**Postal Audit Questionnaire**

|  |  |  |  |
| --- | --- | --- | --- |
| Company Name |       | Email |       |
| Street |       | Website |       |
|  |       | Member of Corporate Group |       |
| ZIP Code/City |       | Annual Turnover (Total) |       |
| Phone |       | Annual Turnover (Aviation) |       |
| Fax |       | Number of Employees |       |
| **1** | **Contacts (Directors)** |
|  |  | **Name** | **Phone Ext.** |
| **1.1** | General Management |       |       |
| **1.2** | Production |       |       |
| **1.3** | Purchasing |       |       |
| **1.4** | Orders/Sales |       |       |
| **1.5** | Development |       |       |
| **1.6** | Quality Management |       |       |
| **1.7** | Import/Export Officer |       |       |
|  | **Please enclose a copy of your organizational chart** |
| **2** | **Quality Management/Certification**  |
| **2.1** | Has your company’s QM program been audited by third-party assessors?  | Yes [ ]  / No [ ]  |
|  | Company/Government Authority:       | Date:       |
| **2.2** | According to what standards have you been certified / approved? |
|  | DIN EN ISO 9001 No.:       | DIN EN ISO/IEC17025 | No.:       |
|  | EN 9100 No.:       | Other Approvals |
|  | EASA Part 21J No.:       |       | No.:       |
|  | EASA Part 21G No.:       |       | No.:       |
|  | EASA Part 145 No.:       | Pending Approvals |
|  | LufaBw No.:       |       | Date:       (planned) |
|  | **Please enclose copies of your certificates** |
| **2.3** | Can verification documents for your products/services/activities be provided, e.g., ...? |
|  | Certificate of Conformity (CoC) | Yes [ ]  / No [ ]  |
|  | EASA Form 1 | Yes [ ]  / No [ ]  |
|  | Test Certificate i.a.w. DIN EN 10204 2.1, 2.2, 3.1 | Yes [ ]  / No [ ]  |
|  | Other (please list):       | Yes [ ]  / No [ ]  |

|  |  | **Yes** | **No** | **N/A\*** |
| --- | --- | --- | --- | --- |
| **3** | **Audit Questionnaire** | - | - | - |
| **3.1** | **Operation (Operational risk- and Configuration Management)**  | - | - | - |
| 3.1.1 | Are risks assessed in accordance with a written procedure? | [ ]  | [ ]  | [ ]  |
| 3.1.2 | Are the product requirements assessed in accordance with a written procedure to determine feasibility? | [ ]  | [ ]  | [ ]  |
| 3.1.3 | Are incoming customer orders reviewed, especially with regard to ...?* Delivery date (production schedules)
* Availability of materials
* Availability of human/machine resources
 | [ ]  | [ ]  | [ ]  |
| 3.1.4 | Have your production processes been planned and specified in work procedures/work schedules or operating sheets? | [ ]  | [ ]  | [ ]  |
| 3.1.5 | Can the processing status of the work which has been done been determined using specific order documentation? | [ ]  | [ ]  | [ ]  |
| 3.1.6 | Are the working documents signed immediately after conclusion of the work by the person(s) handling the task? | [ ]  | [ ]  | [ ]  |
| 3.1.7 | Has a configuration process appropriate to the product been documented, and is it maintained? | [ ]  | [ ]  | [ ]  |
| 3.1.8 | Do you have appropriate processes to ensure the product safety during the hole product life cycle? | [ ]  | [ ]  | [ ]  |
| 3.1.9 | Do you specify appropriate processes for the prevention of counterfeit parts? | [ ]  | [ ]  | [ ]  |
| **3.2** | **Management of Subcontractors/Procurement** | - | - | - |
| 3.2.1 | Do you outsource activities/services ordered by Autoflug GmbH to subcontractors?  | [ ]  | [ ]  | [ ]  |
| 3.2.2 | Do you ensure that the subcontractors meet the quality and customer requirements when orders are outsourced? | [ ]  | [ ]  | [ ]  |
| 3.2.3 | Are external providers /subcontractors selected and qualified in accordance with written procedures? | [ ]  | [ ]  | [ ]  |
| 3.2.4 | Do you assess and supervise the quality of external providers? | [ ]  | [ ]  | [ ]  |
| 3.2.5 | Do you assess and supervise the quality of subcontractors? | [ ]  | [ ]  | [ ]  |
| 3.2.6 | Do you maintain a list of approved external providers /subcontractors? | [ ]  | [ ]  | [ ]  |
| **3.3** | **Release of products and services** | - | - | - |
| 3.3.1 | Do you conduct incoming goods inspections? | [ ]  | [ ]  | [ ]  |
| 3.3.2 | Are QA work procedures recorded by authorized personnel (inspectors/testers) with a QA stamp, the date, and signature? | [ ]  | [ ]  | [ ]  |
| 3.3.3 | Do you have a process for the conduct, verification, and documentation of an first article inspection (FAI)? | [ ]  | [ ]  | [ ]  |
| 3.3.4 | Is the commencement of series production subject to the issue of a written release verifying conformity and quality? | [ ]  | [ ]  | [ ]  |
| **3.4** | **Control of documented information** | - | - | - |
| 3.4.1 | Is there a documented system in place to ensure that technical documentation (e.g., drawings, manuals, standards, specifications) is always up to date? | [ ]  | [ ]  | [ ]  |
| 3.4.2 | Do you ensure that the latest revisions (relevant issues of the pertinent documents) are available at the appropriate positions in the company and that they are observed? | [ ]  | [ ]  | [ ]  |
| 3.4.3 | Are records protected from damage, alteration, and theft? | [ ]  | [ ]  | [ ]  |
| 3.4.4 | How long do you retain production records for Autoflug GmbH in your files? Please indicate the retention period in years:  | - | - | - |
| **3.5** | **Qualification and Training of Employees** | - | - | - |
| 3.5.1 | Do you have an up-to-date qualification and training program? | [ ]  | [ ]  | [ ]  |
| 3.5.2 | Do you carry out regular and verified training for in-house procedures, processes, and special customer specifications? | [ ]  | [ ]  | [ ]  |
| 3.5.3 | Are employees qualified/trained e.g. for the performance of quality inspections, etc.? | [ ]  | [ ]  | [ ]  |
| 3.5.4 | Is an up-to-date list of approved QA personnel and the specific scope of each individual’s QA authorization available? | [ ]  | [ ]  | [ ]  |
| **3.6** | **Environment for the operation of processes and Storage** |  |  |  |
| 3.6.1 | Do you have sufficient working space and areas to segregate articles and materials for storage?  | [ ]  | [ ]  | [ ]  |
| 3.6.2 | Are inspected products kept at a reasonable distance from products which have not been inspected, and is the inspection status clearly marked? | [ ]  | [ ]  | [ ]  |
| 3.6.3 | Do you ensure that Facilities are provided appropriate for all planned work, ensuring in particular, protection from the weather elements? **Note:** Special workshops and work areas must be adequately partitioned off from one another to ensure that environmental and workplace contamination is virtually impossible. | [ ]  | [ ]  | [ ]  |
| 3.6.4 | Do you have a system to control the temperature and humidity of the stored components and to ensure adequate ventilation? | [ ]  | [ ]  | [ ]  |
| 3.6.5 | Do you ensure that the environmental conditions (e.g., temperature, humidity) required for the production process are monitored and maintained? | [ ]  | [ ]  | [ ]  |
| 3.6.7 | Do you have a system for monitoring material with a limited shelf life which ensures that no material with an expired usage date can be used? | [ ]  | [ ]  | [ ]  |
| **3.7** | **Measurement traceability** | - | - | - |
| 3.7.1 | Do you have a procedure for regularly monitoring and, as necessary, calibrating monitoring and measuring equipment? | [ ]  | [ ]  | [ ]  |
| 3.7.2 | Do you maintain a list of the monitoring and measuring equipment which defines the calibration process, the location, the interval, and the test method used? | [ ]  | [ ]  | [ ]  |
| 3.7.3 | Is your monitoring and measuring equipment clearly identified, and is the next calibration time displayed? | [ ]  | [ ]  | [ ]  |
| **3.8** | **Auditing** | - | - | - |
| 3.8.1 | Do you regularly carry out internal audits pursuant to a defined procedure? | [ ]  | [ ]  | [ ]  |
| 3.8.2 | Do you regularly carry out subcontractor audits pursuant to a defined procedure? | [ ]  | [ ]  | [ ]  |
| 3.8.3 | Have you planned an auditing program which gives due regard to status and importance of the processes and areas which will be audited? | [ ]  | [ ]  | [ ]  |
| **3.9** | **Labelling and Traceability** | - | - | - |
| 3.9.1 | Is an unambiguous correlation between product and documents maintained during all of the production, delivery, and installation phases? | [ ]  | [ ]  | [ ]  |
| 3.9.2 | Are regulations, drawings, standards, and the relevant revision status listed in the order documents and, as appropriate, in the verification documents (certificate)? | [ ]  | [ ]  | [ ]  |
| 3.9.3 | Do you ensure the unambiguous identification and traceability of all product lots, raw material lots, and materials used in the products? | [ ]  | [ ]  | [ ]  |
| **3.10** | **Control of nonconforming outputs** | - | - | - |
| 3.10.1 | Do you have procedures for the management of nonconforming services and products? | [ ]  | [ ]  | [ ]  |
| 3.10.2 | Is there a system for the identification of nonconforming services or products? | [ ]  | [ ]  | [ ]  |
| 3.10.3 | Do you ensure that products which are not in compliance with requirements are identified and managed so that unintentional use or delivery is prevented? | [ ]  | [ ]  | [ ]  |
| **3.11** | **Right of Access to Operational Premises** | - | - | - |
|  | Autoflug GmbH as well as official government inspectors (GPS), government authorities, and relevant Autoflug customers require the right to access all of the operational premises relevant for the contract in the event of a review of production processes relevant for product quality (e.g., supplier audit). Do you guarantee this right of access?**Note: Right of access is a requirement pursuant to aviation laws which must be assured before the award of any contracts.** (See also Section 5 (4) of the Autoflug GmbH Terms and Conditions of Purchasing.) | [ ]  | [ ]  | [ ]  |
|  | **(Subsequent questions only concern service providers)** | **-** | **-** | **-** |
| **3.12** | **Development process** | - | - | - |
| 3.12.1 | Do you have a defined development process? | [ ]  | [ ]  | [ ]  |
| 3.12.2 | Is this process maintained and implemented? | [ ]  | [ ]  | [ ]  |
| 3.12.3 | Is this process suitable to perform the intended development? | [ ]  | [ ]  | [ ]  |
| 3.12.4 | Can your process ensure the following production and [service](https://www.dict.cc/englisch-deutsch/service.html)?  | [ ]  | [ ]  | [ ]  |
| **3.13** | **Design and development planning** | - | - | - |
| 3.13.1 | Do you plan the nature, duration and complexity of the design and development activities? | [ ]  | [ ]  | [ ]  |
| 3.13.2 | Include your planning required process stages and the required design and development verification and validation activities? | [ ]  | [ ]  | [ ]  |
| 3.13.3 | Involve your planning the determination of resources, responsibilities and authorities? | [ ]  | [ ]  | [ ]  |
| 3.13.4 | Include your planning the need for involvement of customers and users? | [ ]  | [ ]  | [ ]  |
| 3.13.5 | Is your planning performed on the base of defined inputs and outputs as well as [whose](https://www.dict.cc/englisch-deutsch/whose.html) documentation? | [ ]  | [ ]  | [ ]  |
| **3.14** | **Design and development inputs** | - | - | - |
| 3.14.1 | Do you determine the requirements for design and development inputs? (e. g. functional and performance requirements; laws etc.)? | [ ]  | [ ]  | [ ]  |
| 3.14.2 | Do you document design and development inputs? | [ ]  | [ ]  | [ ]  |
| **3.15** | **Design and development controls** | - | - | - |
| 3.15.1 | Do you implement activities concerning Design Reviews, verification and validation to ensure that you meet all requirements? | [ ]  | [ ]  | [ ]  |
| 3.15.2 | Do you initiate controls if you detect any problems? | [ ]  | [ ]  | [ ]  |
| 3.15.3 | Is there an authorization before you progress to the next development stage?  | [ ]  | [ ]  | [ ]  |
| 3.15.4 | Do you document design and development controls? | [ ]  | [ ]  | [ ]  |
| **3.16** | **Implementation of tests** | - | - | - |
| 3.16.1 | Do you plan tests for verification and validation and prepare test plans before the conduction? | [ ]  | [ ]  | [ ]  |
| 3.16.2 | Do you prepare test instructions as description for the [testing](https://www.dict.cc/englisch-deutsch/testing.html) [process](https://www.dict.cc/englisch-deutsch/process.html)? | [ ]  | [ ]  | [ ]  |
| 3.16.3 | Is ensured, that test objects have the right configuration for the tests?  | [ ]  | [ ]  | [ ]  |
| 3.16.4 | Do you ensure that acceptance criteria are met? | [ ]  | [ ]  | [ ]  |
| 3.16.5 | Do you control, that monitoring and measuring devices used for testing shall be defined in regard to their [effectivity](https://www.dict.cc/englisch-deutsch/effectivity.html) and [reliability](https://www.dict.cc/englisch-deutsch/reliability.html)? | [ ]  | [ ]  | [ ]  |
| 3.16.6 | Do you document implementation of tests? | [ ]  | [ ]  | [ ]  |
| 3.16.7 | Do you ensure at the completion of design and development, that reports, calculations, test results, etc., are able to demonstrate that the design for the product or service meets the requirements?  | [ ]  | [ ]  | [ ]  |
| 3.16.8 | Has your organization an independent review of these reports, calculations, test results, etc.? | [ ]  | [ ]  | [ ]  |
| **3.17** | **Design and development outputs** | - | - | - |
| 3.17.1 | Do you ensure that development results met the requirements, suitable for the subsequent processes of providing products and services, and defining characteristics that are essential for their intended purpose and the safe and proper provision of them? | [ ]  | [ ]  | [ ]  |
| 3.17.2 | Do you determine acceptance criteria in design and development outputs (when applicable) critical items, key characteristics and specific actions? | [ ]  | [ ]  | [ ]  |
| 3.17.3 | Do you ensure that design and development outputs are only approved by authorized persons? | [ ]  | [ ]  | [ ]  |
| 3.17.4 | Do you define the data required to allow the product to be identified, manufactured, verified, used and maintained? | [ ]  | [ ]  | [ ]  |
| 3.17.5 | Do you document design and development outputs? | [ ]  | [ ]  | [ ]  |
| **3.18** | **Design and development changes** | - | - | - |
| 3.18.1 | Is there a [defined](https://www.dict.cc/englisch-deutsch/defined.html) process to identify changes made during, or subsequent to, the design and development of products and services?  | [ ]  | [ ]  | [ ]  |
| 3.18.2 | Is this process maintained and implemented? | [ ]  | [ ]  | [ ]  |
| 3.18.3 | Include this process a review which ensures that there is no adverse impact on conformity to requirements? | [ ]  | [ ]  | [ ]  |
| 3.18.4 | Do your processes include a notification of customers before you realize these [changes](https://www.dict.cc/englisch-deutsch/changes.html)?  | [ ]  | [ ]  | [ ]  |
|  | \* N/A = Not applicable |
|  |  |  |       |
|  | Date, Signature |  | Position |