



CIVIL AVIATION AUTHORITY OF THE REPUBLIC OF MOLDOVA



MODULE 3

Overview of QMS Evaluation Tool, how to use it, demonstration

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Overview of QMS Evaluation Tool

- This document is crafted to serve as a comprehensive guide for authorities in assessing the maturity of management systems, with a specific focus on Quality Management Systems (QMS). The maturity assessment helps ensure that organizations maintain robust, compliant, and continuously improving management processes.
- The main structure is based on the tools provided by EASA (SMS Assessment Tool) and SM ICG. The structure also follows the State Safety Programme Protocol Questions (SSP PQs) used in the ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA).
- The document provides a structured, methodical approach to assessing QMS maturity. It covers all essential aspects, including leadership commitment, process management, performance measurement, and continuous improvement.



How to Use It

The assessment tool may be used for both initial evaluation of the Quality System's organisation (such as before the initial certification of the organisation) and its continuing oversight.

The assessor, when using the tool, should assess how the organisation performs and manages quality. The assessment therefore has to be performance orientated.

The tool shall not be used as a standard compliance checklist to verify that all the individual elements of an quality system are in place.



How to Use It

It has to have a holistic approach towards the system. In order to reach this, the PSOE method is used:

Present:

There is documented information available in the organisation, which reflect the elements of a (quality) management system.

Suitable:

The documented information reflects the operational scope of the aviation organisation, as well as size and complexity of their organisation.

Operating:

There is evidence that the suitable documented system is implemented and operational (e. g through outcomes of management system processes)

Effective:

There is evidence of a continuous application of management system processes including continual improvement of the performance of the management system.



Demonstration



1. Scope of the Quality Management System

What to look for:

- A clearly defined Scope of QMS (context of organization) is described in **Quality Documentation** (e.g. QMM).
- Description of the scope of operation of the aviation organization (Flight ops, MRO, ATM, airport operations and ground handling) as defined by their approval certificates.



Demonstration



2. Quality Management System and it's Processes

What to look for:

- Document management
- Records management
- Operational Procedures
- Internal auditing
- Training
- Non-conforming product management (if applicable)
- Corrective and preventive actions
- Risk management (Could be integrated into SMS)
- Change management and information process (Could be integrated into SMS)
- Management Review
- Continuous Monitoring and Improvement



Demonstration



3. Organisational Roles, Responsibilities and Authorities

What to look for:

- General description of the organization
- Titles and functions of nominated persons and management personnel
- Organigrams/organizational charts
- Job descriptions



Demonstration



4. Quality Policy

What to look for:

- Documented policy
- Endorsed and signed by the relevant accountable manager
- The policy states the management's commitment to provide necessary resources (human, financial, etc.) for the effective implementation of the QMS
- The policy is available and actively communicated within the organization
- The policy is available to the internal stakeholders on request
- The policy is clear and easy to read and understood at all levels of organization
- The content corresponds to the nature, size and complexity of the activities
- The policy contains the obligation to comply with the regulations and operational and other standards
- The policy contains commitment of the organization to comply and act in conformity with principles and objectives and to its continuous improvement



Demonstration



5. Quality Objectives

What to look for:

- Quality Objectives and related setting procedures (responsibilities, scope of QMS, review, etc.)
- Evidence of how QO are achieved (e.g. Management Review Report)



Demonstration



6. Risk and Opportunities

What to look for:

- Defined process to manage risks and opportunities
- If the SMS is required, linkage between risk management processes of the QMS and SMS (if the systems are not integrated)
- Evidence of implementation of mitigation actions stemming from the hazard identification and risk management process
- Evidence when risks and opportunities were last reviewed.
- Management review report



Demonstration



7. Personnel Competency

What to look for:

- Competency requirements for each role.
- Training and Competence Procedure
- Job Descriptions/Job profiles
- On-boarding process/plan
- Training Matrix
- Training Needs Analysis
- Initial Training Plan
- Continuation/Refresher Training Plan
- Training Records
- Training Development Review
- Training Course Completion Certificates
- Competency Assessments



Demonstration



8. Documented Processes

What to look for:

- Compliance assessment
- Compliance management processes
- Availability of documented information (printed or electronic) to interested parties;
- Currency of the documented information
- Assess how the employees access the documents.
- Assess if the documentation is disseminated to the interested parties.
- Assess that employees have access to the documents as per job function.
- Assess how the documents are stored, controlled, and retained.
- Check if appropriate staff is aware of the records control processes and procedures.



Demonstration



9. Operational Planning and Control

What to look for:

- Documented Processes
- Accessibility, traceability and availability:
- Retention of Records
- Evidence of Conformity with Standards



Demonstration



10. Requirements for Products and Services

What to look for:

- Documented review criteria based on specific requirements, technical specifications, regulatory compliance, and customer expectations
- Mechanisms to capture all relevant statutory, regulatory and/or contractual requirements for products and services
- Mechanism to re-adjust with the amendments/changes to such requirements.
- Evidence of risk assessment (if applicable)
- Evidence of the product/services conformity reviews



Demonstration



11. Design and Development (If Applicable)

What to look for:

- Design and development process
- Design and Development requirements
- Design and Development Inputs.
- Design and Development Controls.
- Design and Development Outputs.
- Change to Design and Development



Demonstration



12. Control of Production and Service Provision (If Applicable)

What to look for:

Look for quality and safety assurance processes with examples as follows:

- Independent verification and validation processes in the management system to ensure, the products (e. g. aircraft, parts) or services (e. g. ATM services, flight trainings, ground handling services) are applied compliant and effective. - reactive
- Operational “safety/quality-nets” to mitigate hazards caused by possible human errors or technical failures (e. g. “4-eyes-principle”, avoidance of single points of failures). – proactive
- In case of product or service failures, effective recovery processes to re-establish safe and effective operation (e. g. ERP, BCM)



Demonstration



13. Monitoring and Measuring (If Applicable)

What to look for:

- Monitoring and Measurement Procedure
- Monitoring and Measurement Records
- Evidence that necessary resources are available



Demonstration



14. Calibration (if applicable)

What to look for:

- Equipment identification numbers
- Calibration standards
- Name/s of manufacturer and model
- Controlled equipment log
- Reference standards used
- Certificates
- Calibration reports
- Details of outsourced calibration facility
- Relevant personnel training



Demonstration



15. Performance Evaluation

What to look for:

- Evaluation Criteria
- Processes, products and services subject to evaluation
- Evaluation procedures
- Qualified personnel involved in evaluation
- Signed audit program
- Audit reports
- Internal Audit procedure
- Internal Auditors' training program and qualification requirements, training records
- Documented management review process
- Evidence of management review meeting(s)



Demonstration



16. Externally Provided Processes, Products and Services

What to look for:

- List of subcontracted processes and products affecting safety and quality of operations
- List of subcontractors
- Applicable statutory/regulatory requirements identified for each subcontracted process/product
- Evaluation criteria defined for each subcontractor
- Evaluation criteria and compliance with the relevant requirements applied during the selection process (Service level agreements, etc.)



Demonstration



- Quality Assurance Program includes periodic audits of the subcontracted activities/products/processes
- Quality Assurance Program for external providers
- Audit Records for subcontractors
- Corrective action plans and their implementation
- Enforcement measures
- Service level agreement
- Qualification requirements of the operational personnel delivering services/products
- Evidence of subcontractor personnel qualification
- Subcontractor audit scope includes training
- Audits include inspections of the actual provision of services/production



Demonstration



17. Improvement

What to look for:

- Root cause analyses methodology
- Record of non-conformities
- Corrective Actions plan
- Evidence of implementation
- Continuous improvement procedure
- Evidence of implementation of the Continuous Improvement Procedure



Conclusion

In conclusion, authorities are encouraged to adopt this document as a vital resource in their oversight activities. By doing so, those will not only ensure that management systems meet compliance standards but also foster systems that are mature, resilient, and continuously improving.

This approach will enhance the effectiveness of the oversight, contributing to stronger, more adaptable organizations that are better equipped to meet future challenges.



Thank you!