Configuration Management Self Assessment Checklist

Introduction:

- *The purpose of this Configuration Management (CM) Self- Assessment Checklist is to ensure that the Organization correctly understands the CM requirements levied by Customer and/or described in SCMH Configuration Management Guidelines and is implementing them in an appropriate manner.*
- *It is advised that the negative answers serve as an opportunity for process improvement for the organization*

Configuration Management Organization Resources and Tools	**Yes**	**No**	**Remarks**
A. CM Organization and Resources			
Does the Organization have a defined/documented CM process?			
Is there a "Single Point" Responsibility for CM?			
Does the CM process follow the contract requirements?			
Does the Organization have an adequate, single-point release system for configuration documentation (Eng drawings, design specs, ICDs, work instructions/op cards, process specs, tool drawings, etc.)?			

CM Planning and Tools	**Yes**	**No**	**Remarks**
Are the CM activities defined in the Organization's existing CM command media, as cited in its CM Plan, adequate to meet program needs?			
Is the CM Plan periodically reviewed for updates (i.e., as flow-down requirements or internal Organization process changes)?			
Is the CM Plan part of the Organization's command media (i.e., recognized to be on a par with other essential Company disciplines)?			
Are the documented processes available and effectively disseminated to all Organization personnel?			
Do company policies and procedures emphasize the importance of maintaining a CM system?			
Are policies and procedures consistent with the latest contractual requirements or program needs?			
Are there CM procedures and controls to insure sub-tier supplier or Organization compliance to CM requirements?			
Is there a closed loop identification and resolution system for hardware and software configuration management problems?			

Configuration Identification	Yes	No	Remarks
A. Product structure, identification of CIs			
Is each design configuration of a detailed part, subassembly or assembly and computer program or module identified by a unique part number?			
Does the Organization's part numbering system show the relationship between assemblies and detail parts?			
Are the Organization's part number change processes consistent with CM practices?			
B. Configuration Documentation (Specifications and Drawings)			
Has the Organization correctly identified the components selected by the Customer as Configuration Items (CI) in all its documentation (specifications, drawings, procedures, reports, nameplates, decals, etc)?			
If required as part of the development process, has the Organization properly identified CIs to Customer and in all its documentation?			
Is the approval status of CI specifications documented?			
Do drawings comply with Customer requirements for drawing format, reproduction, storage and delivery?			
Is there a drawing error reporting system in operation?			
Are there sufficient instructions on the preparation, checking, revision and release of engineering drawings?			
Do drawings on the Manufacturing floor reflect the most current approved configuration of the product being produced by manufacturing?			
C. Release System and control libraries, etc. Does the Engineering release process for drawings and parts lists:			
Control all records and release activities including change incorporation?			
Define change release accountability?			
Require distribution of engineering drawings?			
Check and approve drawings prior to release?			
D. Baseline Management Practices			
Prior to Configuration Audit, do the Organization's procedures require that changes to baseline specifications be approved by the Customer as Major (Class I) changes before being made and acted on?			
Subsequent to Configuration Audit, do Organization's procedures require that changes to product baseline documentation classified as a Minor (Class II) or Major (Class I) change be approved by Customer before being made or acted upon?			
E. Product Identifiers			
Are there nameplate drawings?			
Are nameplates found on Organization end items?			
Does the nameplate information comply with SOW requirements (i.e., Contract No., part number, CAGE code, serial number, CI and/or CI and/or CSCI numbers, etc.)?			
Is the correct version of Software identified on the nameplate?			

Configuration Control	Yes	No	Remarks
A. Change Coordination and Change Approval			
Is a formal Configuration Change Board (CCB) regularly convened?			
Are all changes routed to Product Support, Manufacturing, Quality Control, and Product Management for impact evaluation/implementation?			
Is there a single point authority (CCB leader) to approve or reject changes?			
On sub-tier supplier requested changes, is substantiating data submitted and verified?			
Is the total systems impact of a proposed change formally established?			
Are baseline changes ever released before CCB or customer approval/concurrence?			
B. Change Control and Release			
Do adequate procedures exist to initiate, process, implement and report the status of Class I and II engineering changes?			
Does the CCB evaluate and approve each Class I change?			
Are CCB decisions documented and tracked?			
Are disposition (reject, approved, pending) of changes by the CCB adequately documented?			
Are change identification numbers assigned early enough in the processing of changes to assure accumulation of all data pertinent to the change?			
Are change requests prepared and tracked for every change?			
Does the CM authority log in proposed changes and assign a control number?			
Is the change initiator notified of the disposition of his/her change?			
Is there a formal design or engineering review board that analyzes proposed changes?			
Are changes marked with the change request or identification control number?			
Is there a procedure for expediting change processing when needed to avoid safety problems, excessive costs, or production line stoppage?			
Is there a system for controlling part number and serial number assignments?			
Do formal change control procedures cover all engineering released documents?			
C. Change Release and Implementation			
Are the changed engineering documents identified as officially released? Is the release data marked on them?			
Does the disposition decision (e.g., scrap, rework, or use as is) appear on the change form (ECO/ECP)?			
Is effectivity given for the changes?			
Does the engineering change document cross reference the authorizing Engineering Change Proposal number for changes?			
Are change documents issued to cover changes in support, training or test equipment?			
D. Change Incorporation			
Are manufacturing, inspection, manufacturing planning, and procurement notified of an initial release or an approved change?			
Do standard records provide positive identification of the configuration of each deliverable item at time of delivery or customer acceptance?			

Configuration Control (continued)	Yes	No	Remarks
E. Change Control for Non-conforming products			
Does the Organization have clearly documented methods for controlling/accounting for major/minor deviations/waivers?			
Does the Organization identify that a deviation/waiver has been granted to specific items of hardware/software?			
Does the Organization system control the use of non-standard or substitute parts?			
Does the Organization implement a Material Review Board (MRB) activity?			
F. Retrofit Change Control			
Is there a retrofit order established for Class I changes that are not incorporated on all units?			
Are retrofit order preparation and implementation assignments made?			
Are retrofit order schedules set?			
Are retrofit order approval responsibilities and procedures established?			

CM Status Accounting	Yes	No	Remarks
Is there a defined and documented process for collecting, recording, processing, maintaining, and reporting configuration data necessary for the program?			

CM Reviews and Audits	Yes	No	Remarks
Are there defined Organization CM activities to support both program and technical reviews?			
Is there a defined process for the required Configuration Audits(s) for (a) Customer conducted CM audits?			

Sub-tier Supplier CM	Yes	No	Remarks
Is there a defined process for the flow-down of CM requirements to sub-tier suppliers?			
Is there evidence of adequate flow-down to sub-tier suppliers (Purchase Order, etc)?			
Is there a defined process for sub-tier supplier CM surveillance?			

ASSESSMENT CONCLUSIONS
Strong points :
Weak points/Opportunity for improvement :
Corrective Action Plans :