

Quality Management Systems - Audit Requirements for
Aviation, Space, and Defence Organisations

EESTI STANDARDI EESSÕNA

NATIONAL FOREWORD

See Eesti standard EVS-EN 9101:2015 sisaldab Euroopa standardi EN 9101:2015 ingliskeelset teksti.	This Estonian standard EVS-EN 9101:2015 consists of the English text of the European standard EN 9101:2015.
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English Version

Quality Management Systems - Audit Requirements for Aviation, Space, and Defence Organisations

Systèmes de management de la Qualité - Exigences
d'Audits pour les Organisations de l'Aéronautique,
l'Espace et la Défense

Qualitätsmanagementsysteme - Audit-Anforderungen
für Organisationen der Luftfahrt, Raumfahrt und
Verteidigung

This European Standard was approved by CEN on 20 March 2015.

CEN members are bound to comply with the CEN/CENELEC Internal Regulations which stipulate the conditions for giving this European Standard the status of a national standard without any alteration. Up-to-date lists and bibliographical references concerning such national standards may be obtained on application to the CEN-CENELEC Management Centre or to any CEN member.

This European Standard exists in three official versions (English, French, German). A version in any other language made by translation under the responsibility of a CEN member into its own language and notified to the CEN-CENELEC Management Centre has the same status as the official versions.

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EUROPEAN COMMITTEE FOR STANDARDIZATION
COMITÉ EUROPÉEN DE NORMALISATION
EUROPÄISCHES KOMITEE FÜR NORMUNG

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European foreword

This document (EN 9101:2015) has been prepared by the Aerospace and Defence Industries Association of Europe - Standardization (ASD-STAN).

After enquiries and votes carried out in accordance with the rules of this Association, this European Standard has received the approval of the National Associations and the Official Services of the member countries of ASD, prior to its presentation to CEN.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by March 2016, and conflicting national standards shall be withdrawn at the latest by March 2016.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN [and/or CENELEC] shall not be held responsible for identifying any or all such patent rights.

This document supersedes EN 9101:2011.

According to the CEN-CENELEC Internal Regulations, the national standards organizations of the following countries are bound to implement this European Standard: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, Former Yugoslav Republic of Macedonia, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and the United Kingdom.

RATIONALE

This European standard has been revised to incorporate the requirements for accredited Certification Bodies (CBs) introduced by International Organization for Standardization (ISO) / International Electrotechnical Commission (IEC) ISO/IEC 17021:2011, EN 9104/1:2012, and inputs received from industry stakeholders associated to process-based auditing methods and the evaluation of process effectiveness.

FOREWORD

To assure customer satisfaction, aviation, space, and defence organisations must produce and continually improve safe reliable products that meet or exceed customer and applicable statutory/regulatory requirements. The globalization of the industry and the resulting diversity of regional and national requirements and expectations have complicated this objective. Organisations have the challenge of purchasing products from suppliers, at all levels of the supply chain, throughout the world. Suppliers have the challenge of delivering products to multiple customers having varying quality requirements and expectations.

Industry established the International Aerospace Quality Group (IAQG), with representatives from companies in the Americas, Asia/Pacific, and Europe, to implement initiatives that make significant improvements in quality and reductions in cost throughout the value stream.

This document has been prepared by the IAQG and standardises the requirements for conducting and reporting of Quality Management System (QMS) audits. It can be used by aviation, space, and defence organisations at all levels throughout the global supply chain.

It provides requirements for an audit and reporting process, based on:

- the process and continual improvement approach defined in EN 9100-series standards;
- the specific aviation, space, and defence additions in EN 9100-series standards;
- the use of common audit tools; and
- the uniform, transparent, and standardised reporting of audit results.

In this European Standard, the word “shall” indicates a requirement and the word “should” a recommendation to meet the intent of the standard. Words “typical”, “example”, or “e.g.” indicate suggestions given for guidance. Information marked “NOTE” is for guidance in understanding or clarifying the associated requirement.

0 Introduction

0.1 General

Auditing is a basic tool to assess effective implementation of and conformity to QMS requirements. In addition to the determination of conformity, this European Standard focuses on the evaluation of effectiveness (see ISO 9000, subclause 3.2.14) of the QMS and its associated processes.

An organization is not only required to be in conformity with QMS requirements, but to be effective in meeting customer expectations and delivering products that meet those expectations.

Additionally, this European Standard takes into account the new requirements presented in the 2009 revisions of the EN 9100-series standards [e.g. critical items, special requirements, On-time Delivery (OTD) performance, risk management, project management].

0.2 Auditing approach

This European Standard supports the engagement and evaluation of an organization's QMS process approach, as required by the EN 9100-series standards. When evaluating an organization's QMS, there are basic questions that should be asked of every process, for example:

- a) Is the process identified and appropriately defined?
- b) Are responsibilities assigned?
- c) Are the processes adequately implemented and maintained?
- d) Is the process effective in achieving the desired results?

The collective answers to these and other associated questions will contribute to the evaluation results.

In addition, product quality (as delivered), customer satisfaction, and QMS effectiveness can be considered as interrelated. This relationship should be reflected in the audit process and associated results.

0.3 Audit records and reports

This European Standard defines the audit records and reports to be generated, during the audit process. They are critical in providing the organization and its' customers with objective evidence on the conformity and effectiveness of the QMS (including process effectiveness), and reporting the audit results in a standard format/structure.

1 Scope

1.1 General

This European Standard defines requirements for the preparation and execution of the audit process. In addition, it defines the content and composition for the audit reporting of conformity and process effectiveness to the EN 9100-series standards, the organization's QMS documentation, and customer and statutory/regulatory requirements.

The requirements in this European Standard are additions or represent changes to the requirements and guidelines in the standards for conformity assessment, auditing, and certification as published by ISO/IEC (i.e. ISO/IEC 17000, ISO/IEC 17021). When there is conflict with these standards, the requirements of the EN 9101 standard shall take precedence.

NOTE 1 In this European Standard, the term "EN 9100-series standards" comprises the following Aerospace Quality Management System (AQMS) standards: EN 9100, EN 9110, and EN 9120; developed by the IAQG and published by various national standards bodies.

NOTE 2 In addition to this European Standard, the IAQG publishes deployment support material on the IAQG website (see <http://www.sae.org/iaqg/>) that can be used by audit teams, when executing the audit process.

1.2 Application

This European Standard shall be used for audits of EN 9100-series standards by CBs for certification of organisations, under the auspices of the aviation, space, and defence industry certification scheme [also known as Industry Controlled Other Party (ICOP) scheme]. The ICOP scheme requirements are defined in the EN 9104-series standards (i.e. EN 9104/1, EN 9104/2, EN 9104/3).

NOTE Relevant parts of this European Standard can be used by an organization in support of internal audits (1st party) and external audits at suppliers (2nd party).

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

EN 9100¹⁾, *Quality Management Systems — Requirements for Aviation, Space and Defence Organisations*

EN 9102¹⁾, *Aerospace series — Quality systems — First article inspection*

EN 9104-001¹⁾, *Aerospace series — Quality management systems — Part 001: Requirements for Aviation, Space, and Defence Quality Management System Certification Programs*

EN 9104-002¹⁾, *Aerospace series — Quality management systems — Part 002: Requirements for Oversight of Aerospace Quality Management System Certification/Registrations Programs*

EN 9104-003¹⁾, *Aerospace series — Quality management systems — Part 003: Requirements for Aerospace Quality Management System (AQMS) — Auditor Training and Qualification*

¹⁾ As developed under the auspice of the IAQG and published by various standards bodies [e.g., SAE International, European Committee for Standardisation (CEN), Japanese Standards Association/Society of Japanese Aerospace Companies (JSA/SJAC), Brazilian Association for Technical Norms (ABNT)].

EN 9110¹⁾, *Quality Management Systems — Requirements for Aviation Maintenance Organisations*

EN 9115¹⁾, *Quality Management Systems — Requirements for Aviation, Space and Defence Organisations — Deliverable Software (Supplement to EN 9100)*

EN 9120¹⁾, *Quality Management Systems — Requirements for Aviation Space and Defence Distributors*

EN 9131¹⁾, *Aerospace series — Quality Management Systems — Nonconformance Data Definition and Documentation*

IAF MD 2:2007, *IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems*

IAF MD 3:2008, *IAF Mandatory Document for Advanced Surveillance and Recertification Procedures*

IAF MD 4:2008, *IAF Mandatory Document for the Use of Computer Assisted Auditing Techniques (“CAAT”) for Accredited Certification of Management Systems*

IAQG Procedure 119, *Forms Management*

ISO 9000:2005, *Quality management systems — Fundamentals and vocabulary*

ISO/IEC 17000:2004, *Conformity assessment — Vocabulary and general principles*

ISO/IEC 17021:2011, *Conformity assessment — Requirements for bodies providing audit and certification of management systems*

3 Terms and definitions

For the purpose of this European Standard, the terms and definitions provided in ISO 9000, ISO/IEC 17000, EN 9100-series standards, EN 9104/1 standard, and the following apply. Furthermore, an acronym log for this European Standard is presented in Appendix A.

3.1

containment

action to control and mitigate the impact of a nonconformity and protect the customer's operation (stop the problem from getting worse); includes correction, immediate corrective action, immediate communication, and verification that the nonconforming situation does not further degrade

3.2

Key Performance Indicator (KPI)

measures associated with goals or targets showing how well an organisation is achieving its' objectives or critical success factors for a particular project. KPIs are used to objectively define a quantifiable and measurable indication of the organisation's progress towards achieving its goals

3.3

major nonconformity

a non-fulfilment of a requirement which is likely to result in the failure of the QMS or reduce its ability to assure controlled processes or compliant products/services; it can be one or more of the following situations:

- a nonconformity where the effect is judged to be detrimental to the integrity of the product or service;