|  |  |  |
| --- | --- | --- |
| 1**CB Name:**      | **QMS PROCESS MATRIX REPORT** | 2 |
| 3**Organization** |  | 4**Audit Report Number** | **1168-02** |
| 5**Issue Date** | 10/04/2017       |
| 6**Type of Certification Structure****Single** **[ ]  Multiple** **Sites** **[x]  Campus** **[ ]  Several Sites** **[ ]  Complex Organization** **[ ]**  |
| 7**AQMS Standard/Revision**  |  **[x]  9100**  | **Rev:** | **[ ]  9110** | **Rev:** | **[ ]  9120** | **Rev:** |
|  | **ORGANIZATION QMS PROCESSES** |  |
| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** |
| 8**Process Name** |       |       |       |       |       |       |       |       |       |       |       |       |
| 9 **Related Process Effectiveness Assessment Report (PEAR) Identification** |       |       |       |       |       |       |       |       |       |       |       |       |
| **10Site** | **11OIN** | **12PROCESS APPLICATION** |
|  |  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
|  |  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
|  |  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
|  |  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
| 13**Process Effectiveness Level** | **1** | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |  |
| **2** | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
| **3** | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
| **4** | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
| **5** | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
|  |
| **9100 Series Clauses*****(A) = Not applicable for 9100******(B) = Not applicable for 9110******(C) = Not applicable for 9120*** | 14Conformity | 15NCR Number and Classification |
| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** |
| **4.** | **Context of the Organization** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4.1 | Understanding the Organization and its Context |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 4.2 | Understanding the Needs and Expectations of Interested Parties |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4.3 | Determining the Scope of the Quality Management System |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 4.4 | Quality Management System and its Processes |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 4.4.1 |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 4.4.2 |       |       |       |       |       |       |       |       |       |       |       |       |       |
| **16Summary of Objective Evidence:**  |
| **5.** | **Leadership** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5.1 | Leadership and Commitment |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 5.1.1 | General |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5.1.2 | Customer Focus |       |       |       |       |       |       |       |       |       |       |       |       |       |
| **9100 Series Clauses*****(A) = Not applicable for 9100******(B) = Not applicable for 9110******(C) = Not applicable for 9120*** | 14Conformity | 15NCR Number and Classification |
| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** |
| 5.2 | Policy |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5.2.1 | Establishing the Quality Policy |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5.2.2 | Communicating the Quality Policy  |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 5.2.3 | Establishing and Communicating the Safety Policy ***(A) (C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5.3 | Organizational Roles, Responsibilities, and Authorities |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 5.3.1 | Accountable Manager ***(A) (C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5.3.2 | Quality Manager ***(A) (C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5.3.3 | Other Appointed Manager(s) ***(A) (C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **16Summary of Objective Evidence:**       |
| **6.** | **Planning** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6.1 | Actions to Address Risks and Opportunities |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 6.1.1 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6.1.2 |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 6.2 | Quality Objectives and Planning to Achieve Them |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 6.2.1 |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 6.2.2 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6.3 | Planning of Changes |       |       |       |       |       |       |       |       |       |       |       |       |       |

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| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** |
| **16Summary of Objective Evidence:**  |
| **7.** | **Support** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.1 | Resources |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.1.1 | General |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 7.1.2 | People |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 7.1.3 | Infrastructure |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.1.4 | Environment for the Operation of Processes |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.1.5 | Monitoring and Measuring Resources |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.1.5.1 | General |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.1.5.2 | Measurement Traceability |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.1.6 | Organizational Knowledge |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.2 | Competence |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.3 | Awareness |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.4 | Communication |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.5 | Documented Information |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.5.1 | General |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.5.2 | Creating and Updating |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **9100 Series Clauses*****(A) = Not applicable for 9100******(B) = Not applicable for 9110******(C) = Not applicable for 9120*** | **14Conformity** | **15NCR Number and Classification** |
| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** |
| 7.5.3 | Control of documented information |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.5.3.1 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 7.5.3.2 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **16Summary of Objective Evidence:**       |
| **8.** | **Operation** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.1 | Operational Planning and Control  |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 8.1.1 | Operational Risk Management ***(C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.1.2 | Configuration Management |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.1.3 | Product Safety ***(C)*** |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 8.1.4 | Prevention of Counterfeit Parts |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 8.1.5 | Prevention of Suspected Unapproved Parts ***(A)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.1.6 | Installation of Approved Parts ***(A) (C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.2 | Requirements for Products and Services |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 8.2.1 | Customer Communication |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 8.2.2 | Determining the Requirements for Products and Services |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.2.3 | Review of the Requirements for Products and Services |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 8.2.3.1 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.2.3.2 |  |  |  |  |  |  |  |  |  |  |  |  |  |

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| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** |
| 8.2.4 | Changes to Requirements for Products and Services |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.3 | Design and Development of Products and Services |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.3.1 | General |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.3.2 | Design and Development Planning |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.3.3 | Design and Development Inputs |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.3.4 | Design and Development Controls |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.3.4.1 | Design and Development Controls ***(B) (C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.3.5 | Design and Development Outputs |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.3.6 | Design and Development Changes |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.4 | Control of Externally Provided Processes, Products, and Services |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.4.1 | General |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.4.1.1 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.4.2 | Type and Extent of Control |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.4.3 | Information for External Providers |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5 | Production and Service Provision |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5.1 | Control of Production and Service Provision |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5.1.1 | Control of Equipment, Tools, and software programs |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5.1.2 | Validation and Control of Special Processes ***(C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |

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| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** |
| 8.5.1.3 | Production Process Verification ***(B) (C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5.1.4 | Evaluation of a New Capability ***(A) (C)*** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5.2 | Identification and Traceability |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5.3 | Property Belonging to Customers or External Providers |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5.4 | Preservation |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5.5 | Post-delivery Activities |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.5.6 | Control of Changes |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.6 | Release of Products and Services |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.7 | Control of Nonconforming Outputs |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.7.1 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 8.7.2 |       |       |       |       |       |       |       |       |       |       |       |       |       |
|  |
| **9.** | **Performance Evaluation** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9.1 | Monitoring, Measurement, Analysis, and Evaluation |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 9.1.1 | General |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9.1.2 | Customer Satisfaction |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 9.1.3 | Analysis and Evaluation |       |       |       |       |       |       |       |       |       |       |       |       |       |

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| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** |
| 9.2 | Internal Audit |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9.2.1 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9.2.2 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9.3 | Management Review |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9.3.1 | General |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9.3.2 | Management Review Inputs |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 9.3.3 | Management Review Outputs |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **16Summary of Objective Evidence:**  |
|  |
| **10.** | **Improvement** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 10.1 | General |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 10.2 | Nonconformity and Corrective Action |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 10.2.1 |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 10.2.2 |       |       |       |       |       |       |       |       |       |       |       |       |       |
| 10.3 | Continual Improvement |       |       |       |       |       |       |       |       |       |       |       |       |       |
| **16Summary of Objective Evidence:**      |
| **17AuditorName(s)** | Nina Lott |

***DISCLAIMER STATEMENT***

*This audit was conducted based on a sampling process of the available information.*

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| **Form 2: QMS Process Matrix Report Instructions** |
| **Item #** | **Description** |
| 1 | Enter the name of the Certification Body (CB) conducting the audit. |
| 2 | Use the IAQG logo as default or enter the CB logo (optional). |
| 3 | Enter the name of the organization audited. |
| 4 | Enter the associated audit report number.  |
| 5 | Enter the date that this form was completed. |
| 6 | Select the applicable certification structure (i.e., Single Site, Multiple Sites, Campus, Several Sites, Complex Organization). |
| 7 | Select the applicable Aerospace Quality Management System (AQMS) standard(s) (i.e., 9100, 9110, 9120) used for the audit criteria and enter the revision level. |
| 8 | Enter the organization’s processes that were audited (reference 9101 clause 4.2.2.5). Examples, but not limited to:* Design.
* Manufacturing.
* Purchasing.
* Internal Audit.

NOTE: If there are more processes than columns, additional forms can be used. |
| 9 | Enter the Process Effectiveness Assessment Report (PEAR) identification as completed for the processes indicated in box “8”. For those processes not related to clause 8 of the 9100-series standard (i.e., 9100, 9110, 9120), indicate “Not Applicable (N/A)”.  |
| 10 | Enter the name of the organization site audited (add more rows if needed).  |
| 11 | Enter the Online Aerospace Supplier Information System (OASIS) Identification Number (OIN) of the site audited (add more rows if needed).  |
| 12 | Indicate processes audited by site/OIN, as required, by checking the appropriate box. |
| 13 | Enter the process effectiveness level for the processes indicated in box 8 by checking the appropriate box. If the process covers more than one site then enter the lowest value of the various sites assessed. For those boxes marked as N/A (see box 9), leave the “Process Effectiveness Level” blank.  |
| 14 | For each process, indicate the applicable 9100/9110/9120 clause(s) as follows:Record **“C”** to denote a clause found **“Conforming”**.Record **“N”** to denote a clause found **“Nonconforming”***.** Record “N/E” to indicate “Not Evaluated”.
* Record **“N/A”** to indicate **“Not Applicable”** (see9100-series clause 4.3).

NOTE: For clauses that are not directly linked to the process, the appropriate box remains empty. |
| 15 | Enter the Nonconformity Report (NCR) identification number as reference and classification **“Ma”** for major or **“Mi”** for minor [e.g., NCR #01 (Ma)].  |
| 16 | Document a summary of objective evidence for clauses 4, 5, 6, 7, 9, and 10 of the applicable standard(s); clause 8 objective evidence will be recorded on the PEAR. Summarize the relevant audit trails and audit evidence (i.e., statements of fact or information that are relevant to the audit and verifiable) in relation to the process audited, including statements of conformity and nonconformity.  |
| 17 | Enter the name of the auditor(s) who completed the matrix. |

NOTE: The completeness of this Form may be supplemented by the use of attachments to provide further detailed information. When attachments are provided, the respective box on the Form should describe the information in summary format and then refer to the respective attachment - it is not permissible to simply say "see attached". All information is entered into the OASIS database in accordance with 9104/1.