting categories are identified as category 1, category 2, and category 3, with category 1 being the highest and category 3 being the lowest. The overall category of a facility is based on the highest category product or part(s) thereof produced by the facility. Each of the categories is defined as follows:

a. Category 1: Failure could prevent continued safe flight and landing; resulting consequences could reduce safety margins, degrade performance, or cause loss of capability to conduct certain flight operations.

b. Category 2: Failure would not prevent continued safe flight and landing; resulting consequences may reduce the capability of the aircraft or the ability of the crew to cope with adverse operating conditions or subsequent failures.

c. Category 3: Failure would have no effect on continued safe flight and landing of the aircraft.

112. RESOURCE TARGETING ASSESSMENT OF FACILITIES. The FAA will assess facilities annually. Document facility assessment on AIR Form 8120-9, Resource Targeting Facility Assessment Sheet. Refer to figure 11 for a sample form.

a. Assessment of facilities and completion of AIR Form 8120-9 will be completed annually no later than April 30.

b. The validity of the information entered on AIR Form 8120-9 is dependent upon the PI's knowledge of the status of each facility being assessed. To this end, the PI should collect the information required to complete AIR Form 8120-9 any time the PI is in the facility, or by telephone for Group III Category 3 and Group IV facilities in those years when PI evaluations are not scheduled. For a new facility, information obtained during the DO audit should be utilized.

c. The PI will use the Category Parts List (CPL) described in appendix 4 of this order to determine the category of products or parts thereof produced at each facility and to determine the overall category of each facility.

d. When appropriate, the PI should contact each facility in order to obtain current or clarifying information relevant to the resource targeting company/facility indicators being assessed. The PI should contact each facility previously designated as inactive to determine whether the facility's status has changed.

e. The PI will complete AIR Form 8120-9 in accordance with the instructions provided in CMIS.

f. The MIDO/CMO manager will review each completed AIR Form 8120-9 for agreement with the PI's assessment ratings of the resource targeting indicators and unit criticality. To the greatest extent possible, the PI and MIDO/CMO manager should agree on the final assessment ratings for each indicator and unit criticality. The MIDO/CMO manager will indicate approval of AIR Form 8120-9 in accordance with the instructions provided in CMIS.

*

FIGURE 11. SAMPLE AIR FORM 8120-9



Resource Targeting Facility Assessment Sheet

U.S. Department of Transportation
Federal Aviation Administration

Facility Name: XYZ Aircraft Company

Project #: PA9999CE
MIDO/CMO: Orlando

Response Date: 3/11/05

Principal Inspector: Smith

1.	Change in Key Management	C
2.	Turnover of Critical Staff	C
3.	Reduction in Workforce/Layoffs	C
4.	Expansion or Growth	B
5.	Merger or Takeover	C
6.	ACSEP or PI/CM Noncompliances	C
7.	Civil Penalties	C
8.	Corrective Response History	C
9.	Cost of Quality	C
10.	Service Difficulties	C
11.	Complex Manufacturing Process	B
12.	Complex Product, Part, or Appliance	B
13.	New Manufacturing Process	C
14.	New/Emerging Technology	B
15.	Production Volume	B
16.	Product Continuity	B
17.	QC System Changes	C
18.	Engineering/Design Changes	B
19.	Increased Inspection Delegation to Suppliers	C
20.	Increased Use of Foreign Suppliers	A
21.	New Design in Production	B

Criticality: Category 1 Product, Part or Appliance

Key:

A) Applicable to company/facility for this rating period, increased potential for nonconforming products, parts, or services

B) Applicable to company/facility for this rating period, no increased potential for nonconforming products, parts, or services

C) Not applicable to company/facility for this rating period

AIR Form 8120-9 (06-05)

FOR OFFICIAL USE ONLY (when filled in)
Public availability to be determined under 5 U.S.C. 552

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FIGURE 11. SAMPLE AIR FORM 8120-9 (CONT'D)

Facility Name: XYZ Aircraft Company		Response Date: 3/11/05
Project #: PA9999CE		
MIDO/CMO: Orlando		Principal Inspector: Smith
<hr/>		
Principal Inspector:	<i>John Smith</i>	Date: 4/30/05
MIDO/CMO Manager:	Mary Doe	Date: 4/30/05
Assigned resource targeting group:		II

AIR Form 8120-9 (06-05)

FOR OFFICIAL USE ONLY (when filled in)
Public availability to be determined under 5 U.S.C. 552

*

* **113. IDENTIFICATION OF RESOURCE TARGETING GROUPS.** The MIO manager will score AIR Form 8120-9 in accordance with the instructions provided in CMIS. The MIO manager may delegate the scoring of AIR Form 8120-9 to the respective MIDO/CMO manager. After the scoring of AIR Form 8120-9, the PI may access CMIS to obtain the resource targeting group assigned by the resource targeting model. The PI also may use CMIS to access a Directorate Report and an Office Report. Refer to appendix 5 of this order.

114. MODIFICATION OF RESOURCE TARGETING GROUPS. Circumstances may arise following the annual identification of resource targeting groups that may challenge the assigned resource targeting group for a specific facility. When any of the following conditions occur at a facility after a resource targeting group has been assigned, the PI should complete a new AIR Form 8120-9 in accordance with the instructions provided in CMIS. Refer to appendix 3 for assistance in determining the significance of the following conditions: *

- a. Unit criticality changes from category 1 or 2 to category 3.
- b. Unit criticality changes from category 3 to category 1 or 2.
- c. Significant change in key management.
- d. Significant turnover of critical staff.
- e. Significant increase or reduction in workforce.
- f. Deliberate non-responsiveness to corrective action requests.
- g. Significant service difficulties attributed to manufacturing or quality problems.
- h. Addition of a complex manufacturing process.
- i. Addition of a complex product or part(s) thereof.
- j. Significant quality or inspection system changes.
- k. Significant increase in the use of foreign suppliers.
- l. Movement or shift of production location or volume.
- * m. Expiration of a labor contract; potential labor unrest.

115. RESOURCE TARGETING MODEL VALIDATION PLAN. The objective of resource targeting is to effectively deploy FAA resources to those facilities that have the greatest potential to produce nonconforming products or parts thereof. The FAA has planned several validation tasks to ensure that this objective remains viable. Appendix 6 describes the details of the validation plan. *

* **116. MODIFICATION OF THE RESOURCE TARGETING MODEL.** The resource targeting model is comprised of several quantitative factors that result in categorizing facilities according to their potential to produce nonconforming products or parts thereof. The resource targeting model validation plan periodically reviews many of these factors. Any proposed modifications to the resource targeting model as a result of validation, or other source, will be processed in accordance with the continuous improvement program referenced in paragraph 13 of this order, and any relevant supplemental policy. All substantive proposed changes to the resource targeting model that result from the continuous improvement program, i.e., changes to indicator assessment criteria, indicator point weights, factor level rating scales, factor level combinations, and resource targeting group assignment decision rules, require formal Aircraft Certification Management Team approval. AIR-200 will coordinate the implementation of any changes to the model, including development and dissemination of revised program guidance or other documentation, updated resource targeting application software, and revised resource targeting program training materials. *

* **117.-122. RESERVED.** *

PART 3. DETERMINING SUPPLIER CONTROL BY A PAH OR ASSOCIATE FACILITY

123. GENERAL. A PAH or associate facility may utilize suppliers when it has established an FAA-approved QC or inspection system that provides assurance that all parts or services furnished by its suppliers are in compliance with its particular production approval and 14 CFR. The PAH or associate facility should:

a. Ensure that each completed product or part(s) thereof conforms to the approved design data and is in a condition for safe operation. This responsibility is applicable without regard to:

- (1) Where the supplier may be located.
- (2) Whether the parts received by the PAH or associate facility are also FAA-approved (PMA or TSO).
- (3) Whether materials are accompanied by airworthiness approval tags, or their equivalent, issued by the CAA of a bilateral country.
- (4) Whether materials or equipment are supplied by the end product purchaser (customer-furnished equipment, buyer-furnished equipment, or government-furnished equipment).
- (5) Whether the FAA performs an audit at the supplier.
- (6) Whether the parts received by the PAH or associate facility are standard parts.
- (7) Whether the supplier has been delegated major inspection authority.
- (8) Whether the quality data received from the supplier are in English.

b. Place special emphasis on controlling those suppliers that the PAH has authorized to ship directly to a user/operator. Suppliers may ship replacement and modification parts directly to the user/operator without the parts first being processed through the PAH's or associate facility's receiving inspection facilities only if the PAH or associate facility:

(1) Authorizes to the supplier, in writing, the authority to ship directly to a user/operator. An individual written authorization is not required for each direct shipment. The authorization may include limitations such as specific part number(s), time periods, or particular user/operators. This authorization will be maintained by the PAH or associate facility for review by the cognizant MIDO/CMO.

(2) Includes, in its FAA-approved quality control or inspection system, controls to compensate for the absence of inspection normally conducted at the PAH's or associate facility's location, e.g., receiving inspection and test. Compensating factors should include on-site evaluations of the supplier and the inspection of the part at the supplier by:

(a) The PAH or associate facility, or

(b) The supplier under a delegated inspection authority from the PAH or associate facility.

(3) Ensures that each part so shipped is accompanied by a shipping ticket, invoice, or other document containing a declaration that the individual part was produced under the terms of the production approval, and that inspection/acceptance has been accomplished by either the PAH/associate facility or by delegated inspection authority. The shipping document for parts manufactured under PMA, PC, APIS, and TC Only also should identify the product on which the part is eligible for installation. The shipping document for subcomponents manufactured for TSO articles should contain the TSO number. When FAA Form 8130-3, Airworthiness Approval Tag, is used for this purpose, the direct ship authorization will be annotated in accordance with FAA Order 8130.21, Procedures for Completion and Use of FAA Form 8130-3, Authorized Release Certificate, Airworthiness Approval Tag.

(4) Provides the appropriate part marking information to the supplier.

(5) Advises its cognizant MIDO/CMO of each direct ship authorization.

c. Take measures to prevent suppliers from manufacturing parts without proper authority. For example, the PAH could limit projected overruns and request, in its contract with the supplier, that any unnecessary overrun parts be scrapped. The PAH may also include a clause in its contract that no parts are to be sold under any circumstances other than those described in the contract.

d. Make available to the FAA a current list of its suppliers.

e. Notify its suppliers that its facilities are subject to FAA CM.

124. CERTIFICATE MANAGEMENT ACTIVITY. The FAA does not approve suppliers. However, the PI should review a PAH's or associate facility's list of suppliers to determine if the location of a supplier outside the United States will place any undue burden on the FAA in administering part 21. A determination of undue burden is cause for rejecting the use of a supplier by the PAH or associate facility. Certificate management activity will be focused on the PAH's or associate facility's control of its suppliers, since the PAH or associate facility is totally responsible for all of its supplier-furnished parts and services. The FAA will determine if a PAH or associate facility is complying with its supplier control system by performing the following activities:

a. PI Evaluation. Refer to part 4 of this section. Specifically, the PI will use the ACSEP supplier control system element criteria from Order 8100.7 to determine if a PAH or associate facility is complying with its supplier control system.

b. Supplier Control Audit. Refer to part 6 of this section. Specifically, the PI will determine that the supplier complies with purchase order and /or quality requirements. In some instances, this activity may be handed off to another MIDO/CMO, or may require CAA assistance.

125. DETERMINATION OF SUPPLIER CONTROL. The PI may determine whether a PAH or associate facility is controlling its suppliers by reviewing the results of the PI evaluation at the PAH or associate facility, when applicable, and the results of the supplier control audits at the selected PAH/associate facility suppliers, including the results of all applicable CAA audits. This review should take place immediately following the last scheduled supplier control audit, or the PI evaluation, whichever occurs last. The PI should look for evidence that may indicate a system breakdown in supplier control by the PAH or associate facility. Request corrective action for a system breakdown in accordance with section 3, part 5, of this chapter.

126.-128. RESERVED.

PART 4. PRINCIPAL INSPECTOR EVALUATION

129. GENERAL. A PI evaluation is an evaluation conducted by a PI at a PAH or associate facility, normally by the PI assigned CM responsibility. If specific expertise is required during a PI evaluation, the PI should advise the MIDO/CMO manager. A PI evaluation will be scheduled using the resource targeting assessment group and category assignment determined under part 2 of this section. Refer also to figure 10 of this order. ACSEP system element criteria from Order 8100.7 will be used to conduct PI evaluations. The PI evaluation will be scheduled and conducted as follows:

NOTE: The scheduling requirements listed in paragraphs a through d below are considered to be the minimum requirements. A MIDO/CMO may schedule additional PI evaluations at specific facilities when required to ensure continued operational safety.

a. Group I Facility.

(1) Category 1 or 2 Facility.

(a) A PI evaluation will be conducted at each category 1 or 2 facility at least once every three months.

(b) Evaluation of ALL system elements/subelements APPLICABLE at the specific facility WILL BE completed at least once in the interval between ACSEP evaluations (i.e., 18-24 months and 24-36 months, respectively). A few of the system elements/subelements should be evaluated during each PI evaluation. Initial emphasis should be placed on evaluation of the top four noncompliant system elements/subelements applicable at the facility, as identified by the current annual ACSEP report.

(2) Category 3 Facility.

(a) A PI evaluation will be conducted at each category 3 facility at least once every 12 months.

(b) Evaluation of the top four noncompliant system elements/subelements applicable at the facility, as identified by the current annual ACSEP report, WILL BE completed at least once in the 12-month period.

b. Group II Facility.

(1) Category 1 or 2 Facility.

(a) A PI evaluation will be conducted at each category 1 or 2 facility at least once every six months.

(b) Evaluation of ALL system elements/subelements APPLICABLE at the specific facility WILL BE completed at least once in the interval between ACSEP evaluations (i.e., 24-36 months and 32-48 months, respectively). A few of the system elements/subelements should be evaluated during each PI evaluation. Initial emphasis should be placed on evaluation of the top four noncompliant system elements/subelements applicable at the facility, as identified by the current annual ACSEP report.

(2) Category 3 Facility.

(a) A PI evaluation will be conducted at each category 3 facility at least once every 12 months.

(b) Evaluation of the top four noncompliant system elements/subelements applicable at the facility, as identified by the current annual ACSEP report, WILL BE completed at least once in the 12-month period.

c. Group III Facility.

(1) Category 1 or 2 Facility.

(a) A PI evaluation will be conducted at each category 1 or 2 facility at least once every 12 months.

(b) Evaluation of ALL system elements/subelements APPLICABLE at the specific facility WILL BE completed at least once in the interval between ACSEP evaluations (i.e., 32-48 months and 42-60 months, respectively). A few of the system elements/subelements should be evaluated during each PI evaluation. Initial emphasis should be placed on evaluation of the top four noncompliant system elements/subelements applicable at the facility, as identified by the current annual ACSEP report.

(2) Category 3 Facility.

(a) A PI evaluation will be scheduled so as to evaluate one-half of all Group III Category 3 facilities one year, and the other half the following year. This will result in a facility being evaluated at least once every 24 months.

(b) Evaluation of the top four noncompliant system elements/subelements applicable at the facility, as identified by the current annual ACSEP report, WILL BE completed at least once in the 24-month period.

d. Group IV Category 3 Facility.

NOTE: There are no Category 1 and 2 facilities possible in Group IV using the resource targeting software.

(1) A PI evaluation will be scheduled so as to evaluate one-third of all Group IV Category 3 facilities one year, one-third the following year, and the remaining one-third the next year. This will result in a facility being evaluated at least once every 36 months.

(2) Evaluation of the top four noncompliant system elements/subelements applicable at the facility, as identified by the current annual ACSEP report, WILL BE completed at least once in the 36-month period.

- * **130. RECORDING A PI EVALUATION.** Record a PI evaluation on Form 8120-14. Complete one form for each PI evaluation conducted. Prepare this form in accordance with appendix 8 of this order. Document noncompliances on Form 8100-6. Refer to appendix 7 of this order. *

131.-134. RESERVED.

PART 5. AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM EVALUATION

135. GENERAL. An ACSEP evaluation is an integral part of the ongoing CM responsibilities. Specific guidance concerning an ACSEP evaluation is contained in Order 8100.7. Evaluations will be scheduled using the resource targeting assessment group and category assignment determined under part 2 of this section. Refer also to figure 10 of this order. The ACSEP evaluation will be scheduled as follows:

NOTE: The scheduling requirements listed in paragraphs a through d below are considered to be the minimum requirements. A MIDO/CMO may schedule additional ACSEP evaluations at specific facilities when required to ensure continued operational safety.

a. Group I Facility.

(1) **Category 1 Facility.** An ACSEP evaluation will be conducted at each category 1 facility at least once every 18 to 24 months.

(2) **Category 2 Facility.** An ACSEP evaluation will be conducted at each category 2 facility at least once every 24 to 36 months.

(3) **Category 3 Facility.** An ACSEP evaluation is not required.

b. Group II Facility.

(1) **Category 1 Facility.** An ACSEP evaluation will be conducted at each category 1 facility at least once every 24 to 36 months.

(2) **Category 2 Facility.** An ACSEP evaluation will be conducted at each category 2 facility at least once every 32 to 48 months.

(3) **Category 3 Facility.** An ACSEP evaluation is not required.

c. Group III Facility.

(1) **Category 1 Facility.** An ACSEP evaluation will be conducted at each category 1 facility at least once every 32 to 48 months.

(2) **Category 2 Facility.** An ACSEP evaluation will be conducted at each category 2 facility at least once every 42 to 60 months.

(3) **Category 3 Facility.** An ACSEP evaluation is not required.

d. Group IV Facility. An ACSEP evaluation is not required.

136.-138. RESERVED.

PART 6. SUPPLIER CONTROL AUDIT

139. GENERAL. A supplier control audit is conducted as part of the CM of the PAH or associate facility, that evaluates the system established to control the parts, materials, supplies, and services provided by outside sources. This audit is conducted by the MIDO/CMO assigned CM responsibility for the PAH or associate facility. If specific expertise is required during this audit, the PI should advise the MIDO/CMO manager. If a supplier control audit is required in another geographic MIDO/CMO, the PI will comply with the hand-off procedures in paragraph 97 above. A supplier control audit is applicable to suppliers of a PAH or associate facility as determined by the selection process identified in paragraph 140a below. The supplier control audit will determine that the supplier complies with purchase order and /or quality requirements, including any statistical sampling that may be utilized. The PI should prepare an audit checklist for each supplier to be audited based on the applicable purchase order and/or quality requirements from the PAH or associate facility. Schedule a supplier control audit as follows:

NOTE: The scheduling requirements listed in paragraphs a through c below are considered to be the minimum requirements. Refer also to figure 10 of this order. A MIDO/CMO may schedule additional supplier control audits at specific facilities when required to ensure continued operational safety.

a. Group I Facility.

- (1) **Category 1 Facility.** A supplier control audit will be conducted at four suppliers annually.
- (2) **Category 2 Facility.** A supplier control audit will be conducted at two suppliers annually.
- (3) **Category 3 Facility.** A supplier control audit is not required.

b. Group II Facility.

- (1) **Category 1 Facility.** A supplier control audit will be conducted at two suppliers annually.
- (2) **Category 2 Facility.** A supplier control audit will be conducted at two suppliers annually.
- (3) **Category 3 Facility.** A supplier control audit is not required.

c. Group III or IV Facility. A supplier control audit is not required.

140. SUPPLIER SELECTION. Selection of suppliers subject to supplier control audits will be performed as follows:

*

NOTE: The supplier selection process, although automated in CMIS, may be accomplished manually. Therefore, it will be optional for the PI to enter all of the PAH's suppliers into CMIS.

*

a. After completing resource targeting, each PI will identify the number of supplier control audits to be performed by using the guidance described in paragraphs 139a through 139c above.

b. Next, the PI must obtain access to the PAH's supplier listing.

*

c. The PI will select candidates for supplier control audits using a random sampling method in order to minimize biasing the results. For supplier selection purposes, a random number generator method will be used. In cases in which the supplier selection process automated in CMIS is not utilized, each MIO will determine the method of generating random numbers, using the Internet as a possible source. The PI will use these randomly generated numbers to determine which suppliers receive an audit. Using the random number generator method, the PI will select the appropriate minimum number of supplier control audits required.

*

d. The PI will match the randomly generated numbers to the PAH's or associate facility's supplier control listing. For example, Company ABC was rated as a Group I, Category 1 facility and has 50 suppliers on its supplier control listing. The minimum number of supplier control audits for a Group I, Category 1 facility is four. Using the random number generator method, the PI selects the first four numbers from the generated list of 50 random numbers, which for the purpose of this example would be 5, 8, 14, and 24. The PI will then count down the supplier listing and choose the 5th, 8th, 14th, and 24th suppliers on the list.

e. The PI will screen each of the suppliers selected, taking into consideration the following factors: part complexity or criticality, recipient of a supplier control audit in the previous year, significant service difficulty activity at a supplier, inspectability upon receipt, delegation of major inspections, direct ship authority, delegation of MRB, or supplier performance. If, based on these factors, the PI decides not to audit a selected supplier, the PI should select the next number on the generated list and screen that supplier against the listed factors. Continue this process until the required number of suppliers is selected.

NOTE: In cases where the PAH or associate facility supplier base is less than or equal to the minimum number of supplier control audits required, the PI will schedule and conduct a supplier control audit at each of the PAH's or associate facility's suppliers. When the results of the supplier control audits indicate a continuing trend of effective supplier control by the PAH or associate facility, the PI may elect to reduce the number of supplier control audits to be conducted.

f. There may be reasons such as part complexity or criticality, size of the PAH's or associate facility's supplier base, significant service difficulty activity at a supplier, delegation of major inspections, or supplier performance where the PI may want to do more than the minimum number of supplier control audits. The PI should remember, however, that the purpose of the supplier control audit is to determine that a PAH or associate facility is satisfactorily controlling its suppliers, not to evaluate the performance of the supplier. Specific supplier issues should be evaluated using the product audit described in section 2, part 7 of this chapter.

141. DIRECTORATE SUPPLIER CONTROL AUDIT LIST. Each MIDO/CMO will prepare a supplier control audit list annually to document the results of the selection of suppliers described in paragraph 140 above.

a. The supplier control audit list will include the name and address of the selected supplier, the name and address of the responsible PAH or associate facility, the scheduled date of supplier control audits to be conducted by the MIDO/CMO, and identification of any supplier control audits that may be handed off to other directorates or may require the assistance of a CAA in a bilateral country.

NOTE: When feasible, the MIDO/CMO should schedule the supplier control audit for a time when the supplier has an active purchase order from the PAH or associate facility. A supplier control audit may be scheduled in conjunction with an ACSEP evaluation, provided the audit (1) occurs in the same fiscal year, (2) does not divert resources, and (3) is conducted and reported separately from the ACSEP evaluation.

b. Each MIDO/CMO will forward a completed supplier control audit list to the MIO manager no later than May 15 every year. This list will be used to plan resource allocation in the next fiscal year. The MIO manager will ensure that the lists submitted by each MIDO/CMO are reviewed for completeness and for identification of duplicate suppliers. When the same supplier is selected by different MIDO's or CMO, the MIO manager should ensure that only one audit is scheduled at that supplier; however, compliance to the requirements of all applicable PAH's or associate facilities should be audited at that supplier. The MIO manager should also determine which MIDO/CMO will conduct the audit, and whether representation from other MIDO's or CMO is required. When all discrepancies with the lists are resolved, the MIO manager will ensure that a consolidated directorate supplier control audit list is prepared.

c. The completed directorate list will be distributed to all other MIO managers no later than May 30 every year. All MIO managers should ensure that supplier control audit lists received from other directorates are reviewed to identify duplicate suppliers, potential hand-offs that affect their offices, and supplier control audits to be conducted by the FAA at multiple international suppliers in the same country.

142. COORDINATION OF SUPPLIER CONTROL AUDITS BETWEEN DIRECTORATES.

Discussion of duplicate suppliers and hand-offs between directorates should occur during a joint scheduling telcon by June 15 every year.

a. **Duplicate Suppliers.** Telcon participants should ensure that only one audit is scheduled at a supplier. The participants should determine whether all affected PAH's will be evaluated as part of the audit and identify audit participant(s).

b. **Hand-Offs.** The directorates should accept and support hand-offs of supplier control audits that are scheduled within the minimum requirements of paragraph 139 above. MIO managers should ensure that supplier control audits that are handed off to their directorates are added to their directorate supplier control audit lists and scheduled. Updated directorate supplier control audit lists should be provided to the other MIO managers before the ACSEP Joint Scheduling Committee meeting. There should be no hand-offs of supplier control audits that are scheduled beyond the minimum number required, unless an agreement is made with the MIO of the directorate where the supplier is located. Contentious hand-offs, such as those that have significant resource implications, should not be scheduled at this time. Participants should discuss contentious hand-offs and agree on an appropriate solution.

c. **Supplier Control Audits to be Conducted by the FAA at Multiple International Suppliers in the Same Country.** Telcon participants should identify one FAA office as a lead office to coordinate all audit activities, including notifying the responsible CAA and inviting its participation. The participants should also determine whether representation from other MIO's is required.

143. NOTIFYING A PAH OR ASSOCIATE FACILITY. Prior to conducting a supplier control audit, the MIDO/CMO that will be conducting the audit will notify the responsible PAH or associate facility. The PI should prepare a notification letter and send it to the PAH no later than 30 days prior to the audit. If changes occur after the notification letter has been sent, notify the PAH by letter or other appropriate means. If a supplier control audit has been handed off as described in paragraph 97b of this order, the office receiving the request will send the notification letter to the PAH or associate facility and provide a copy to the requesting office. Figure 12 contains a sample notification letter.

144. RECORDING A SUPPLIER CONTROL AUDIT. A supplier control audit must be recorded on Form 8120-14 by the person conducting the audit. However, when the supplier control audit has been performed by a CAA, at the request of the FAA, the responsible PI will record the audit activity on Form 8120-14, in accordance with paragraph 1b and the guidelines listed in appendix 8 of this order. One form will be completed for each supplier control audit conducted. Each hand-off is considered a separate supplier control audit. Document noncompliances on Form 8100-6. Refer to appendix 7 of this order.

145.-147. RESERVED.

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FIGURE 12. SAMPLE SUPPLIER CONTROL AUDIT NOTIFICATION LETTER

*



U.S. Department
of Transportation

**Federal Aviation
Administration**

July 13, 2001

Molly Brown
c/o Tight Weave Manufacturing
1600 Lind Ave SW
Fort Worth, TX 76137

Dear Ms. Brown:

The Federal Aviation Administration (FAA), in accordance with its responsibilities under Title 49, United States Code, Subtitle VII, part A, and applicable regulations, has selected Structural Components located in Seattle, Washington, for the conduct of a supplier control audit. The audit is scheduled to be conducted on November 12, 2001, by an FAA representative from the Seattle Manufacturing Inspection District Office (MIDO). This audit will determine that your supplier complies with purchase order and/or quality requirements, including any statistical sampling that may be utilized.

The FAA requests that you inform a representative at Structural Components of this audit. Also, please inform the Seattle MIDO at (425) 227-2170 of any security requirements so that we may obtain the appropriate clearance. In addition, please provide the name, title, address, and telephone number of an individual at Structural Components who will serve as the company point of contact for this audit.

If you have any questions concerning the scheduling or conducting of this audit, please contact the undersigned at the above telephone number.

Sincerely,

Julia Gotta

Julia Gotta
Seattle Manufacturing Inspection
District Office

cc: Fort Worth MIDO

**Transport Airplane Directorate
Aircraft Certification Service**
Seattle MIDO
2500 East Valley Road, Ste C2
Renton, Washington 98055

PART 7. PRODUCT AUDIT

148. GENERAL. A product audit evaluates the effectiveness of the PAH's or associate facility's quality control or inspection system and the airworthiness of products utilizing critical and certain non-critical characteristics and/or processing attributes generated during the manufacturing process. The product audit may be initiated at any point in the manufacturing process after inspections have been completed. The product audit is conducted at a production approval holder or associate facility, but may also be conducted at a supplier facility where a product or part(s) thereof is manufactured. If specific expertise is required during this audit, the PI should advise the MIDO/CMO manager. If a product audit is required in another geographic MIDO/CMO, the PI will comply with the hand-off procedures in paragraph 97. Product audits will be conducted in conjunction with every scheduled ACSEP evaluation. In addition, product audits are conducted in conjunction with scheduled PI evaluations as follows:

NOTE: The scheduling requirements listed in paragraphs a through c below are considered to be the minimum requirements. See also figure 10 of this order. A MIDO/CMO may schedule additional product audits at specific facilities when required to ensure continued operational safety.

a. Group I Facility.

(1) Category 1 Facility. Two product audits will be conducted in conjunction with two PI evaluations that are conducted annually. Additionally, a product audit will be conducted in conjunction with each scheduled ACSEP evaluation.

(2) Category 2 Facility. A product audit will be conducted in conjunction with one PI evaluation annually. Additionally, a product audit will be conducted in conjunction with each scheduled ACSEP evaluation.

(3) Category 3 Facility. A product audit is not required.

b. Group II Facility.

(1) Category 1 Facility. A product audit will be conducted in conjunction with one PI evaluation annually. Additionally, a product audit will be conducted in conjunction with each scheduled ACSEP evaluation.

(2) Category 2 or 3 Facility. A product audit is not required during a PI evaluation. However, a product audit will be conducted in conjunction with each scheduled ACSEP evaluation at a Category 2 facility only.

c. Group III or IV Facility. A product audit is not required during a PI evaluation. However, a product audit will be conducted in conjunction with each scheduled ACSEP evaluation at a Group III Category 1 and 2 facility only.

149. SELECTION OF PRODUCT AUDIT CHARACTERISTICS. The product audit will be conducted utilizing critical characteristics and/or critical processing attributes generated during the manufacturing process, as well as certain non-critical characteristics and/or non-critical processing attributes. These characteristics and attributes are defined as follows:

a. Critical characteristics are those where failure to maintain conformity could cause loss of function and create an unsafe condition. Critical process attributes are those where lack of conformity directly affects the product or part(s) thereof and could cause failure or create an unsafe condition. The selection of the critical characteristics and/or critical process attributes will be governed by utilizing the following:

(1) Known service problem areas, obtained from the Aviation Data Systems Branch, AFS-620, prior to the start of the product audit. Service Difficulty Reports submitted after January 1, 1995, may be accessed at the FAA Web site.

(2) Characteristics/attributes that are operator controlled.

(3) Characteristics/attributes classified as critical as defined by the PAH's or associate facility's Engineering Drawings, Process Specifications, Test Specifications, and Quality Control Procedures.

b. In addition to critical characteristics and/or critical processing attributes, the PI may select certain non-critical characteristics and/or non-critical processing attributes, such as radiuses, surface finishes, machine to cast features, cad plating, NDI, etc.

150. PRODUCT AUDIT AREAS. The product audit may be divided into one or more of the following areas:

- a.** Final Product.
- b.** Subassembly.
- c.** Detail Parts.
- d.** Raw Material.

151. PRODUCT AUDIT CRITERIA. The audit criteria used in the performance of a product audit to establish conformity to approved type design are listed below. This audit criteria is a minimum and not

* all-inclusive. Figure 13 indicates which criteria are applicable to each product audit area, as a minimum. *

NOTE: A product audit is not a reinspection by the FAA representative. Rather, it is the FAA representative witnessing the reinspection by the PAH, associate facility, or applicable supplier. The PAH's, associate facility's, or applicable supplier's personnel are responsible for the handling of the part(s) during the product audit.

a. Operational/functional. Verify that subassembly or final product conforms to the functional/operational test criteria; e.g., revalidating test results, test setup, rig approval, certified equipment, use of approved procedures, certified test parameters, use of required rig, calibration.

b. Dimensional. Compare actual recorded measurement(s) of the selected characteristic with the approved design data. Verify characteristics are inspected using the correct calibrated tooling, gauging, fixtures, etc., surface finish dimensions and radius meet drawing tolerances, inspections are performed in proper sequence (following work instructions); e.g., review or revalidate inspection records.

c. Visual. Inspect part for obvious external defects; e.g., corrosion, burrs, handling damage, scratches.

d. Identification. Compare actual identification plates, tags, markings etc. with approved design data or purchase order requirements and verify that identification is maintained throughout the product line; e.g., part numbers, serial numbers, lot numbers for raw material, inspection stamps. For software revision verification, verify software part number can be displayed on screen or software load verified by documentation review.

e. Documentation. Verify the latest revision level or changes, proper work instructions, completed operations, proper authorizations; proper use of statistical sampling; e.g., certificate of conformance, work travelers, blueprints, specifications, first article inspection records.

f. Special Processes. Verify special processes are in accordance with approved process specifications. Verify operator qualification/certification; e.g., test coupons, training requirements for operators, test set-ups, documentation. Verify oven surveys/calibration. For a chemical process such as plating, verify that control has been established over tank cleanliness and chemical concentration.

g. Material. Verify that the PAH has verified that incoming raw material meets its specification requirements.

FIGURE 13. APPLICABILITY OF PRODUCT AUDIT CRITERIA TO PRODUCT AUDIT AREAS (MINIMUM)

PRODUCT AUDIT CRITERIA	PRODUCT AUDIT AREAS			
	FINAL PRODUCT	SUBASSEMBLY	DETAIL PARTS	RAW MATERIALS
Operational/functional	X	X		
Dimensional	X	X	X	X
Visual	X	X	X	X
Identification	X	X	X	X
Documentation	X	X	X	X
Special processes		X	X	X
Material		X	X	

152. RECORDING PRODUCT AUDIT RESULTS. All product audit results will be recorded on Form 8100-1. When unsatisfactory conditions are identified, prepare Form(s) 8100-6. The PI will retain all applicable objective evidence in accordance with Manual FAA-IR-04-01.

153. RECORDING COMPLETION OF A PRODUCT AUDIT. The completion of a product audit * will be recorded on Form 8120-14 by the person conducting the audit. However, Form 8120-14 is not required for an ACSEP evaluation. When a product audit is conducted in conjunction with a PI evaluation or a supplier control audit, it may be recorded on the same form prepared for those activities. When a product audit is conducted as a stand-alone activity, one form will be completed for each product audit completed. Prepare this form in accordance with appendix 8 of this order. The PI will retain all applicable objective evidence in accordance with Manual FAA-IR-04-01. Any corrective * action required should be accomplished in accordance with chapter 3, section 3, part 5 of this order.

154.-156. RESERVED.

SECTION 3. RANDOM CM RESPONSIBILITIES

PART 1. INTRODUCTION

157. GENERAL. Parts 2 through 7 of this section provide guidance for accomplishing random CM responsibilities. The tasks discussed below are accomplished on an as-required basis.

158.-159. RESERVED.

PART 2. EVALUATION OF CHANGES TO A PAH'S OR ASSOCIATE FACILITY'S QC OR INSPECTION SYSTEM

160. GENERAL. The cognizant MIDO/CMO must thoroughly review applicable changes to the quality control or inspection system required for the applicable production approval that may affect the inspection, conformity, or airworthiness of the product or part(s) thereof. Refer to appendix 1, paragraph 2, of this order for additional guidance. Any inadequacies in the quality control or inspection system must be identified to the PAH for corrective action.

NOTE: The approval or acceptance of changes at an associate facility will remain with the office having CM responsibility for the original PAH. If the original PAH has delegated responsibility to approve changes to the associate facility, the CM office of the associate facility will approve the changes.

161. PRIORITIZATION OF REVIEW. Review of a facility's changes to its quality control or inspection system should be prioritized according to its resource targeting grouping. For example, the changes at a facility rated as Group I will be reviewed prior to the changes for a facility rated as Group II, III, or IV. Reviews of changes from facilities in the same resource targeting group will be prioritized by date of notification or receipt of applicable data.

162. REVIEW OF CHANGES. The cognizant MIDO/CMO should review changes to the quality control or inspection system to ensure that:

a. The quality control or inspection system will continue to adequately provide for the consistent acceptance of only those products or parts thereof which are in conformity with the approved design data and in a condition for safe operation.

b. The quality control or inspection system will continue to meet the intent of the pertinent rules, and can be realistically implemented.

NOTE: The conditions identified in paragraphs 162a and 162b above may often be verified through data review alone. In some instances, however, on-site inspection or review may be required.

163. POST-REVIEW ACTIONS. The cognizant MIDO/CMO will:

a. Identify any inadequacies found in the changed quality control or inspection system and request corrective action from the PAH.

b. After any required corrective actions have been taken, process the changes as follows:

(1) For changes to a quality control system at a PC or TSO authorization holder, forward a letter to the PAH approving the quality control system changes, including applicable changes submitted to the FAA-approved inspection and test procedures. Refer to the sample letter in figure 14. *

(2) For changes to an inspection system at an APIS or PMA holder, forward a letter to the PAH acknowledging that the changes comply with 14 CFR, including applicable changes to a quality manual submitted by a PAH. The FAA does not approve any quality manual or changes thereto submitted by an APIS or PMA holder since there is no 14 CFR requirement for submittal of data for approval. Refer to the sample letter in figure 15. *

(3) The PI should update the CMIS project folder to reflect the current quality control or inspection system. *

164.-167. RESERVED.**PART 3. INVESTIGATION OF SERVICE DIFFICULTIES**

168. GENERAL. This part provides guidance for conducting/participating in service difficulty investigations. Additional guidance is contained in FAA Order 8010.2, Flight Standards Service Difficulty Program.

a. Source. There are various means by which the FAA obtains information regarding service difficulties in TC products; for example:

(1) Manufacturer's notification of failures, malfunctions, and defects (reference § 21.3 and AC 21-9, Manufacturer's Reporting Failures, Malfunctions, or Defects).

(2) Service Difficulty Report (SDR) (reference §§ 121.703, 121.704, 125.409, 125.410, 135.415, and 135.416).

(3) Mechanical Interruption Summary (MIS) Report (reference §§ 121.705 and 135.417).

(4) Repair station reports of unairworthy conditions (reference §§ 145.63 and 145.79).

(5) Accident and Incident Report (reference 49 U.S.C., subtitle II, chapter 11, subchapter III, sections 1131 through 1136).

(6) User complaints (general public, military, and foreign governments).

(7) Reports and information received from other FAA and government offices.

* **FIGURE 14. SAMPLE LETTER OF APPROVAL FOR QUALITY CONTROL SYSTEM CHANGES BY A PC OR TSO AUTHORIZATION HOLDER** *

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
TRANSPORT AIRPLANE DIRECTORATE
SEATTLE MANUFACTURING INSPECTION DISTRICT OFFICE
2500 EAST VALLEY ROAD, SUITE C-2
RENTON, WASHINGTON 98055-4056

August 10, 2000

ABC Aircraft Company
4954 Airport Drive
Renton, Washington 12345

Notification of Quality Control System Change Status

We have completed our review and evaluation of the Quality Control System changes documented in your Quality Management Manual. Your submitted data meets [specify applicable CFR.] The Federal Aviation Administration (FAA) approves the submitted data. The FAA reserves the right to require changes, additions, or clarifications that may become necessary as a result of subsequent inspections and/or evaluations.

This notification should remain on file as evidence of FAA review of your Quality Control System document.

Document Name: Quality Management Manual.

Document Number: 101248

Revision Number: C

Date: June 30, 2000

Dewey Revu

Dewey Revu
[Principal Inspector or Manager]

*

**FIGURE 15. SAMPLE LETTER OF ACKNOWLEDGEMENT FOR INSPECTION
SYSTEM CHANGES BY AN APIS OR PMA HOLDER**

*

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
NEW ENGLAND REGION
ENGINE AND PROPELLER DIRECTORATE
MANUFACTURING INSPECTION DISTRICT OFFICE
CORPORATE AIR BUILDING 85-214
BRADLEY INTERNATIONAL AIRPORT
WINDSOR LOCKS, CT 06096

July 26, 2000

ABC Aircraft Parts Company
4954 Airport Drive
Newington, Connecticut 12345

Notification of Inspection System Change Status

We have completed our review and evaluation of your Inspection System changes, as documented in the submitted data presented to the Federal Aviation Administration (FAA) as evidence of compliance. The submitted data meets [specify applicable CFR.] The FAA reserves the right to require changes, additions, or clarifications that may become necessary as a result of subsequent inspections and/or evaluations.

This notification should remain on file as evidence of FAA review of your Inspection System and submitted data.

Document Name: Inspection System Manual

Document Number: 11204

Revision Number: F

Date: March 15, 2000

Duke E. Season

Duke E. Season
[Principal Inspector or Manager]

b. MIO and ACO Investigation. Upon receipt of a service difficulty report, the MIO having CM over the manufacturer of the identified product or part(s) thereof will investigate the information and determine if design or production deficiencies are involved. The cognizant ACO is responsible for corrective action to any design deficiencies.

(1) MIO Responsibilities. When the MIO investigation indicates that the failure, malfunction, or defect is attributable to deficiencies in the manufacturer's quality control/inspection system, the information will be forwarded to the CM DO along with a request for an investigation.

(2) MIDO/CMO Responsibility. The MIDO/CMO will assign a high priority to service difficulty investigations, which must be completed as expeditiously as possible. The identity of a firm or private person reporting service difficulties to the FAA will not be revealed to the manufacturer. The FAA must witness any tear-down inspections or testing to be performed on defective products or parts thereof when such products or parts thereof are flagged (by FAA tags or forms) as requiring the presence of an FAA inspector during the tear-down, inspection, or test, as applicable.

169. INVESTIGATION. The assigned aviation safety inspector (ASI) will make an investigation, independent of that performed by the manufacturer, of reported service difficulties, in accordance with the criteria contained in Order 8010.2. The ASI will also investigate, and include in the report, the results of any investigation conducted by the manufacturer.

170. CORRECTIVE ACTION. The MIDO/CMO will formally request the manufacturer to take corrective action when the investigation discloses unsatisfactory conditions in conformity, QC or workmanship. In such cases, particular emphasis must be placed on determining by examination or reexamination of all related QC practices, data, records, etc., whether the discrepancy may also involve products and parts thereof in service, in the manufacturing process, or spares, either in storage or shipped to users. If justified, airworthiness directive action should be recommended to the responsible ACO.

171. REPORTING A SERVICE DIFFICULTY INVESTIGATION.

a. Report to MIO. A report of service difficulty investigation will be prepared and submitted to the MIO in accordance with this order, Order 2150.3, and Order 8010.2. The report may be in the form of a memorandum or any other manner acceptable to the MIO and will include as a minimum, the following information:

- (1)** Name and address of manufacturer.
- (2)** Type and number of certificates or approvals held.
- (3)** Make, model, and part number, as appropriate, to positively identify the defective product or part(s) thereof.
- (4)** Inspector's statement of findings, including an evaluation of any investigation conducted by the manufacturer.
- (5)** Inspector's conclusion as to the cause of the service difficulty.

(6) All corrective actions requested by the DO and/or taken by the manufacturer including a copy of the DO letter to the manufacturer and the manufacturer's reply.

(7) Effect on products in service.

(8) Recommendations and/or further actions required.

b. Interim Report. In the event that the investigation is delayed for any reason, an interim report of service difficulty investigation outlining the progress of the investigation will be forwarded in a memorandum to the MIO.

c. Violations. When the service difficulty report and the subsequent investigation indicate that a violation exists, the investigating and reporting procedures in Order 2150.3 will also be followed.

d. Delegation Option Authorization (DOA) Reports. Upon notification by the FAA, DOA holders are required by § 21.277 to investigate and report to the FAA the results of their investigation and any action taken or proposed. These reports should be forwarded to the MIO and geographic ACO, which should initiate any actions deemed appropriate for the particular service difficulty involved.

172. FOREIGN MANUFACTURERS. Foreign manufacturers are exempted from the reporting requirements of § 21.3. When foreign manufactured products or articles approved under § 21.29, § 21.502, or § 21.617 are involved in service difficulties, the MIO in the directorate where the service difficulty occurred will initiate an investigation. A complete report will be provided to the MIO and Standards Staff of the Directorate having geographical responsibility over the particular country where the product or article manufacturer is located. Upon receipt and evaluation of the report, the MIO having geographical responsibility will bring the matter to the attention of the CAA for further investigation and corrective action as necessary. If critical parts, processes, or methods are involved, airworthiness directives or alert bulletin action should be considered. If the condition is serious and affects safety and if adequate corrective action is not immediately forthcoming from the foreign manufacturer or CAA, action under § 13.19 would also be necessary. Coordinate such enforcement action through the Assistant Chief Counsel, Enforcement Division, AGC-300, AIR-40, and the State Department.

173.-175. RESERVED.

PART 4. INVESTIGATION OF REGULATORY VIOLATIONS

176. ENFORCEMENT ACTIONS ON SAFETY-RELATED OR SYSTEMIC NONCOMPLIANCES. The performance of CM responsibilities often results in identifying noncompliances by a PAH with 14 CFR or FAA-approved data. These noncompliances may be safety-related, systemic, or isolated. See appendix 7, paragraph 2g(1) through (3). The PI should exercise good judgment in determining whether or not the objective evidence identifies a safety-related or systemic noncompliance to 14 CFR or to FAA-approved data before initiating any enforcement action prescribed in Order 2150.3. Isolated noncompliances do not constitute a quality control or inspection system breakdown. Nevertheless, the PI should evaluate each noncompliance in accordance with Order 2150.3, chapter 2. The initiation of enforcement actions in these instances would only serve to dilute the effectiveness of the FAA compliance and enforcement program. However, when isolated noncompliances are noted, the PI must request prompt corrective action from the PAH using the procedures in part 5 of this section.

177. ENFORCEMENT PROCEDURES. The principal objective of the FAA compliance and enforcement program is to promote aviation safety and to protect the public interest by obtaining compliance with both the statutory and the regulatory requirements. The program ranges from educational and remedial efforts, including administrative action, to punitive legal enforcement remedies, including criminal sanctions in the most serious cases. The PI should follow Order 2150.3 for any safety-related or systemic noncompliances with 14 CFR. The PI should also follow Order 2150.3 when a PAH is found to be in noncompliance with FAA-approved data. Since PC and TSO authorization holders are required by 14 CFR to have data describing the quality system, normally in the form of a manual, the manual is considered part of the approved data. Data deficiencies found after the FAA originally approves the data are not a basis for taking enforcement action. When such deficiencies are found, the PI should send a separate letter to the PAH requesting that appropriate corrective action be taken in a timely manner. If the PAH does not, the PI should then initiate enforcement actions as deemed appropriate.

178. MULTIPLE ENFORCEMENT ACTIONS. When a number of safety-related or systemic noncompliances have been noted at a PAH's facility, such as those resulting from an ACSEP or PI evaluation, the PI should process them as one enforcement action. However, when different types of enforcement actions are involved, the PI should initiate a separate enforcement action for each type of enforcement action to be taken. For example, if an evaluation results in four systemic noncompliances where administrative action is indicated, and three systemic noncompliances where legal action is deemed appropriate, the PI should process two separate enforcement actions.

179. TIMELINESS. To ensure that enforcement actions have the maximum effect as a compliance tool, Order 2150.3 establishes a six month goal for preparing and processing all enforcement investigation reports. This goal includes time for legal processing and preparing of notices when required. Each directorate may elect to use a performance management tool to measure the process and make improvements when necessary.

180. INVALID ALLEGED VIOLATIONS. The PI should advise the PAH when an alleged noncompliance, as cited in a Letter of Investigation (LOI), has been later determined to be invalid. In such cases, a Letter of Notification, Closing of Investigation, should be sent to the PAH.

181. VOLUNTARY DISCLOSURE PROCEDURES. Primary responsibility for monitoring the quality control or inspection system and ensuring compliance with 14 CFR lies with the PAH. The FAA recognizes that the PAH is in the best position to monitor the effectiveness of its own operations and system and that the FAA cannot continuously monitor every aspect of the PAH's quality control or inspection system. The FAA encourages the PAH to monitor its own system and to maintain a reporting and correction policy consistent with the FAA's reporting and correction policy. The FAA should strongly encourage the PAH to implement an internal audit program that will assist the PAH in detecting noncompliances within its system. If the PAH elects to take advantage of the reporting and correction policy, the PI and PAH should develop a definitive agreement that describes how the PAH will implement the reporting and correction policy. The agreement should define the process to be used, and should be referenced within the FAA-approved quality manual for PC and TSO authorization holders. Although the PAH may terminate the agreement at any time, doing so does not relieve it of the responsibility to take appropriate action when it or the FAA discovers noncompliances with products or noncompliances within the quality control or inspection system. If a PAH elects to self-disclose a noncompliance that has left its control, and meets all criteria identified in Order 2150.3, Bulletin 92-2, Reporting and correction policy and implementing guidance for holders of production approvals, the FAA may mitigate or alleviate civil penalties.

182.-184. RESERVED.**PART 5. CORRECTIVE ACTION**

185. GENERAL. The performance of CM responsibilities often results in identifying noncompliances by a PAH, associate facility, or delegated facility (facility) with 14 CFR or FAA-approved data. Refer to part 4 of this section. The facility is responsible for determining and initiating the action needed to correct a noncompliance with 14 CFR or FAA-approved data, and to correct the cause of a noncompliance. For corrective action to be complete after the FAA identifies a systemic noncompliance, the facility must also identify the root cause of the noncompliance to prevent its recurrence. The action taken to correct the immediate noncompliance is not considered satisfactory corrective action for systemic noncompliances. It is important, therefore, that the PI require the facility to focus on the root cause of a systemic noncompliance to prevent its recurrence, and not just on the action to immediately correct it.

186. CORRECTIVE ACTION PROCEDURES. As indicated in paragraph 106 above,
 * noncompliances are recorded on Form 8100-6. The PI will review each completed Form 8100-6 *
 as follows to determine the appropriate method to request corrective action:

a. Determine whether the noncompliance is safety-related, systemic, isolated, or certification-related.

b. Determine whether there is a noncompliance with 14 CFR, FAA-approved data, internal procedures, or purchase order requirements.

NOTE: If a facility provides objective evidence, subsequent to the issuance of a Form 8100-6, that justifiably negates the basis of the reported noncompliance, a request for corrective action of that noncompliance will not be required.

* **c.** Request corrective action as follows (refer to figure 16 for applicable flowchart): *

(1) Safety-related noncompliance. Immediately notify the responsible facility by the most expeditious means available. Prepare an LOI in accordance with Order 2150.3 and submit it to the responsible facility within 72 hours of discovery. If the noncompliance affects delivered products or services, secure from the responsible facility a list of the end users affected and immediately notify the cognizant ACO, MIO, MIDO, or CMO.

(2) Systemic noncompliance with 14 CFR or FAA-approved data. Prepare and forward an LOI to the responsible facility in accordance with Order 2150.3.

(3) Systemic noncompliance with facility's internal procedures. Prepare and forward a letter to the responsible facility requesting immediate corrective action.

*

FIGURE 16. CORRECTIVE ACTION FLOWCHART

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(4) Systemic noncompliance with purchase order requirements (by a supplier to a PAH or associate facility).

(a) Impacts PAH's or associate facility's compliance with 14 CFR or FAA-approved data. Prepare and forward an LOI to the PAH in accordance with Order 2150.3.

(b) Impacts PAH's or associate facility's compliance with its internal procedures. Prepare and forward a letter to the PAH requesting immediate corrective action.

NOTE: Systemic noncompliances identified on Form(s) 8100-6 during a supplier control or product audit conducted as the result of a hand-off will be transmitted to the requesting MIDO/CMO for action with the PAH or associate facility as appropriate.

(5) Isolated noncompliance with 14 CFR or FAA-approved data. Prepare and forward a letter to the responsible facility requesting immediate corrective action.

(6) Isolated noncompliance with facility's internal procedures. The means of obtaining corrective action is at the discretion of the PI.

(7) Isolated noncompliance with purchase order requirements (by a supplier to a PAH or associate facility).

(a) Impacts PAH's or associate facility's compliance with 14 CFR or FAA-approved data. Prepare and forward a letter to the PAH requesting immediate corrective action.

NOTE: Isolated noncompliances identified on Form(s) 8100-6 during a supplier control or product audit conducted as the result of a hand-off will be transmitted to the requesting MIDO/CMO for action with the PAH or associate facility as appropriate.

(b) Impacts PAH's or associate facility's compliance with its internal procedures. The means of obtaining corrective action is at the discretion of the PI.

(8) Certification-related noncompliance. Prepare and forward a letter to the responsible facility requesting immediate corrective action.

NOTE: Multiple Form(s) 8100-6 applicable to one facility may be grouped into one LOI or letter.

(9) When a determination is made in accordance with paragraph 125 above that a PAH or associate facility is not controlling its suppliers, a request for corrective action should be transmitted after completion of the final supplier control audit scheduled for the fiscal year. The letter of transmittal will factually and concisely summarize the specific noncompliance(s). When it has been determined that the noncompliances constitute a violation of 14 CFR, the transmittal will be prepared as an LOI in accordance with Order 2150.3.

NOTE: Upon completion of a scheduled PI evaluation or supplier control audit, the PI may request corrective action from the PAH or associate facility for specific noncompliances discovered. For example, if a supplier is not maintaining proper tool and gauge calibration as required by the purchase order, corrective action for that noncompliance should be requested from the PAH or associate facility upon completion of the supplier control audit. On the other hand, corrective action for lack of supplier control would not be requested unless there was evidence of a similar system breakdown in tool and gauge calibration at several suppliers to the PAH or associate facility.

(10) Issue an LOI to the PAH or associate facility whenever parts are sold by a supplier outside the scope of the PAH's or associate facility's authority. These are considered to be unauthorized sales by a PAH supplier, and the parts are considered unapproved as described in FAA Order 8120.10, Suspected Unapproved Parts Program. The LOI is needed as part of the investigation into the supplier activity and to fully document and further the related investigation wherever it may lead. However, the PAH or associate facility should not be held accountable for parts produced outside the scope of its approval without its consent and/or knowledge.

187. CORRECTIVE ACTION RESPONSE. The PI with CM responsibility must ensure that the responsible facility identifies and takes corrective action on all systemic noncompliances with 14 CFR or FAA-approved data. It is not unreasonable for the PI to expect the facility to address each of the following items in the corrective action response:

- a. Immediate action taken to correct the systemic noncompliance(s) identified in the LOI.
- b. Action taken to identify any product or part(s) thereof affected by a systemic noncompliance, and any action required to effect immediate corrective action thereto.
- c. Action taken to examine other areas or items that might have a similar systemic noncompliance(s).
- d. Identification of the root cause of each systemic noncompliance.
- e. Action taken to prevent future recurrence(s) of systemic noncompliances.
- f. A schedule for completing immediate and root cause corrective action for each systemic noncompliance, including whom will take the action.

NOTE: FAA compliance and enforcement policy considers the effectiveness of a facility's corrective action to be very important in determining the type of enforcement it will pursue and the appropriate sanction.

188. CORRECTIVE ACTION VALIDATION. Corrective action validation should determine that the proposed corrective action was correctly implemented and that the corrective action completely eliminated the noncompliance. The PI should schedule a visit to the responsible facility and/or supplier facility to evaluate corrective action commitments. The PI should schedule the visit far enough in the future to ensure that the facility and/or supplier have fully implemented the corrective action and that the action has become a routine element of the quality control or inspection system, or of a delegated facility's design approval system when applicable. A visit to the facility may coincide with a scheduled audit or evaluation, when appropriate. Occasionally, the PI may be required to validate corrective actions at a supplier facility located outside of the geographical boundary of the responsible CM office. In this case, the PI may elect to visit the supplier facility to validate the corrective action or request the geographic MIDO/CMO where the supplier is located to validate the corrective action. See paragraph 97c of this order. If the facility is located in a bilateral country, the PI may formally request that the responsible CAA validate the corrective action; include the information from paragraph 97c(1) of this order as applicable. Document results of completed corrective action validations in the facility's Enforcement Investigation Report file.

189.-191. RESERVED.

PART 6. UNSCHEDULED AUDITS, EVALUATIONS, OR INVESTIGATIONS

192. GENERAL. Section 2 of this chapter provides for scheduled PI evaluations, product audits, supplier control audits, and ACSEP evaluations. However, any one of these audits or evaluations may be performed on a non-scheduled basis at the discretion of the managing office whenever necessary to ensure continued operational safety. Section 3 of this chapter discusses investigation of service difficulties and regulatory violations. Other random investigations may arise for purposes such as suspected unapproved parts or whistle blower allegations.

193. NON-SCHEDULED CM AUDITS/EVALUATIONS. The managing office will determine the type of audit or evaluation that will provide the best assessment of the applicable situation. A non-scheduled CM audit or evaluation will be planned, conducted, and reported in accordance with section 2 of this chapter to the greatest extent practicable. Appropriate emphasis on planning the audit or evaluation should be provided despite the reduced time that may be available between the decision to conduct the audit or evaluation and the actual conduct of the audit or evaluation. Notification of the non-scheduled audit or evaluation to the PAH or associate facility should be provided as soon as practicable. For a PAH or associate facility located outside the United States, the responsible CAA also should be provided notification as soon as practicable. Situations that may warrant a non-scheduled audit or evaluation may include:

- a. Accidents and incidents.
- b. Deliberate violations.
- c. Repetitive SDR's.
- d. Excessive owner/operator complaints.
- e. PAH's or associate facility's refusal/failure to take appropriate corrective action.
- f. PAH's or associate facility's inability to control suppliers.

g. Renewal of a PAH's or associate facility's production activity after a prolonged period of inactivity.

h. Relocation of production facility.

i. Surveillance Requests from CAA's. A U.S. manufacturer that has entered into a supplier, subcontractor, or other similar relationship with a foreign manufacturing entity (e.g., a manufacturer of aircraft, aircraft engines, or propellers; a repair station; or an air carrier) may produce, identify and deliver civil aeronautical products and parts thereof to that entity without obtaining an FAA design and production approval under part 21. The purchase order or similar contract/procurement agreement, from the foreign manufacturer to the supplier manufacturer should provide any evidence of the sales relationship to the FAA as needed. These products or parts thereof are to be produced in support of a design approval issued by a CAA, to include modifications made to a type design by repair stations or air carriers (e.g., TC, STC, CAA-approved modification). The regulatory responsibility for control or oversight of a U.S. manufacturer acting strictly as a supplier to a foreign manufacturing entity resides with the CAA having oversight of that design and/or production approval. The FAA assumes no regulatory responsibilities for these programs and will provide assistance only in surveillance of the U.S. supplier through a special written arrangement with the CAA under the provisions of the bilateral agreement.

(1) A CAA request should include clear, concise, and specific instructions to the FAA that includes the following: company name, address, phone number, and point of contact; details concerning the extent of surveillance to be conducted on behalf of the CAA; and, documentation to be submitted to the CAA. The responsible geographic MIO will ensure that the request is complete before assigning it to a MIDO/CMO.

(2) The responsible geographic MIDO/CMO will review all completed documentation being submitted to the CAA to ensure the requirements of the CAA request have been met. On completion of the review, and incorporation of any applicable corrections, the responsible geographic MIDO/CMO will prepare a cover letter to accompany the documentation and forward it to AIR-40 for review and comment. After incorporating any applicable corrections to the cover letter, the completed documentation and cover letter will be forwarded to the MIO manager for signature. The MIO manager will forward all documentation to the requesting CAA.

(3) When the CAA conducts its own surveillance activities at a U.S. manufacturer, the FAA may be invited to observe or participate. The responsible geographic MIDO/CMO should consider accepting the CAA invitation only when there is no impact on scheduled ongoing CM activities or other random CM activities with higher priority.

j. Any other situation as deemed necessary in the interest of safety.

194. OTHER RANDOM INVESTIGATIONS. Suspected unapproved part notifications will be investigated in accordance with the current issue of Order 8120.10. Any other investigations that may be required will be conducted in accordance with available specific guidance. In the absence of specific guidance, the managing office will determine the type of investigation that will provide the best assessment of the applicable situation. In some situations, a specific CM audit or evaluation may be appropriate.

195.-197. RESERVED.

PART 7. PROVIDING GUIDANCE TO A PAH OR ASSOCIATE FACILITY

198. GENERAL. The PI should provide guidance to a PAH or associate facility as necessary for the manufacturing of products or parts thereof produced under the approved quality control or inspection system. The guidance provided by the PI may include, but is not limited to, the following:

- a.** Quality control or inspection system changes.
- b.** Facility changes.
- c.** Technical assistance.
- d.** Updating supplier lists.
- e.** Service difficulty and corrective action review.
- f.** Support of ACSEP evaluations.
- g.** Regulatory requirements, changes to guidance materials, or industry best practices.
- h.** Interpretation of applicable regulations.

*

APPENDIX 2. RESERVED

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APPENDIX 3. RESOURCE TARGETING INDICATOR ASSESSMENT CRITERIA

* **1. PURPOSE.** This appendix provides additional guidance to assist the PI in completing the assessment section of the Resource Targeting Facility Assessment Sheet.

2. SPECIFIC GUIDANCE. There are 21 resource targeting indicators in the automated Resource Targeting Facility Assessment Sheet. These indicators are listed in figure 1 below. The PI must assess each of these indicators. The criteria listed below provide guidance to assist the PI in completing this assessment. The criteria are intended to prompt the PI to consider a variety of elements and issues that may be applicable to the facility being assessed, and to make an informed judgment about the facility. The number assigned in parentheses to each criteria corresponds directly with the indicator number on the automated Resource Targeting Facility Assessment Sheet.

FIGURE 1. RESOURCE TARGETING INDICATORS

1.	Change in Key Management
2.	Turnover of Critical Staff
3.	Reduction in Workforce/Layoffs
4.	Expansion or Growth
5.	Merger or Takeover
6.	ACSEP or PI/CM Noncompliances
7.	Civil Penalties
8.	Corrective Response History
9.	Cost of Quality
10.	Service Difficulties
11.	Complex Manufacturing Process
12.	Complex Product, Part, or Appliance
13.	New Manufacturing Process
14.	New/Emerging Technology
15.	Production Volume
16.	Product Continuity
17.	QC System Changes
18.	Engineering/Design Changes
19.	Increased Inspection Delegation to Suppliers
20.	Increased Use of Foreign Suppliers
21.	New Design in Production

a. Change in Key Management (1). Management changes can have a significant impact, positive or negative, on a company and its production/quality profile. In rating this indicator, consider the following:

(1) Management changes generally have a greater impact on small companies than on large companies, all other things being equal.

APPENDIX 3. RESOURCE TARGETING INDICATOR ASSESSMENT CRITERIA

(2) Key managers may include people such as the director of quality/quality manager, facility manager, chief engineer, section or line managers, DOA/DAS coordinator, or company president/CEO.

(3) The background of new management personnel is key. In general, internal selections are less problematic than external hires, although a solid aviation or product background may compensate. Similarly, civil experience is often preferable to a military aviation background, since knowledge of 14 CFR and experience with the FAA are important.

(4) The reason behind any change(s) is also important. If it's performance-based, then the change may be an improvement. On the other hand, downsizing, streamlining, and reorganizations can reduce the amount of production/quality oversight within the company. New programs or product lines may alter existing lines of authority and supervision. Ownership changes may result in wholesale replacement of managers.

(5) Management changes can also affect overall company philosophy or operational priorities. A shift to a more aggressive sales focus may lead to reduced emphasis on compliance to 14 CFR and on quality. Cost-cutting and greater "bottom line" pressure can undermine or dilute a company's quality orientation.

b. Turnover of Critical Staff (2). Loss of staff members who play a critical role in ensuring quality can dramatically impact the production of conforming products or parts thereof. Consultation with the appropriate ACO may be helpful in identifying these people and assessing the effect of their departure. Think about these issues if turnover of this type has occurred:

(1) Critical staff turnover generally has a greater impact on small companies than on large companies, all other things being equal.

(2) Critical staff may include people such as quality inspectors, foremen, engineers, test technicians, audit staff, designers; any one-of-a-kind specialty (e.g., level III NDT); or any key FAA contact.

(3) If losses are replaced or backfilled, consider the background of new staff. As with key managers, internal selections are preferable to external hires, although a solid aviation or product background may compensate. Similarly, civil experience is generally better than military, due to 14 CFR/FAA familiarity. Technical expertise, however, is paramount for individuals in these key positions.

(4) If losses are not replaced or backfilled, consider the context. If the company is downsizing, streamlining, or reorganizing, losses of this type will almost always impact quality. If, on the other hand, the changes result from the end of a major project or program, there may be no cause for alarm.

(5) In any event, consider the strength of the company's quality system. If it's well established, with fully documented procedures, then it may be able to absorb the loss of key people without affecting quality. Consider whether the quality program remains intact, and is not being scaled back as these individuals leave.

APPENDIX 5. RESOURCE TARGETING REPORTS

1. PURPOSE. This appendix explains the layout of the Directorate Report and the Office Report.

* **2. TYPES OF REPORTS.** Two types of resource targeting reports may be accessed through CMIS: the Directorate Report and the Office Report. The Directorate Report will list all facilities assessed within the directorate. The Office Report will list all facilities assessed within each MIDO/CMO. Each type of report is formatted as follows: *

a. Facility Name: Self-explanatory.

* **b. Principal Inspector:** The name of the person(s) assigned to the facility. *

c. System Strength: A rating of “Optimal,” “Adequate,” or “Marginal” will be indicated. System strength encompasses factors over which a facility generally has more direct control or influence, i.e., the stability of the organization, its performance history, and the various elements and influences that drive its production dynamics. A rating of “Optimal” indicates that the strength of the system in place has been assessed as having little potential impact on the integrity of FAA-approved design and product quality. A rating of “Adequate” indicates that the strength of the system in place has been assessed as having an average potential impact on the integrity of FAA-approved design and product quality. A rating of “Marginal” indicates that the strength of the system in place has been assessed as having a substantial potential impact on the integrity of FAA-approved design and product quality.

d. Inherent Risk: A rating of “Substantial,” “Moderate,” or “Minimal” will be indicated. Inherent risk encompasses factors that are generally associated with the type of business the facility has chosen to be in, and remain constant unless the facility changes its business. These factors are the level of technology with which the facility is working, and the criticality of the end unit or units of production. A rating of “Substantial” indicates that a facility’s level of technology has been assessed as having a substantial potential impact on the integrity of FAA-approved design and product quality, and the unit criticality is high. A rating of “Moderate” indicates that a facility’s level of technology has been assessed as having a moderate potential impact on the integrity of FAA-approved design and product quality, and the unit criticality is moderate. A rating of “Minimal” indicates that a facility’s level of technology has been assessed as having little potential impact on the integrity of FAA-approved design and product quality, and the unit criticality is low.

e. Resource Targeting Group Assigned: Self-explanatory.

APPENDIX 6. RESOURCE TARGETING MODEL VALIDATION PLAN

1. PURPOSE. This appendix explains the structure and application of the resource targeting model validation plan. The objective of the plan is to ensure that the model consistently and accurately identifies those PAH's and associate facilities having the greatest potential to produce nonconforming products or parts thereof. It also defines a basis for continually refining and modifying the model as required to achieve this objective. The plan utilizes several validations to accomplish these objectives.

2. RESOURCE TARGETING VALIDATIONS. Each validation listed below identifies the data source(s) required for each validation element, the individuals or groups responsible for validating the element, and a brief description of the process for each validation element.

a. Validation of Ratings for the Resource Targeting Indicators and Unit Criticality. This validation is conducted as an integral part of the annual assessment of facilities described in chapter 3, section 2 of this order. It includes elements built directly into the core structure of the model and its basic application processes. As such, this validation provides a real-time validity check on the ratings for the resource targeting indicators and unit criticality, and on the initial resource targeting group assignments generated by the model. This validation not only provides managerial oversight for the process but also allows for a different perspective in determining the final ratings for resource targeting indicators and unit criticality.

(1) **Data Source(s):** AIR Form(s) 8120-9.

(2) **Parties Responsible for Validation:** Facility PI and MIDO/CMO manager.

* (3) **Description:** Chapter 3, section 2 of this order requires the MIDO/CMO manager to review each completed AIR Form 8120-9 for agreement with the PI's assessment ratings of the resource targeting indicators and unit criticality. In so doing, the MIDO/CMO manager is provided an opportunity to help ensure consistency between and among PI's in the application of the model, and to provide a second opinion for complex or ambiguous cases. *

(4) **Expected Outcome:** This validation provides a first level, normative validity check of the assessments entered on AIR Form 8120-9.

b. Validation of the Continued Relevance of the Resource Targeting Model's Impact Indicators. This validation is conducted annually following the completion of all scheduled ongoing CM responsibilities for the fiscal year. Since this validation is data-driven, and aimed at the adequacy of the resource targeting model elements, detailed planning for analysis and reporting will be required. Performance of this validation is a primary responsibility within the scope of the continued improvement program described in chapter 1 of this order.

* (1) **Data source(s):** The resource targeting module within CMIS is the data source for this validation. *

(2) **Parties Responsible for Validation:** AIR-200.

APPENDIX 6. RESOURCE TARGETING MODEL VALIDATION PLAN

(3) Description: AIR-200 will collect the relevant data, design and perform the required analyses, and submit a report for deliberation under the continued improvement program.

(4) Expected Outcome: This validation seeks to identify the model's resource targeting indicators that do not significantly contribute to the identification of the resource targeting group assignment. The data will be analyzed to identify resource targeting indicators that are predominantly * rated as "c" (not applicable), and to determine whether or not such indicators should continue to be used in the model. *

c. Validation of the Resource Targeting Model's Ability to Reflect PI Experience and Judgment. This validation is conducted every three years. The individual impact indicators and the relative weights assigned to each were based on interviews conducted with PI's and engineers and reflect their combined knowledge, experience, and judgment. It is necessary to periodically revalidate this basis in order to ensure that the model continues to reflect this experience and judgment. Since this validation is data-driven, and aimed at the adequacy of the resource targeting model elements, detailed planning for analysis and reporting will be required. Performance of this validation is a primary responsibility within the scope of the continued improvement program described in chapter 1 of this order.

(1) Data source(s): The resource targeting Office Reports are the primary data sources for this validation. In addition, each directorate will use a resource targeting questionnaire to assess the validity of the resource targeting groups assigned.

(2) Parties Responsible for Validation: Directorates.

(3) Description: Each directorate will collect the relevant data, design and perform the required analyses, and submit a report for deliberation under the continuous improvement program.

(4) Expected Outcome: This validation seeks to determine the degree to which the rating plan for the model's impact indicators reflects the experience and judgment of the PI's. Once every three years, following assignment of the resource targeting groups, each directorate will provide a questionnaire to its PI's to assess the validity of the assignments. The questionnaire will request PI's and their managers to mutually review the resource targeting Office Reports, identify any resource targeting group assignment they disagree with, and provide written justification for their opinion. The differences identified with the resource targeting groups assigned and the written justifications will be analyzed to detect any patterns or trends in the data attributable to inadequacies in the model. A small number of justifiable changes to the resource targeting groups is a strong nominal indicator of model validity; i.e., if a large majority of the model's resource targeting group assignments are accepted, then the knowledge and experience of the directorate staff is adequately reflected in the model.

**APPENDIX 7. PREPARATION INSTRUCTIONS FOR
FAA FORM 8100-6, NONCOMPLIANCE RECORD**

* **1. PURPOSE.** This appendix provides instructions for completing Form 8100-6 for all audit and evaluation activities. *

2. SPECIFIC GUIDANCE. Figure 1 shows Form 8100-6 with numbered blocks. The form will be prepared as a stand-alone document. **WRITE THE NONCOMPLIANCE AGAINST THE RESPONSIBLE PAH or ASSOCIATE FACILITY.** Prepare the form by inserting in:

a. Block 1. When the activity is an ACSEP evaluation, enter the ACSEP Number/Report Number. For all other activity, enter "N/A."

b. Block 2. The project number(s) applicable to the production approval(s) activity.

c. Block 3. A check mark in the appropriate box to indicate the type of activity that was conducted.

d. Block 4. Under "System Element Evaluated," enter the name of the system element in Order 8100.7 to which the noncompliance is relevant. Under "Evaluation Criteria Number," enter the evaluation criteria number from Order 8100.7, appendix 6 or 7. For new criteria, insert the system element number assigned by Order 8100.7, appendix 6 or 7. Do NOT insert more than one number.

* **NOTE: More than one noncompliance may be recorded for an evaluation criteria number. When an evaluation criteria contains several statements of condition, it is possible to find noncompliances to some or all of those conditions. When multiple statements of conditions under one criteria are affected, a Form 8100-6 should be completed for each condition. When noncompliances are recorded for a common condition, only one Form 8100-6 should be completed.** *

e. Block 5. The reference controlling document. The controlling document is defined as the FAA-approved or accepted data, purchase order/quality requirements from a PAH or associate facility, or internal procedures used in producing the product or part(s) thereof. Enter the complete reference number, or, as a minimum, the document title and effective date. (Examples: ABC Company Quality Manual dated March 5, 1976; XYZ QOI 32-6 dated June 23, 1990; BCD Drawing No. 9825333-2 dated May 20, 1989.) Insert a check in the "Yes" or "No" block, as appropriate, to indicate whether the controlling document is FAA-approved.

NOTE: If an APIS or PMA holder's quality manual is submitted to the FAA as evidence of compliance to part 21, it is not considered to be FAA-approved data. The "NO" block should always be checked for these documents. Purchase orders and/or quality requirements flowed down to a supplier by a PAH or associate facility are generally not considered to be FAA-approved data. In some cases, quality requirements for use at a supplier facility are specifically approved by the FAA prior to use. Determine the approval status of any referenced PAH supplier quality requirement before checking the "YES" or "NO" block.

APPENDIX 7. PREPARATION INSTRUCTIONS FOR FAA FORM 8100-6, NONCOMPLIANCE RECORD

f. Block 6. The applicable 14 CFR part or section that establishes the responsibility of the PAH (i.e., § 21.165 or § 21.607). For an APIS or PMA facility, insert the specific paragraph reference from § 21.125 or § 21.303(a), (h), (h)(1) through (h)(9), (j), or (k), or other applicable 14 CFR sections (e.g., § 45.15) to which the observed condition is directly traceable. If the observed condition is not directly traceable to one of these requirements, leave the block blank. For ACSEP evaluations only, insert the applicable 14 CFR part or section that establishes the responsibility of any delegated facility evaluated (i.e., § 21.245, § 21.445, or SFAR NO. 36, § 6(a)(2)). Insert the applicable 14 CFR reference for each approval type affected.

NOTE: When a facility holds multiple production approvals, and a noncompliance is found that applies to more than one of those approvals, use the highest level quality requirement; for purposes of this order, the quality levels, from highest to lowest, are PC, TSO authorization, APIS, and PMA.

g. Block 7. A check mark in the appropriate box to indicate the type of noncompliance found. A noncompliance is indicated when it is discovered that a PAH's or associate facility's operating practices are inconsistent with 14 CFR, FAA-approved data, or internal procedures. Internal procedures refer to a PAH's or associate facility's procedures that are not included as part of the FAA-approved data. A supplier's operating practices found to be inconsistent with a PAH's or associate facility's purchase order requirements are considered to be noncompliances by the PAH or associate facility. A noncompliance is classified into one of the following four categories:

(1) Safety-Related Noncompliance: a noncompliance to 14 CFR, FAA-approved data, the facility's internal procedures, or purchase order requirements that compromises immediate continued operational safety and requires immediate corrective action. This includes any noncompliance to § 21.3, including an isolated noncompliance. For an ACSEP evaluation, record a safety-related noncompliance only when the responsible PI determines that immediate action is required.

NOTE: The PI should formally submit any safety-related noncompliance to the responsible PAH or associate facility in writing within 72 hours of discovery. If the noncompliance affects delivered products or services, the PI will secure from the responsible PAH or associate facility a list of the end users affected and immediately notify the cognizant ACO, MIO, MIDO, or CMO.

(2) Systemic Noncompliance: a noncompliance to 14 CFR, FAA-approved data, the facility's internal procedures, or purchase order requirements that is not safety-related and is systemic in nature, i.e., is pervasive, repeatable, and represents a breakdown in the quality control or inspection system.

(3) Isolated Noncompliance: a noncompliance to 14 CFR, FAA-approved data, the facility's internal procedures, or purchase order requirements that is not safety-related and is of an isolated or nonsystemic nature, i.e., is not pervasive or repeatable, and does not represent a breakdown in the quality control or inspection system. However, an isolated noncompliance with § 21.3 is considered a safety-related noncompliance when it meets the definition in paragraph 2g(1) of this appendix.

**APPENDIX 7. PREPARATION INSTRUCTIONS FOR
FAA FORM 8100-6, NONCOMPLIANCE RECORD**

(4) Certification-Related Noncompliance: a noncompliance to 14 CFR that is discovered in FAA-approved data and that is not safety-related.

NOTE: Number noncompliances sequentially beginning with the number “1.”

h. Block 8. The condition required by the controlling document, applicable supporting documents, or the applicable 14 CFR part or section. Use the same wording as the controlling document, the applicable supporting document, or the applicable 14 CFR part or section, whenever possible. List all documents that demonstrate the link back to the controlling document or 14 CFR.

i. Block 9. A detailed explanation of the encountered condition.

(1) Explain why the encountered condition differs from the required condition.

(2) Identify where the encountered condition was found.

(3) Identify the total number of items checked and the total number of items found to be in noncompliance.

(4) List the items found to be in noncompliance, using identification numbers or other specific identifiers whenever possible.

(5) Record any evidence the facility provided during the evaluation to show that corrective action was taken or initiated.

(6) When the encountered condition finds FAA-approved data to be in noncompliance with an applicable 14 CFR part or section, include a note that further investigation by the ACO, MIO, MIDO, or CMO may be required.

(7) List all objective evidence obtained that describes the encountered condition.

j. Block 10. A check in the box to indicate that the encountered condition has been discussed with the facility escort, as a minimum.

k. Block 11. The typed or printed name and signature of the person recording the noncompliance.

NOTE: Evaluators-in-training and support service personnel participating in ACSEP evaluations may sign this block. However, the block must be countersigned by an appointed ACSEP evaluator.

l. Block 12. The routing office symbol of the recorder.

m. Block 13. The date the form is completed.

**APPENDIX 7. PREPARATION INSTRUCTIONS FOR
FAA FORM 8100-6, NONCOMPLIANCE RECORD**

FIGURE 1. SAMPLE FAA FORM 8100-6

This form is a representation of the original form and not to be construed as the original form.

 <p align="center">Noncompliance Record</p> <p>U.S. Department of Transportation Federal Aviation Administration</p>		ACSEP No./Report No. (1) N/A
		Project No. (2) PT900NE
Type of Activity: <input type="checkbox"/> DO Audit <input type="checkbox"/> PI Evaluation <input type="checkbox"/> ACSEP <input type="checkbox"/> Supplier Control Audit <input checked="" type="checkbox"/> Product Audit <input type="checkbox"/> Other (3)		
System Element Evaluated: (4) Manufacturing Processes Evaluation Criteria Number: 413	Controlling Document: (5) RC Purchase Order #94 of 11/23/1997 FAA-approved data? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Applicable CFR Section: (6) 21.607
Type Of Noncompliance: Safety-Related <input type="checkbox"/> Systemic <input checked="" type="checkbox"/> Isolated <input type="checkbox"/> Certification-Related <input type="checkbox"/> No. 1 (7)		
Required Condition: (8) <p>RC Purchase Order (PO) #94 for rotor support couplings states: "J&J Machining Co. shall comply with RC Quality Manual, Section 4, and purchase raw materials exclusively from YOYO International Material Broker. Terms of purchase will include a request for a metallurgical lab report with each shipment. These reports will be retained by J&J Machining Co. for a minimum of 5 years."</p> <p>J&J Machining Co. Quality Manual, paragraph 12.4(c), states: "All raw material purchase orders shall include a statement requiring suppliers to furnish a metallurgical lab report with each shipment. The reports will be retained by J&J Machining Co. metallurgical lab in accordance with paragraph 23.6."</p>		
Encountered Condition: (9) <input checked="" type="checkbox"/> Discussed with Facility (10) <p>Ten J&J Machining Co. purchase orders for raw materials to be used for the manufacture of rotor support couplings under RC PO #94 were reviewed (J3-122; J3-114; J3-221; J3-98; J3-301; J3-110; J3-245; J3-15; J3-278; J3-184). All ten POs were issued to YOYO International Material Broker as required by RC PO #94, and all included the statement for furnishing a metallurgical lab report with each shipment. All raw material shipments were completed between January 1997 and March 1998. The J&J Machining Co. metallurgical lab files were reviewed to determine whether metallurgical lab reports had been furnished with each shipment required by the ten POs. Only one metallurgical lab report was found to be on file (shipment under PO #J3-122).</p> <p>Attachments: RC Purchase Order #94 RC Quality Manual, Section 4 J&J Machining Co. Quality Manual, paragraphs 12.4(c) and 23.6 J&J Machining Co. PO # J3-122; J3-114; J3-221; J3-98; J3-301; J3-110; J3-245; J3-15; J3-278; J3-184</p>		
Typed Name and Signature of Recorder: (11) Julia R. Gotta <i>Julia Gotta</i>	Office Symbol (12) ANE MIDO 42	Date (13) 5/1/01
FAA Form 8100-6 (2-02) FOR OFFICIAL USE ONLY (when filled in) Public availability to be determined under 5 U.S.C. 552		

**APPENDIX 8. PREPARATION INSTRUCTIONS FOR FAA FORM 8120-14,
PRODUCTION APPROVAL/CERTIFICATE MANAGEMENT ACTIVITY REPORT**

- * **1. PURPOSE.** This appendix provides instructions for completing Form 8120-14. This form is used to document all activity, except ACSEP evaluations, at PAH's, associate facilities, and their suppliers. When combined with the respective Form(s) 8100-6 and, if applicable, Form 8100-1, a complete report of the activity conducted is available for subsequent planning. *
- 2. SPECIFIC GUIDANCE.** Figure 1 shows Form 8120-14 with numbered blocks. Prepare the form by inserting in:
- a. Block 1.** The name and address of the PAH or associate facility as recorded on the production approval.
 - b. Block 2.** The project number(s) applicable to the production approval(s).
 - c. Block 3.** The name and address of the supplier as recorded on the PAH's documentation.
 - d. Block 4.** A check mark in the appropriate box(es) to indicate the type of production approval.
 - e. Block 5.** A check mark in the appropriate box(es) to indicate the type of activity that was conducted.
 - f. Block 6.** The starting date and the ending date of the activity that was conducted.
 - g. Block 7.** The title, revision number, and date of any quality manual submitted to the FAA by the PAH or associate facility. The applicable 14 CFR part or section may also be entered. If no quality data is submitted, enter the applicable 14 CFR part or section. For a supplier, enter the applicable purchase order or quality requirements from the PAH or associate facility.
 - h. Block 8.** The date that applicable quality data submitted by a PAH or associate facility is approved by the FAA. If quality data is not subject to FAA approval, enter "N/A."
 - i. Block 9.** An "X" in the column next to the system element/subelement evaluated when the result of the activity is satisfactory. If the system element/subelement is not applicable at a facility, enter "N/A." If the system element/subelement was not evaluated, enter "N/E."
 - j. Block 10.** The respective Form 8100-6 noncompliance numbers for the system element evaluated, when the result of the activity is unsatisfactory.
 - k. Block 11.** The nomenclature and part number(s) of the product or part(s) thereof audited.
 - l. Block 12.** An "X" in the column next to the product or part(s) thereof audited when the result of the activity is satisfactory.
 - m. Block 13.** The respective Form 8100-6 noncompliance numbers for the product or part(s) thereof audited, when the result of the activity is unsatisfactory.

**APPENDIX 8. PREPARATION INSTRUCTIONS FOR FAA FORM 8120-14,
PRODUCTION APPROVAL/CERTIFICATE MANAGEMENT ACTIVITY REPORT**

- n. Block 14.** The specific purchase order or quality requirement audited.
- o. Block 15.** An “X” in the column next to the specific purchase order or quality requirement audited when the result of the activity is satisfactory.
- p. Block 16.** The respective Form 8100-6 noncompliance numbers for the specific purchase order or quality requirements audited, when the result of the activity is unsatisfactory.
- q. Block 17.** Enter the names, titles, and office symbols of all FAA personnel who participated in the activity.
- r. Block 18.** The typed or printed name and signature of the person conducting the audit or PI evaluation. In most cases, this will be the PI responsible for the PAH or associate facility.

NOTE: When Form 8120-14 is used to document a PI evaluation or DO audit with multiple team members, the signature in block 18 is that of the team leader. This form, with the above signature, can then be used to support the continued appointment as an ACSEP team leader in accordance with Order 8100.7, chapter 2, paragraph 21b(1).

- s. Block 19.** The office symbol of the person completing this form.
- t. Block 20.** The date that this form is completed.

APPENDIX 9. FORMS LISTING

1. PURPOSE. This appendix lists the forms referenced in this order and their sources. The forms listed in figure 1 are available from the FAA Logistics Center, AML-1000, through normal supply channels. The forms listed in figure 2 are available in an electronic format within CMIS.

FIGURE 1. FORMS AVAILABLE FROM FAA LOGISTICS CENTER

<u>Form Number</u>	<u>Title</u>	<u>NSN</u>	<u>Unit of Issue</u>
FAA Form 8100-1	Conformity Inspection Record	0052-00-039-3001	Package
FAA Form 8110-12	Application for Type Certificate, Production Certificate, or Supplemental Type Certificate	0052-00-025-0001	Sheet
FAA Form 8120-3	Production Limitation Record	0052-00-025-7001	Sheet
* FAA Form 8120-4	Production Certificate	0052-00-025-6001	Package
FAA Form 8130-3	Airworthiness Approval Tag	0052-00-012-9005	Pad
FAA Form 8130-9	Statement of Conformity	0052-00-847-2000	Sheet

FIGURE 2. FORMS AVAILABLE WITHIN CMIS

<u>Form Number</u>	<u>Title</u>
FAA Form 8100-1	Conformity Inspection Record
FAA Form 8100-6	Noncompliance Record
FAA Form 8120-3	Production Limitation Record
FAA Form 8120-4	Production Certificate
AIR Form 8120-9	Resource Targeting Facility Assessment Sheet
FAA Form 8120-14	Production Approval/Certificate Management Activity Report