



# Federal Aviation Administration

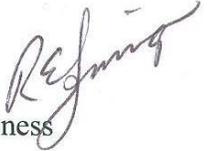
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## Memorandum

Date: 9/29/16

To: All Manufacturing Inspection Offices  
All Manufacturing Inspection District/Certificate Management Offices

From: Richard E. Jennings, Acting Manager, Design, Manufacturing, & Airworthiness  
Division, AIR-100 

Prepared by: David Magruder, Surveillance and Oversight Policy Section, AIR-143

Subject: Deviation to FAA Order 8120.23, Change 3, *Certificate Management of  
Production Approval Holders*

Memo No.: AIR-100-16-140-DM15

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The Federal Aviation Administration (FAA) is planning to issue FAA Order 8120.23A in December 2016. FAA Order 8120.23A will update several appendices currently in FAA Order 8120.23, Change 3. This deviation implements the use of those updated appendices during the period between October 1, 2016 and the issuance date of FAA Order 8120.23A.

The following attached appendices will be used during the interim period referenced above:

1. Appendix C, Preparation Instructions for FAA Form 8100-6, Noncompliance Record, in lieu of 8120.23, Change 3's Appendix I.
2. Appendix D, Standardized Noncompliance Codes for PAHs, in lieu of 8120.23, Change 3's Appendix H
3. Appendix H, Preparation Instructions for FAA Form 8120-14, Production Approval/Certificate Management Activity Report, in lieu of 8120.23, Change 3's Appendix N (to include the quality system elements located in Appendix D, Figure D-1).

In addition, FAA Order 8120.23, Change 3, paragraph 3-11, describes conditions that may arise that would necessitate a new Risk Based Resource Targeting (RBRT) assessment. This deviation suspends compliance to paragraph 3-11, during the period of October 1, 2016 and the issuance date of FAA Order 8120.23A.

This deviation will expire on the issuance date of FAA Order 8120.23A. The appendices contained in this deviation will be rolled into the next revision in their entirety.

If you have any questions or require additional information, please contact AIR-100 at 202-267-1575.

## **Appendix C. 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 C-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. 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 checkmark 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 quality system element in Appendix D to this order to which the noncompliance is relevant. Under “Noncompliance Code,” enter the audit noncompliance code number from Appendix D 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 ACAIS, 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 an audit criteria number. When an 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 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. (e.g., ABC Company Quality Manual dated March 5, 2005; XYZ QOI 32-6, dated June 23, 2007; or 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 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 (e.g., § 21.316 or § 21.616). If the observed condition is not directly traceable to one of these requirements, then 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 the 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 (i.e., 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 is isolated or non-systemic in nature; (i.e., is not pervasive or repeatable, and does not represent a breakdown in the quality system).

**i. Block 9.** Insert a checkmark 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 checkmark 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 the noncompliance is a result of a product nonconformity, then enter a process code in block 5 and complete blocks 13 and 14.

**k. Block 11.** Insert a checkmark 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 a noncompliance as an immediate safety impact only when the managing office determines that immediate action is required.

**l. Block 12.** Insert a checkmark 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 ACAIS, 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 ACAIS, 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 that 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, or managing office may be required.

(7) List all objective evidence obtained that describes the encountered condition.

**q. Block 17.** Enter the name of the team member who 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 ACAIS, then a 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 C-1. Sample FAA Form 8100-6**

		<b>Noncompliance Record</b>		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:					
<b>Noncompliance Characteristics</b>					
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)

FAA Form 8100-6 (06-14)

FOR OFFICIAL USE ONLY (when filled in)  
Public availability to be determined under 5 U.S.C. 552

## Appendix D. Standardized Noncompliance Codes for PAHs

**1. Purpose.** This appendix provides noncompliance codes, their associated CFR references, and quality system elements to be used when documenting noncompliances to the PAH's FAA-approved data and/or procedures on FAA Form 8100-6. Guidance for evaluating each quality system element is located on the AIR-100 CM website.

**Figure D-1. Quality System Elements**

Section No.	Quality System Element	Appendix D Page No.
(a)	Design data control	D-1
(b)	Document control	D-2
(c)	Supplier control	D-3
(d)	Manufacturing process control	D-5
(e)	Inspection and testing	D-7
(f)	Inspection, measuring, and test equipment control	D-8
(g)	Inspection and test status	D-9
(h)	Nonconforming product and article control	D-9
(i)	Corrective and preventative actions	D-10
(j)	Handling and storage	D-10
(k)	Control of quality records	D-11
(l)	Internal audits	D-11
(m)	In-service feedback	D-12
(n)	Quality escapes	D-12
(o)	Issuing authorized release documents	D-12
(p)	Other	D-12

**Figure D-2. Noncompliance Codes**

(a) Design Data Control				
Code	Description of Noncompliance	PC	PMA	TSOA
1.	The audited facility did not have written procedures for controlling design data and subsequent changes to ensure that only current, correct, and approved data are used.	§ 21.137(a)	§ 21.307	§ 21.607
2.	The audited facility did not follow procedures for controlling design data or subsequent changes to ensure that only current, correct, and approved data are used.	§ 21.146(b)	§ 21.316(b)	§ 21.616

<b>(a) Design Data Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
3.	The approval holder did not approve minor design changes under a method acceptable to the FAA.	§ 21.95	§ 21.319	§ 21.619
4.	The approval holder did not submit major design changes, including process specification changes, to the FAA for approval.	§ 21.97 § 21.99	§ 21.319	§ 21.619
5.	The approval holder did not submit appropriate design changes for approval to correct unsafe conditions under an AD.	§ 21.99(a)(1)	§ 21.307	§ 21.607
6.	The approval holder did not make available to a user descriptive data and information on FAA-approved design changes resulting from ADs.	§ 21.99(a)(2)	§ 21.99(a)(2)	§ 21.99(a)(2)
7.	The approval holder did not keep an ICA current with design changes or make it available to appropriate persons.	§ 21.50	§ 21.50	§ 21.50
8.	The approval holder did not provide the FAA all required information to support inclusion of a commercial parts list in an ICA.	§ 21.50	§ 21.50	N
9.	The audited facility did not follow approved procedures to coordinate and obtain approval from authorized personnel, including engineering, for a service bulletin or maintenance manual.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
10.	The audited facility did not follow approved procedures to include a manufacturing, quality, or service/support organization in the review of design and technical data changes.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
11.	Electronically stored or transmitted technical design or quality data were not adequately controlled or distributed to a supplier.	§ 21.146(a) and (b)	§ 21.316(a) and (b)	§ 21.616(a) and (b)

<b>(b) Document Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
12.	The audited facility did not have written procedures for controlling quality system documents and subsequent changes to ensure that only current, correct, and approved data are used.	§ 21.137(b)	§ 21.307	§ 21.607
13.	The audited facility did not follow procedures for controlling quality system documents or subsequent changes to ensure that only current, correct, and approved data are used.	§ 21.146(b)	§ 21.316(b)	§ 21.616

<b>(b) Document Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
14.	The audited facility did not properly establish, maintain, or control a test procedure or subsequent change.	§ 21.137(b)	§ 21.307	§ 21.607

<b>(c) Supplier Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
15.	The audited facility did not have approved written procedures to ensure that each supplier-furnished product, article, or service conforms to the PAH's requirements.	§ 21.137(c)(1)	§ 21.307	§ 21.607
16.	The audited facility did not follow approved written procedures to ensure that each supplier-furnished product, article, or service conforms to the PAH's requirements.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
17.	The audited facility did not conduct a receiving inspection of a supplied article or service to verify conformity to the PAH's requirements.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
18.	The audited facility did not verify that specification requirements were met for a purchased product or material with a shelf-life.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
19.	The audited facility did not follow approved procedures to flow-down applicable technical and quality requirements to a domestic or international supplier.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
20.	The audited facility did not follow procedures for design data control with its supplier, including changes.	§ 21.146(b) § 21.95 § 21.97 § 21.99	§ 21.316(b)	§ 21.616(b)
21.	The PAH did not have written procedures to require suppliers of any level to report quality escapes to their next level, and/or did not have written procedures to require first-level suppliers to report quality escapes to the PAH.	§ 21.137(c)(2)	§ 21.307	§ 21.607
22.	The PAH did not follow the approved supplier reporting process and/or procedures which require a supplier to report quality escapes to the next level or PAH.	§ 21.146(b)	§ 21.316(b)	§ 21.616
23.	A supplier did not follow PAH procedures to report a quality escape to the PAH.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(c) Supplier Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
24.	The PAH did not take corrective action in response to a report of a quality escape from a supplier.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
25.	The audited facility did not follow approved procedures for using only approved suppliers.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
26.	The audited facility did not follow approved procedures in conducting a required supplier evaluation or in taking necessary corrective actions related to that evaluation.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
27.	The PAH did not approve a supplier's quality manual as required by approved procedures.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
28.	The PAH uses other parties to perform supplier surveillance or assessments on its behalf, but does not have procedures for using these other parties.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
29.	The PAH uses other parties to perform supplier surveillance or assessments on its behalf, but does not follow procedures for using these other parties.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
30.	The audited facility did not follow approved procedures for requiring suppliers to notify the audited facility in writing of significant facility or organizational changes such as changes in company name, company location, or senior quality management.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
31.	A supplier with direct shipment authority was not controlled to ensure that only conforming parts were released.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
32.	The audited facility did not follow approved procedures to require approved suppliers to have a supplier control program in place for their suppliers.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
33.	The quality organization of the audited facility did not follow approved procedures in reviewing a purchase document before issuance.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
34.	The audited facility did not follow approved procedures to require suppliers to have a program to ensure the proper operation of manufacturing software or inspection/test equipment.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
35.	The PAH did not follow approved procedures for notifying the FAA of a new supplier in another country or the receipt of a first article produced by that supplier.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(c) Supplier Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
36.	The audited facility did not follow approved procedures for preparing an interface quality document for consortium manufacturing activities.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(d) Manufacturing Process Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
37.	The PAH did not properly identify or define a special process within FAA-approved design data or in detailed process specifications.	§ 21.31	§ 21.303	§ 21.601
38.	The audited facility did not have written procedures for controlling manufacturing processes.	§ 21.137(d)	§ 21.307	§ 21.607
39.	The audited facility did not follow an approved manufacturing process, procedure, or instruction.	§ 21.146(b)	§ 21.316(b)	§ 21.616
40.	The audited facility did not generate or maintain a record to reflect compliance with an approved procedure, process, or instruction.	§ 21.146(b)	§ 21.316(b)	§ 21.616
41.	The audited facility did not follow approved procedures to use an environmental control in a manufacturing or assembly area.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
42.	The audited facility did not identify or control an age-sensitive product, article, or material.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
43.	The audited facility did not segregate a material or article awaiting acceptance.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
44.	The audited facility did not identify a traceable component in assembly records.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
45.	The audited facility did not provide or maintain traceability of a completed article to raw materials.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
46.	The audited facility did not provide traceability or accountability for the completion of all manufacturing and inspection operations for a split lot.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
47.	The audited facility did not provide controls for an article introduced into production before full acceptance.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
48.	The audited facility did not follow approved procedures for segregating or identifying products or articles in a storage or manufacturing area.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(d) Manufacturing Process Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
49.	The audited facility did not control a product or article from an associate facility.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
50.	The audited facility did not follow approved procedures for using a properly qualified/approved special process operator.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
51.	The audited facility did not follow approved procedures in establishing a statistical sampling plan for the acceptance of product characteristics at the receiving inspection or during manufacture.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
52.	The audited facility did not follow approved procedures by excluding engineering and manufacturing organizations from the statistical quality control (SQC) program.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
53.	The audited facility did not follow approved procedures in establishing a statistical process control (SPC) method for acceptance of specific product characteristics.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
54.	The audited facility did not follow approved procedures in using or maintaining appropriate SPC control limits or subgroup selection.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
55.	The audited facility did not follow approved procedures in establishing a satisfactory PRE-control method for the acceptance of specific product characteristics.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
56.	The audited facility did not follow approved procedures for training personnel in statistical techniques.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
57.	The audited facility did not follow approved procedures to retest a product or article that had been adjusted or reworked after test acceptance.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(e) Inspection and Testing</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
58.	An audited facility did not have a written procedure for inspection or test to ensure a product or article conforms to its approved design.	§ 21.137(e)	§ 21.307	§ 21.607
59.	An audited facility did not follow a procedure for inspection and test to ensure a product or article conforms to its approved design.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(e) Inspection and Testing</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
60.	The audited facility used an inspection method which did not ensure a product or article conforms to FAA-approved design data.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
61.	The audited facility did not follow approved procedures to ensure proper control of inspection marking devices/stamps.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
62.	The audited facility did not follow approved procedures to issue inspection marking devices/stamps to authorized persons only.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
63.	The audited facility does not have approved procedures to ensure records are generated and maintained for completed tests of aircraft, engines, or propellers.	§ 21.137(e)(2)	N	N
64.	Applicable procedures or process specifications were not readily available to or used by inspection personnel.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
65.	NDI processes, including changes, were not properly documented, controlled, or reviewed for conformance with FAA-approved design data.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
66.	Critical NDI process parameters were not identified or controlled.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
67.	Flight test procedures or changes were not submitted to and approved by the FAA.	§ 21.146(b)	N	N
68.	The audited facility did not follow approved procedures in qualifying a test pilot or in using a flight test pilot without proper qualifications.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
69.	The audited facility did not follow approved procedures in ensuring an NDI operator was performing within the limits of their authorization/certification.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
70.	The audited facility uses NDI to make conformity determinations, but its procedures do not address NDI acceptance and rejection criteria.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
71.	The audited facility did not follow approved procedures for identifying an NDI test piece or known defect sample.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
72.	The audited facility did not follow approved procedures to check NDI tanks or solutions for compliance with specifications.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(f) Inspection, Measuring, and Test Equipment Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
73.	The audited facility did not have a procedure for inspection, measuring, and test equipment control to ensure calibration and control of all inspection, measuring, and test equipment used in determining conformity of a product or article to its approved design.	§ 21.137(f)	§ 21.307	§ 21.607
74.	The audited facility did not follow a procedure for inspection, measuring, and test equipment control to ensure calibration and control of all inspection, measuring, and test equipment used in determining the conformity of a product or article to its approved design.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
75.	Equipment required for special processing is not available or calibrated as necessary.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
76.	A tool, gauge, or equipment was not initially approved, periodically inspected, or calibrated.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
77.	A calibration standard did not have adequate accuracy or was not traceable to a standard acceptable to the FAA.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
78.	A tool, gauge, or equipment was not protected, maintained, or used in an acceptable environment to ensure product conformity.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
79.	The audited facility did not properly control NDI equipment.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(g) Inspection and Test Status</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
80.	The audited facility did not have a procedure for documenting the inspection and test status of products and articles supplied or manufactured to the approved design.	§ 21.137(g)	§ 21.307	§ 21.607
81.	The audited facility did not follow a procedure for documenting the inspection or test status of a product or article manufactured to the approved design.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
82.	The flight check-off form was not properly completed for an aircraft flight test.	§ 21.146(b)	N	N

<b>(h) Nonconforming Product and Article Control</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
83.	The audited facility did not have a procedure for the identification, documentation, evaluation, segregation, and disposition by authorized individuals of nonconforming products and articles.	§ 21.137(h)	§ 21.307	§ 21.607
84.	The audited facility did not follow a procedure for the identification, documentation, evaluation, segregation, and disposition by authorized individuals of nonconforming products and articles.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
85.	The audited facility did not have a procedure to ensure discarded articles are rendered unusable.	§ 21.137(h)	§ 21.316(b)	§ 21.616(b)
86.	The audited facility did not follow a procedure to ensure discarded articles are rendered unusable.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
87.	An unauthorized person dispositioned a nonconforming product or article.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
88.	A nonconforming product or article was not properly identified, documented, evaluated, segregated, or dispositioned.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
89.	A nonconforming product or article was placed in storage.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
90.	A disposition determination for a nonconforming product or article resulted in a major design change that was not approved by the FAA through its design approval process.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
91.	Upper management did not follow approved procedures for reviewing and analyzing nonconforming material data to detect adverse trends.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
92.	Engineering did not follow approved procedures for reviewing nonconforming material to determine if a nonconformance constituted a major or minor change to FAA-approved type design.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(i) Corrective and Preventative Actions</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
93.	The audited facility does not have written procedures for implementing corrective and preventative actions to eliminate the causes of an actual or potential nonconformity or noncompliance.	§ 21.137(i)	§ 21.307	§ 21.607

<b>(i) Corrective and Preventative Actions</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
94.	The audited facility did not follow procedures for implementing corrective and preventative actions to eliminate the causes of an actual or potential nonconformity or noncompliance.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
95.	The audited facility does not monitor corrective actions for response, implementation, and effectiveness.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
96.	The audited facility did not take corrective action after finding an out-of-control NDI process.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
97.	The audited facility did not evaluate the need for corrective action after accepting a product or article with a significantly out-of-tolerance gauge.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
98.	The audited facility did not take corrective action to correct a manufacturing/special process which was found to be out of control.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(j) Handling and Storage</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
99.	The audited facility did not have a procedure to prevent damage and deterioration of each product and article during handling, storage, preservation, and packaging.	§ 21.137(j)	§ 21.307	§ 21.607
100.	The audited facility did not follow a procedure to prevent the damage or deterioration of a product or article during handling, storage, preservation, or packaging.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
101.	The audited facility did not control removal or issuance of a product or article from storage.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
102.	The audited facility did not adequately identify or control a cleaner, solvent, degreaser, etc., to prevent potential product damage from misapplication.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(k) Control of Quality Records</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
103.	The audited facility did not have a written procedure for identifying, storing, protecting, and retrieving quality records.	§ 21.137(k)	§ 21.307	§ 21.607

<b>(k) Control of Quality Records</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
104.	The audited facility did not have a written procedure for the retention of quality records for at least 5 years for products/articles manufactured under its approval and 10 years for critical components pursuant to § 45.15(c).	§ 21.137(k)	§ 21.307	§ 21.607
105.	The audited facility did not follow a procedure for identifying, storing, protecting, retaining, or retrieving quality records.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(l) Internal Audits</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
106.	The audited facility did not have written procedures for planning, conducting, and documenting internal audits to ensure compliance with the approved quality system.	§ 21.137(l)	§ 21.307	§ 21.607
107.	The audited facility did not follow approved procedures for planning, conducting, or documenting internal audits.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
108.	The audited facility did not have written procedures to report results of an internal audit to the manager responsible for implementing corrective and preventative actions.	§ 21.137(l)	§ 21.307	§ 21.607
109.	The audited facility did not follow a procedure to report results of an internal audit to the manager responsible for implementing corrective and preventative actions.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(m) In-Service Feedback</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
110.	The audited facility does not have an approved procedure for receiving and processing feedback on in-service failures, malfunctions, and defects.	§ 21.137(m)	§ 21.307	§ 21.607
111.	The audited facility did not follow approved procedures for receiving and processing feedback on in-service failures, malfunctions, and defects.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
112.	The audited facility did not follow approved procedures for informing a user of its product/article with service information, including field purges.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(n) Quality Escapes</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
113.	The audited facility does not have an approved procedure for identifying, analyzing, and initiating appropriate corrective action for quality escapes.	§ 21.137(n)	§ 21.307	§ 21.607
114.	The audited facility is not following approved procedures for identifying, analyzing, and initiating appropriate corrective action for quality escapes.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
115.	Approved procedures do not provide a method to notify users and recall products, when necessary, when nonconformances are suspected or known to exist in products in service.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
116.	A nonconforming product or article was released from the quality system.	§ 21.146(c)	§ 21.316(c)	§ 21.616(c)
117.	A required design change was not incorporated into a product or article before its release for installation/shipment.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
<b>(o) Issuing Authorized Release Documents</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
118.	The PAH has issued authorized release documents that were not in accordance with approved written procedures.	§ 21.137(o)	§ 21.307	§ 21.607
119.	The PAH is issuing authorized release documents outside of the scope of its approved procedures.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
<b>(p) Other</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
120.	The PAH did not report a failure, malfunction, or defect pursuant to § 21.3.	§ 21.3	§ 21.3	§ 21.3
121.	The PAH did not comply with the § 21.3(f) requirements related to investigation of and corrective action for products or articles deemed to be unsafe due to a manufacturing or design data defect.	§ 21.3(f)	§ 21.3(f)	§ 21.3(f)
122.	The applicant/PAH has not provided the FAA a document describing how its organization will ensure compliance pursuant to subpart G, K, or O, as applicable.	§ 21.135	§ 21.305	§ 21.605

<b>(p) Other</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
123.	The PAH did not amend the organization document required pursuant to § 21.135 to reflect changes in the organization or provide these amendments to the FAA.	§ 21.146(a)	§ 21.316(a)	§ 21.616(a)
124.	The applicant/PAH has not provided the FAA with a quality manual which describes its quality system.	§ 21.138	§ 21.308	§ 21.608
125.	The quality manual was not prepared in the English language or is not retrievable in a form acceptable to the FAA.	§ 21.138	§ 21.308	§ 21.608
126.	The quality manual has not been maintained to reflect changes in the quality system.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
127.	The PAH did not obtain FAA approval before making a change to the location of one of its manufacturing facilities.	§ 21.139(b)	§ 21.309(b)	§ 21.609(b)
128.	The PAH did not immediately notify the FAA in writing of a change to the manufacturing facility that affects the inspection, conformity, or airworthiness of its product or article.	§ 21.139(c)	§ 21.309(c)	§ 21.609(c)
129.	The audited facility is not operating within the limitations of its production approval.	§ 21.146(b)	§21.316(c)	§ 21.616(c)
130.	A Software Configuration Management Plan did not meet approved requirements.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
131.	A Configuration Index Document did not meet approved requirements.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
132.	The audited facility did not follow approved procedures for software problem reporting and tracking.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
133.	The audited facility did not follow approved procedures for recalling/purging obsolete software.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
134.	The audited facility did not follow approved procedures for software security.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
135.	A Software Development Environment did not meet approved requirements.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
136.	The audited facility did not follow approved procedures for software identification.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
137.	The audited facility did not follow approved procedures for programmed media handling/storage.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)

<b>(p) Other</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
138.	The audited facility did not meet approved requirements for establishing build and load instructions.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
139.	A Software Configuration Management Plan did not meet approved requirements.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
140.	The audited facility did not follow approved procedures for documenting and approving changes.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
141.	The audited facility did not follow approved procedures for software problem reporting.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
142.	The audited facility did not meet approved requirements for software security.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
143.	The audited facility did not follow approved procedures for verifying software before use.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
144.	The audited facility did not follow approved procedures for build and load instructions.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
145.	A completed product or article did not have proper identification markings.	§ 21.146(d) § 45.11	§ 21.316(d) § 45.15	§ 21.616(d) § 45.15
146.	An aircraft was not properly identified with nationality and registration marks before airworthiness certification.	§ 21.146(d) § 45.21	N	N
147.	The PAH did not identify a portion of a product or article that left the manufacturer's facility as FAA-approved with the manufacturer's part number and name, trademark, symbol, or other FAA-approved manufacturer's identification.	§ 21.146(e) § 21.137	§ 21.316(e)	§ 21.616(e)
148.	The PAH did not have access to design data necessary to determine conformity for each product or article produced under its production approval.	§ 21.146(f)	§ 21.316(f)	§ 21.616(f)
149.	The production approval/authorization is not available at the facility.	§ 21.146(g)	§ 21.316(g)	§ 21.616(g)
150.	The evaluated facility did not make information regarding all delegation of authority to suppliers available to the FAA.	§ 21.146(h)	§ 21.316(h)	§ 21.616(h)
151.	The PAH did not follow approved procedures in notifying the FAA of suppliers with direct shipment authorization.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
152.	The PAH did not notify the FAA of a change to its quality system that affected the inspection, conformity, or airworthiness of its product or article.	§ 21.150	§ 21.320	§ 21.620

<b>(p) Other</b>				
<b>Code</b>	<b>Description of Noncompliance</b>	<b>PC</b>	<b>PMA</b>	<b>TSOA</b>
153.	A completed aircraft was not registered before airworthiness certification.	§ 47.3 § 21.173	N	N
154.	The applicable airworthiness certificate or special flight permit was not obtained for an aircraft.	Part 21 Subparts H, I	N	N
155.	A flight manual, a supplement, or current weight and balance information was not furnished with an aircraft.	§ 23.1581 § 25.1581 § 27.1581 § 29.1581 § 31.81	N	N
156.	An unauthorized person issued an airworthiness approval (FAA Form 8130-4 or 8130-3).	§ 21.329 § 21.331	§ 21.331	§ 21.331
157.	An export airworthiness approval was issued, but the necessary documents and instructions have not been forwarded to the aviation authority of the importing country as specified in AC 21-2.	§ 21.335(a)	§ 21.335(a)	§ 21.335(a)
158.	A registration or airworthiness certificate was not cancelled for an aircraft whose title has passed to an importing country.	§ 21.335	N	N
159.	The audited facility did not follow approved procedures for obtaining an export airworthiness approval for a product/article that left the PAH's quality system.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
160.	The PAH does not have procedures that establish and identify a single point of contact or accountable manager for maintaining the organization's FAA-approved production operations.	§ 21.135	§ 21.305	§ 21.605
161.	The PAH did not follow procedures that empower or authorize the point of contact to exercise their established authority pursuant to part 21.	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)
162.	The PAH was manufacturing and installing an interface component that was not identified on the production limitation record (PLR).	§ 21.146(b)	§ 21.316(b)	§ 21.616(b)



## Appendix H. Preparation Instructions for FAA Form 8120-14, Production Approval/Certificate Management Activity Report

**1. Purpose.** This appendix provides instructions for completing FAA Form 8120-14. This form is used to document all activity, except QSAs, at PAHs and their suppliers. When combined with the respective FAA Form(s) 8100-6 and, if applicable, FAA Form 8100-1, a complete report of the activity conducted is available for subsequent planning.

**2. Specific Guidance.** Figures H-1 and H-2 show FAA Form 8120-14 with numbered blocks. Prepare the form by inserting in:

- a. Block 1.** The PAH name as recorded on the production approval.
- b. Block 2.** The project number(s) applicable to the production approval.
- c. Block 3.** The name and address of the point of manufacturing facility as recorded on the production approval, or for a supplier, as listed in the FAA's facility database.
- d. Block 4.** A check mark in the appropriate box(es) to indicate the type of production approval.
- e. Block 5.** The starting date and the ending date of the activity that was conducted.
- f. Block 6.** A check mark in the appropriate box(es) to indicate the type of activity that was conducted.
- g. Block 7.** The title, revision number, and date of the current quality manual submitted to the FAA by the PAH.
- h. Block 8.** The date that the applicable quality manual submitted by a PAH was approved by the FAA.
- i. Block 9.** An "X" in the column next to the system element audited when the result of the activity is satisfactory.
- j. Block 10.** The respective FAA Form 8100-6 noncompliance numbers for the system element audited, when the result of the activity is unsatisfactory.
- k. Block 11.** The nomenclature and part number(s) of the product, article, or part(s) audited.
- l. Block 12.** An "X" in the column next to the product, article, or part(s) audited when the result of the activity is satisfactory.
- m. Block 13.** The respective FAA Form 8100-6 noncompliance numbers for the product, article, or part(s) audited, when the result of the activity is unsatisfactory.
- n. Block 14.** The specific purchase order or quality flow down requirement audited, such as, but not limited to, the following: purchase order number, quality management system

purchase number, quality assurance procedure, engineering drawing number, general notes, or work instruction number.

**o. Block 15.** An “X” in the column next to the specific purchase order or quality flow down requirement audited when the result of the activity is satisfactory.

**p. Block 16.** The respective FAA Form 8100-6 noncompliance numbers for the specific purchase order or quality requirements audited, when the result of the activity is unsatisfactory.

**q. Block 17.** Enter the names, titles, and office symbols of all FAA personnel who participated in the activity.

**r. Block 18.** The typed or printed name and signature of the person conducting the audit. In most cases, this will be the PI responsible for the PAH.

**Note 1:** ACAIS does not allow the user to provide a traditional signature to FAA Form 8120-14. However, when the user is logged in using a specific login and password, the user can populate block 18 with their name to demonstrate completion of FAA Form 8120-14.

**Note 2:** When FAA Form 8120-14 is used to document a PI audit or MIDO audit with multiple team members, the signature in block 18 must be that of the team leader. This form, with the above signature, can then be used to support the continued appointment as a QSA team leader in accordance with paragraph 3-24 of this order.

**s. Block 19.** The office symbol of the person completing this form.

**t. Block 20.** The date this form is completed.

Figure H-1. Sample FAA Form 8120-14 (Front)

 U.S. Department of Transportation Federal Aviation Administration		<b>Production Approval /Certificate Management          Activity Report</b>	
<b>Applicant/PAH:</b> Name: (1)		<b>Project No.(s):</b> (2)	
<b>Point of Manufacture:</b> Facility: (3) City: _____ DBA: State/Province: _____ Address 1: Country: _____ Address 2: Postal Code: _____ Address 3: Region: _____			
<b>Production Basis:</b> <input type="checkbox"/> PC <input type="checkbox"/> PMA <input type="checkbox"/> TSOA(4)		<b>Activity Dates:</b> From: mm/dd/yyyy To: mm/dd/yyyy(5)	
<b>Activity:</b> <input type="checkbox"/> MIDO Audit <input type="checkbox"/> PI Audit <input type="checkbox"/> Supplier Control Audit <input type="checkbox"/> Other (6)			
<b>Quality Manual:</b> Title: (7) Revision: Date:			
<b>Date of FAA Approval of Quality Manual:</b> mm/dd/yyyy (8)			
<b>QUALITY SYSTEM ELEMENT</b>		<b>SATISFACTORY</b> "✓" if applicable	<b>UNSATISFACTORY</b> List FAA Form 8100-6 Noncompliance No.(s)
(a)	Design data control	(9) <input type="checkbox"/>	(10)
(b)	Document control	<input type="checkbox"/>	
(c)	Supplier control	<input type="checkbox"/>	
(d)	Manufacturing process control	<input type="checkbox"/>	
(e)	Inspecting and testing	<input type="checkbox"/>	
(f)	Inspection, measuring, and test equipment control	<input type="checkbox"/>	
(g)	Inspection and test status	<input type="checkbox"/>	
(h)	Nonconforming product and article control	<input type="checkbox"/>	
(i)	Corrective and preventive actions	<input type="checkbox"/>	
(j)	Handling and storage	<input type="checkbox"/>	
(k)	Control of quality records	<input type="checkbox"/>	
(l)	Internal audits	<input type="checkbox"/>	
(m)	In-service feedback	<input type="checkbox"/>	
(n)	Quality escapes	<input type="checkbox"/>	
(o)	Issuing authorized release documents	<input type="checkbox"/>	
(p)	Other	<input type="checkbox"/>	

FAA Form 8120-14 (10/16) SUPERSEDES PREVIOUS EDITION  
 FOR OFFICIAL USE ONLY (when filled in)

Figure H-2. Sample FAA Form 8120-14 (Back)

PRODUCT AUDIT RESULTS		
PRODUCT AUDITED (Nomenclature/Part Number)	SATISFACTORY "✓" if applicable	UNSATISFACTORY List FAA Form 8100-6 Noncompliance No.(s)
(11)	(12) <input type="checkbox"/>	(13)
	<input type="checkbox"/>	
	<input type="checkbox"/>	
SUPPLIER CONTROL AUDIT RESULTS		
PURCHASE ORDER/QUALITY FLOWDOWN REQUIREMENTS	SATISFACTORY "✓" if applicable	UNSATISFACTORY List FAA Form 8100-6 Noncompliance No.(s)
(14)	(15) <input type="checkbox"/>	(16)
	<input type="checkbox"/>	
PARTICIPATING AUDITORS		
NAME	TITLE	OFFICE
1 (17)		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		
19		
20		
Typed/Printed Name and Signature of PI: (18)		Office (19)
		Date (20)

FAA Form 8120-14 (10/16) SUPERSEDES PREVIOUS EDITION