

CHANGE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
National Policy

ORDER
8120.23
CHG 3

Date:
1/22/2016

SUBJ: Certificate Management of Production Approval Holders

- 1. Purpose.** This change contains guidance related to specific components of the certificate management process.
- 2. Who This Change Affects.** This change affects all Washington headquarters branch levels of the Aircraft Certification Service, Flight Standards Service, and the Regulatory Support Division; the Aviation System Standards office; the branch level in the Aircraft Certification Service directorates and regional Flight Standards Service divisions; all Aircraft Certification Offices; all Manufacturing Inspection District Offices and Manufacturing Inspection Satellite Offices; all Flight Standards District Offices; the Aircraft Certification Branch and Flight Standards Branch at the Federal Aviation Administration (FAA) Academy; all applicable representatives of the FAA; and all international field offices.
- 3. Explanation of Changes.** This change adds a note in paragraph 1-1 regarding the use of "CMIS," updates paragraph 3-55 and appendix H to align with changes to Title 14 of the Code of Federal Regulation (14 CFR) part 21, deletes references to "ACSEP," updates the instructions for preparing FAA Form 8100-6, Noncompliance Record, contained in appendix I, and changes the responsibility for review and updating the Category Parts List (CPL) to AIR-100.
- 4. Disposition of Transmittal Paragraph.** Retain this transmittal sheet until the directive is canceled by a new directive.
- 5. Effective Date.** This change is effective January 4, 2016, with the following exceptions, which are effective March 29, 2016:
 - a. Applicable changes to paragraph 3-55a;
 - b. Paragraph 3-55f;
 - c. Appendix H, criteria 120; and
 - d. Appendix H, criteria 612, Statement of Condition, paragraph c.

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Chapter 1. General

1-1. Purpose of This Order.

a. This order defines the components of the Federal Aviation Administration's (FAA) certificate management (CM) program for production approval holders (PAH). Section 44713 of Title 49 of the United States Code (49 U.S.C.) requires the FAA to inspect aircraft during manufacture. CM is the FAA's method for meeting this requirement, and auditing is the key component of CM. The purpose of an audit is to verify that a PAH has established and continues to follow approved procedures in the production of products, articles, and parts that conform to their approved type design and are in an airworthy condition for safe operation.

b. Title 14 of the Code of Federal Regulations (14 CFR) part 21, Certification Procedures for Products and Articles, includes requirements for PAHs and FAA production approval applicants. Specifically, part 21 requires a PAH to obtain FAA approval of a written description of its quality system that ensures each product, article, and part conforms to its approved design and is in a condition for safe operation. This written description must include procedures for each of 14 quality system elements in 14 CFR § 21.137. Sections 21.146, 21.316, and 21.616 also require a PAH to maintain this quality system in compliance with these approved procedures and ensure each completed product, article, or part conforms to its approved design and is in a condition for safe operation.

Note: All references to "CMIS" in this order are now recognized as references to the Aircraft Certification Audit Information System (ACAIS).

c. As some audit processes in the Certificate Management Information System (CMIS) are automated, there may be differences in CMIS processes and the stated manual processes defined in this order. Where this is the case, the automated process in CMIS takes precedence over the manual process stated in this order.

Note: The use of the word "should" throughout this order refers to a recommended practice. The associated activity is not a requirement; therefore, a record of completion is not required.

1-2. Audience. All FAA employees who participate in CM activities conducted at a PAH and its associate facilities and suppliers.

1-3. Where Can I Find This Order. You can find this order at on the Directives Management System website at http://www.faa.gov/tools_resources/orders_notices/. This order is available to the public at http://www.faa.gov/regulations_policies/orders_notices/. This order is also available on the Regulatory and Guidance Library at <http://rgl.faa.gov/>.

1-4. Cancellation. FAA Order 8100.7E, Aircraft Certification Systems Evaluation Program, dated April 16, 2010, and all associated changes are canceled.

3-12. Modification of RBRT Assessment Tool. The RBRT assessment tool includes several quasi-quantitative factors that result in the identification of quality systems according to their potential to produce nonconforming products, articles, or parts. AIR-100 will periodically audit the RBRT assessment tool. Any proposed modifications to the RBRT assessment tool require formal Aircraft Certification Management Team approval. AIR-100 will coordinate the implementation of any changes to the RBRT assessment tool, including development and dissemination of revised program guidance, updated CMIS programming, and revised RBRT assessment training materials.

3-13. through 3-14. Reserved.

Section 3. Quality System Audit

Part 1. QSA Introduction

3-15. General. The QSA is a component of CM and is a comprehensive audit program. It is a vital element within the FAA's mission of continued operational safety and is excluded from the U.S. Department of Transportation's plan to reduce internal regulations by 50 percent. The QSA—

- a.** Ascertain whether PAHs and associate facilities meet the applicable requirements of 14 CFR and comply with procedures established to meet those requirements.
- b.** Applies standardized audit criteria.
- c.** Populates a database for analyzing audit results and reporting trends.
- d.** Provides continuous improvement for the FAA by continually auditing customer feedback reports and considering proposed improvements by FAA internal and external customers.
- e.** Evaluates the continued integrity of the design data at PAHs and associate facilities after initial approval by the FAA. However, the QSA does not reevaluate the approval of previously approved data such as quality manuals or design data.

3-16. through 3-17. Reserved.

b. Certificate Management MIO Manager.

(1) Make the audit report available to the certificate management PI within 3 working days of receipt of the report from the QSA team leader.

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

c. Certificate Management ACO Manager.

(1) Make the QSA report available to the AE within 3 working days of receipt of the report from the QSA team leader.

(2) Send or deliver all copies of any objective evidence to the attention of the AE, as applicable; send the true copies of the objective evidence under separate cover.

Note: ACO investigations of special emphasis items identified during the conduct of a QSA should be coordinated with the responsible MIDO or CMO.

3-52. Requesting Corrective Action. The PI must request corrective action in accordance with paragraph 4-20 of this order.

3-53. through 3-54. Reserved.

Section 4. Supplier Control

Part 1. Determining Supplier Control by a PAH or Associate Facility

3-55. General PAH Supplier Control Responsibilities. A PAH or associate facility may use suppliers when it has established an FAA-approved quality system that provides assurance that all articles 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 each supplier-provided product, article, or service conforms to the PAH's requirements. This responsibility is applicable regardless of—

(1) Where the supplier or subtier suppliers 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 or subtier supplier.
- (6) Whether the articles received by the PAH or associate facility are commercial or standard parts.
- (7) Whether the supplier or subtier supplier has been delegated major inspection authority.
- (8) Whether the quality system 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 articles directly to the user/operator without the articles 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 system, controls to compensate for the absence of inspection normally conducted at the PAH's or associate facility's location, for example, receiving inspection and test. Compensating factors should include onsite audits of the supplier and the inspection of the article 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 article so shipped is accompanied by a shipping ticket, invoice, or other document containing a declaration that the individual article 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 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 the Authorized Release Certificate, FAA Form 8130-3, Airworthiness Approval Tag.

- (4) Provides the appropriate article marking information to the supplier.
- (5) Advises its cognizant MIDO/CMO of each direct-ship authorization.

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

f. Pursuant to 14 CFR 21.137(c)(2), verify that a supplier-reporting process is in place for products, articles, or services that have been released from or provided by the supplier and sub-tier supplier(s) and subsequently found not to conform to the PAH's requirements.

3-56. CM Activity. CM 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 articles and services.

a. The FAA does not approve suppliers. However, the PI should review a PAH's or associate facility's list of suppliers to verify that any suppliers outside the United States have been previously evaluated for undue burden determination as required by FAA Order 8100.11, Decision Paper Requirements for Undue Burden and No Undue Burden Determinations Under 14 CFR Part 21 for Production and Export Airworthiness Approvals.

b. The FAA will determine if a PAH or associate facility is complying with its supplier control system by performing the following activities:

(1) PI Audit. Refer to section 5 of this chapter. Specifically, the PI will use the QSA supplier control system element criteria from appendix H to determine if a PAH or associate facility is complying with its supplier control system.

(2) Supplier Control Audit. Refer to part 2 of this section. Specifically, the PI will determine if 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.

3-57. 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 audit 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 be accomplished annually, immediately following the last scheduled supplier control audit, PI audit, or CAA audit, whichever occurs last. During the review, the PI should look for evidence that may indicate a system breakdown in supplier control by the PAH or associate facility. When a systemic noncompliance is identified, the PI will prepare FAA Form 8100-6 and retain all applicable objective evidence in accordance with Manual FAA-IR-04-01, AIR Records Management Requirements Manual. The PI will request corrective action for a system breakdown in accordance with chapter 4, section 4, of this order.

3-58. through 3-59. Reserved.

Chapter 5. QSA and CMIS

5-1. Purpose. Audit data resulting from PAH CM activities is stored in CMIS. Upon extraction from CMIS, this data can be manipulated using Excel or other software with statistics capabilities. The software will be used to detect shifts in performance and statistically significant trends within the manufacturing industry, by directorate, by production approval type, or by other categories as supported by the data available within CMIS. CMIS data may also be used to study various aspects of the performance of QSAs on an as-required basis.

5-2. Files. CMIS contains all QSA-related forms, including FAA Form 8100-3, the QSA Report; FAA Form 8100-6, the Noncompliance Record; and FAA Form 8100-7, the QSA Customer Feedback Report.

5-3. Database Management. AIR-100 is responsible for monitoring CMIS and will, as appropriate, do the following:

a. Review the database as follows:

- (1) Enter into CMIS any completed FAA Form 8100-7 as returned by the facility.
- (2) Highlight noncompliance trends with respect to the system elements.
- (3) Analyze noncompliance trends with respect to the system elements.
- (4) Highlight trends emerging in the performance of QSAs.

b. Provide selected data and reports.

Note: All recipients of CMIS audit data will use the information internally only and will not release results outside of AIR. Refer to appendix R, paragraph 9 to this order.

5-4. Use of the Database. Directorates may use CMIS to obtain reports on noncompliances, frequently used 14 CFR references, and PAH compliance. They may use the database to detect shifts in performance and statistically significant trends for different segments of the industry. Directorates also may use the database to assist in scheduling.

Appendix B. Category Parts List

1. Purpose. This appendix describes the CPL, which *may* be used by the PI when assessing the RBRT criticality indicator.

2. Category Parts List. The CPL contains a list of assemblies and part(s) that have been assigned a category rating of 1 or 2. To receive a category rating of 1, an assembly or part must be one whose failure could prevent continued safe flight and landing, and resulting consequences could reduce safety margins, degrade performance, or cause loss of capability to conduct certain flight operations. To receive a category rating of 2, an assembly or part must be one whose failure would not prevent continued safe flight and landing, but whose resulting consequences may reduce the capability of the aircraft or the ability of the crew to cope with adverse operating conditions or subsequent failures.

3. Review of the CPL. AIR-100 will review the CPL every six months from the date of the last change or review. This review will be documented on a review/change tracking log that is attached to the CPL. The CPL, with the attached review/change tracking log, will be posted on the FAA Employees' website.

4. Structure of the CPL. Refer to figure B-1 of this appendix. The CPL is divided into five major areas: structural assemblies, structural elements, hydraulic pneumatic components, propulsion system components, and systems and equipment. Each of these areas is further identified by the applicable 14 CFR part. Each part listed is followed by a number, or numbers, in parentheses. This number identifies the applicable 14 CFR part and the designated category. For example, under "Structural Assemblies," "Fuselage" is followed by "23-1" and "25-1." This indicates that 14 CFR parts 23 and 25 are applicable, and that the fuselage is a Category 1 in both instances. If an assembly or part is not listed on the CPL, it will be considered as Category 3.

5. CPL Revision Process. A request to add a Category 1 or 2 assembly or part to the CPL, to change the category of an existing assembly or part on the CPL, or to remove an existing assembly or part from the CPL, may be generated from any source (for example, PI or ACO). Use the following procedure to revise the CPL (refer to figure B-2):

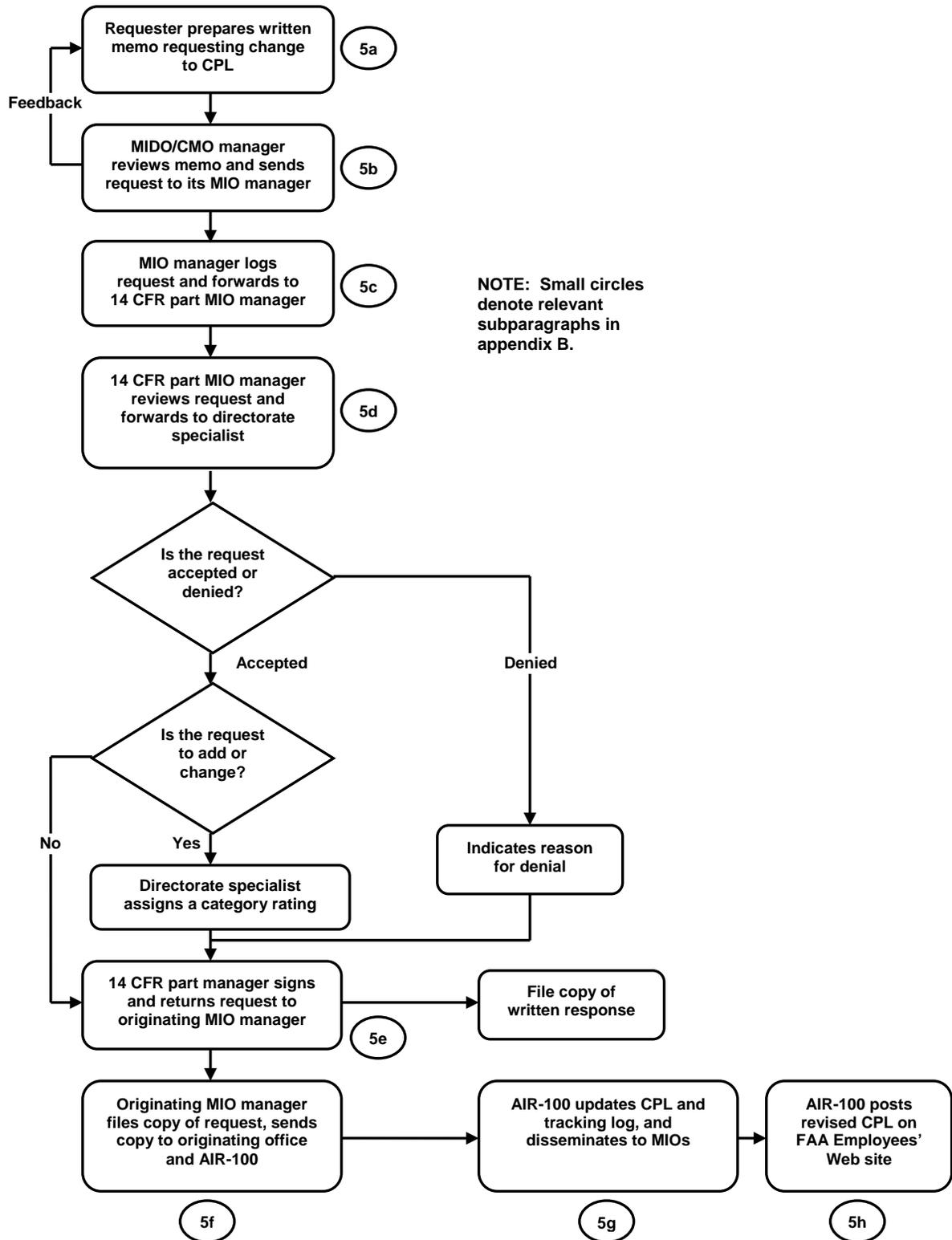
Note: A request to change the category of an existing CPL assembly or part may be justified based on a specific application. For example, a windshield may appear on the CPL as Category 1 for a part 23 aircraft. Based on the application (for example, unpressurized vs. pressurized), a request to change the category for a specific part 23 aircraft may be warranted if the category rating of 1 is not appropriate.

a. Prepare a Part Categorization memo and include the following as a minimum (refer to sample memos in figures B-3, B-4, and B-5):

- (1) Identify and fully describe the applicable assembly or part.
- (2) Identify the applicable 14 CFR part (that is, part 23, 25, 27, 29, 31, 33, or 35).

- f.** The originating MIO manager will file a copy of the memo, notify the originating MIDO/CMO, and send a copy to AIR-100.
- g.** AIR-100 updates the CPL, documents the new revision date in the CPL review/change log, and disseminates the revised CPL to all MIO managers.
- h.** AIR-100 will post the updated CPL on the FAA Employees' website.

Figure B-2. CPL Revision Process Flowchart



Appendix H. Standardized Audit Criteria for PAHs and Associate Facilities

1. Purpose. This appendix provides standardized audit criteria used to document the audit of the system elements listed in figure H-1 for PAHs and associate facilities.

Figure H-1. System Elements

Section No.	System Element	Appendix H Page No.
1	Organizational Management	H-2
2	Design Control	H-11
3	Software Quality Assurance	H-16
4	Manufacturing Processes	H-23
5	Manufacturing Controls	H-44
6	Supplier Control	H-68

2. Description of System Elements Section Format. Each section of this appendix addresses one of the six system elements listed in figure H-1. Each section is formatted as follows:

a. System Element Description. This is a brief description of what the system element is intended to accomplish or control.

b. System Element Standardized Audit Criteria. The audit criteria are located in this order and can also be found as part of the order located on the FAA's website, and are formatted as follows:

(1) Standardized Audit Criteria. Each criterion is identified by a numbered question within a box. The format of each question number is based on the specific system element section number identified in figure H-1.

(2) Applicability. This identifies whether the criterion applies to a specific type of production approval (PC, PMA, and TSO authorization). A table format is used that identifies the type of facility across the top and a code for the type of applicability in the first column. The codes for the types of applicability are defined as follows:

(a) A. This row within the applicability block is used to identify the 14 CFR source requirements applicable to a specific facility. The applicability to a specific facility is indicated by the specific 14 CFR part or section reference (for example, § 21.137, Quality system).

(b) E. This row within the applicability block is used to identify the enforceable 14 CFR requirement applicable to a specific facility. The applicability to a specific facility is indicated by the enforceable 14 CFR part or section reference (for example, § 21.146, Responsibility of holder).

102. Is the audited facility operating within the production limitations of the production approval?**Applicability**

	PC	PMA	TSO
A	§ 21.142 § 21.147	§ 21.309 § 21.316	§ 21.601
E	§ 21.146	§ 21.9 §21. 316	§ 21.9 § 21.616

Statement of Condition

a. There is objective evidence that the audited facility is manufacturing, for sale/installation, those products it is authorized to manufacture under a production approval.

b. If the production certificate holder manufactures and installs interface components, verify that their PLR identifies every applicable interface component.

103. Has the PAH provided to the FAA a document describing how its organization will ensure compliance with provisions of the regulatory subpart?**Applicability**

	PC	PMA	TSO
A	§ 21.135	§ 21.305	§ 21.605
E	§ 21.146	§ 21.316	§ 21.616

Statement of Condition

a. The policy document includes:

(1) A description of assigned responsibilities and delegated authority.

(2) A description of the functional relationship of those responsible for quality to management and other organizational components.

104. NO LONGER APPLICABLE.**105. Has the PAH provided to the FAA a quality manual describing its quality system? Are the documents prepared in the English language and retrievable in a form acceptable to the FAA?****Applicability**

	PC	PMA	TSO
A	§ 21.138	§ 21.308	§ 21.608
E	§ 21.138	§ 21.308	§ 21.608

119. Are there procedures for identifying, analyzing, and initiating corrective action for products or articles that have been released from the quality system, but do not conform to applicable design data or quality system requirements?

Applicability

	PC	PMA	TSO
A	§ 21.137	§ 21.307	§ 21.607
E	§ 21.146	§ 21.316	§ 21.616

Statement of Condition

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

120. Has the PAH identified an accountable manager?

Applicability

	PC	PMA	TSO
A	§ 21.135	§ 21.305	§ 21.605
E	§ 21.146	§ 21.316	§ 21.616

Statement of Condition

- a. Verify that the PAH quality system documents the responsibility of the accountable manager.
- b. If the accountable manager functions and responsibilities are delegated, is there objective evidence that the PAH has identified alternate points of contact? Any such delegations should be noted in an applicant's or PAH's organization document.
- c. Verify that the accountable manager is responsible within an applicant's or PAH's organization for, and has authority over, all production operations conducted pursuant to part 21.
- d. Verify the accountable manager is serving as a PAH's primary contact with the FAA.
- e. Has the accountable manager confirmed that all quality manual procedures are in place and that the PAH satisfies the requirements of part 21?

Section 2. Design Control

1. System Element Description. The methods for approving, controlling, and documenting FAA-approved designs and design changes. Specific functions necessary include the planning and integration of the audited facility's procedures for continuously maintaining the integrity of design data, drawings, part lists, and specifications necessary to define the configuration and the design features of the product. This includes software used in type-certificated aircraft or related products (airborne software).

2. System Element Standardized Audit Criteria. The following criteria are used to document audit of this system element.

201. Are there procedures for the control of technical data/documents and do they include storage, maintenance, and protection?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

a. Procedures provide for—

(1) Storing, maintaining, and protecting design data/documents to preserve their integrity, including magnetic storage media used as part of design documentation, if applicable.

(2) Identification of technical data/documents.

(3) Indication of technical data/documents approval, including FAA approval.

(4) A list of technical data/documents necessary to define configuration of the FAA-approved design.

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

202. Are there procedures for controlling design data and subsequent changes?

Applicability

	PC	PMA	TSO
A	§ 21.137	§ 21.307	§ 21.607
E	§ 21.146	§ 21.316	§ 21.616

Statement of Condition

a. There is objective evidence of—

(1) Use of current, correct, and approved data.

(2) Control of design and technical data document issuance, including persons authorized to obtain documents and for retrieval of obsolete documents.

(3) The method for making available to or notifying employees concerning changes in technical data.

(4) Verification that correct documents are in use for the product being produced.

- (5) Current design and technical data document distribution lists.
- (6) A complete and current file of technical data, including design drawings and specifications.
- (7) Electronically stored and transmitted technical design and quality data are adequately controlled.

203. Do the manufacturing, quality, and service/support organizations participate in the review of design and technical data changes?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

a. Procedures provide for the manufacturing organization, quality organization, and service/support organization to review design and technical data changes before release to ensure the product can be produced in conformity to an FAA-approved design.

(1) The product can be properly audited and verified to be in conformity to an FAA-approved design. Inspection equipment is available or can be procured that will adequately verify conformity to FAA-approved design, and that can be controlled for accuracy, when required.

(2) Service/product organization review design data changes before release to ensure appropriate airworthiness and service documents that are affected by the design change are revised as required.

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

204. NO LONGER APPLICABLE.

205. Are changes to technical data referenced on FAA-approved design data (specifications, installation instructions [when applicable], and airborne software documentation) appropriately documented and approved?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Procedures provide that changes to technical data referenced on FAA-approved design data are documented and approved in the same way as changes to product design.
- b. There is objective evidence of observance to established procedures.

206. Are minor design changes approved under a method acceptable to the FAA?**Applicability**

	PC	PMA	TSO
A	§ 21.95	§ 21.319	§ 21.619
E	§ 21.95	§ 21.319	§ 21.619

Statement of Condition

- a. There is objective evidence that—
- (1) Minor changes in a type design are approved by the FAA or by a method acceptable to the FAA. For example, an FAA-approved procedure whereby the PAH approves minor design changes.
- (2) For TSO articles, all necessary revised data are submitted to the FAA when minor changes are made and agree with any part number plan specified in the original application.
- (3) For PMA, a minor change to the design of an article has no appreciable effect on the approval basis.
- b. There is objective evidence of observance to established procedures.

207. Are major design changes, including process specification changes, submitted to the FAA for approval?**Applicability**

	PC	PMA	TSO
A	§ 21.97 § 21.99	§ 21.319	§ 21.619
E	§ 21.97 § 21.99	§ 21.319	§ 21.619

Statement of Condition

- a. There is objective evidence that—
- (1) Major design changes are submitted to the FAA for approval, including changes to manufacturing and special process specifications.

(2) Design changes resulting from applicable ADs, and design changes, which contribute to the safety of the product, are submitted to the FAA for approval.

208. Have design changes necessary to correct unsafe conditions been incorporated into the FAA-approved design, when applicable?

Applicability

	PC	PMA	TSO
A	§ 21.99	§ 21.307	§ 21.607
E	§ 21.99	§ 21.307	§ 21.607

Statement of Condition

a. There is objective evidence that design changes necessary to correct unsafe conditions have been incorporated into the FAA-approved design. This evidence may include one or more of the following:

- (1) Identification of applicable ADs.
- (2) Tracking the status of AD incorporation.
- (3) Furnishing the customer with the AD incorporation status at the time the product is delivered.

209. Are the instructions for continued airworthiness kept current with design changes, when appropriate, and made available to appropriate persons?

Applicability

	PC	PMA	TSO
A	§ 21.50	§ 21.50	P
E	§ 21.50	§ 21.50	N

Statement of Condition

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

210. Is descriptive data and information on FAA-approved design changes resulting from incorporation of ADs or that contribute to the safety of the product made available to users of the product?

Applicability

	PC	PMA	TSO
A	§ 21.99	P	P
E	§ 21.99	N	N

Statement of Condition

a. There is objective evidence that all applicable descriptive data and information covering FAA-approved design changes or improvements that contribute to the safety of the product are made available to product users.

211. If commercial parts are used, has the PAH provided to the FAA a listing of parts defined as commercial, along with additional information, as required?

Applicability

	PC	PMA	TSO
A	§ 21.50	§ 21.50	N
E	§ 21.50	§ 21.50	N

Statement of Condition

a. Procedures provide for the submittal of commercial parts list and supporting data for all parts designated as commercial.

Section 3. Software Quality Assurance

1. System Element Description. This system element addresses the planning and integration of the audited facility's procedures for continuously maintaining the integrity of software used in type-certificated aircraft or related products (airborne software), and the integrity of software and related hardware used for product acceptance. Document DO-178, Software Considerations in Airborne Systems and Equipment Certification (current edition), of the Radio Technical Commission for Aeronautics (RTCA), or comparable means, should be used as guidance for control of airborne software.

2. System Element Standardized Audit Criteria. The criteria used to document the audit of this system element are divided into two parts: Part A, Airborne Software, and Part B, Product Acceptance Software.

Part A. Airborne Software

301. Is there a Software Configuration Management Plan or procedure to control airborne software configuration?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

a. Procedures provide for—

- (1) Installation of the correct version of the software in the delivered product in accordance with the FAA-approved design.
- (2) A method by which controlled software containing the FAA-approved design data is transitioned into production. The media containing the software installed in the product is directly traceable to the Software Configuration Management library.
- (3) Documentation of integration of software with hardware to specify a unique version for incorporation into the product.
- (4) Cross-reference of software documents to their associated software.
- (5) The technical data/documents control system that includes software identification methods at the media level and at the product level. The media level identification is incorporated into the software, and the product level identifications are marked on the outside of the product indicating software configuration.

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

302. Is there a Configuration Index Document (CID) listing all software documents under configuration control and defining the hardware and software part numbers?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Procedures provide for traceability of hardware and software part numbers to the drawing control system.
- b. There is objective evidence of observance to established procedures.

303. Are there practices and procedures for reporting, tracking, and resolving software problems?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Corrective action procedures, for problems found subsequent to the FAA-approved design, include provisions for airborne software and hardware/software combinations. Procedures may parallel or be part of hardware corrective action procedures.
- b. Problem reports addressing changes to software code are under change control.
- c. The production test procedures have been modified to reflect the software change and successfully executed against the changed version.
- d. There is objective evidence of observance to established procedures.

304. Is obsolete and noncurrent software media recalled and purged, when applicable?**Applicability**

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Configuration control procedures for airborne software include methods of purging software for removal of obsolete and noncurrent media, when applicable. Procedures may parallel or be part of hardware purging procedures.
- b. Procedures include methods to identify, store, or dispose of obsolete and noncurrent media, when applicable.
- c. There is objective evidence of observance to established procedures.

305. Are there methods and facilities to protect computer programs from unauthorized access, inadvertent damage, or degradation?**Applicability**

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Procedures provide—
 - (1) Configuration control of the airborne software within the product design files.
 - (2) Limited access to software files and protection from unauthorized changes.
 - (3) Separate archives for masters and duplicates.

- (4) That masters and duplicates are not revived by the same machine simultaneously.
- (5) Minimized risk of deterioration and regeneration of errors on selected storage medium.
- (6) Assurance that the reproduction of code occurs error free.
- b. There is objective evidence of observance to established procedures.

306. Are there procedures to ensure documentation and archival for each version of the delivered airborne software version?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Procedures (that is, version description document) provide for methods to identify, document, and archive the software environment for each version of delivered airborne software.
- b. There is objective evidence of observance to established procedures.

307. Is software identified/marked externally/internally in accordance with the engineering drawing requirements?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Work instructions detail the identification/marking requirements.
- b. There is objective evidence of observance to established instructions.

308. Is airborne software programmed media handled and stored properly (for example, environmental controls and magnetic interference precautions)?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Procedures provide for special handling of programmed media.
- b. There is objective evidence of observance to established procedures.

309. Are build and load instructions established, maintained, and used?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Procedures provide—
 - (1) Software build and load into hardware components.
 - (2) Successful testing of the hardware after the software load.
- b. There is objective evidence of observance to established procedures.

Part B. Product Acceptance Software

310. Is there a Software Configuration Management Plan or procedure to control product acceptance software configuration?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

- a. Procedures provide for—
 - (1) Identification of software for an application.
 - (2) Control of approved versions for product acceptance.
 - (3) Control of obsolete and noncurrent software.
 - (4) Identification of software with a software configuration identification.

(5) Documentation of integration of software with hardware to specify a unique version for incorporation into the product.

(6) Cross-reference of software documents to their associated software.

(7) The technical data/documents control system that includes software identification methods at the media level and at the product level. The media level identification is incorporated into the software, and the product level identifications are marked on the outside of the product indicating software configuration.

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

311. Are all changes to product acceptance software documented and approved?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

a. Procedures provide for the method to change and approve product acceptance software. A procedure patterned after an engineering drawing change procedure is appropriate to provide a permanent record showing reason for change, revisions to the software, approvals, and effectivity.

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

312. Are there practices and procedures for reporting, tracking, and resolving software-related product acceptance problems?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

a. Corrective action procedures for product acceptance software may parallel or be part of manufacturing's general problem identification and corrective action procedures.

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

313. Are there methods and facilities to protect computer programs from unauthorized access, inadvertent damage, or degradation?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition**a.** Procedures provide for—

(1) Configuration control of product acceptance software to prevent unauthorized changes to the software.

(2) Limited access to software files and protection from unauthorized changes.

(3) Separate archives for masters and duplicates.

(4) Protection from corruption of masters and duplicates, ensuring they are not available in the same machine at the same time.

(5) Minimized risk of deterioration and regeneration of errors on selected storage medium.

(6) Assurance that reproduction of code occurs error free.

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

314. Is product acceptance software verified before use?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition**a.** Procedures provide for—

(1) Independent means to verify product acceptance software, and subsequent revisions, to ensure it accomplishes its intended function.

(2) Means to verify software/firmware/hardware is capable of discriminating between conforming and nonconforming parts or assemblies.

(3) Formal means of identifying approved product acceptance software.

(4) Configuration control of the product acceptance software as it relates to the product being accepted.

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

315. Are build and load instructions established, maintained, and used?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

a. Procedures provide for—

(1) Software build and load into hardware components.

(2) Successful testing of the hardware after the software load.

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

Section 4. Manufacturing Processes

1. System Element Description. This system element addresses specialized actions whereby materials, parts, or assemblies are accepted, worked or fabricated, tested, inspected, stored, and prepared for shipment. For purposes of an audit these actions are broken down as follows:

a. Manufacturing and Special Manufacturing Processes. Specific functions and operations necessary for the fabrication and inspection of parts and assemblies (some examples are machining, riveting, and assembling). Also included are methods whereby materials, parts, or assemblies are worked or fabricated through a series of precisely controlled steps, and that undergo physical, chemical, or metallurgical transformation (some examples are heat-treating, brazing, welding, and processing of composite materials).

b. Material Receiving, Handling, and Storage. The methods used to accept and protect raw materials, parts, subassemblies, assemblies, and completed products during receipt, manufacture, inspection, test, storage, and preparation for shipment.

c. Airworthiness Determination. The function that provides for audit of completed products/parts thereof, and related documentation, to determine conformity to FAA-approved design data and their condition for safe operation.

(3) Propellers, propeller blades, and hubs are identified by means of a plate, stamping, engraving, etching, or other approved method of fireproof identification, and have the required identification data.

Note: Fixed-pitch wooden propellers are not required to comply with fireproof marking requirements.

(4) Manned free balloons are identified by means of a fireproof plate on the balloon envelope, basket, and heater assembly, and have the required identification data.

(5) For TSO authorizations, articles are marked with the TSO holder's name, trademark, symbol, or other FAA-approved identification and part number. In addition, each article must be marked with the applicable TSO number and letter of designation, all markings specifically required by the applicable TSO, and serial number or the date of manufacture of the article or both, unless otherwise specified in the applicable TSO.

(6) For PMA, articles are marked with the letters "FAA-PMA" and the PMA holder's name, trademark, symbol, or other FAA-approved identification, and part number. If the FAA finds the article too small or impractical (because of characteristics) to mark all (or any) of the information on the article, the information not marked on the article must be attached to the article or its container in accordance with § 45.15(d).

(7) For critical components, parts are permanently and legibly marked with a part number (or equivalent) and a serial number (or equivalent).

428. Are only conforming and properly identified products/parts/articles shipped under the production approval?

Applicability

	PC	PMA	TSO
A	§ 21.137	§ 21.307	§ 21.607
E	§ 21.146	§ 21.316	§ 21.616

Statement of Condition

a. Procedures provide for—

(1) Packaging and shipping of products/parts/articles manufactured under the production approval that have met established acceptance criteria.

(2) Compliance with shipping instructions.

(3) Methods for preservation, packaging, and shipping of completed products.

(4) Subassemblies, component parts, or replacement articles that leave the manufacturer's facility as FAA-approved are identified with the manufacturer's part number, name, trademark, symbol, or other FAA-approved manufacturer's identification.

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

429. NO LONGER APPLICABLE.

430. If an export airworthiness approval has been issued, have the necessary documents and instructions been forwarded to the aviation authority of the importing country, or to other locations as specified in the special requirements of importing countries in AC 21-2?

Applicability

	PC	PMA	TSO
A	§ 21.327	§ 21.327	§ 21.327
E	§ 21.335	§ 21.335	§ 21.335

Statement of Condition

- a. There is objective evidence that—

(1) All documents and information necessary for proper operation of the products being exported have been forwarded to the cognizant aviation authority.

(2) Manufacturing assembly instructions and an FAA-approved flight test checkoff form have been forwarded to the cognizant aviation authority for unassembled aircraft being exported.

431. Have authorized personnel issued airworthiness approvals (FAA Form 8130-4 or 8130-3)?

Applicability

	PC	PMA	TSO
A	§ 21.335	§ 21.335	§ 21.335
	§ 21.137	§ 21.137	§ 21.137
E	§ 21.335	§ 21.335	§ 21.335
	§ 21.137	§ 21.137	§ 21.137

Statement of Condition

a. Procedures provide for identification of personnel authorized to issue airworthiness approvals.

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

c. If the PAH issues authorized release documents for engines, propellers, and articles, verify that procedures are in place that fully address the requirements in 14 CFR 21.137(o) to include selection, appointment, training, management, and removal of individuals authorized by the PAH to issue authorized release documents.

432. Have export airworthiness approvals been obtained for all products/parts/articles that have left the PAH's quality system?
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Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition**a.** Procedures provide for—

(1) Methods for applying for export airworthiness approvals (FAA Form 8130-4 or FAA Form 8130-3), and the responsibilities of personnel authorized to submit applications.

(2) All exported products to meet special requirements of the importing country listed in appendix 2 to AC 21-2 (current revision). Procedures provide for properly annotating any deviation on the exporting documentation and including a letter of acceptance from the importing country for such deviations.

(3) Methods for applying for domestic airworthiness approvals (FAA Form 8130-3) and the responsibilities of personnel authorized to submit applications.

(4) Retention of copies of FAA Form 8130-4 and/or FAA Form 8130-3, as applicable.

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

For Aircraft Manufacturers ONLY
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433. Are completed aircraft registered before airworthiness certification?

Applicability

	PC	PMA	TSO
A	§ 47.3 § 21.173	N	N
E	§ 21.173	N	N

Statement of Condition

a. There is objective evidence that completed aircraft are registered before issuance of airworthiness certificate.

434. Have aircraft been properly identified with nationality and registration marks before airworthiness certification?

Applicability

	PC	PMA	TSO
A	§ 45.21	N	N
E	§ 45.21	N	N

Statement of Condition

a. There is objective evidence that nationality and registration marks are displayed on aircraft, and are properly located and sized before airworthiness certification.

435. Have applicable airworthiness certificates or special flight permits been obtained for the purposes for which the aircraft is flown?

Applicability

	PC	PMA	TSO
A	Part 21 Subparts H, I	N	N
E	§ 91.203	N	N

Statement of Condition

a. There is objective evidence that proper airworthiness certificates or special flight permits have been obtained before using aircraft for their intended purposes.

436. Are flight manuals, supplements, and current weight and balance data furnished with each aircraft at the time of delivery, as applicable?

Applicability

	PC	PMA	TSO
A	§ 23.1581 § 25.1581 § 27.1581 § 29.1581 § 31.81	N	N
E	§ 21.5 § 31.81	N	N

Statement of Condition

a. There is objective evidence that aircraft flight manuals, supplements, and current weight and balance data are furnished with each aircraft, as applicable.

437. Have registration and airworthiness certificates been cancelled for aircraft whose title has passed to an importing country purchaser?

Applicability

	PC	PMA	TSO
A	§ 21.335	N	N
E	§ 21.335	N	N

Statement of Condition

a. There is objective evidence that U.S. registration and airworthiness certificates have been cancelled by the FAA (contact FAA aircraft registry office in Oklahoma City at 405-954-3116) when title passes or has passed to an importing country purchaser. This evidence includes the return of Registration and Airworthiness Certificates, Aeronautical Center Form 8050-3 and FAA Form 8100-2, to the FAA.

Section 5. Manufacturing Controls

1. System Element Description. This system element addresses specialized actions whereby a PAH ensures materials, parts, and assemblies are worked or fabricated, tested, and inspected to ensure conformity to FAA-approved design. Manufacturing controls also include methods for review and approval of materials and parts that are withheld because of departures from design data or specifications and are to be considered for installation in the finished product. For purposes of an audit, these actions are broken down as follows:

a. **Statistical Quality Control (SQC).** A method that may be used by the PAH to control product quality by statistical methods, and that may be used for continuous improvement and/or product acceptance. SQC includes techniques such as statistical sampling, PRE-control, and statistical process control (SPC).

b. **Tool and Gauge.** The function that establishes control of precision measuring devices (for example, tools, scales, gauges, fixtures, instruments, and automated measuring machines) used in fabrication, special processing, inspection, test of detail parts, assemblies, and completed products to determine conformity to FAA-approved design.

c. **Testing.** The function that provides for static, destructive, and functional tests of production products/parts thereof to ensure conformity to FAA-approved design.

d. **Nondestructive Inspection.** The application of technical methods to examine materials or components in ways that do not impair future usefulness and serviceability. These methods are used to detect, locate, measure, and audit discontinuities, defects, and other imperfections; to assess integrity, properties, and composition; and to measure geometrical characters.

e. **Nonconforming Materials.** A method of controlling, auditing, and dispositioning of any product/part thereof that does not conform to FAA-approved design.

2. System Element Standardized Audit Criteria. The criteria used to document the audit of this system element are divided into four parts: Part A, Statistical Quality Control (SQC), Part B, Tool and Gauge, Part C, Testing and Part D, Nondestructive Inspection.

Part A. Statistical Quality Control (SQC)

501. Has a statistical sampling inspection plan been established for acceptance of specified product characteristics at the receiving inspection and during manufacture?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

a. There is objective evidence that—

(1) All characteristics essential to ensure compliance to FAA-approved design have been identified. Characteristics that, if not maintained, would or may cause an unsafe condition in the end product are identified separately.

(2) Product characteristics identified as having an impact on the safety of the end product have been 100-percent inspected.

(3) Samples have been selected that adequately represent the lot or process.

(4) Adjustments to the sampling plan are based on acceptance and quality history, and that the sampling plan is tightened to 100 percent inspection when nonconformances affecting safety are discovered.

(5) Statistical inspection conforms to sampling specifications or approved sampling plan requirements.

(6) Sampling plans do not allow the acceptance of “known defectives” in a lot, or acceptable quality levels with known defectives that would affect safety.

502. Do the engineering and manufacturing organizations participate in the review, implementation, and maintenance of SQC and SPC techniques used for product acceptance?

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

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

Applicability

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

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

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

(2) Flow down of all pertinent quality requirements.

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

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

Applicability

	PC	PMA	TSO
A	§ 21.137	§ 21.307	§ 21.607
E	§ 21.146	§ 21.316	§ 21.616

Statement of Condition

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

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

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

(3) Software specification requirements for suppliers providing software.

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

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

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

	PC	PMA	TSO
A	§ 21.95 § 21.97 § 21.99 § 21.137	§ 21.307	§ 21.607
E	§ 21.146	§ 21.316	§ 21.616

Statement of Condition

- a. Procedures provide for control over supplier design and changes thereto.
- b. There is objective evidence of observance to established procedures.
- c. Pursuant to 14 CFR 21.137(c)(2), verify that a supplier-reporting process is in place for products, articles, or services that have been released from or provided by the supplier and subtier supplier(s) and subsequently found not to conform to the PAH's requirements.

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

	PC	PMA	TSO
A	P	P	P
E	N	N	N

Statement of Condition

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

Appendix I. Preparation Instructions for FAA Form 8100-6, Noncompliance Record

1. Purpose. This appendix provides instructions for completing FAA Form 8100-6 for all audit activities.

2. Specific Guidance. Figure I-1 shows FAA 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 a QSA, enter the QSA Number/Audit Number. For all other activity, enter an appropriate Audit/Report Number or “N/A” as applicable.

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

c. Block 3. Number the noncompliance sequentially beginning with the number “1.”

d. Block 4. Insert a check mark in the appropriate box to indicate the type of audit that was conducted.

e. Block 5. Under “System Element Audited,” enter the name of the system element in appendix H to this order to which the noncompliance is relevant. Under “Noncompliance Code,” enter the audit criteria number from appendix H to this order. Under “Process Code,” when the type of noncompliance identified in block 10 is a “Product Nonconformity,” enter the process that deviated to cause the noncompliance. The process codes are available in CMIS, as well as in table 1 of the latest revision of SAE Aerospace Standard AS9131. Do *not* insert more than one number.

Note: More than one noncompliance may be recorded for audit criteria. When audit 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 criterion are affected, complete an FAA Form 8100-6 for each condition. When recording noncompliances for a common condition, complete only one FAA Form 8100-6.

f. Block 6. The controlling document is defined as the FAA-approved data, purchase order/quality requirements from a PAH or associate facility, or internal procedures used in producing the product, article, or part(s). Enter the complete reference number, or, as a minimum, the document title and effective date. (Examples: ABC Company Quality Manual dated March 5, 2005; XYZ QOI 32-6 dated June 23, 2007; BCD Drawing No. 9825333-2 dated May 20, 2009.) Insert a check in the “Yes” or “No” block, as appropriate, to indicate whether the controlling document is FAA-approved.

Note: 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 before use. Determine the approval status of any referenced PAH supplier quality requirement before checking the “Yes” or “No” block.

g. Block 7. Enter the applicable 14 CFR part or section that establishes the responsibility of the PAH (for example, § 21.316 or § 21.616). If the observed condition is not directly traceable to one of these requirements, leave the block blank. 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, and PMA.

h. Block 8. Insert a check mark in the appropriate box to indicate the scope of the noncompliance:

(1) Systemic: a noncompliance to 14 CFR, FAA-approved data, the facility's internal procedures, or purchase order requirements that is systemic in nature; that is, is pervasive, repeatable, and represents a breakdown in the quality system.

(2) Isolated: a noncompliance to 14 CFR, FAA-approved data, the facility's internal procedures, or purchase order requirements that are isolated or nonsystemic in nature which are not pervasive or repeatable, and do not represent a breakdown in the quality system.

i. Block 9. Insert a check mark in the appropriate box to indicate whether the origin of the noncompliance can be traced back to the PAH or the PAH's supplier.

j. Block 10. Insert a check mark in the appropriate box to indicate whether the noncompliance was the result of a nonconformity in a product or a noncompliance in a procedure. If a product nonconformity, also enter a process code in block 5 and complete blocks 13 and 14.

k. Block 11. Insert a check mark in the "Yes" or "No" block, as appropriate, to indicate whether it is 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 a QSA, record as an immediate safety impact only when the managing office determines that immediate action is required.

l. Block 12. Insert a check mark in the "Yes" or "No" block, as appropriate, to indicate whether it is a noncompliance to 14 CFR that is discovered in FAA-approved data.

m. Block 13. Enter the applicable JASC system code when the type of noncompliance identified in block 10 is a "Product Nonconformity." The system codes are available in CMIS, as well as in the latest version of the *Federal Aviation Administration Joint Aircraft System/Component Code Table and Definitions* document.

n. Block 14. Enter the applicable JASC component code when the type of noncompliance identified in block 10 is a "Product Nonconformity." The component codes are available in CMIS, as well as in the latest version of the *Federal Aviation Administration Joint Aircraft System/Component Code Table and Definitions* document.

o. Block 15. Enter 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.

p. Block 16. Enter 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 audit 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.

q. Block 17. Enter the name of the person that discovered the noncompliance.

r. Block 18. Enter the routing symbol of the person listed in block 17.

s. Block 19. Enter the typed or printed name and signature of the person recording the noncompliance. If the form is completed within CMIS, the signature is not required.

t. Block 20. Enter the routing office symbol of the person listed in block 19.

u. Block 21. Enter the date the form is completed.

Figure I-1. Sample FAA Form 8100-6

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

		Noncompliance Record		QSA No./Audit No. (1)	
				Project No. (2)	
				Noncompliance No. (3)	
Type of Audit: <input type="checkbox"/> MIDO <input type="checkbox"/> PI <input type="checkbox"/> QSA <input type="checkbox"/> SCA <input type="checkbox"/> Product <input type="checkbox"/> Other (4)					
System Element Audited: (5)		Controlling Document: (6)		Applicable CFR Section: (7)	
Noncompliance Code:		FAA-approved data? [Select one] <input type="checkbox"/> Yes <input type="checkbox"/> No			
Process Code:					
Noncompliance Characteristics					
Scope: [select one] Systemic <input type="checkbox"/> Isolated <input type="checkbox"/> (8)		Origin: [select one] PAH <input type="checkbox"/> Supplier <input type="checkbox"/> (9)		Type: [select one] Product (10) Nonconformity <input type="checkbox"/> Procedural Noncompliance <input type="checkbox"/>	
				Immediate Safety Impact? [select one] (11) Yes <input type="checkbox"/> No <input type="checkbox"/>	
				Certification Related? (12) [select one] Yes <input type="checkbox"/> No <input type="checkbox"/>	
JASC System Code: (13)			JASC Component Code: (14)		
Required Condition: (15)					
Encountered Condition: (16)					
Team Member Discovering Noncompliance: (17)				Office Symbol (18)	
Name and Signature of Recorder: (19)			Office Symbol (20)		Date (21)