

IAQG 9101:2009 Revision

Changes Overview

April 2010

**'Conformity joins performance and effectiveness,
resulting in a satisfied customer'**

Prepared by the IAQG 9101 team

Presentation Objectives

Part one:

➤ Provide an overview of:

- **9101 Team Membership**
- **9101 Revision Process**
- **9101:2009 Key Changes**
- **9101 Implementation Schedule**

Part two:

➤ Provide details of:

- **9101 content of
audit and certification processes**
-

9101 Team Membership

- **13 Members on the 9101 Team**
- **Representing:**
 - **Americas, Europe, and Asia-Pacific IAQG Sectors**
 - **6 Different Countries**
 - **8 IAQG member companies**
 - **Certification Body community (4 members)**



9101 Stakeholders

- **Civil Aviation Industry and Authorities**
 - **Defense Industry and Authorities**
 - **Space Industry and Authorities**
 - **Certification/Accreditation Bodies**
 - **Auditors**
 - **Suppliers**
 - **IAQG Member Companies**
 - **IAQG Strategy Streams and Teams**
-

9101 Revision Objectives

- Ensure alignment with the **IAQG strategy** (on-time, on-quality performance, improved control of Other Party certification)
- Incorporate the 9100:2009-series changes and align with the **ISO 17021** content (new ISO assessment standard)
- Support the **process approach** for quality management systems as described in the 9100-series standards
- Incorporate the ICOP (Industry Controlled Other Party) resolutions and **improve the value of OP auditing**
- Define the requirements for all activities of the **audit program**
- Provide an **adequate audit report** to stakeholders on Performance of Organizational Processes.

Note: product performance/results driven

An enhanced audit approach for evaluating “process based management systems” :

- **Definition of the audit process phases with audit planning, execution, analysis and reporting:**
(Pre-audit, Stage 1, Stage 2, Surveillance, Re-Certification)
- **Audit of the organization’s processes and continual improvement approach, as required in 9100-series standards**
- **Development of performance-based, process-oriented audit methods and techniques.**
- **Recording of objective evidence of process conformity and effectiveness**
- **Reporting of audit results in a uniform, transparent and standardized way**

9101 Major Revision Summary

- 9101 completely rewritten reflecting now an **enhanced audit process for evaluating “process based management systems”**
- One audit standard covering **9100/9110/9120 QMS standards**.
- Elimination of **“Scoring”** and **“Key Requirements”**.
- Use of **Customer feedback** concerning Organization QMS performance as an input for process oriented audits (e.g., OASIS, customer satisfaction/performance scores).
- In addition to conformity, also determination of **Effectiveness** included.
- More emphasis on **performance** measuring.
- Introduction of a new **Objective Evidence Record**
- Introduction of a new **Process Effectiveness Assessment Report**

9101: Core principles

- 1. Customer driven**
- 2. Process based approach**
- 3. Organization Performance focus**
- 4. Audit methods included**
- 5. Quality Management System effectiveness, in addition to conformity**
- 6. Improved reporting of audit results**



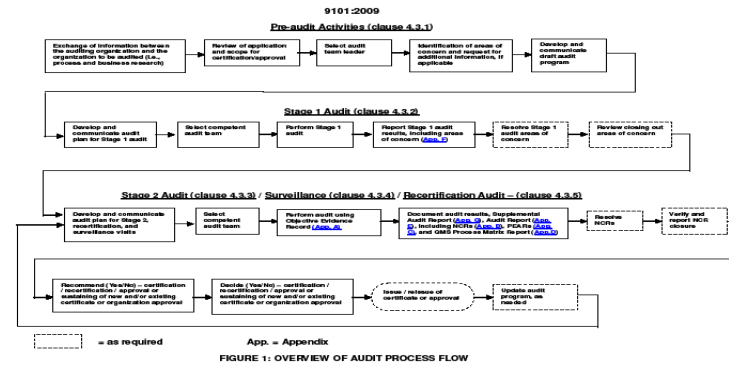
CP 1: Customer driven

- **Customer focus (4.1.2.1: evaluation of customer **satisfaction** based on **performance** information and **feedback****
- **Customer QMS requirements to be audited also**
- **Audit **focus** on processes that directly **impact** the customer**
- **Customer **importance** must be reflected in the planned audit time**
- **Information and review of customer satisfaction and complaint status and processing**



CP 2: Process based approach

Auditing and certification as a process

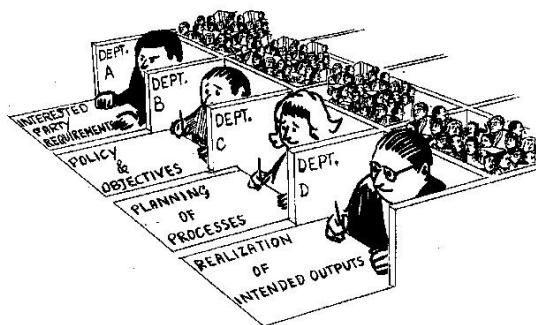


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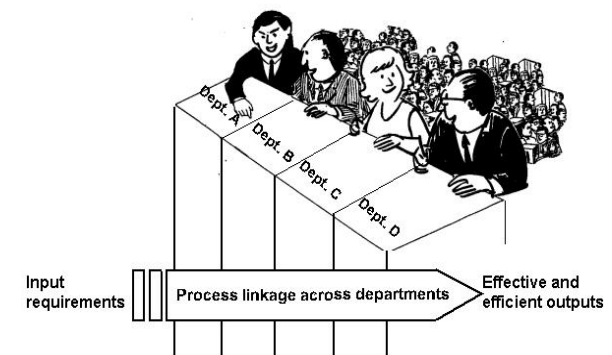
December 2009

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Organization process approach:



Audit plan
Audit trails



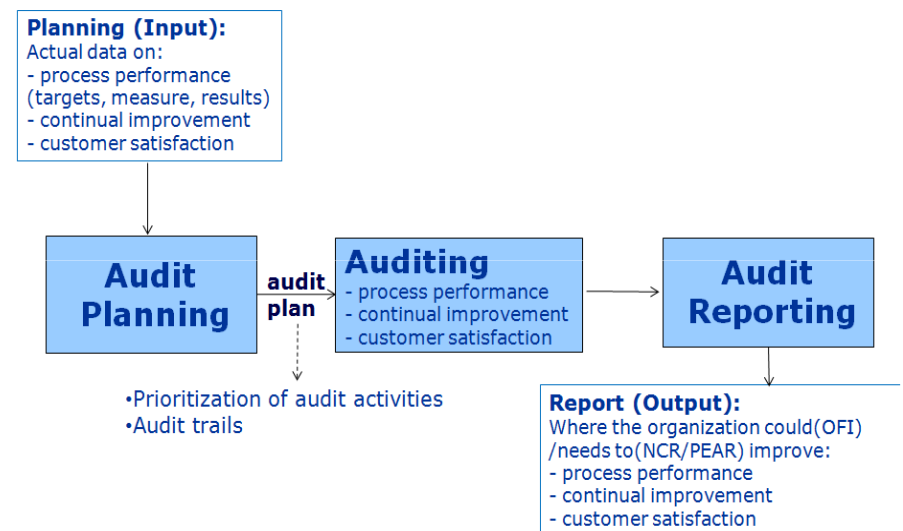
➤ **Identifies** process, output and improvement

- Performance measuring and monitoring, e.g. KPI's, on Quality and On-Time Delivery (OTD)
- Performance targeting
- Measuring Improvement
- Fulfilling customer expectations

➤ **Input** to the audit plan: directing/prioritizing the audit

➤ **Focus** during the audit

➤ **Result** from the audit: performance improvement of the organization-> improving customer satisfaction



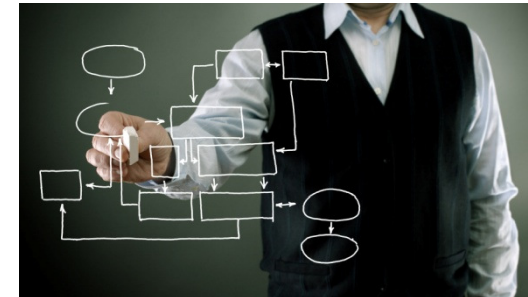
Audit emphasis/approach, as appropriate:

- **Customer focus:**
evaluation of expectations, output performance, satisfaction, complaints and feedback
- **Organizational Leadership:**
review of top management commitment and role in establishing the QMS, policies, objectives, performance targets/measuring, implementation, and continual improvement
- **QMS Performance and Effectiveness:**
customer feedback, internal auditing, non-conforming products,
- **Process Management:**
use of audit trails, interactions/sequence (interfaces), process controls

CP 4: Audit methodology (2)

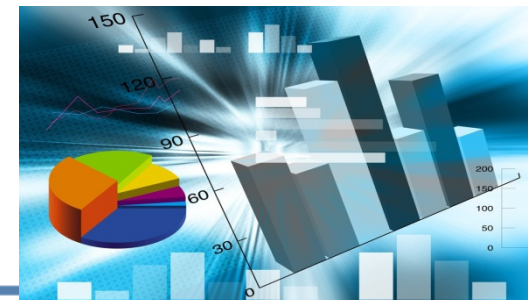
➤ **Process performance and effectiveness:**

Evaluation of process definition, including sequence and interaction, assigned responsibilities, process controls, resource availability, monitoring, measuring and analysis against planned results (effectiveness);



➤ **Continual improvement:**

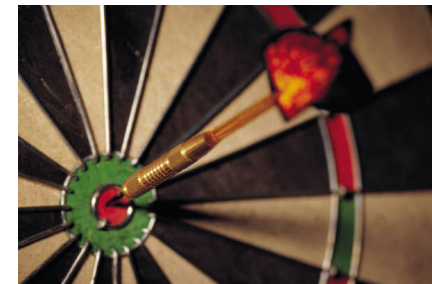
Evaluation of the organization's interrelated processes and activities for continual improvement of the quality management system, its processes, their conformity, and effectiveness



CP 5: QMS effectiveness*

➤ **Evaluation of effectiveness of the quality management system and its associated processes:**

- **Fulfilling customer expectations?**
- **Delivering quality products, on time?**
- **Improving Continually?**



As part of the QMS requirements conformity audit!

Use of Process Effectiveness Assessment Report (PEAR)

* **ISO 9000:** Extent to which planned activities are realized and planned results achieved

CP 6: Improved reporting

➤ Standardized methods for reporting of audit results:

- **Reduced variation**, and more consistent interpretation of audit results
- **Easier to read/understand** for all stakeholders, including customers and assessors(oversight)
- **More effective and efficient supplier surveillance**
- Provides **focused improvement** for the audited organization

➤ Addresses all phases of the audit process:

- **Stage 1 and 2**
- **Surveillance and recertification**
- **Special audits**

9101 New Reports(1)

- Introduction of **“Process Effectiveness Assessment Report”** form (PEAR) which :
 - Records objective evidence, observed conditions, data, and comments to support effectiveness determination.
 - Identifies 4 effectiveness levels, if processes are defined and implemented, planned results are achieved or appropriate actions are taken to achieve planned results

APPENDIX C - PROCESS EFFECTIVENESS ASSESSMENT REPORT (PEAR)		
Auditing Company Name		Auditing Company Logo
Process Effectiveness Assessment Report		
Organization:	Title:	IC Code:
PEAR Number:	Audit Report Number:	Issue Date:
Process Name:		
Process details, including associated process interfaces:		
Applicable 9100/9110/9120 clauses:		
Organization's method for determining process effectiveness:		
Auditor observations and comments supporting process effectiveness determination:		
Statement of Effectiveness Level: The audited process is: <input type="checkbox"/> 1. Not implemented, planned results are not achieved. <input type="checkbox"/> 2. Implemented, planned results are not achieved and appropriate actions not taken. <input type="checkbox"/> 3. Implemented, planned results are not achieved, but appropriate actions being taken. <input type="checkbox"/> 4. Implemented, planned results are achieved.		
Auditor Name(s):	Auditee Representative Acknowledgement Name:	
Signature(s):	Signature(s):	

9101 New Reports(2)

- Introduction of a new **“Objective Evidence Record” (OER)** which captures :
 - the documentation (including records) reviewed during the audit
 - the findings, observations and opportunities for improvement

1 Auditing Company Name		Objective Evidence Record (OER)		2 Auditing Company Logo	
3 Organization:			4 Audit Number:		
5 Site/OIN:			6 Issue Date:		
			6 Issue Date:		
7 Standard: 9100 <input type="checkbox"/> /9110 <input type="checkbox"/> /9120 <input type="checkbox"/>					
Item #	8 Quality Management System Requirements	9 C	10 NCR	11 Objective Evidence/Comments (e.g., observations, OFIs)	
4. QUALITY MANAGEMENT SYSTEM					
4.1 General requirements					
01	A QMS has been established, documented, implemented, and maintained with evidence of continual effectiveness improvement			Ref.:	
02	Approvals, certificates, ratings, licenses, and permits are in place (9110 only)			Examples ref.:	
03	The QMS addresses customer, statutory, and regulatory requirements				
04	a. QMS processes have been determined and applied				
05	b. Sequence and interaction determined for QMS processes			Main process formally identified (e.g., list, flow diagram)	
06	c. Criteria and methods determined to for effectively operate and control QMS processes				
07	d. Availability of resources and information necessary to support the operation and monitoring available for QMS processes				
08	e. QMS processes are monitored, measured, and analyzed				
09	f. Actions implemented to continually improve planned results				
10	Processes are managed in accordance with applicable Aerospace Quality Management Systems (AQMS) standards				
11	Outsourced processes are defined and controlled			List outsourced processes	

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9101 Publication :

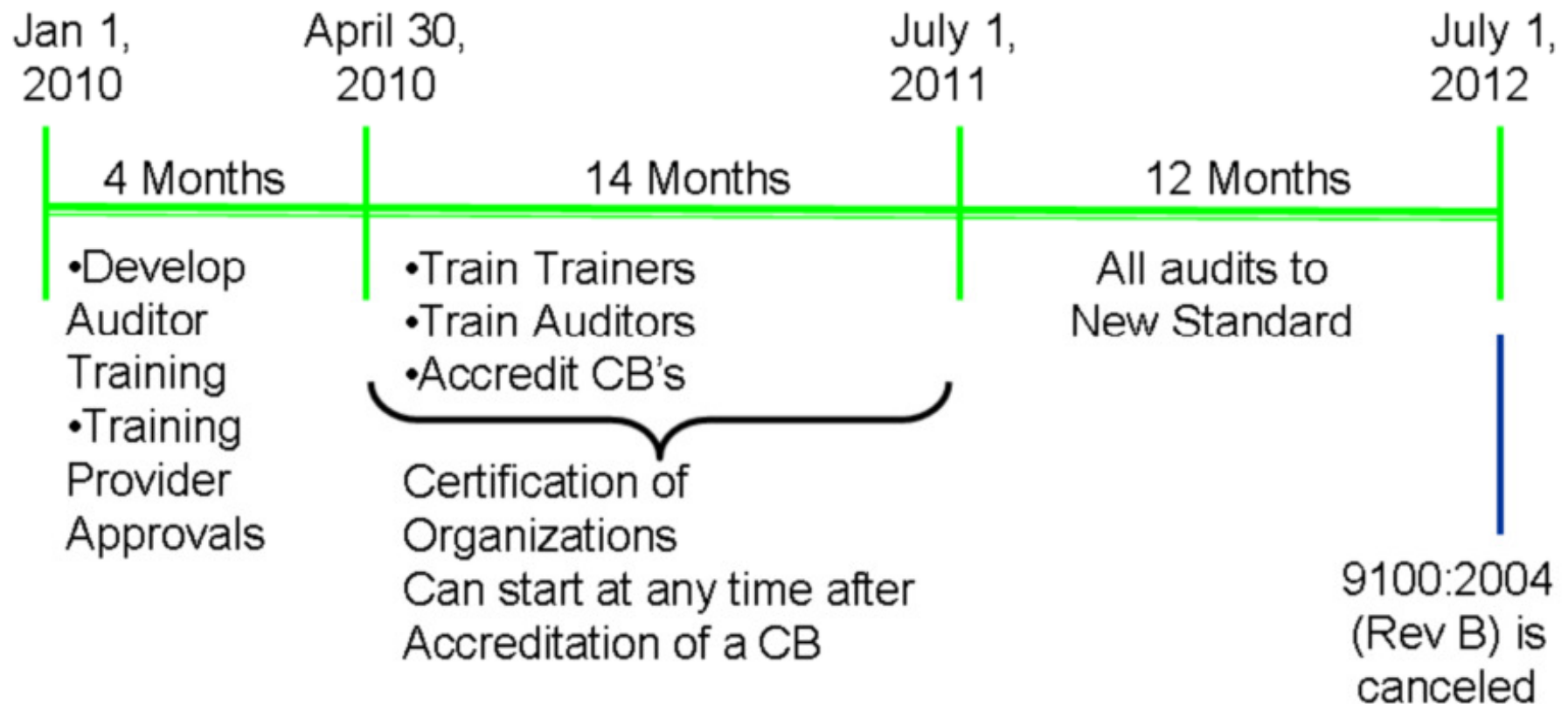
- **9101:2009 published : March 2010**

- **Deployment support materials :**
 - **Press Release, FAQs*, Overview of changes April 2010**
 - **Examples of PEAR cases + filled-in Forms May 2010**
 - **Guidance for auditors* : June 2010**
(what to look for, what to ask for)

*** 'living' documents, will be updated regularly**

Implementation

Transition schedule:



- From clause/element based auditing to **process based auditing**
- Not only conformity auditing but also **effectiveness**
- Actual organization output **performance**, customer **satisfaction** and **product quality** are the main drivers and input for the audit
- **Improved**, standardized reporting

Questions?



Part two

Detailed information

Note 1: The key changes are **not inclusive of all the changes in the new 9101**

Note 2: the requirements in 9101, as summarized in this presentation, are in addition to ISO19011 and 17021

- **Clause 0 and 1 Introduction and Scope:** clauses completely rewritten to reflect process approach and additional focus on performance and effectiveness

- **References:**
 - **9101 is an addition to 17021 and 19011 ('overarching')**
 - **ISO 19011 is added as reference: to be used mandatory, not as guideline!**

3. Terms and definitions

Definitions added for:

➤ **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**

➤ **Major and Minor nonconformity:**

- **Likely(Ma)/not likely(mi) to result in :**
 - ✓ **Failure on the QMS or**
 - ✓ **reduce QMS ability to assure controlled processes or compliant products**

4.1 Audit process

Overview

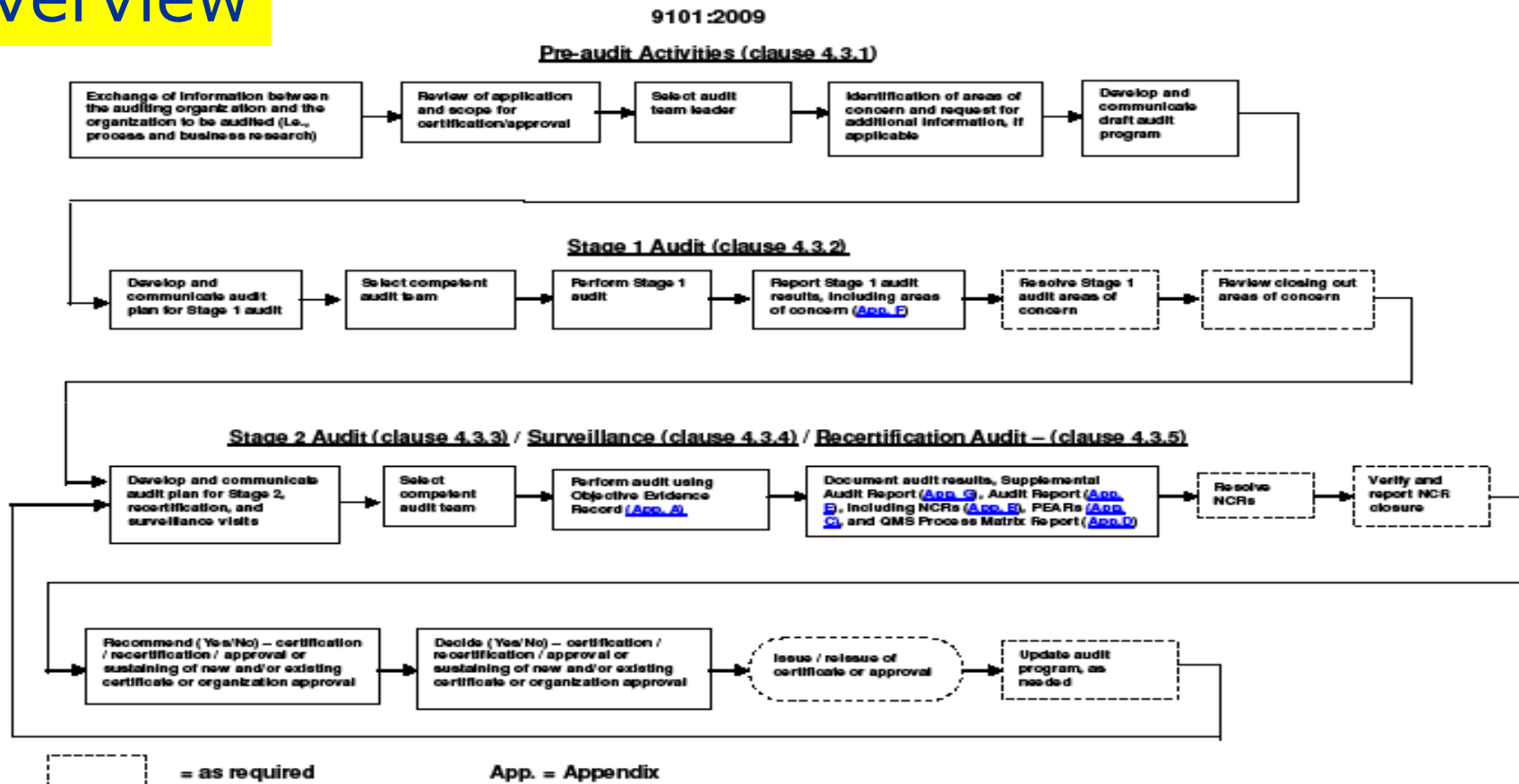


FIGURE 1: OVERVIEW OF AUDIT PROCESS FLOW

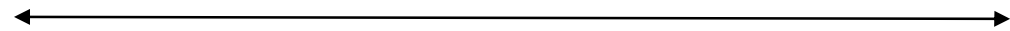
Navigation tool

4.1 Common Activities

- **Distinction between common activities, applicable to each audit and audit phase specific items**

Audit program

- **Relationship:**



	Audit Phase (4.3)				
	Pre-Audit Activities (4.3.1)	Stage 1 (4.3.2)	Stage 2 (4.3.3)	Surveillance (4.3.4)	Re-Certification (4.3.5)
Common Activities (4.2)					
Audit Planning (4.2.1)	X	X	X	X	X
On-site Auditing (4.2.2)		X	X	X	X
Audit Reporting (4.2.3)		X	X	X	X
Non-Conformity Mgmt (4.2.4)			X	X	X

4.1.2 Audit methodologies

- **Audit methods defined:**
 - **Customer focus**
 - **Organizational Leadership**
 - **QMS Performance and Effectiveness**
 - **Process Management**
 - **Process Performance and Effectiveness**
 - **Continual Improvement**

- **can be used, as appropriate**

- **complementary to audit practices of ISO 19011**

4.2.1 Audit planning:

- The audit activities **prioritized** based upon:
 - **performance data**
 - **business risks** that can impact the customer, and
 - **low performing processes.**

- **Audit planning input information:**
 - **Customer proportion** of aviation, space, and defense business is used as a factor to manage audit time:
 - e.g., customer X may only have 20% of the business so do not spend 80% of the time verifying customer X's specific quality management system requirements

4.2.1 Audit planning (cont.)

The audit planning should take into account:

- the **scope** and **complexity** of the QMS;
- the processes of the organization, including their sequence and interactions;
- the **criticality** of products and processes, including **special processes**;
- product related **safety issues** (e.g., airworthiness issues, reporting to customer and/or authorities);
- results of **internal audits**;
- **previous** audit findings;
- **performance** measures and trends for **quality** and **On Time Delivery**;
- previous **management review** results;
- customer **satisfaction** and **complaints** log, including **feedback requests** received by the CB (e.g., OASIS feedback process);
- customer specific, statutory, and regulatory **QMS requirements**;
- **performance data** available from customers;
- **changes to organization**, including new customer QMS requirements; and
- the **audit team member** required background/experience and desired competencies.

4.2.2 On site auditing

To include, as applicable:

- a **review of the changes** to the QMS, since the last audit;
- a review of **requirements from** new aviation, space, and defense **customers**, since the last audit;
- a review of **customer satisfaction information** and requested corrective actions and associated responses;
- an **interview with top management** (4.1.2.2);
- an audit of **QMS performance and effectiveness** (4.1.2.3);
- an audit of the **organization's processes**, as identified in the audit plan (4.2.1);
- an audit of the **continual improvement** of the QMS (4.1.2.6);
- an audit of **special processes** (4.2.2.8), as identified in the audit plan (4.2.1);
- an audit of **follow-up actions** from previous audits.

During the audit, the **use of relevant audit methods**, as described in clause 4.1.2, shall be considered.

4.2.2 On site auditing (cont.)

- **Opening meeting***:
 - 19011, plus introduction of **observers, confidentiality** issues
 - **Site tour:**
 - to address any **changes in scope or facilities** since the last visit, or to familiarize **(new) audit team members** with the organizations' activities.
 - **Audit conduct***:
 - Use of **audit methods**(4.1.2) and **audit trails**
 - **Identifying and Recording of Audit Findings***
 - Use of **OER, opportunities for improvement, Nonconformities, evaluation of effectiveness**(PEAR)
 - **Preparing Audit Conclusions***
 - Impact on audit program
 - **Closing Meeting ***
 - Information on **NC-process, complaints, team recommendation**
- * In addition to ISO 19011 /17021**

4.2.2.8 Special Processes

Evaluation of process validation, as well as, the monitoring, measuring, and control of these processes.

a) Verification of **Validation of Special Processes**

To be reviewed for each audited special process, including a comparison between actual/planned results and the established arrangements (see 9100 clause 7.5.2).

b) **Monitoring, Measurement, and Control of Special Processes**

- » identify **process requirements**, including customer requirements, for special processes and select a sample of the processes.
- » audit **the monitoring and measuring equipment** used (e.g., calibration, accuracy) and the method for **recording the results**.
- » verify **the traceability** between the process (e.g., batch or load charge identification) and the resulting products

c) Verify for outsourced special processes if the organization's supplier control process addresses these items accordingly.

See NOTES in 9101

4.2.3 Audit reporting(1)

➤ QMS Process Matrix Report (see Appendix D)

- Function: to **summarize** which processes AND quality management system clauses have been audited.

9101:2009

APPENDIX D. QMS PROCESS MATRIX REPORT

Auditing Company Name		QMS Process Matrix Report								Auditing Company Logo	
* Organization				Audit Report Number:							
* Site/ON:				Issue Date:							
Standard: 9100 <input type="checkbox"/> 9110 <input type="checkbox"/> 9120 <input type="checkbox"/>											
COMPANY QMS PROCESSES											
	1	2	3	4	5	6	7	8	9	10	
* Process Name											
* Related Process Effectiveness Assessment Record (PEAR ID)											

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➤ This form has **multiple applications**, it can be :

- **pre-populated** prior to /or during the on-site activity and easily modified/revised, as appropriate, assisted by the organization
- Used after the Stage 1 audit, for **preparation of the audit plan** for the initial Stage 2 audit;
- Used after the certification/recertification audit, to prepare the audit plan for the certification cycle surveillance audits; and
- Used to assist in visibly **presenting the cross-references** between the standard requirements and the organization's processes.

➤ The completed QMS Process Matrix shall be part of the audit record.

4.2.3 Audit reporting(2)

- **Report types:**
 - **Stage 1** report
 - **Stage 2** report
 - **Supplemental** report

 - **General requirements for all:**
 - true and independent view
 - **Conformity AND effectiveness**
 - audit **summary** shall reflect the **seriousness** of the nonconformities

 - **All forms have instructions attached**

 - **Exclusions** to be included in stage 1 and 2 report
-

4.2.4 Nonconformity management

- **Containment actions: 'stop the bleeding'**
- **Corrections: fix the nonconforming situation**
- **Corrective actions and CA-plans:**
 - **Root cause**
 - **Prevention of recurrence**
 - **Agree CA and implementation plan within 30 days**
- **(Implementation): may take longer than 30 days**
- **Verification of implementation:**
 - **On-site/ On-desk, depending on nature**
 - **Record verification**
 - **Report results**

4.3 AUDIT PHASE SPECIFIC REQ.

PRE-AUDIT

- **Collect information on:**
 - **Revenue and workforce**
 - **Scope of application/scope of certification**
 - **Additional requests** from customer/organization

- **Appoint competent audit team leader**
 - **Sufficient knowledge to determine** composition of the rest of the team, incl. use of experts

- **Any additional requirements/requests from the organization and/or the organization's customer(s)**

- **Ensure that audit time is identified in accordance with ISO 17021 [see clause 9.1.4] and 9104**

- **Determine access to proprietary or classified information, and/or areas due to the competitive sensitivity or national security regulations (ITAR,EAR)**

4.3 AUDIT PHASE SPECIFIC REQ.

STAGE 1 AUDIT

- Performed by audit team leader, plus additional members if needed
- **On-site visit**, including site tour, **mandatory** (except for 9120), for multi-sites **sample** of similar sites + **central function(s)**
- **Information** collection, needed **to determine readiness, audit plan** for stage 2 and audit team **composition**:
 - **quality manual**;
 - description of **processes** showing their **sequence** and **interactions**,
 - **NOTE** : Processes can be depicted in various ways [e.g., process maps, turtle diagrams, SIPOC method (breakdown of supplier, inputs, process steps/tasks, outputs, customer), octopus].
 - **performance** measures and trends **for the previous 12 months**;
 - **evidence** that the requirements of the applicable 9100-series QMS standards are addressed by the organization's documented procedures (e.g., by referencing them in the quality manual or by using a cross reference);

4.3 AUDIT PHASE SPECIFIC REQ.

STAGE 1 AUDIT

Collection of information(cont.):

- **interactions** with support functions on-site or at remote locations/sites;
- **evidence of internal audits** of processes/procedures, including internal and external QMS requirements;
- the latest **management review** results;
- list of all **major** (e.g., top five) **customers** requiring 9100-series standard compliance, including an indication of the **related business volume**, and specific customer QMS requirements, if applicable; and
- evidence of **customer satisfaction and complaint summaries**, including verification of customer reports, scorecards, and special status or equivalent.

4.3 AUDIT PHASE SPECIFIC REQ.

STAGE 1 AUDIT

Review of the organization:

- The following items* to be addressed, as applicable:
- **number of employees** (i.e., full time, part time, contract, temporary) dedicated to aviation, space, and defense;
 - number of **shifts** and **shift patterns** (production and/or maintenance);
 - evaluation of **multiple site eligibility** for determination of audit time;
 - identification of **high risk** associated with **processes** and **products**;
 - **risk management** and associated tools;
 - identification of **special processes** performed or subcontracted;
 - **regulatory** requirements and authority approvals/recognitions;
 - additional requirements on **configuration management**;
 - **project/program management**;
 - **continual improvement** activities;

* In addition to the subjects in clause 4.3.2.2

4.3 AUDIT PHASE SPECIFIC REQ.

STAGE 1 AUDIT



Review of the organization (continued):

- **On Time Delivery (OTD)** and **quality performance** measures;
- identification of **special requirements/critical items**, including KC's;
- **production process verification**, as invoked in contracts;
- **prevention** programs [e.g., Foreign Object Debris/Damage (FOD)];
- **special work environments** [e.g., ESD, clean room];
- **customer presence** at organization:
- **customer satisfaction and complaints status**, including customer reports and scorecards;
- any **customer specific organization approval** statuses;
- **customer restricted areas** or proprietary information/confidentiality;
- **exclusions** from 9100-series standards and **supporting justification**;
- **export limitations/controls** e.g., ITAR, EAR;
- **customer delegated verifications** and MRB authority; and
- **customer authorized** direct ship/direct delivery.

4.3 AUDIT PHASE SPECIFIC REQ.

STAGE 1 AUDIT CONCLUSIONS

Results of the review to be used to:

- determine the **QMS implementation status**;
- determine the **organization's readiness** for the Stage 2 audit;
- identify **any areas of concern** that would be classified as a nonconformity, if not resolved before the Stage 2 audit;
- develop a **plan for the Stage 2 audit**, that includes any additional QMS requirements from customers;
- verify the **proposed scope of certification** and its applicability to the IAQG scheme;
- verify the information used for and **recommend/revise**, as needed, the **audit day calculation**;
- review the **audit time for the Stage 2** audit and update the audit plan;
- adjust the **composition of the audit team for the Stage 2** audit; and
- identify any **changes required to the contract** and communicate those revisions to the organization and CB.

4.3 AUDIT PHASE SPECIFIC REQ.

STAGE 2 AUDIT

- Stage 1 and Stage 2 audits **not performed on the same day or on consecutive days** (back to back).
- the elements and processes of the QMS to be audited for conformity (see Appendix D), and **effectiveness**.
- **Detailed audit findings**, including reference to the audited processes, process documentation, and associated records, **to be documented** (see clause 4.2.2.5).
- To reconfirm during the opening meeting the **issues identified during the Stage 1** audit (see clause 4.3.2)
- After the opening meeting to:
 - decide on conducting a facility tour to review substantial changes in scope or facilities, since the last visit; and
 - **revise planning**, as needed, due to organization changes since the Stage 1 audit.
- All **nonconformities shall be closed** and verified by the audit team **before a recommendation** for certification can be made.

4.3 AUDIT PHASE SPECIFIC REQ.

SURVEILLANCE AUDIT

- **All clauses** of the QMS standard(s) (except exclusions) and the organization's **processes** that are part of the QMS to be audited during surveillance **within one certification cycle**
- **Audit method(s) to be used** (e.g., audits on specific problems, areas, products, or sub-processes) to be based on the outcome of the audit team's **review of QMS performance data**.
- **Audit plan** for the surveillance audit shall take consideration of **changes in the organization** (see clause 4.2.1).
- **Composition of the audit team** to be based on the audit plan for the surveillance audit.
- Audit plans for surveillance to be based on continuing operational control of process and on product **performance indicators** and trends for the **previous 12 months** (both for quality and OTD).
- **All findings shall be documented** (see clause 4.2.2.5).
- To advise in the audit report (see Appendix E) whether the recorded nonconformities should be **reason for suspension** of the certificate.
- Failure to demonstrate effective corrective action to deal with **repeat nonconformities**, the **lack of actual performance data**, or lack of **operational control** shall **warrant suspension** of the certification.

4.3 AUDIT PHASE SPECIFIC REQUIREMENTS

RECERTIFICATION AUDIT

- Recertification audit to be planned a **minimum of three months before the expiry** date of the current certificate.
- The **'scope of certification'** to be **verified prior to each recertification audit**.
- Any **change of customer approval** status to be reviewed to determine the impact on the certification status.
- All **elements and processes of the QMS** to be audited for conformity (see Appendix D), and effectiveness
- The organization's **quality manual and QMS process documentation** to be reviewed for changes.
- **Detailed audit findings**, including reference to the audited processes, process documentation, and associated records, **to be documented** (see clause 4.2.2.5).
- **All nonconformities to be closed and verified** by the audit team before a recommendation for recertification can be made.
- **NOTE** : Appointment of a **new audit team** could be a justification for a **full or partial Stage 1 audit**, including an on-site visit by the audit team.

4.3 AUDIT PHASE SPECIFIC REQUIREMENTS

SPECIAL AUDITS

Special audits can be performed **anytime** during the certification cycle in response to one of the following situations:

- a **customer** or other interested party request, when a **serious issue** (supported by objective evidence) has been identified;
- an organization's request to **change their scope of certification** (commonly known as extensions to scope) or revise the listing of certified sites; or
- when **transferring** certification from one CB to another.
- In this case, the pre-transfer review of the existing certification (see IAF MD 2) to **include an audit** of the prospective organization site(s) **by an AEA**. Items listed in clause 4.2.1 to be evaluated, including a review of previous certification audits performed by their prior CB (see requirements for transfer of certifications defined in 9104).
- Special audits to be **coordinated with the organization** prior to the visit. The organization shall be given information about the specific reason and subject of the visit.
- An audit plan to be completed and submitted to the organization prior to arrival. The **results for special audits shall be documented** on the applicable appendices (e.g., Appendices A, B, C, and E).

USE OF APPENDICES

9101 FORMS AND TEMPLATES (Appendices)

AUDIT PHASES	A <i>OER</i>	B <i>NCR</i>	C <i>PEAR</i>	D <i>Matrix</i>	E <i>AR</i>	F <i>AR</i>	G <i>SAR</i>
STAGE 1	(√)					√	
STAGE 2	√*	√	√	√	√		(√)
Surveillance	√*	√	√	√	√		(√)
Re-Certification	√*	√	√	√	√		(√)

√* or equivalent
(√) Optional use

- **Objective Evidence Record (OER)**
- **Nonconformity Report (NCR)**
- **Process Effectiveness Assessment Report (PEAR)**
- **QMS Process Matrix Report**
- **Stage 2, Surveillance, & Re-certification/Approval and Special Audit Report (AR)**
- **Stage 1 Audit Report (AR)**
- **Supplemental Audit Report (SAR)**

Questions ???????

FAQs and answers can be found on
<http://www.iaqg.sae.org/iaqg/organization/requirements.htm>
under Deployment Support Material:
9101 FAQs
