

# **NATO STANDARD**

## **AQAP-2070**

### **NATO MUTUAL GOVERNMENT QUALITY ASSURANCE (GQA)**

**Edition B Version 4**

**OCTOBER 2019**



**NORTH ATLANTIC TREATY ORGANIZATION**

**ALLIED QUALITY ASSURANCE PUBLICATION**

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# **NORTH ATLANTIC TREATY ORGANIZATION (NATO)**

## **NATO STANDARDIZATION OFFICE (NSO)**

### **NATO LETTER OF PROMULGATION**

4 October 2019

1. The enclosed Allied Quality Assurance Publication AQAP-2070, Edition B, Version 4 NATO MUTUAL GOVERNMENT QUALITY ASSURANCE (GQA), which has been approved by the nations in AC/327, is promulgated herewith. The agreement of nations to use this publication is recorded in STANAG 4107.

2. AQAP-2070, Edition B, Version 4, retains the procedure for mutual Government Quality Assurance as outlined in previous versions but has been updated to reflect the cancellation of a number of AQAPs, update of AQAPs and referenced international standards and to incorporate minor editorial changes. specifically:

- 2.1. Editorial change at paragraph 1.2.b): Reference to "ISO 9000:2005" has been modified to refer to "ISO 9000:2015".
- 2.2. Editorial change at paragraph 1.2.d): Reference to "ISO 19011:2002 Guidelines for quality and/or environmental management system auditing." has been modified to refer to "ISO 19011:2018 Guidelines for auditing management systems."
- 2.3. Editorial change at paragraph 2.2: Reference to "ISO 9000:2005" has been modified to refer to "ISO 9000:2015".
- 2.4. Editorial change at paragraph 2.2.: Reference to "ISO 9000:2005, 3.6.2."Nonconformity"" has been modified to refer to "ISO 9000:2015, 3.6.9 "Nonconformity"".
- 2.5. The paragraph 3.1. has been modified to reflect the change of name of NATO Standardization Agency to NATO Standardization Office.
- 2.6. Editorial change at paragraph 4.2.2.4.: Reference to "STANAG 4107 para. 6a)" has been modified to refer to "AQAP 4107 para. 4.2 1.a.)".
- 2.7. Editorial change at paragraph 5.4.2.: Reference to "STANAG 4107 para. 2c)" has been modified to refer to "AQAP 4107 para. 2.1 1.c.)".
- 2.8. The Figure 6-A has been modified to reflect the new Edition of AQAP 2110 to: "Example: Heat treatment Process / AQAP 2110 Section 5.4.7 Control of Production and Service Provision / 5.4.6 Control of externally provided processes, products and services".
- 2.9. Editorial change at paragraph 8.5.: Reference to "STANAG 4107 Annex A" has been modified to refer to "AQAP 4107-SRD.1".
- 2.10. The paragraph 14.2 has been modified to reflect the cancellation of AQAP-2120 and -2130 and to remove reference to specific standard-related documents.
- 2.11. The Annex A paragraph 2.1 has been modified to reflect the new Edition of AQAP 2110 to: "AQAP 2110 para. 5.4.12 and 5.6."
- 2.12. The Annex A paragraph 2.3.2 has been modified to reflect the cancellation of AQAP-2120 and -2130 and to remove reference to specific standard-related documents.

- 2.13. The Annex A paragraph 4.1 has been modified to reflect the new Edition of AQAP 2110 to:” AQAP 2110 para. 5.6.1”.
  - 2.14. The Annex A paragraph 4.5.1 f) has been modified to reflect the new Edition of AQAP 2110 and AQAP 2310 to:” AQAP 2110 and 2310 para. 5.6.1”.
  - 2.15. The Annex A paragraph 4.5.2 has been modified to reflect the new Edition of AQAP 2110 and AQAP 2310 to:” AQAP 2110 and 2310 para. 5.5.2 and 5.5.3”.
  - 2.16. The Annex A paragraph 5.5 has been modified to reflect the cancellation of AQAP 2120 and AQAP 2130 and the new Edition of AQAP 2110 and AQAP 2310 to: “AQAP 2110 and 2310 para. 5.6.1”.
  - 2.17. The Annex A paragraph 5.5.1 has been modified to reflect the cancellation of AQAP-2120, -2130 and the new Edition of AQAP 2110 and AQAP 2310 to:” AQAP 2110 and 2310 para. 5.4.12”.
  - 2.18. Editorial change at Annex B RGQA Form: Reference to “STANAG 4107 Annex A” has been modified to refer to “AQAP 4107-SRD.1”.
  - 2.19. Editorial change at Annex B RGQAR Form: Reference to “STANAG 4107 Annex A” has been modified to refer to “AQAP 4107-SRD.1”.
  - 2.20. Editorial change at Annex B GQACR Form: Reference to “STANAG 4107 Annex A” has been modified to refer to “AQAP 4107-SRD.1”.
  - 2.21. Editorial change at Annex D paragraph 4.2: Reference to “ISO 19011:2002” has been modified to refer to “ISO 19011:2018”.
  - 2.22. Editorial change at Figure C-6 Example of a Delegator Risk to reflect change of ISO 9001 and new Edition of AQAP 2110.
  - 2.23. Editorial change at Figure C-7 Example of a Delegatee Risk to reflect change of ISO 9001 and new Edition of AQAP 2110.
  - 2.24. Editorial change at Figure D-2 to reflect change of ISO 9001 and new Edition of AQAP 2110.
  - 2.25. Editorial change at Figure D-3 RIAC Updated Throughout the Life of the GQA to reflect change of ISO 9001 and new Edition of AQAP 2110.
3. AQAP-2070, Edition B, Version 4, is effective upon receipt and supersedes AQAP-2070, Edition B, Version 3, which shall be destroyed in accordance with the local procedure for the destruction of documents.
  4. No part of this publication may be reproduced, stored in a retrieval system, used commercially, adapted, or transmitted in any form or by any means, electronic, mechanical, photo-copying, recording or otherwise, without the prior permission of the publisher. With the exception of commercial sales, this does not apply to member nations and Partnership for Peace countries, or NATO commands and bodies.
  5. This publication shall be handled in accordance with C-M(2002)60.



Zoltán GULYÁS  
Brigadier General, HUNAF  
Director, NATO Standardization Office

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## RECORD OF RESERVATIONS

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## RECORD OF SPECIFIC RESERVATIONS

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Note: The reservations listed on this page include only those that were recorded at time of promulgation and may not be complete. Refer to the NATO Standardization Document Database for the complete list of existing reservations.

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## TABLE OF CONTENTS

<b>SECTION</b>	<b>TOPIC</b>	<b>PAGE NUMBER</b>
1	Introduction	1
2	Acronyms; Terms and Definitions and Flowchart Convention	3
3	Intent and Scope	6
4	Concept of Operation	7
5	Risk Identification, Assessment and Communication Instructions	13
6	Risk Identification, Assessment and Communication Guidance	15
7	GQA Request Instructions	17
8	GQA Request Guidance	19
9	Response to GQA Request Instructions	21
10	Response to GQA Request Guidance	23
11	GQA Planning Instructions	25
12	GQA Planning Guidance	27
13	GQA Performance Instructions	29
14	GQA Performance Guidance	31
15	GQA Closure Instructions and Guidance	32
ANNEX A	GQA Supporting Processes	A-1
ANNEX B	GQA Forms	B-1
ANNEX C	GQA Risk Identification, Assessment and Communication	C-1
ANNEX D	Risk Based GQA Planning and Performance	D-1

<b>SECTION 1. INTRODUCTION</b>
--------------------------------

**1.1. General**

Mutual Government Quality Assurance (GQA) is the process by which NATO Nations provide each other and NATO organisations Quality Assurance services on defence products, to establish confidence that the contractual requirements relating to quality are met.

GQA is performed on those contractual requirements either posing risks to or required by law of the acquiring Nation.

**1.2. References**

- a) Standardisation Agreement, STANAG 4107, Mutual Acceptance of Government Quality Assurance and Usage of Allied Quality Assurance Publications (AQAPs).
- b) ISO 9000:2015 Quality Management Systems - Fundamentals and Vocabulary.
- c) Allied Quality Assurance Publications.
- d) ISO 19011:2018 Guidelines for auditing management systems.

<b>SECTION 2. ACRONYMS, TERMS AND DEFINITIONS AND FLOWCHART CONVENTION</b>
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**2.1. Acronyms**

The following is a list of acronyms used throughout this AQAP:

**AQAP**

Allied Quality Assurance Publication

**CoC**

Certificate of Conformity

**DFB**

Delegation Feedback

**FAI**

First Article Inspection

**GQA**

Government Quality Assurance

**GQACR**

Government Quality Assurance Closure Report

**GQAR**

Government Quality Assurance Representative

**QDR**

Quality Deficiency Report

**QMS**

Quality Management System

**RIAC**

Risk Identification, Assessment and Communication

**RGQA**

Request for Government Quality Assurance

**RGQAR**

Response to Government Quality Assurance Request

## **2.2. Terms and Definitions**

The definitions of AQAP 2110 - NATO QUALITY ASSURANCE REQUIREMENTS FOR DESIGN, DEVELOPMENT AND PRODUCTION (Including those of ISO 9000:2015) shall apply to this AQAP. Additional terms used in this AQAP are defined below:

### **acquirer**

Government and/or NATO Organisation, that enters into a contractual relationship with a Supplier, defining the product and quality requirements.

Note: Normally this is a customer organisation that establishes the appropriate contractual requirements i.e. functional, technical, cost, schedule, quality etc.

### **critical items**

Those items (e.g. functions, parts, software, characteristics, processes) having significant effect on the product realisation and use of the product; including safety, performance, form, fit, function, productibility, service life; that require specific actions to ensure they are adequately managed. Examples of critical items include safety critical items, fracture critical items, mission critical items, and key characteristics.

### **delegatee**

The appropriate authority of a NATO Nation performing GQA after acceptance of the RGQA.

### **delegator**

The appropriate authority of a NATO Nation or NATO Agency requesting GQA in a NATO supplying Nation.

### **government quality assurance participants**

Collective term for those active in Mutual GQA.

### **key characteristic**

An attribute or feature whose variation has a significant effect on product fit, form, function, performance, service life or producibility that requires specific actions for the purpose of controlling variation.

### **quality deficiency report**

Report or record initiated by Government personnel identifying nonconformity. See ISO 9000:2015, 3.6.9 "Nonconformity".

### **risk**

Within the context of GQA, risk is an uncertain event or condition that has both a likelihood of occurring and a negative effect on the fulfilment of the contractual requirements relating to quality.

**risk cause**

The potential reason(s) why a risk will occur, expressed in terms of a breakdown of Supplier processes or process control and linked to the contractual requirements relating to quality.

**risk impact**

The consequence of an uncertain event occurring.

**risk index**

The degree of importance of a risk expressed as the product of the impact and likelihood, used to prioritise GQA activities.

**risk likelihood**

The degree of confidence that the risk will occur.

**risk statement**

A statement of what might potentially go wrong with respect to the contractual requirements relating to quality. It can be associated with any product, life cycle stage or process.

**risk status**

The reflection of the risk index, at a moment in time, can be increasing, decreasing or stable compared to its previous state.

**special requirements**








Those requirements identified by the customer, or determined by the organisation, which have high risks to being achieved, thus requiring their inclusion in the risk management process. Factors used in the determination of special requirements include product or process complexity, past experience and product or process maturity. Examples of special requirements include performance requirements imposed by the customer that are at the limit of the state-of-the-art, or requirements determined by the organisation to be at the limit of their technical or process capabilities.

**statement of GQA**

A statement signed by the GQAR to attest that GQA has been performed within the provisions of STANAG 4107 and the agreed RGQA.

### 2.3. Flow Chart Convention

Throughout this document the following flowchart conventions are applied.

Process Input or Initiator	
Process Activity	
Decision Block	
Document	
Stored Data	
Process Terminator	
Link to Another Process	



<b>SECTION 3. INTENT AND SCOPE</b>
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- 3.1. The intent of this publication is to standardise and harmonise the process by which the participating Nations request and provide GQA to each other. The Mutual GQA process described herein is implemented by authority of NATO Standardisation Agreement 4107 that has been ratified by each of the participating NATO Nations. The ratification status including Nations' reservations can be viewed, by authorised users, at the NATO Standardisation Office website <http://nso.nato.int>
- 3.2. The Mutual GQA process described in this document is initiated after a contract and/or a derived subcontract is issued and a risk assessment determines that GQA is necessary.
- 3.3. Acceptance of product and/or any kind of product certification (e.g. airworthiness or seaworthiness) are not activities and responsibilities of the GQAR, therefore, are not part of the Mutual GQA process, but compulsory/legal requirements under exclusive responsibility of the Acquirer and the Supplier.
- 3.4. GQA is not intended to replace or replicate Supplier activities, including inspection and QMS auditing. GQA is intended only to provide confidence that the Supplier activities related to quality are performed effectively, giving confidence to the Acquirer that contractual requirements relating to quality will or have been met.

<b>SECTION 4. CONCEPT OF OPERATION</b>
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**General**

4.1.1. This publication provides instruction detailing what is considered the minimum to fulfil Nations' commitments within STANAG 4107. Guidance is also provided to aid the application of the fulfilment of the instructions and provides some helpful examples and good practice. An overview of the process is provided at Figure 4A.

4.1.2. Within this document the word 'shall' is used to indicate an instruction, which directly relates to the commitments within STANAG 4107. The word 'should' is used to indicate guidance or recommendations.

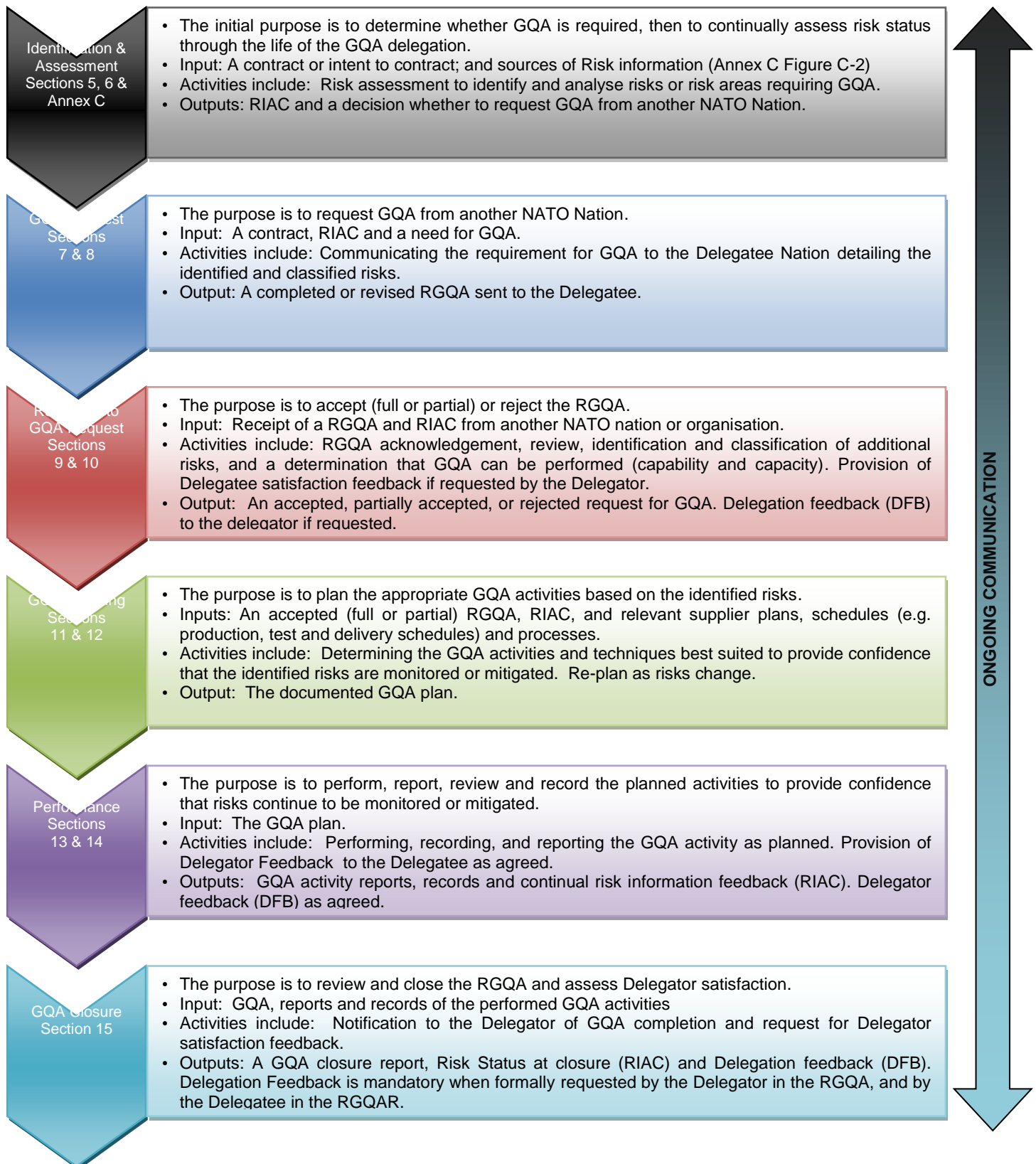
4.1.3. GQA Supporting Processes, reference material and forms are provided in the annexes to this publication.

4.1.4. The forms are designed to support the process and standardize communications between GQA participants. The use of the RIAC, RGQA, RGQAR and GQACR is mandated. GQA participants are strongly encouraged to use all of the other forms in order to assure coherence and continuity. Electronic transmission e.g. email, fax and telephone should be the usual method of information exchange between the GQA participants.

4.1.5. Participating Nations are required to implement and manage their GQA process in accordance with this publication. Nations' GQA process should be subject to continual improvement (reference para. 4.4).

4.1.6. Risk assessment is an effective means of determining the appropriate amount and type of Government resources to be applied to a GQA delegation. Where risks are common across different contracts and/or Acquirers with a Supplier, the Facility Wide Approach should be considered (reference Annex D para. D.6). It should be recognised that risk, by definition, is uncertain and confidence is subjective. Delegates are therefore, encouraged to address the expectations and concerns of the Delegator in responses to GQA requests and communications (reference para. 6.2).

4.1.7. Contracts involving one Nation acting on behalf of a third party other than that Nation will be handled on a case by case basis.

**Figure 4A The Mutual GQA Process Overview**

## 4.2. GQA Information

### 4.2.1. Information Exchange

4.2.1.1. The continual exchange of information between the GQA participants is key to the effective implementation of the Mutual GQA process. The aims of information exchange between Delegator and Delegatee are to provide:

- a) The Delegatee with the necessary information to plan and perform GQA,
- b) The Delegator with objective evidence that the contractual requirements relating to quality are or will be met.

4.2.1.2. Communication and information exchanged between Delegator and Delegatee should start as soon as possible in compliance with the applicable local contract laws and without interfering with the contract process, for example:

- a) Prior to the contract issue, NATO Nations may contact each other to discuss the availability of GQA resources.
- b) Prior to initiating the RGQA and when the contract is signed, the Delegator is encouraged to contact the Delegatee to discuss risks for inclusion on the RGQA.

4.2.1.3. Once an RGQA is generated all written communications between the Delegator and Delegatee should reference the relevant RGQA Number. It is recognised that Nations' referencing processes may differ; It is therefore, permissible for the Delegatee to assign an additional reference number to GQA Forms. In these cases both reference numbers should be quoted. The 2 reference numbers must be traceable to each other.

4.2.1.4. Classified information shall only be exchanged in accordance with national procedures currently in place between the participating Nations.

### 4.2.2. Reports

4.2.2.1. The GQA process is intended to provide Acquirers with confidence that their contractual requirements relating to quality will be or have been met. Confidence can be gained through the knowledge that GQA is being performed. Where the Delegator requires more visibility, GQA reports should be requested. The Delegator should recognise that the GQAR's primary task is the performance of GQA and so reporting requirements should be proportional to the project or contractual risks.

4.2.2.2. Reports that may be requested include:

- a) Ongoing Risk Status (The Risk Identification, Assessment and Communication Form),
- b) GQA Reports for specific activity or periodically,
- c) Quality Deficiency Reports (QDR).

4.2.2.3. Reporting details, frequency and format should be agreed through the RGQA. A RGQA Closure Report including the risk status at closure is mandatory and shall be provided by the GQAR without request.

#### 4.2.2.4. Notification of Unsatisfactory Conditions

If the GQAR finds that, at any time during the course of the order, GQA cannot proceed because of deficiencies in the Supplier's quality system or product and such deficiencies are of major importance or will be a cause of excessive delay, the GQAR will immediately advise the Delegator (reference AQAP 4107 para. 4.2 1.a).

4.2.2.5. GQA reports shall be considered as records.

### 4.2.3. Records

4.2.3.1. Within the Mutual GQA process, records shall be established and maintained to provide evidence of GQA performance, satisfy reporting requirements, and provide confidence that contractual requirements relating to quality are or will be met.

4.2.3.2. GQA records shall include as a minimum:

- a) The RGQA,
- b) RIAC,
- c) GQA Plan,
- d) Results of GQA activities indicating the system, process or product verified and dates performed. Activities associated with critical items shall be highlighted,
- e) All activity associated with the disposition, investigation and correction of the nonconforming product e.g. QDRs, Customer Complaints and Concessions,
- f) GQA Reports (reference sub-heading. 4.2.2.).

4.2.3.3. Records should be controlled in accordance with national practices but shall be appropriately protected, legible, readily identifiable and retrievable. Record retention periods will be in accordance with national practices and at least until the completion of the contract unless otherwise agreed on the RGQA.

4.2.3.4. Records shall be made available to the Delegator upon request.

4.2.3.5. The RIAC and other GQA records shall be used by the Delegator to review, revise or adjust current RGQA requirements, as necessary, and for enhancing the quality of future GQA requests and by the Delegatee to adjust GQA plans accordingly.

### 4.3. Skills and Competence

4.3.1. The GQA participants shall have the necessary skills and competence to properly plan and execute their responsibilities associated with the Mutual GQA process. The GQA participants are expected to be knowledgeable of relevant industry and technical practices, AQAPs and techniques used by the Supplier in fulfilment of the contract requirements.

4.3.2. The GQA participants shall be appropriately trained, in accordance with national practice.

#### **4.4. Measurement, Analysis and Improvement**

4.4.1. The GQA participants are encouraged to provide feedback to aid the participating Nations to measure their implementation of the Mutual GQA process. Feedback can occur at any point throughout the life of the GQA Delegation but should be as early as possible so that any misunderstandings can be resolved quickly. This feedback may be communicated by whatever means is deemed appropriate.

4.4.2. The following are the recommended minimum performance indicators to measure the Mutual GQA process:

- a) The quality of RGQA and RIAC
  - Risks clearly identified,
  - Contain or reference all information needed for the GQAR to plan and perform GQA,
  - Timely transmission.
- b) Effective communication including
  - Timely RGQA acknowledgment ,
  - Timely RGQA Acceptance.
- c) The Delegator's opinion of the service provided by the Delegatee
  - Standard of communication,
  - Standard of GQA Reports,
  - Timeliness of Reports,
  - Level of confidence that contractual requirements relating to quality should or have been met.

Note: The DFB form at Annex B provides a common framework for delegation feedback and its use is strongly encouraged.

4.4.3. For measurement purposes the:

- a) Delegatee is encouraged to provide feedback to the Delegating Nation's GQA Focal Point on the Quality of the RGQA and RIAC (reference Sections 9 and 10).
- b) Delegator is encouraged to provide feedback to the Delegatee Nation's GQA Focal Point on the quality of services provided (reference Section 13 and 15).

4.4.4. Participating Nations are strongly encouraged to analyse feedback received and take action to address any validated improvement opportunities.

Note: Analysis of feedback should be rationalised by taking into account the following:

- a) The number of RGQAs submitted,
- b) The number of RGQAs received,
- c) Any issues arising from GQA reports (but not identifying Nations or Suppliers),

- d) The number of delegations either requested or received by the GQA participating Nation.

## SECTION 5. RISK IDENTIFICATION, ASSESSMENT AND COMMUNICATION INSTRUCTIONS

**Purpose:** To determine whether GQA is required, then to continually assess risk status throughout the life of the GQA delegation.

**Inputs:** A contract or intent to contract; and sources of risk information (Annex C, Figure C-2).

**Activities:** Activities include risk assessment to identify and analyse risks or risk areas requiring GQA.

**Outputs:** RIAC and a decision whether to request GQA from another NATO Nation.

### 5.1. Inputs/Initiators

Risk information is used to initiate the process and shall be continually reviewed and revised to assure the GQA activities remain appropriate.

### 5.2. Risk Identification

The Delegator shall identify risk by writing a risk statement. The risk statement should answer the question 'What might go wrong on this contract?' Then, whenever possible identify the risk causes asking, 'Why identified risks might occur?'

Where specific risk cause information is not known please refer to para. 6.2.

### 5.3. Risk Assessment

Risk shall be assessed to determine whether to request GQA from another Nation. Assessments shall continue throughout the life of the GQA delegation by all GQA participants, to assure that the GQA remains aligned to the current risks to the fulfilment of the requirements relating to quality. For details refer to Annex C.

### 5.4. Delegation Determination

The Delegator shall consider whether:

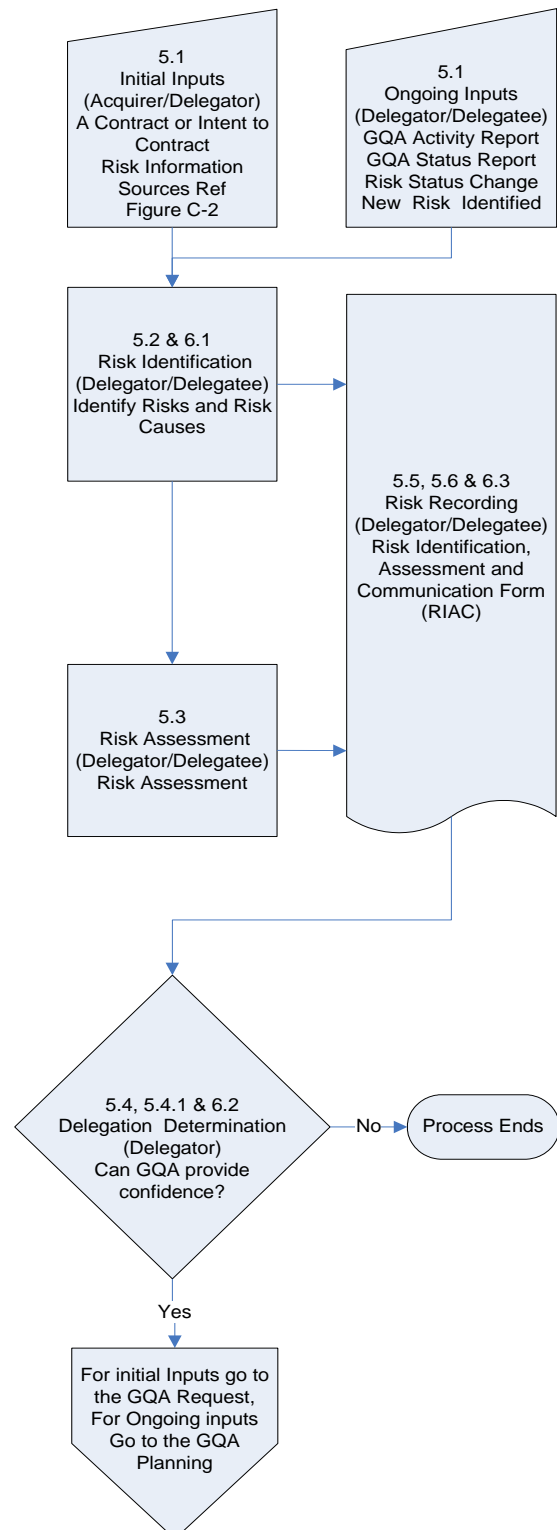
- a) The risk can be adequately monitored or mitigated at delivery of the supplies to the Acquirer and if the capability to do so is available,
- b) The magnitude of the identified risk warrant requesting GQA,
- c) GQA can influence Supplier's performance associated with the risk and risk causes.

5.4.1. Any decision to delegate shall be based on risk and the fact that GQA will be able to provide confidence that contractual requirements relating to quality will be met.

Note: GQA can not influence the impact of a risk, only the likelihood of its occurrence.

### 5.4.2. Contractual Conditions

The Delegator shall verify that the contract or intended contract contains appropriate contractual conditions (reference AQAP 4107 para. 2.1 1.c).





**5.5. Risk Communication**

The RIAC, at Annex B3, shall be used to communicate the GQA related risks and their ongoing status.

**5.6. Risk Information**

Risk information from the RIAC shall be stored by the GQA participants and be readily retrievable based on product, process and Supplier. Risk information is considered commercially sensitive and shall be used for GQA purposes only. Risk information shall not be shared outside of the Mutual GQA participants, unless by prior agreement with the Acquirer, Supplier and GQAR.

## SECTION 6. RISK IDENTIFICATION, ASSESSMENT AND COMMUNICATION GUIDANCE

### 6.1. Risk Statements and Identification of Risk Causes Guidance

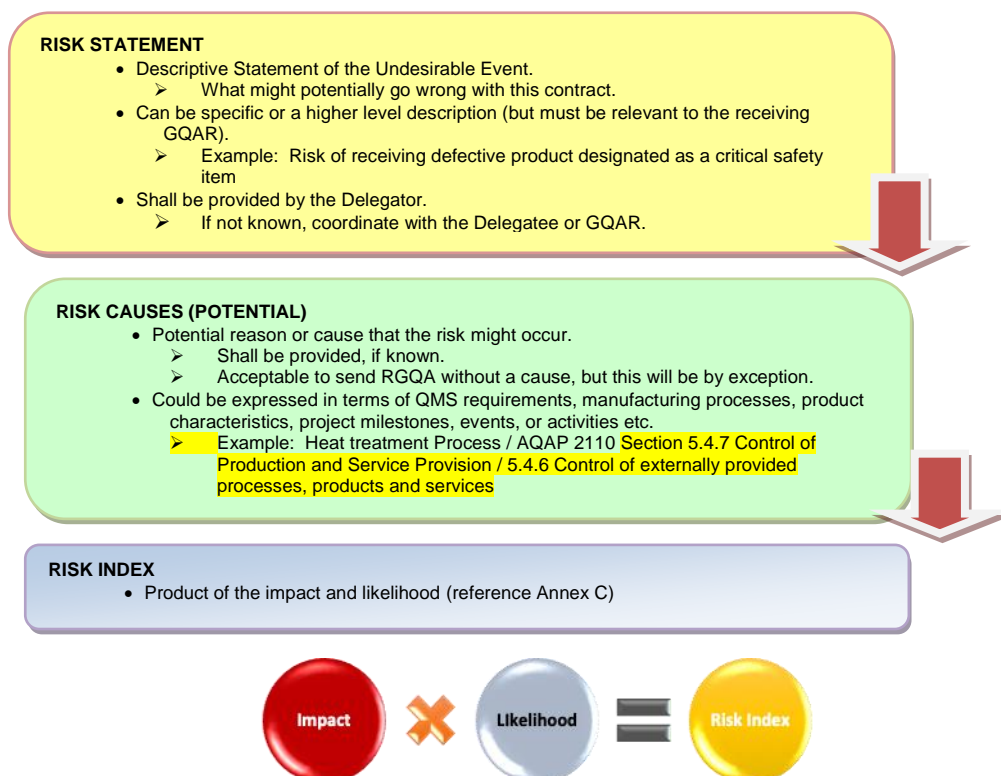
Identifying risks associated with a project, contractual requirements or Supplier usually requires the consolidated input of the Delegator and the Delegatee. Generally the Delegator should have greater access and insight into project and contract risks and be better placed to assess the impact of a risk occurring. The Delegatee should have greater access and insight into Supplier performance risks and is better placed to assess the likelihood of a risk occurring. With continual sharing of risk information both have access and insight into the risk information necessary to focus and plan GQA activities on those systems, processes and products that pose risks to the Acquirer.

### 6.2. Unknown Risks

It is recognised that, in some situations, risk information may not be available to the Delegator or that the Delegator does not possess the technical expertise to identify the risks. In these situations, the lack of risk information may be, in fact, the risk to the Acquiring Nation. In either case, the Delegator may delegate in order to have the GQAR confirm or invalidate the risk, especially risks associated with the Supplier's performance.

Figure 6-A illustrates the concept of the GQA risk identification and assessment process.

**Figure 6-A**



### **6.3. Risk Information Guidance**

Frequent reference to risk information or records is made throughout this document. These references refer to risk information records maintained by the Acquirer, Delegator and Delegatee. They should be a historical record of risks and when consolidated, provide the complete view of risk to the fulfilment of contractual requirements relating to quality.

Note: The degree or amount of risk information available to the Delegator can vary depending on the RGQA point of initiation. Risks can change depending on the life cycle phase of project or contract.

Note: Additional guidance on identifying and classifying risks is at Annex C.

## SECTION 7. GQA REQUEST INSTRUCTIONS

Purpose: To request GQA from another NATO Nation.  
 Input: A contract, RIAC and a need for GQA.  
 Activities: Activities include communicating the requirement for GQA to the Delegatee Nation detailing the identified and classified risks.  
 Output: A completed or revised RGQA and RIAC sent to the Delegatee.

### 7.1. Input/Initiator

The Mutual GQA process becomes applicable after the Government contract and/or derived subcontract is issued and where a requirement for GQA is determined (reference paras. 5.4 & 5.4.1).

#### 7.1.1. RGQA Revision

Any changes to the RGQA shall be communicated and recorded.

### 7.2. RGQA Preparation

The Delegator shall complete the RGQA form at Annex B. The Delegator shall clearly identify, on the RGQA, any specific requirements or expectations including:

- a) Whether a copy of the GQA plan is required (reference para.12.7),
- b) Whether the GQAR is required to sign a Statement of GQA on the CoC (reference para. 14.4),
- c) Any applicable product release requirements,
- d) The authority delegated to the GQAR concerning the processing requests for deviation permits or concessions from Suppliers or Sub-suppliers (reference Annex A.3),
- e) Reporting requirements (reference para. 4.2.2),
- f) Any sub-delegation requirements (reference Annex A para. A.6),
- g) The requirement for Delegatee satisfaction feedback
- h) Any other requirements or exclusions.

#### 7.2.1. GQA Activities and Techniques

The Delegator cannot impose, but may suggest, GQA activities or techniques to be used. The GQAR, during the GQA planning, will identify the activities and techniques best suited to handle and monitor risks.

#### 7.2.2. The Facility Wide Delegation

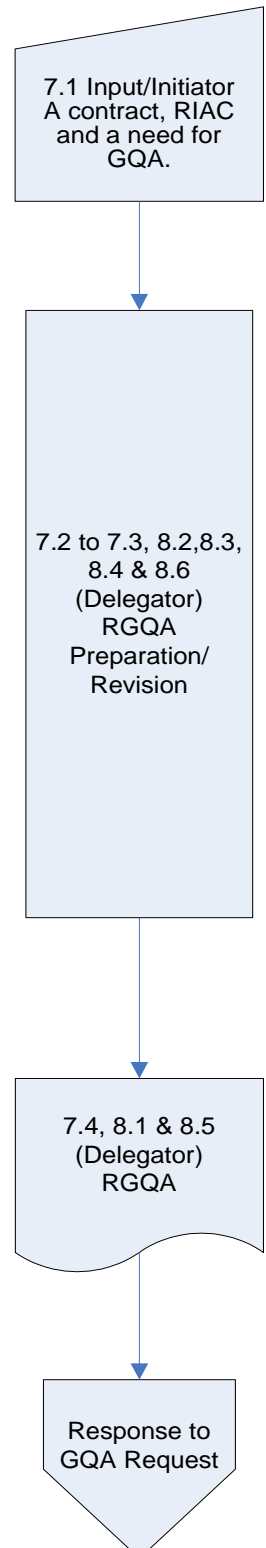
The Facility Wide Delegation allows a Delegator to cover a number of contracts for the same type of equipment with the same type of risks at a particular Supplier under a single delegation (see Annex D, D.6). The use of Facility Wide Delegations can be proposed by either the Delegator or the Delegatee and should be agreed by both participants.

#### 7.2.3. Facility Wide Delegation Review

Additional contracts may be added to an existing Facility Wide Delegation by referencing the initial RGQA. The Delegator is still required to provide all relevant contractual documentation. Facility Wide Delegations shall be reviewed at least once a year on the anniversary date of the RGQA by the Delegator and Delegatee (see Annex D para. D.6.4.2).

### 7.3. Contractual Information

It is the Delegator's responsibility to ensure that the RGQA contains or references all the information needed for the GQAR to plan and perform the GQA. As a minimum this includes the completed RIAC and Delegator requirements and product descriptions. The Delegator shall ensure that the Delegatee receives a copy of the contract and the



references for the associated documents. If the contract is to be provided by the Supplier, the applicable contractual clause shall be provided with the RGQA.

**7.4. RGQA Transmission**

The RGQA and RIAC shall be sent in sufficient time with the contractual schedule in order to allow the GQAR to prepare for and perform the requested GQA.

**7.5. Urgent Situations**

In urgent situations where an immediate GQA requirement precludes preparation of the RGQA, the Delegator may email or fax the Delegatee and request that GQA is initiated immediately. This shall always be followed up by a formal RGQA as soon as possible, but not later than a maximum of 15 working days (reference para. 7.2).

**SECTION 8. GQA REQUEST GUIDANCE****8.1. The RGQA**

The objective of the RGQA is to communicate all relevant information to the Delegatee with respect to the product, the risk, the Delegator requirements and expectations.

Note: This process shall be applied for all GQA sub delegations, refer to the GQA Planning Process and Annex A section A.6.

**8.2. Delegator GQA Requirements**

The Delegator should ensure that specific requirements or exclusions are clearly communicated on the RGQA. The RGQA form includes check boxes to highlight the most common requirements. Open text fields are provided to allow the Delegator to detail specific requirements relating to the common or additional requirements.

**8.3. The Facility Wide Delegation**

The use of Facility Wide Delegation is recommended where the Delegator has more than 1 delegation with similar risks (see Annex D section D.6).

**8.4. GQA on Low Risk**

For non complex, non critical products and other low risks, from Suppliers with a proven track record of successful deliveries will not normally require intensive GQA. In such cases it is important that the Delegator monitors the Supplier's delivery performance. Any adverse trends should result in a revision of the RIAC and subsequent need to increase in GQA effort.

**8.5. RGQA Transmission**

Preferably, the Delegator should electronically transmit the RGQA and RIAC (Word or PDF format) along with the contract and supporting information (reference para. 4.1.3), to the appropriate National Authorities or focal points (reference AQAP-4107-SRD.1).

**8.6. Associated Documentation**

The Delegator should provide directly or through the Supplier, the documentation necessary to plan and perform GQA including the contract and product specifications to the Delegatee. The documentation should detail, as applicable, the following:

- a) Legal/statutory requirements that could affect the contract and/or the performance of GQA,
- b) Appropriate contractual AQAP; or equivalent QMS requirements and GQAR and Acquirer right of access into the Supplier's or Sub-supplier's facility to perform GQA,
- c) Appropriate contract technical requirements or reference thereto,
- d) Instructions related to product release from the Supplier's facility, including CoC requirements,

- e) Procedures for dealing with requests for deviation permit/concession (reference Annex A section A.3),
- f) Requirements for Supplier generated deliverable plans, e.g. quality plan, risk management plan, configuration management plan,
- g) Design reviews, first article inspection and/or specific testing requirements,
- h) Contract delivery schedule requirements.

8.7. The GQAR may be requested to advise on the suitability of the Supplier documentation e.g. plans, process or product documentation.

## SECTION 9. RESPONSE TO GQA REQUEST INSTRUCTIONS

**Purpose:** To accept (full or partial) or reject the RGQA.

**Input:** Receipt of a RGQA and RIAC from another NATO Nation or organisation.

**Activities:** RGQA acknowledgement, review, identification and classification of additional risks, and a determination that GQA can be performed (capability and capacity) and request for Delegator satisfaction feedback.

**Output:** An accepted, partially accepted, or rejected request for GQA. Delegation feedback (DFB) to the Delegator if requested.

### 9.1. GQA Acknowledgement

The focal point shall acknowledge receipt of the RGQA. The acknowledgement should be sent as soon as possible, but not later than 5 working days. The acknowledgement signifies that the RGQA has been received.

### 9.2. RGQA and Associated Documentation Review

In order to properly plan GQA activities the GQAR shall review the RGQA and associated documentation (reference para. 8.6). The review is to ensure the GQAR is knowledgeable of the requirements of the contract as related to the requested GQA. The results of the review shall be used to assist the GQAR in planning the appropriate GQA activities.

#### 9.2.1. GQAR Risk Review

The GQAR shall review the RIAC and identify and classify risks in accordance with the risk Identification and Assessment process, (See section 5).

#### 9.2.2. Additional/Revised Risk Information

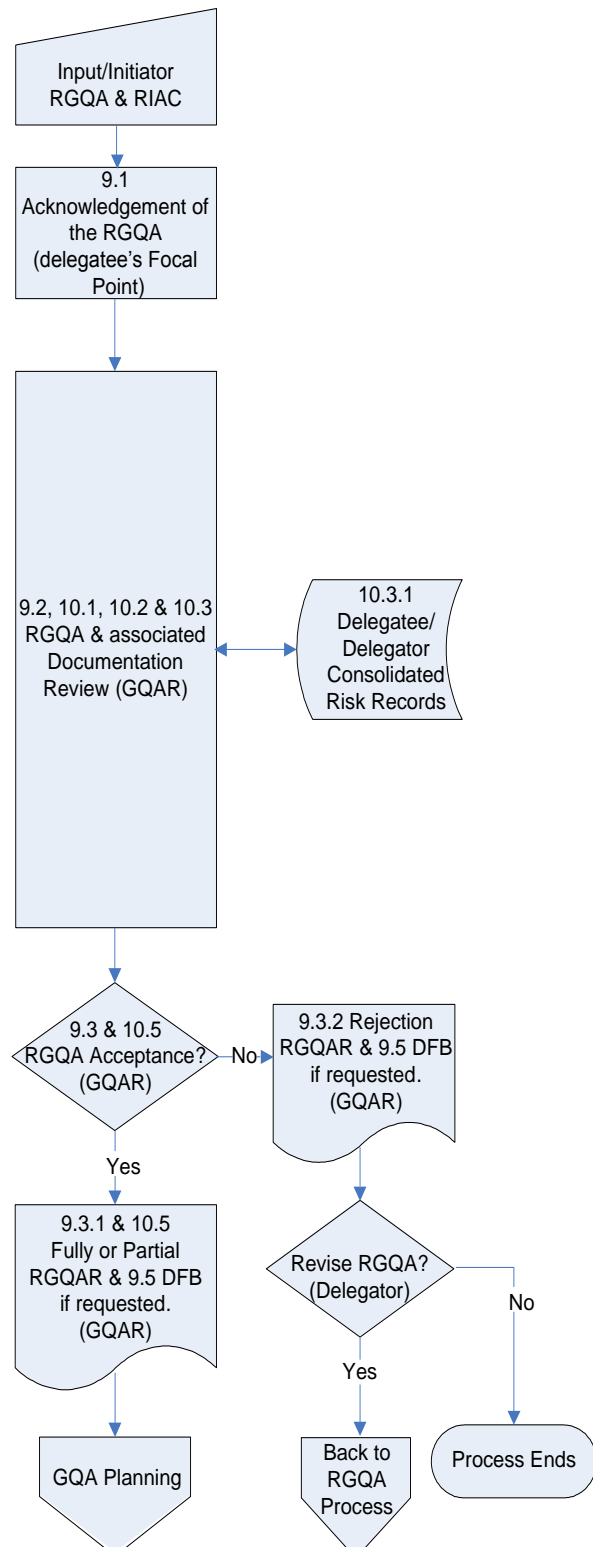
Where the GQAR possesses risk information that adds or contradicts the Delegator risk identification and/or classification they shall provide the Delegator with a revised RIAC. Accurate risk information is valuable to project or contract managers.

### 9.3. Response to GQA Request

Based on the review of the RGQA, contract and outcomes of the joint risk identification, the GQAR determines if the RGQA can be accepted fully or in part. The GQAR shall notify the Delegator of the determination by returning the completed Response to GQA Request (RGQAR) Form. Where the Delegatee has elected to adopt a Facility Wide Approach to GQA (see Annex D section D.6), this should be indicated by checking the appropriate box on the RGQAR. This shall be done as soon as possible but not later than 20 working days of receipt of the RGQA, unless by prior agreement with the Delegator.

#### 9.3.1. RGQA Partial Acceptance

Where the GQAR can only accept the RGQA in part, the GQAR shall complete the RGQAR accordingly and discuss alternatives for the requirements that cannot be accepted with the Delegator refer to para 10.5.





While issues are being resolved, the implementation of GQA on the accepted aspects of the RGQA shall not be delayed. Acceptance, in part, of a RGQA shall be on an exception basis unless reservations are posted in STANAG 4107. Acknowledgement of the partial acceptance from the Delegator is not needed prior to GQA performance.

**9.3.2. RGQA Rejection**

If the GQAR cannot accept the RGQA, the GQAR shall complete the RGQAR accordingly, as soon as possible, but not later than a maximum of 20 working days, explaining why the RGQA cannot be accepted. Rejection of an RGQA shall only be on an exception basis refer to para 10.5.

**9.4. Termination of GQA**

Once the GQAR accepts the RGQA, the GQA shall not be terminated without the coordination and concurrence of the Delegator.

**9.5. Delegation Feedback**

9.5.1. If the Delegator has requested Delegation Feedback on the RGQA, then the Delegatee should provide feedback to the Delegator.

9.5.2. Where the Delegation may be in place for an extended period, the Delegatee may request satisfaction feedback before closure of the RGQA, or on an annual basis or as agreed with the Delegator. This agreement should be recorded on the RGQAR.

**SECTION 10. Response to GQA Request Guidance****10.1.Contract Review**

The RGQA and associated contractual requirements should be clear, complete and understood by the GQAR. If clarification is required the GQAR should contact the Delegator. E-mail or telephone conversations are often the quickest means to resolve such issues.

Note: Records of communications should be maintained.

**10.2.Contract Review Considerations**

During the review, particular emphasis should be placed on the following as applicable:

- a) Ensuring the GQAR has the necessary right of access to the Supplier or Sub-supplier's plant for the purposes of performing the necessary GQA,
- b) The GQAR's delegated authority with respect to the processing of Supplier's deviation permits and/or concessions,
- c) The Supplier's authority concerning deviation permits and/or concessions,
- d) QMS requirements (reference STANAG 4107),
- e) Product technical requirements, if provided,
- f) The Delegator's requirements relating to product release including the signing of a statement of GQA,
- g) Requirements for Supplier generated plans, e.g. quality plan, risk management plan, configuration management plan, sub delegations,
- h) Specific tasking such as requirements for first article inspections, special testing requirements, involvement in design reviews,
- i) Reporting requirements including risk information (RIAC), activity reports, and QDRs,
- j) Pre-contract award information,
- k) Identification of critical items such as critical safety items, flight critical, submarine safety items, and key characteristics or other national high emphasis designators.

**10.3.GQAR Risk Review**

The GQAR should provide recommendations and/or comments concerning the risks identified by the Delegator. It is not necessary for the Delegator and GQAR to agree on the risk identification and/or assessment as their perspectives and accessibility to risk information can be different.

**10.3.1. Additional Risks**

If additional risks, which have not already been identified by the Delegator, require monitoring through GQA, the GQAR is expected to provide a revised RIAC to the Delegator.

**10.4.Facility Wide Approach**

Where several contracts have been placed with the same Supplier, the GQAR may perform GQA using a Facility Wide Approach where risk levels permit.

**10.5.RGQA Partial Acceptance or Rejection**

The Delegator may elect to conduct their own GQA activities at the Supplier if:

- an RGQA has been partially accepted and the Delegatee GQA Plan does not address all risks identified by the Delegator,
- the Delegator chose to suggest specific GQA activities on the RGQA that the Delegatee cannot or will not perform,
- an RGQA has been rejected.

Any such visits shall be coordinated with the Delegatee who shall have the right to accompany the Delegator. It is important that information is openly shared between the Delegator and Delegatee to ensure that both parties have a consistent understanding of risk status at the Supplier and do not duplicate GQA activity. Both parties are to agree on the management of GQA Information (see section 4.2).

10.6. Where a delegation is expected to be in place for a long period, the Delegatee may request Delegator satisfaction feedback before closer of the RGQA, on an annual basis or as agreed with the Delegator.

## SECTION 11. GQA PLANNING INSTRUCTIONS

**Purpose:** To plan the appropriate GQA activities based on the identified risks

**Inputs:** An accepted (full or partial) RGQA, RIAC, and relevant Supplier plans, schedules (e.g. production, test and delivery schedules) and processes.

**Activities:** Determining the GQA activities and techniques best suited to provide confidence that the identified risks are monitored or mitigated. Re-plan as risks change (reference Annex C and D).

**Output:** The documented GQA plan

### 11.1. GQA Planning Initiation and Review Inputs

The GQA Plan is a dynamic document based on the initial RGQA and RIAC. Throughout the life of the GQA delegation, the risk status is expected to change. The RIAC will be revised accordingly. The GQA plan shall be revised to maintain alignment to ongoing risk status (reference Annex D).

### 11.2. Communication

The Delegator and Delegatee shall communicate risk information.

### 11.3. Post Award GQA Meeting

A post award GQA meeting shall be initiated at the request of the Supplier or if:

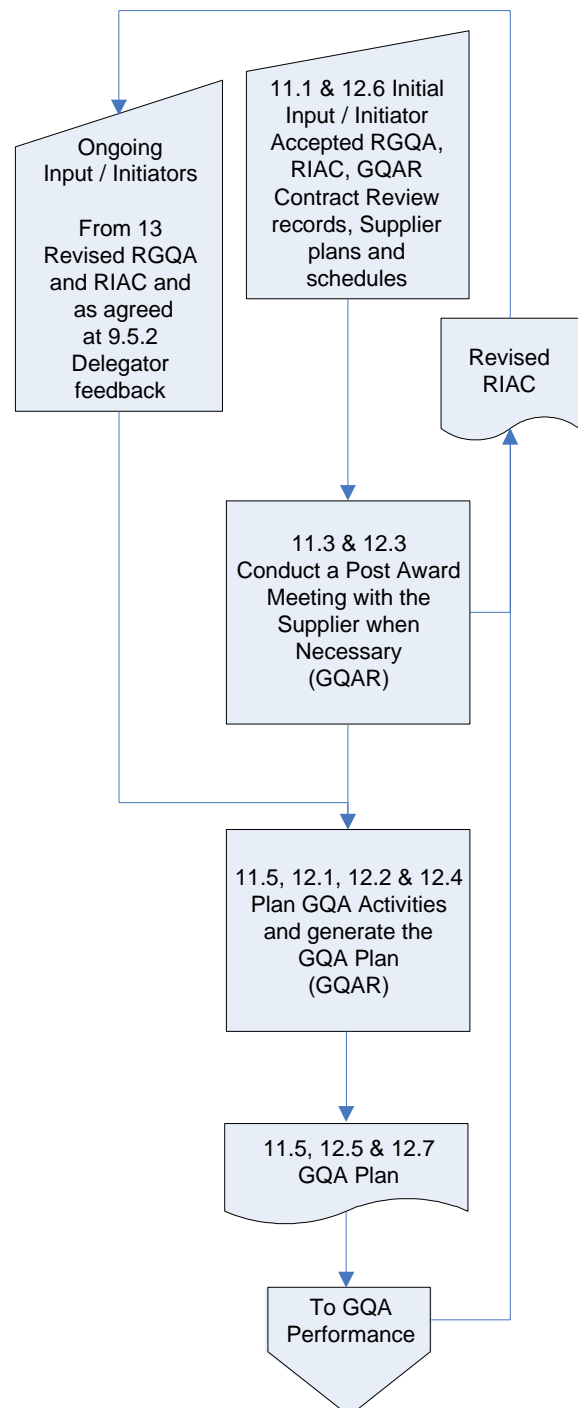
- a) Communication lines or GQAR rights of access require clarification,
- b) The GQAR believes that the Supplier does not have a clear understanding of the QA requirements of the contract and/or,
- c) The GQAR needs to discuss Supplier plans, schedules and/or
- d) The GQAR needs to discuss product specifications or standards.

### 11.4. Sub Delegation

The GQAR shall apply the Risk Identification and Assessment Process to determine the need for GQA at the Sub-supplier's facility. If the GQAR at the Supplier's level determines that GQA at a Sub-supplier's facility is necessary, the GQAR shall raise an RGQA in accordance with the GQA Request Process and notify the Supplier of the requirement. GQARs operating at the Sub-supplier level shall not take any action or make any statement that could be construed as interfering with the contractual arrangements between the Suppliers and their Sub-suppliers.

### 11.5. The GQA Plan

It is the GQAR's responsibility to determine the GQA activities and techniques best suited to monitor the identified risks and influence the Supplier's risk mitigation. The GQAR shall plan appropriate activities, taking in account relevant Supplier plans and schedules, to satisfy the accepted requirements of the RGQA (reference Annex D). All GQA activities to be performed by the GQAR shall be traceable to



the risk documented in the GQA plan. Any identified risks not addressed by the GQA plan shall be communicated to the Delegator so that other arrangements can be made.

11.5.1. The GQA plan shall be prepared in accordance with national practices but shall include as a minimum:

- a) Reference to all risks being monitored;
- b) Identification of the specific systems (or elements thereof), processes and/or products requiring GQA,
- c) GQA activities for each identified Risk,
- d) Schedule of the GQA activities,
- e) Intensity of GQA, e.g. periodicity, sampling and FWA (see Annex D section D.6),
- f) Other GQA activities to be performed.

11.5.2. The GQA activities identified below shall be planned and performed by the GQAR without the need for specific tasking in the RGQA:

- a) Reviewing the Supplier QMS documentation,
- b) Establishing and maintaining GQA records (reference para. 4.2.3),
- c) Reviewing the results of GQA,
- d) Initiating and processing of QDRs; including verification of preventive and corrective actions (reference Annex A section A.4),
- e) Initiating Sub-supplier RGQA, as required (reference Annex A section A.6) ,
- f) Verifying the Supplier's investigations of customer complaints on current delegations (reference Annex A section A.5).

#### **11.5.3. GQA Plan Adjustment**

The GQA plan and associated GQA shall be adjusted throughout the life of the GQA delegation if risk status changes or as confidence in the Supplier's ability to fulfill contractual requirements changes.

**SECTION 12. GQA PLANNING GUIDANCE****12.1. Risk Based GQA Planning**

For examples of how risk can be used to plan GQA activities refer to Annex C.

**12.2. Communications**

The Delegator and GQAR should discuss the risks and planning of GQA activities, especially for larger programs or for longer duration delegations (reference Annex C).

**12.3. Post Award GQA Meeting**

The meeting should be used to identify and/or clarify such issues as:

- a) QMS or inspection requirements,
- b) Quality plan, configuration management plan, software plan, reliability and maintainability plan or other contractually required documentation or deliverable technical data,
- c) GQA activities to be performed in support of the RGQA,
- d) Evidence and elements of evidence,
- e) Procedures for dealing with requests for deviation permits and/or concessions
- f) Product release requirements e.g. Certificate of Conformity requirements,
- g) Critical items such as critical safety items, flight critical, submarine safety items and key characteristics or other national high emphasis designators,
- h) GQAR involvement in design reviews, configuration management activities, testing, release of product from the Supplier's facility etc.
- i) First article testing/Pre-production testing,
- j) Supplier risk mitigation activities,
- k) Subcontracting plans,
- l) Sub-supplier information.

**12.4. GQA Sub Delegations**

Planning and issuing Sub-supplier RGQAs should be conducted throughout the life of the GQA delegation as appropriate, and does not have to be completed prior to development of the GQA plan. The Supplier is solely responsible for Sub-supplier management (reference to Annex A section A.6.2).

**12.5. GQA Plan**

The GQA Plan provides the focus for GQAR surveillance activities. The GQA Plan is a stand alone document that will guide the GQAR in providing surveillance on appropriate processes with respect to the stated risk and risk cause. An example of a GQA plan template can be found at Annex B.

**12.6. GQA Planning, Initiation and Review**

Revision of the GQA plan should be considered after the following:

- a) Analysis of GQA records indicate favourable/unfavourable trends,
- b) Analysis of Supplier data indicate favourable/unfavourable trends,

- c) Identification of system, process, or product nonconformity that resulted in a QDR being issued
- d) Customer complaint investigations.

### **12.7.Communicating the GQA Plan**

When requested, the GQA plan and subsequent revisions, will be provided to the Delegator. Requesting a copy of the plan should not be a common occurrence on routine RGQAs. Where major programs or higher risks are involved, it may be appropriate to request a copy of the GQA plan. This will help the Delegator understand the depth of surveillance through the supply chain and prevent duplication of QA activity after receipt.

## SECTION 13. GQA PERFORMANCE INSTRUCTIONS

Purpose:	To perform, report, review and record the planned activities to provide confidence that risks to the fulfilment of contractual requirements relating to quality continue to be monitored or mitigated.
Input:	The GQA Plan.
Activities	Performing, recording and reporting of the GQA activity as planned. Provision of Delegator feedback to the Delegatee as agreed.
Output:	GQA activity reports, records and continual risk information feedback (RIAC). Delegator Satisfaction Feedback (DFB) as agreed.

### 13.1. GQA Planned Activities

The GQAR shall perform the GQA activities as planned.

### 13.2. GQA Performance Records

The GQAR shall record the results of all GQA activities performed in accordance with para. 4.2.3.

### 13.3. Sub Delegation

If risk requiring GQA becomes apparent in the supply chain, during a GQA delegation, the GQAR shall initiate a Sub-supplier delegation in accordance with the GQA request instructions (reference Section 7). For further information refer to Annex A section A.6.

### 13.4. Nonconformity

If nonconformity is detected by the GQAR, the GQAR shall request the Supplier to implement corrective action. The GQAR shall raise a QDR where nonconformity adversely impacts the product performance or delivery schedule and/or situations specified in the RGQA.

13.4.1. The GQAR shall verify the effectiveness of the Supplier's corrective action. The managing nonconformity process is outlined at Annex A section A.2.

### 13.5. GQA Activity Review

The GQA participants shall review the results of the GQA periodically to assure the effectiveness of the planned activity.

13.5.1. Where planned activities cannot be performed, for any reason, the Delegatee shall notify the Delegator as soon as possible, so that the Delegator can make alternative arrangements.

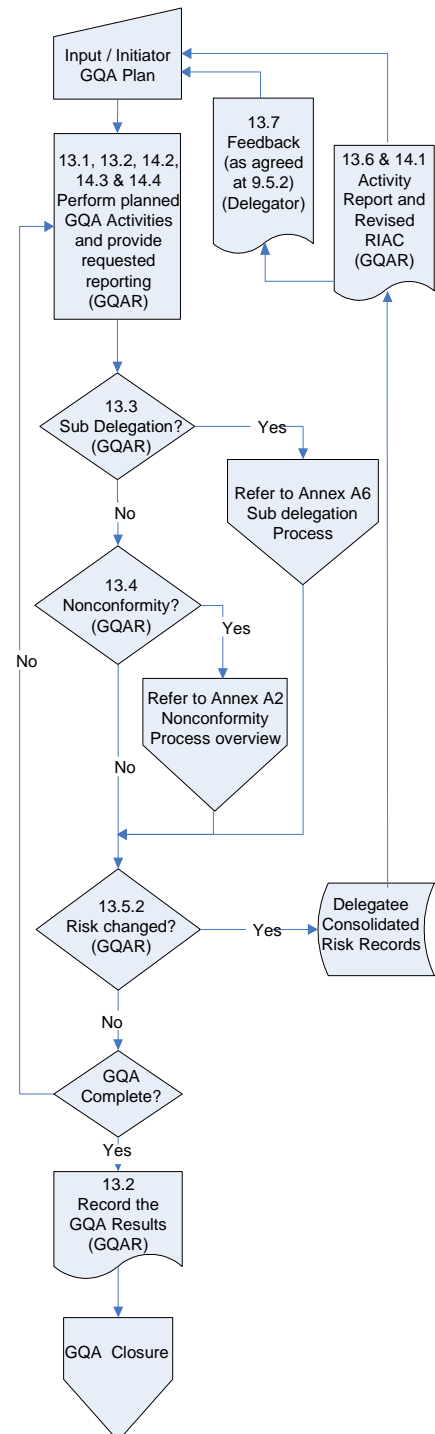
13.5.2. Significant new risk may become apparent or existing risk status may change. This shall initiate a GQA activity review, in addition to any planned reviews. The results of the review and revised RIAC shall be communicated to the other participants.

### 13.6. GQA Risk Information Feedback

The GQAR shall provide risk information feedback on a continual basis, as appropriate, using the RIAC. Records of GQA activity shall be provided to the Delegator upon request (reference Annex D).

#### 13.6.1. Statement of GQA

When requested on the RGQA and required by the contract, the statement of GQA on the CoC shall be signed by the GQAR.





**13.6.2. GQA Reporting Chain**

GQA reports shall be communicated through the chain of Delegators back to the original (Initial) Delegator.

**13.7. Delegator Satisfaction**

For delegations of an extended duration, the Delegator should provide Delegatee feedback on the DFB at Annex B as agreed (reference section 9.5). The feedback will enable the Delegatee to analyse the GQA provided and continually improve their GQA processes (reference section 4.4).

**SECTION 14. GQA PERFORMANCE GUIDANCE****14.1. GQA Risk Information Feedback**

Typically, risk levels will change during the course of a GQA delegation or if/when new risks are identified. These changes may result from the identification of Nonconformities, improvement or degradation of Supplier performance, changes in contractual requirements, etc.

Note: The GQAR may recommend a revision of the RGQA upon significant changes to the risk status.

**14.2. Access to Relevant Documentation**

It is an AQAP 2110, 2131 and 2310 requirement that the Supplier makes available, to the Acquirer and GQAR, all relevant documentation needed to plan and perform GQA.

**14.3. CoC and Statement of GQA**

An example CoC form is provided at Annex B. Within the context of Mutual GQA, the CoC is a dual-purpose form, it is used as a confirmation by the:

Part 1 - Supplier to the Acquirer that apart from any identified and approved deviation permits and concessions, the contract deliverables conform to contractual requirements.

Part 2 - GQAR to attest that, within the provisions of STANAG 4107, AQAP 2070 and the RGQA the planned GQA has been performed.

14.4. The GQAR signature on the statement of GQA signifies that the planned GQA has been performed. It does not mean acceptance of the supplies on behalf of the Delegator, does not necessarily mean that the individual items have been inspected, nor does it mean that certification (e.g. airworthiness and seaworthiness) has been granted.

## SECTION 15. GQA CLOSURE INSTRUCTIONS AND GUIDANCE

**Purpose:** To review and close the RGQA and assess Delegator satisfaction.

**Inputs:** Completed GQA, reports and records of the performed GQA activities.

**Activities:** Notification to the Delegator of GQA completion and request for Delegator satisfaction feedback.

**Outputs:** The GQA closure report, risk status at closure (RIAC) and Delegation feedback (DFB)

### 15.1. GQA Review

When the GQAR considers the GQA performance is complete, the GQAR shall conduct a review of the GQA records.

15.1.1. The review shall focus on, as a minimum:

- a) Whether the requested GQA had been performed,
- b) Whether the risk status had changed,
- c) QDRs issued,
- d) Supplier CoCs issued.

15.1.2. Using the results of the review the GQAR should consider the effect of the GQA on the risks and consider making recommendations to the Delegator regarding future GQA requests with the same Supplier and/or products.

### 15.2. GQA Closure Report

Using the results of the GQA review the GQAR shall complete the GQA Closure Report (GQACR) at Annex B. The GQACR shall be sent to the Delegator within 20 working days of the completion of the GQA.

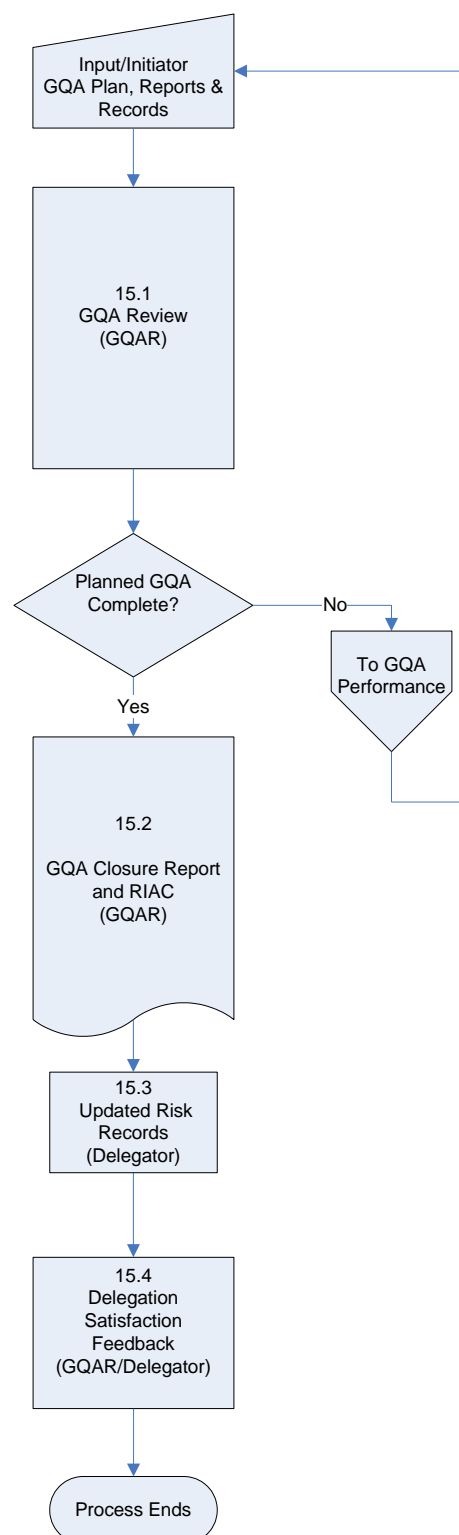
Note: If requested on the RGQA, the signing of a statement of GQA on the Supplier CoC, is part of the GQA performance process and does not, on its own, indicate that the GQA is complete.

### 15.3. Records

The Delegator risk records should be updated as appropriate. The GQA participants shall retain the GQACR for reference to inform potential future delegations.

### 15.4. Delegator Satisfaction

The Delegator is strongly encouraged to provide the Delegatee feedback on the DFB at Annex B. The feedback will enable the Delegatee to analyse the GQA provided and continually improve their GQA processes (reference section 4.4). Delegation Feedback is mandatory when formally requested by the Delegator in the RGQA, and by the Delegatee in the RGQAR.



## **ANNEX A: GQA SUPPORTING PROCESSES**

### **A.1 PURPOSE OF THIS ANNEX**

A.1.1 This annex contains supporting process outlines:

- a) Nonconformities Process Overview,
- b) Deviation Permits and Concessions Process,
- c) Corrective Action Process,
- d) Product or Customer Complaints Investigation Process,
- e) Sub Delegation Process.

A.1.2 GQA is a proactive process designed to reduce the likelihood that risks will occur. The supporting processes are reactive and should be implemented, if risks occur at any time during the performance of GQA. The events may be related to the occurrence of a risk scenario or a previously unidentified risk. In either case the results of the supporting process should initiate a risk review.

The supporting processes are intended to minimise the adverse effect when a risk occurs.

## A.2 NONCONFORMITIES PROCESS OVERVIEW

### A.2.1 Purpose

The purpose of this overview is to outline the typical activities, and responsibilities relating to the nonconformities where GQA is being or has been performed. It is merely an example of the processes and their interaction. It is recognised that national practice will dictate the specific actions of the GQA participants.

Note: The Supplier's obligations are assumed, through the contractual Quality Requirements e.g. AQAP 2110 para. 5.4.12 and 5.6.

### A.2.2 Input/Initiator

This process is initiated when nonconformity is identified by the Supplier, GQAR, Acquirer or Delegator at any point before or after product delivery.

A.2.3 If the GQAR identifies a system, process or product nonconformity at any point during the course of GQA, the GQAR should request corrective action for the identified nonconformity.

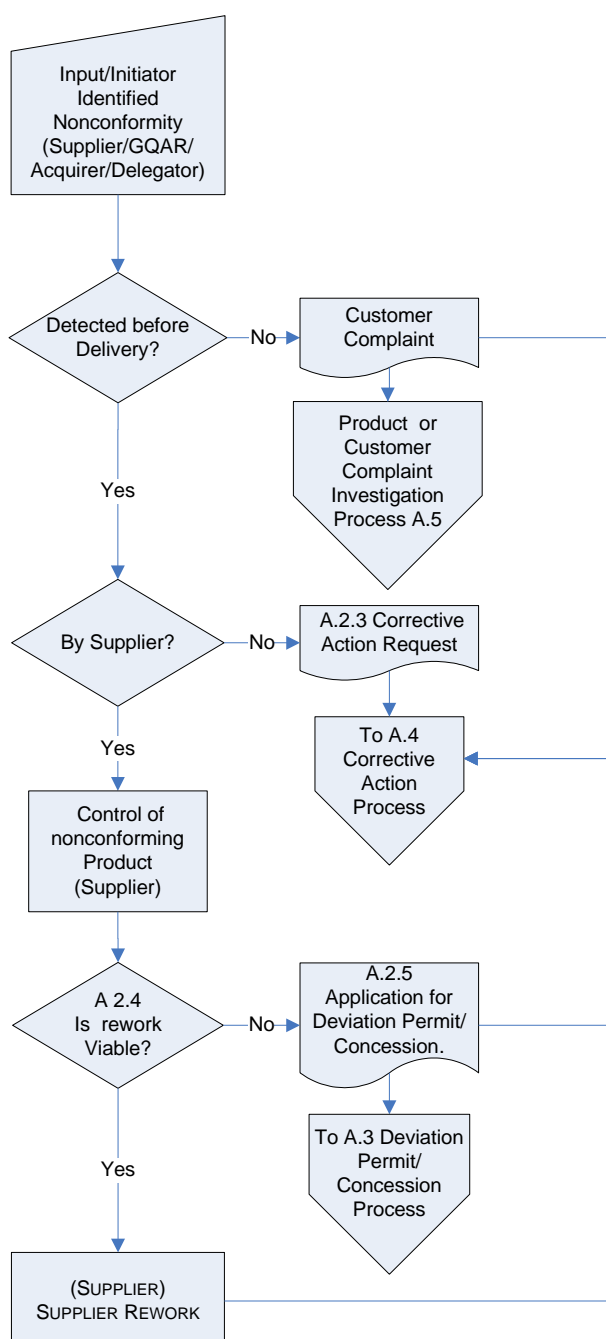
A.2.3.1 If the occurrence is an isolated case and/or minor in nature an informal request may be appropriate.

A.2.3.2 It is an AQAP 2110 and 2310 requirement that the Supplier establishes the cause of the nonconformity and takes appropriate corrective action to prevent recurrence. The GQAR should review and verify the Supplier's corrective action.

A.2.4 If rework to contractual specifications is viable this should always be the first option, sometimes operational needs or financial incentives can justify accepting a nonconformity.

A.2.5 The Supplier can seek acquirer approval to deliver nonconforming parts, if allowed under contractual arrangements, via a request for deviation permit or concession (reference Annex A section A.3).

Note: The Supplier may decide to scrap the product and replace it with a conforming product, in this case the process ends.



## A.3 DEVIATION PERMIT AND CONCESSION PROCESS

**Purpose:** To outline the GQAR activities associated with Supplier applications for deviation permits / concessions.

**Input:** Delegated authority on the RGQA and Supplier application for deviation permit / concession.

**Activities:** Reviewing / assessing Supplier applications for deviation permit / concession on case by case basis or system approach.

**Output:** Concurrence or non-concurrence with Supplier application(s) for a concession/deviation permit.

### A.3.1 Introduction

NATO Acquirers require that Suppliers deliver product that complies with contractual requirements. Exceptionally, however, there may be circumstances when it is to the Acquirer's benefit to accept the delivery of products that do not conform to contractual requirements (e.g. urgent operational commitments).

Note: Only authority to participate in the Deviation and concession process, not responsibility, can be delegated.

### A.3.2 Applicability

This instruction applies only to Supplier deviation permits and concession applications classified as minor. All major applications will be forwarded to the Acquirer for action with comment from the GQAR, if requested on the RGQA.

#### A.3.2.1 Classification

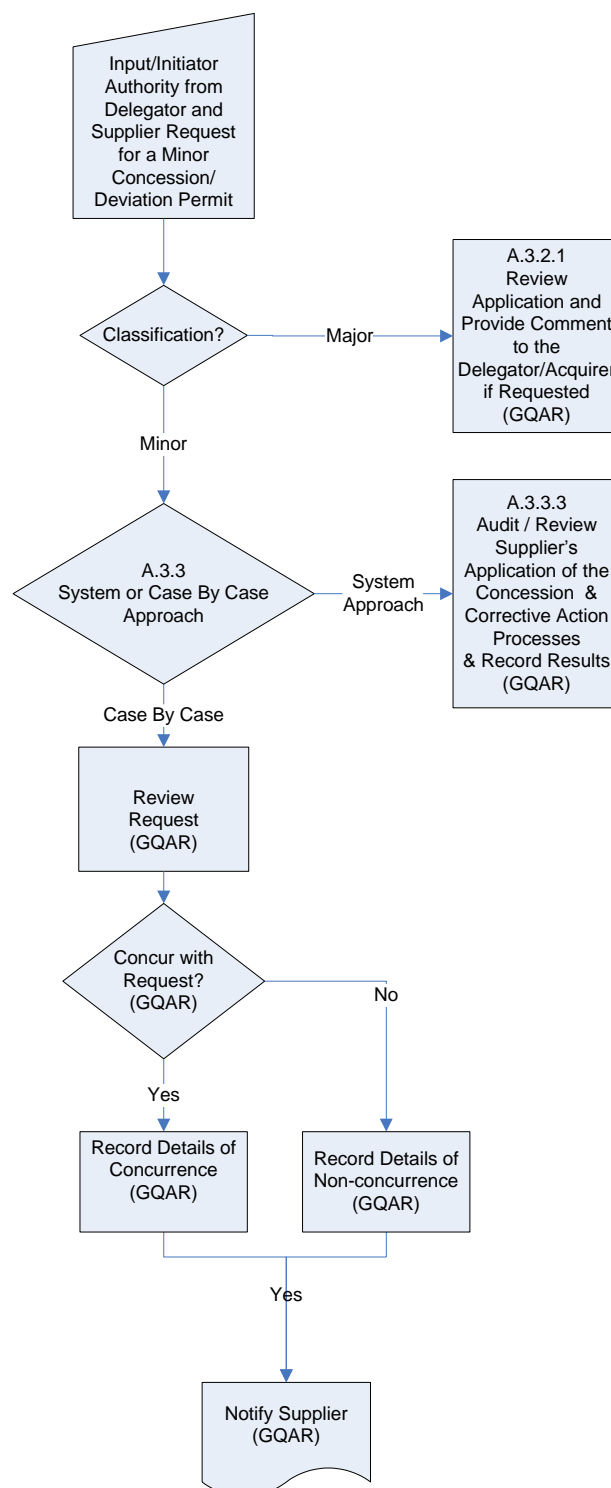
Requests for major deviations involve nonconformities that are likely to adversely affect performance; environment; safety; interchangeability; maintainability; reliability; service life or appearance of the product or when cost to the customer or delivery date agreed with the customer is likely to be affected. All other departures from the specified technical requirements, which do not fall into the major category, are considered minor.

#### A.3.3 GQA Approach

The GQAR may be requested to perform GQA of the Supplier's deviation permit and concession process on an application by application (case by case) or system basis. The approach taken depends on national practice; the system approach is the preferred method under normal conditions. The case by case approach would be considered appropriate for critical items or where the Supplier's process is a high risk. Any specific instruction for the processing of Supplier deviation permits and concessions shall be provided on the RGQA.

A.3.3.1 If specific process specifications are contractually invoked for processing deviation permits and concessions; the contractual requirement shall be identified on the RGQA.

A.3.3.2 When performing GQA on a case by case approach, the GQAR shall review the request against the following criteria:



- a) The nonconformity is accurately described,
- b) The nonconformity is properly classified as minor or as major in accordance with criteria established within the contract,
- c) The request accurately describes the number of units or parts associated with the application,
- d) The request has been made on an appropriate form,
- e) Supplier proposed corrective action is adequate to prevent recurrence of the nonconformity,
- f) Authorities of Supplier signatories.

The GQAR will record the details of concurrence or non-concurrence on the application and notify the Supplier.

Where a case by case approach is agreed the GQAR is strongly encouraged to clarify the process with the Supplier (reference para. 11.3).

#### **A.3.3.3 The System Approach**

When performing GQA using a system approach, the GQAR will audit or review the Supplier's processing and controlling of deviation permit and concessions. The GQA shall be performed at intervals sufficient to demonstrate high confidence in the Supplier's process. Where the process is not adequately controlled, a corrective action request should be issued by the GQAR in accordance with national practices.

A.3.4 At any point during this process the GQAR should request corrective action from the Supplier if either they have failed to implement the contractual procedures or the stated corrective actions are inadequate.

A.3.5 If, at any point the GQAR feels that the required action exceeds their technical expertise/competence, they shall notify their management. If necessary, the Delegator should be notified so that appropriate support can be provided.

A.3.6 The GQAR shall maintain records of their activities relating to concessions/deviation permits and provide timely reports to the Delegator and/or Acquirer as agreed.

## A.4 CORRECTIVE ACTION PROCESS

### A.4.1 Purpose of the Process

The purpose of this process is to identify the typical corrective actions with respect to the nonconformities where GQA is or has been performed. It is recognised that national practice will dictate the specific actions of the GQA participants.

Note: The Supplier's obligations are assumed, through the contractual quality requirements e.g. AQAP 2110 para. 5.6.1.

### A.4.2 Introduction

During the life of a GQA delegation product, QMS or process nonconformities might be identified. Nonconformities are evidence of a breakdown of the Supplier's QMS. QMS nonconformities are nonconformities that have not yet become apparent in the product. The principles of the corrective action process should be applied to all types of nonconformities.

### A.4.3 Detected Nonconformities

When Nonconformities associated with the Supplier's QMS, processes or products are detected the GQAR will ensure that the Supplier corrective actions are requested, implemented and effective. Corrective actions may be requested by the customer (Delegator/Acquirer), if this is not the case the GQAR should make the corrective action request in accordance with national practices.

### A.4.4 Nonconformity Review

The GQAR shall review the nonconformity to determine the appropriate level of involvement (reference Annex A section A.2). Where nonconforming product has been delivered to the customer, GQAR is expected to closely monitor the Supplier's investigation and corrective actions. Activities should also include a review of the GQA plan and its implementation. Other indicators that should direct increased GQAR involvement are where the nonconformity may impact on product performance, cost, and delivery schedule or where previous corrective actions have proved ineffective.

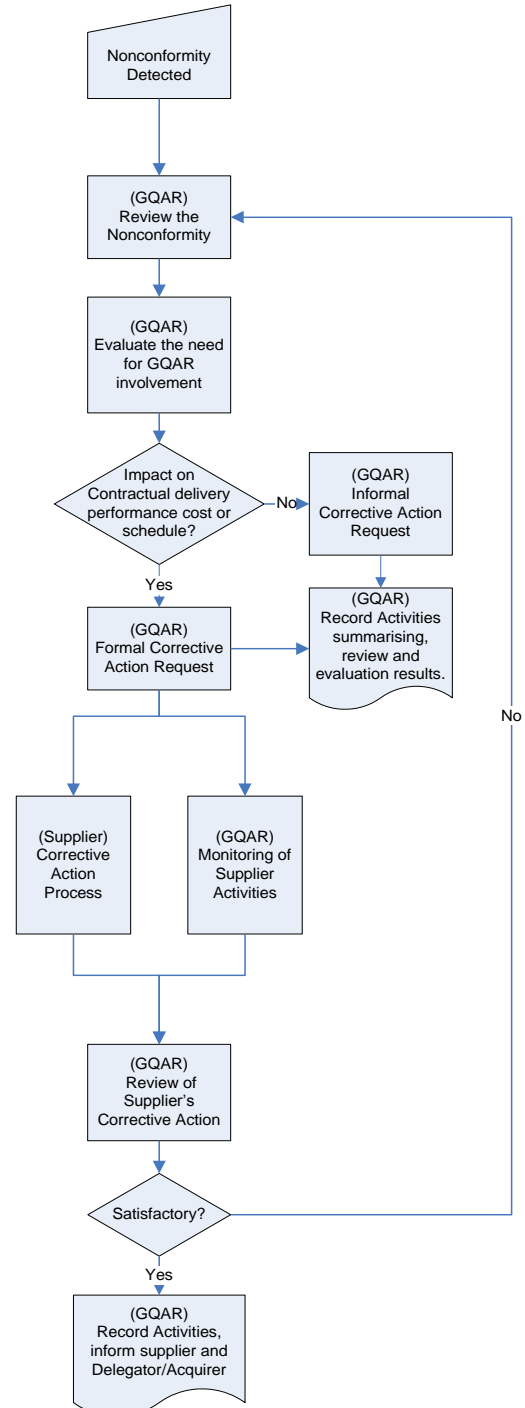
### A.4.5 Corrective Action Request

Where the nonconformities are isolated incidents and unlikely to impact on the product cost, performance or delivery schedule the GQAR may decide to request corrective action in an informal manner. Where formal corrective action requests are necessary, the GQAR should clearly state that the request should be treated as a customer complaint. This will ensure that it will be entered onto the customer complaint log and be subject to review under applicable certification audits.

#### A.4.5.1 Supplier Corrective Action

The GQAR should assure that the Supplier has a documented procedure covering:

- Nonconformity review,
- Determining cause of nonconformities,
- Evaluating the need for corrective action,
- Implementing corrective actions,
- Recording records of Nonconformities,
- Reviewing corrective actions (reference AQAP 2110 and 2310 para 5.6.1)





**A.4.5.2 GQAR Corrective Action Monitoring and Review**

The GQAR should verify that the Supplier has effectively implemented appropriate corrective actions to prevent recurrence of the nonconformity. This should include reviewing the results of the Supplier's review of corrective actions. Where nonconformities within the QMS are identified, this should include, the results of the relevant Supplier Internal Audits and management Reviews (reference AQAP 2110 and 2310 paras 5.5.2 and 5.5.3).

A.4.5.2.1 Where the GQAR finds objective evidence that the Supplier's corrective action may be ineffective the corrective action request should be resubmitted to the Supplier and include the evidence of ineffectiveness.

**A.4.6 Corrective Action Closure**

Once the GQAR is satisfied that the Supplier's corrective actions are likely to prevent recurrence of the nonconformity, the corrective action details should be recorded, including root cause. The details shall be provided to the Delegator if requested.

## A.5 NONCONFORMING PRODUCT AND CUSTOMER COMPLAINT INVESTIGATION PROCESS

### A.5.1 Purpose

The purpose of the process is to outline the responsibilities and typical activities of the GQA participants resulting from a nonconforming product and customer complaint.

### A.5.2 Application

Nonconforming product that has been delivered to the customer is typically reported via a customer complaint (reference Annex A para. A.2.2). It is assumed that the customer complaint refers to an existing/current delegation. Where the delegation is closed, the Delegator may submit a new RGQA, referencing the original RGQA, if it is considered that there are risks associated with the Suppliers investigation.

### A.5.3 Notification

It is the Acquiring Nation's responsibility to notify the Supplier in writing of the customer complaint. The notification shall include:

- A request for the Supplier to initiate an investigation and take the necessary corrective actions;
- Any special requirements to the Supplier;
- Notification that the GQAR will be involved in verifying the Supplier's activities and
- Required response schedule.

A copy of the notification shall be provided to the GQAR by the Acquirer, if requested.

### A.5.4 Investigation Planning

When notified by the Delegator of the customer complaint, the GQAR shall liaise with the Supplier to coordinate the investigation activities. In many cases, the nonconforming product will be returned to the Supplier as an exhibit to assist in the investigation. The Acquirer, through the Delegator should notify the GQAR and Supplier as to whether the nonconforming product is being returned to the Supplier and whether the Supplier is to open the exhibit package in the presence of the GQAR.

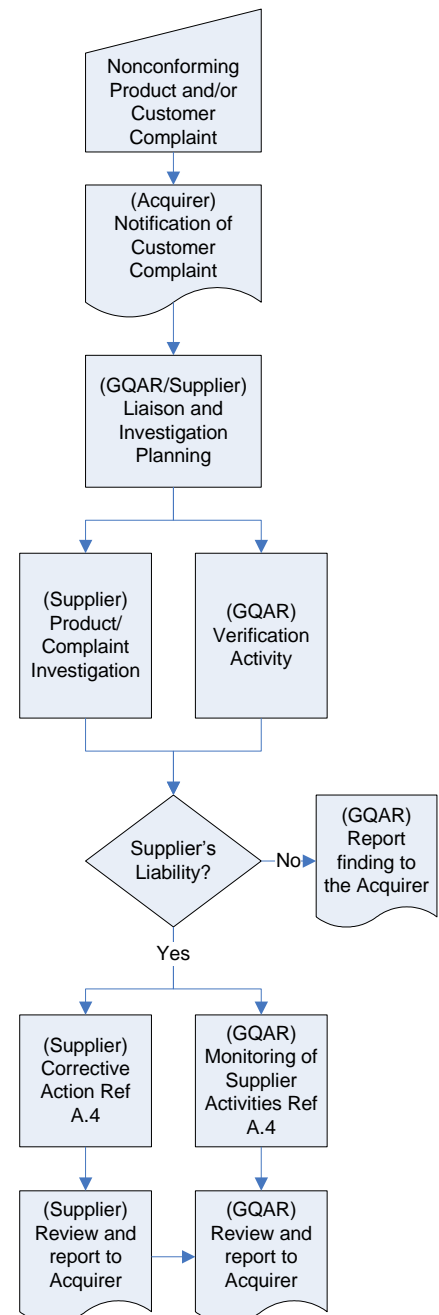
Note: If the nonconforming product is to be opened by the Supplier in the presence of the GQAR for verification of condition, and is opened without the GQAR being present, the GQAR should inform the Acquirer through the Delegator and seek advice on the actions to be taken.

### A.5.5 Investigation

The GQAR should assure that the Supplier conducts an investigation, (reference AQAP 2110 and 2310 para. 5.6.1). The GQAR shall verify the Supplier's investigation either independently or in conjunction with the Supplier to determine the root cause of the nonconformity.

A.5.5.1 Where it is proven that the Supplier is responsible for the nonconformity, the GQAR will verify the Supplier's corrective actions have been implemented and are effective (reference Annex A para. A.4.4 and section A.4.5). The Supplier activities should address other previously delivered products and products in production (reference AQAP 2110 and 2310 para. 5.4.12).

A.5.5.2 The Acquirer and Supplier will coordinate arrangements concerning the Supplier's cost of investigations or product expended in the course of the investigation. The GQAR shall not authorise the Supplier to incur costs without the express written authorisation of the Acquirer.



**A.5.6 Review and Reporting**

The GQAR shall review the relevant GQA records and provide a report to the Delegator summarising the GQA activities including any adjustments made to the risk information and GQA plan (reference para.13.4).

## A.6 SUB DELEGATION PROCESS

### A.6.1 Purpose

The purpose of figure A-1 is to outline the process for determining whether a GQA sub-delegation is required, and details how sub-delegations should be managed.

### A.6.2 Introduction

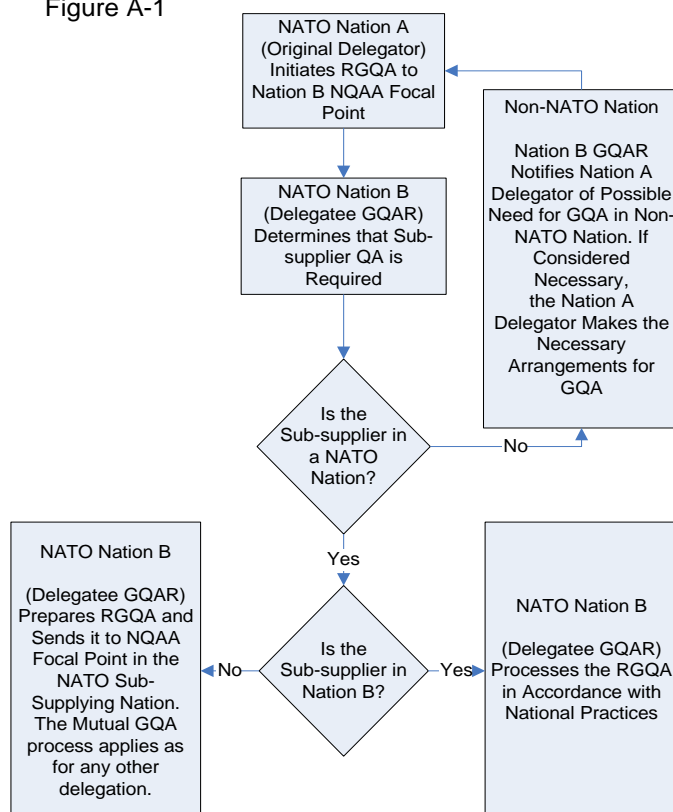
It is solely the responsibility of the Supplier to control Sub-suppliers; GQA activities at the Sub-supplier level are not intended to supplement or replace that responsibility.

### A.6.3 Applicability

Sub-delegations can be as a result of an initial RGQA, risk assessment or as a result of risk reviews during the life of a GQA delegation. The decision to sub-delegate shall be based on the Risk Identification, Assessment and Communication Process.

Sub-Delegations are governed by the original (Initial) RGQA at the Supplier level.

Figure A-1



A.6.3.1 Figure A-1 illustrates the NATO Sub-supplier RGQA process and is used as an example to demonstrate the various delegation scenarios that the GQAR may encounter when considering GQA at the Sub-supplier level.

The Mutual GQA process only applies if the original Delegator (Acquirer) is a NATO member Nation that has ratified STANAG 4107.

### A.6.4 Sub Delegation Planning

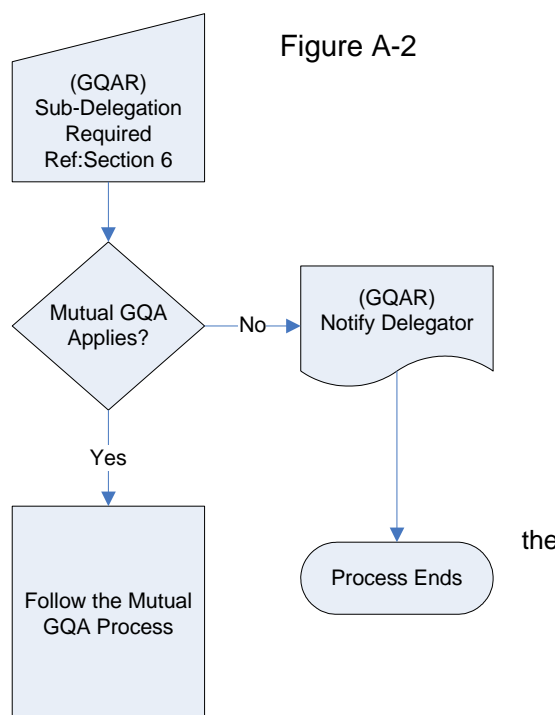
Planning for and issuing Sub-supplier requests for GQA should be conducted throughout the life of the GQA delegation and does not have to be completed prior to development of the GQA plan. The GQAR is responsible for managing the Sub-supplier GQA effort, based on continuing risk assessments relating to sub-supplied products.

A.6.4.1 Prior to any sub delegation the GQAR shall use the Risk Identification, Assessment and Communication Process to establish the risks determine whether GQA can provide required confidence.

For internal sub delegations national practice may be applied.

A.6.5 Using Figure A-2 the GQAR shall determine whether Mutual GQA Process Applies. If it does not the GQAR shall notify the Delegator, advising of the risks that are not addressed.

Figure A-2



**A.6.6 Sub Delegation Notification**

If specified on the RQGA the GQAR shall provide copies of all sub delegations to the Delegator, and Supplier (reference para. 7.2).

**A.6.7 Delegation**

The GQAR shall raise an RGQA and the delegation shall follow the RGQA process as any other Delegation.

**A.6.8 Contractual Considerations**

GQARs operating at the Sub-supplier level shall not take any action or make any statement that interferes with the contractual arrangements in the supply chain.

## ANNEX B: GQA FORMS

### B.1 GQA Forms General

#### B.1.1 Mandatory Forms

The GQA Forms are designed to support the process and standardise communication between GQA participants. Standardised communication of risk information and requests for GQA is considered fundamental. The use of the forms provided for these purposes is therefore, mandatory. GQA participants are encouraged to exchange all relevant information electronically (Word or PDF format), including the GQA Forms.

#### B.1.2 Recommended Forms


Additional forms are provided in this annex to aid the GQA participants. The use of these forms is recommended but, not mandatory. GQA participants may choose to use alternative forms.

#### B.1.3 List of GQA Forms

The forms contained in the annex and their usage status is listed below:

1. Risk Identification, Assessment and Communication Form (RIAC) - **Mandatory**
2. Request for Government Quality Assurance (RGQA) - **Mandatory**
3. Response to Government Quality Assurance Request (RGQAR) - **Mandatory**
4. Government Quality Assurance Closure Report (GQACR) - **Mandatory**
5. Delegation Feedback (DFB)
6. Example Certificate of Conformity (CoC)
7. Example Deviation Permit / Concession Request Form
8. Example GQA Plan Template

Note: If, to satisfy national practice, GQA participants need to add further reference numbers, the form headers may be expanded.

	<b>NATO Government Quality Assurance</b> <b>Risk Identification, Assessment and Communication (RIAC)</b> <i>Page          of</i>				
	<small>Risk information is considered commercially sensitive and shall be used for GQA purposes only. Risk information shall not be shared outside of the Mutual GQA Participants, unless by prior agreement by the Acquirer, Supplier and GQAR.</small>				
<b>RGQA Number:</b>		<b>Revision Number:</b>		<b>Date:</b>	
<b>RIAC Number:</b>		<b>Revision Number:</b>		<b>Date:</b>	
<b>Risk Statement</b>					
<b>Risk Cause(s):</b>					
<b>Risk Assessment:</b>	Impact: 1, 4 or 9		Likelihood: 1,4 or 9		Risk Index = I x L
<b>On going GQA Risk Status:</b>	Decreasing <input type="checkbox"/>	Stable <input type="checkbox"/>	Increasing <input type="checkbox"/>		
<b>Delegator/Delegatee (GQAR) area for comments and recommendations:</b>					
<b>Risk Status at Closure:</b>	No Occurrence <input type="checkbox"/>	Occurred & Controlled <input type="checkbox"/>	Occurred & Uncontrolled <input type="checkbox"/>		
<b>Risk Statement:</b>					
<b>Risk Cause(s):</b>					
<b>Risk Assessment:</b>	Impact: 1, 4 or 9		Likelihood: 1,4 or 9		Risk Index = I x L
<b>On going GQA Risk Status:</b>	Decreasing <input type="checkbox"/>	Stable <input type="checkbox"/>	Increasing <input type="checkbox"/>		
<b>Delegator/Delegatee (GQAR) area for comments and recommendations:</b>					
<b>Risk Status at Closure:</b>	No Occurrence <input type="checkbox"/>	Occurred & Controlled <input type="checkbox"/>	Occurred & Uncontrolled <input type="checkbox"/>		
<b>Risk Statement:</b>					
<b>Risk Cause(s):</b>					
<b>Risk Assessment:</b>	Impact: 1, 4 or 9		Likelihood: 1,4 or 9		Risk Index = I x L
<b>On going GQA Risk Status:</b>	Decreasing <input type="checkbox"/>	Stable <input type="checkbox"/>	Increasing <input type="checkbox"/>		
<b>Delegator/Delegatee (GQAR) area for comments and recommendations:</b>					
<b>Risk Status at Closure:</b>	No Occurrence <input type="checkbox"/>	Occurred & Controlled <input type="checkbox"/>	Occurred & Uncontrolled <input type="checkbox"/>		


**Risk Statement:** A statement of what might potentially go wrong with respect to the contractual requirements relating to quality. It can be associated with any product, life cycle stage or process (see Section 2.2 and Annex C 3.3.2).

**Risk Cause:** The potential reason(s) why a risk will occur, expressed in terms of a breakdown of a process or process control, linked to the contractual requirements relating to quality (see Section 2.2 and Annex C 3.3.3).

**Risk Impact:** The consequence of an uncertain event occurring (see Section 2.2 and Annex C 3.4.1).

**Risk Likelihood:** The degree of confidence that the risk will occur (see Section 2.2 and Annex C 3.4.2).

**Risk index:** The degree of importance of a risk expressed as the product of the impact and likelihood, used to prioritise GQA activities.

		NATO Government Quality Assurance <b>Request for Government Quality Assurance (RGQA)</b>	
<b>Government Quality Assurance (GQA) for the Referenced Defence Contract is Hereby Requested by Authority of STANAG 4107.</b>		Delegator RGQA No:	
		Revision Number:	
From: (Delegator)		To: Delegatee: (Appropriate National Authority or Focal Point Listed in AQAP-4107-SRD.1)	
Name:		Name:	
Organisation:		Organisation:	
Mailing Address:		Mailing Address:	
Telephone:		Telephone:	
Fax:		Fax:	
E-mail:		E-mail:	
Acquirer:		Supplier:	
Mailing Address:		Mailing Address:	
Facility Wide Delegation: <span style="float: right;"><input type="checkbox"/></span>			
Government Contract No:		Subcontract No:	
Contract Modification No:		Estimated Contract Final Delivery Date:	
Is this contract on behalf of a third party other than the requesting Nation?			Yes / No
Contractual Quality Assurance Requirements / Standards:			
Product / Supplies Descriptions (Include reference to Essential Items if applicable):			
<b>Attachments:</b>			
RIAC Reference Number:			
Copies of the Contract / Subcontract / Purchase Order to be Subjected to GQA:			<input type="checkbox"/>
Technical Data Specifications and Quality Assurance Standards:	Are Attached:		<input type="checkbox"/>
	Will be Furnished by the Supplier:		<input type="checkbox"/>
Other Attachments or Forms (Specify):			<input type="checkbox"/>





Delegator Requirements:			
Delegation feedback is requested:			<input type="checkbox"/>
Provide information copy of GQA Plan: Note: Requesting a copy of the plan should not be a common occurrence on routine RGQAs. Where major programs or higher risks are involved, it may be appropriate to request a copy of the plan.			<input type="checkbox"/>
GQAR is requested to sign the Statement of GQA on the CoC:	For partial shipments:		<input type="checkbox"/>
	and final shipments:		<input type="checkbox"/>
GQAR is requested to forward electronic copy of signed CoC (in pdf format):			<input type="checkbox"/>
Product Release Special instructions related to product release (if CoC is not used):			
Deviation Permits/Concessions (Reference Annex A section A.3)			
GQAR is authorised to concur or non-concur with classification/disposition of Supplier's minor deviation permits and/or concessions.	System Approach		<input type="checkbox"/>
	Case By Case		<input type="checkbox"/>
GQAR is requested to provide comments and/or recommendations for major deviation permits and/or concessions submitted by the Supplier for approval by the Acquirer Provide contractual reference and instructions as necessary.			<input type="checkbox"/>
Reporting (reference para. 4.2.2):			
Report risk status on an ongoing basis:	<input type="checkbox"/>	Copies of Quality Deficiency Reports issued to the Supplier or Sub-supplier are requested:	<input type="checkbox"/>
At RGQA Completion:	<input type="checkbox"/>		
Other reporting, please Specify:			<input type="checkbox"/>
Other Requirements:			
Delegator Signature (Signature not Required if Sent Electronically)		Date	



NATO Government Quality Assurance  
**Response to Government Quality Assurance Request (RGQAR)**

<b><i>Request for Government Quality Assurance (RGQA) for the Referenced Defence Contract is Hereby.</i></b>	Accepted:	<input type="checkbox"/>	Delegator RGQA No:	
	Partially Accepted:	<input type="checkbox"/>		
	Rejected:	<input type="checkbox"/>	Revision Number:	
Delegation Feedback is requested on an annual basis or as agreed:				<input type="checkbox"/>
Delegatee Comments (Mandatory, if Not Accepted):				
Facility Wide Approach:		<input type="checkbox"/>		
To: (Delegator)			From: Delegatee: (Appropriate National Authority or Focal Point Listed in AQAP-4107-SRD.1)	
Name:		Name:		
Organisation:		Organisation:		
Mailing Address:		Mailing Address:		
Telephone:		Telephone:		
Fax:		Fax:		
E-mail:		E-mail:		
Acquirer:		Supplier:		
Mailing Address:		Mailing Address:		
Government Contract No:		Subcontract No:		
Contract Modification No:		Contract Final Delivery Date:		
Delegatee revised RIAC Form:				<input type="checkbox"/>
<b>Delegatee GQAR Details:</b>				
Name:				
Organisation:				
Mailing Address:				
Phone No.:				
Email Address:				
Fax No.:				
<b>Delegatee/GQAR Signature (Signature not Required if Sent Electronically):</b>			<b>Date:</b>	

		NATO Government Quality Assurance <b>Government Quality Assurance Closure Report (GQACR)</b>	
<b>Government Quality Assurance (GQA) for the Referenced Defence Contract is Hereby Complete.</b>		<b>Delegator RGQA No:</b>	
		<b>Revision Number:</b>	
<b>To: (Delegator)</b>		<b>From: Delegatee: (Appropriate National Authority or Focal Point Listed in AQAP-4107-SRD.1)</b>	
<b>Name:</b>		<b>Name:</b>	
<b>Organisation:</b>		<b>Organisation:</b>	
<b>Mailing Address:</b>		<b>Mailing Address:</b>	
<b>Telephone:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Fax:</b>	
<b>E-mail:</b>		<b>E-mail:</b>	
<b>Acquirer:</b>		<b>Supplier:</b>	
<b>Mailing Address:</b>		<b>Mailing Address:</b>	
<b>Government Contract No:</b>		<b>Subcontract No:</b>	
<b>Contract Modification No:</b>		<b>Contract Final Delivery Date:</b>	
<b>Attachments:</b>			
Please find the attached RIAC indicating the current risk status and trends:			
CoC attached as requested:			<input type="checkbox"/>
Supplementary report attached:			<input type="checkbox"/>
Summary of nonconformities attached:			<input type="checkbox"/>
Delegation Feedback is requested:			<input type="checkbox"/>
<b>Additional Comments:</b>			
<b>Delegatee GQAR Details:</b>			
<b>Name:</b>			
<b>Organisation:</b>			
<b>Phone No.</b>			
<b>Email Address:</b>			
<b>Fax No.:</b>			
<b>Delegatee/GQAR Signature (Signature not Required if Sent Electronically):</b>			<b>Date:</b>

 <div style="text-align: center;"> <b>NATO Government Quality Assurance</b>  <b>Delegation Feedback Form (DFB)</b> </div>			
<b>RGQA</b>		<b>RIAC</b>	
<b>RGQA Number:</b>		<b>RIAC Number:</b>	
<b>Revision Number:</b>		<b>Revision Number:</b>	
<b>Date:</b>		<b>Date:</b>	
<b>Part 1 Delegatee Feedback on RGQA and RIAC</b>			
1.1 Were you fully satisfied with the risk identification?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<i>If you mark off No, please specify what was wrong.</i>
1.2 Were you fully satisfied with the completeness of the RGQA and RIAC?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<i>If you mark off No, please specify what was wrong.</i>
1.3 Was the RGQA received in a timely manner?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<i>If you mark off No, please provide details.</i>
<i>Delegatee additional comments:</i>			
<b>Part 2 Delegator Feedback on Communication and GQA Services provided by the Delegatee</b>			
2.1 Was the Acknowledgment of Receipt received in a timely manner?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<i>If you mark off No, please provide details.</i>
2.2 Was the Response to the RGQA received in a timely manner?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<i>If you mark off No, please provide details.</i>
2.3 Are you fully satisfied with the communication in the course of GQA?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<i>If you mark off No, please specify what was wrong.</i>
2.4 Are you fully satisfied with the content (quality) of the GQA deliverable documents (RIAC, reports, CoCs, QDRs)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<i>If you mark off No, please specify what was wrong.</i>
2.5 Are you fully satisfied with the timescale of the GQA deliverable documents (RIAC, reports, CoCs, QDRs)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<i>If you mark off No, please specify what was wrong.</i>
2.6 Are you fully satisfied with the confidence provided by the GQA services?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	<i>If you mark off No, please specify what was wrong.</i>
<i>Delegator additional comments:</i>			
Delegatee/Delegator Signature (Signature not required if sent electronically):			Date:

**Example of a Certificate of Conformity (CoC)**

<b>Part I - Supplier Certificate of Conformity</b>				1. Supplier CoC Serial No.	
2. Supplier (Include Name, Address, Email etc.):			3. Contract Number:		
			4. Contract Modification Number:		
5. Approved Deviations and/or Concessions:			6. Acquirer (Include Name, Address, Email etc.):		
7. Delivery Address:			8. Applicable to: Partial Delivery Number: Final Delivery Number:		
9. Contract Item #	10. Product Description or Part #	10. Quantity	11. Shipment Document	13. Undelivered Quantity	
14. Remarks or Comments:					
15. Supplier Statement of Conformity: It is certified that apart from the approved deviation permits/concessions noted in block #5 above, the products listed above conform in all respects to the contract requirements.					
Date:	Supplier Name and Title:			Supplier Signature:	

<p align="center"><b>Part II – GQAR Statement of GQA</b></p>		<p>1. Supplier CoC Serial No.</p>
<p>2. Supplier:</p>		
<p>3. Contract Number:</p>	<p>4. Contract Modification Number:</p>	
<p>5. Remarks or Comments:</p>		
<p>6. Government Quality Assurance Representative Statement of GQA:</p> <p>Referring to the CoC indicated in block 1, this is to attest that within the provisions of STANAG 4107, AQAP 2070 and the RGQA, the planned Government Quality Assurance has been performed.</p> <p><i>(the GQAR Statement of GQA above and the GQAR signature below do not mean acceptance on behalf of the Acquirer and/or Delegator of the supplies identified by the Supplier in Part I, do not necessary mean that the individual items have been inspected, nor do they mean that certification have been granted).</i></p>		
<p>Date:</p>	<p>GQAR Information:</p> <p>Name:</p> <p>Phone Number:</p> <p>Email Address:</p>	<p>GQAR Signature:</p>

### Example of a Deviation Permit / Concession Form

<b>REQUEST FOR DEVIATION PERMIT / CONCESSION</b>		Supplier's Ref. No.	
		Sub-supplier's Ref. No.	
1. The granting of this deviation permit or concession is strictly limited to this specific application and is not to be regarded as a precedent. 2. If a Sub-supplier prepares the application, it must be signed and submitted by the Supplier, unless otherwise agreed. 3. If any variation in cost due to the deviation permit or concession is to be charged or credited to the Government, full allowance is to be made for the disposal of any scrap or redundant materiel.			
<b>PART 1 – To be Completed by the Supplier</b>			
1. Supplier (Name and Address)		2. Sub-supplier (Name and Address)	
3. Contract No.		4. Subcontract No.	
5. Identification of Materiel or Component (Including Part Number)			
6. Specification/Drawing No.	7. (a) Quantity/Period	(b) Serial No./ Batch No. / Lot No.	
8. Description and Impact of Nonconformity (corrective and/or preventive actions) (Continue in block #22)			
9. Reference Previous Deviation Permits and/or Concessions	10. Cause of Nonconformity	11. Cost to Acquirer will be: Increased <input type="checkbox"/> Decreased <input type="checkbox"/> Unchanged <input type="checkbox"/>	
12. Is Nonconformity Considered Major <input type="checkbox"/> Minor <input type="checkbox"/> Indicate in the product characteristics affected in Block #13.	13. Affected Characteristics Performance <input type="checkbox"/> Environment <input type="checkbox"/> Safety <input type="checkbox"/> Interchangeability <input type="checkbox"/> Reliability <input type="checkbox"/> Maintainability <input type="checkbox"/> Service Life <input type="checkbox"/> Appearance <input type="checkbox"/> Other (see block 8) <input type="checkbox"/>	14. Contract Amendment Required <input type="checkbox"/>	
15. Effect on Contractual Delivery date:		16. Identify the Design Authority:	
17. Engineering Authority Approval  Signature and Date	18. Production Authority Approval  Signature and Date	19. Quality Authority Approval  Signature and Date	
20. Is Supplier the Design Authority: Yes <input type="checkbox"/> No <input type="checkbox"/>  Signature and Date		21. Name of Supplier Representative Submitting the Application:  Signature and Date	

22. Description and Impact of Nonconformity (Continuation from Block #8)

**PART 2: TO BE COMPLETED BY GQAR and/or Sub-Tier GQAR**

23. Remarks or Comments

24. GQAR Signature (If Applicable)

Date

25. Delegator Signature (if applicable)

Date

**PART 3: Disposition**

26.

Date..... Signature .....

Title/Rank .....



### Example of a GQA Plan Template

Government Quality Assurance Plan:				Date:	Revision:	Copy to Delegator: Yes <input type="checkbox"/> No <input type="checkbox"/>										
Contract Number:				GQAR Name:												
RGQA Ref:				GQAR Phone No:												
Facility Wide Approach: <input type="checkbox"/>				GQAR Email:												
Supplier:																
Risk Statements	Risk Causes	Risk Index			Supplier Processes	Supplier Process Controls to mitigate risks	Type of GQA Activity			Frequency						GQAR Activity Including Planned Dates
		High	Moderate	Low			System	Process	Product	FAI	6 Monthly	Quarterly	Monthly	Each Lot	Other	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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## ANNEX C – GQA RISK IDENTIFICATION, ASSESSMENT AND COMMUNICATION

### C.1 PURPOSE OF THIS ANNEX

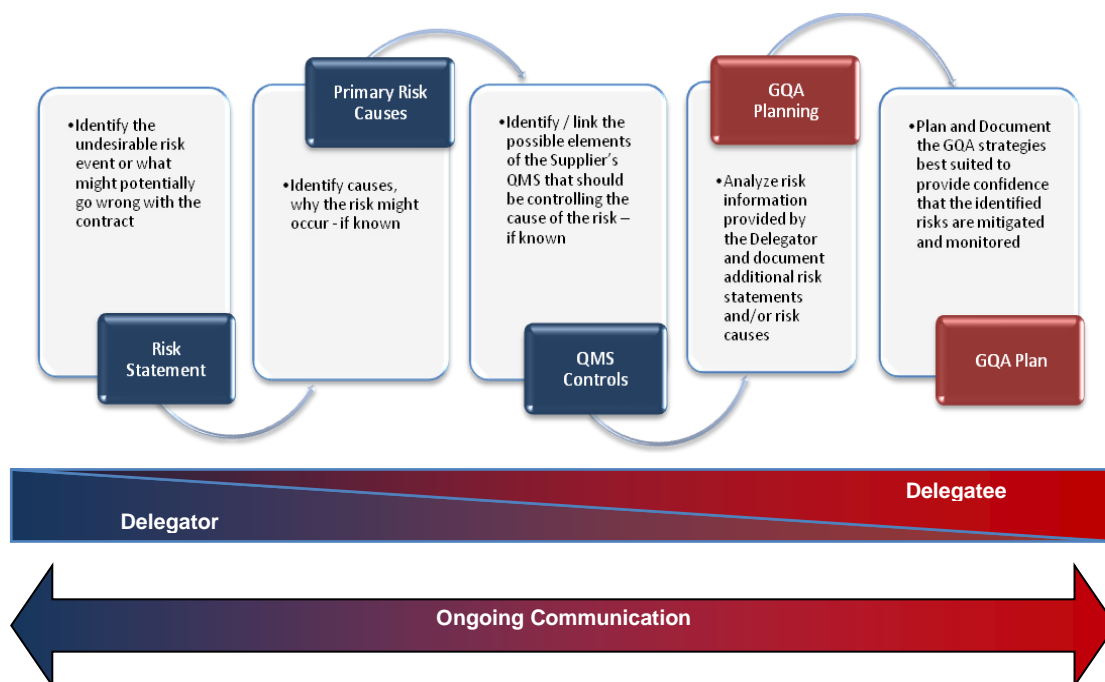
This annex provides additional instruction and guidance designed to assist the Delegator and Delegatee in identifying, assessing and communicating risk in the context of GQA.

### C.2 DELEGATOR AND DELEGATEE JOINT RISK IDENTIFICATION AND ASSESSMENT

The Delegator and Delegatee need to communicate to develop as accurate as possible reflection of the risk, based on their joint perspectives.

Figure C-1 Illustrates how the accuracy of risk information can be improved by the input of both the GQAR and the Delegator and used in GQA planning.

**Figure C-1 Concept Chart – Delegator & Delegatee Communication**



### C.3 RISK IDENTIFICATION AND ASSESSMENT

#### C.3.1 General

The Risk Identification, Assessment and Communication Form (RIAC) at Annex B contains all the necessary fields to effectively record and communicate the results of initial risk assessments and ongoing reviews. The RIAC is to be used to communicate current risk information between the GQA participants and shall be attached to all RQGA Forms.

The information from the RIAC shall be used by the GQA participants to generate and maintain records of risk information throughout the life of the GQA Delegation.

### C.3.2 Risk Constituents

In order to plan and perform risk based GQA it is important to understand the constituents of risk; their attributes; controlling processes; influences and interrelationships. The constituents of risk are:

- a) Risk Statement
- b) Risk Cause
- c) Risk Impact
- d) Risk Likelihood
- e) Risk Index

### C.3.3 Risk Identification

#### C.3.3.1 Sources of Risk Information

Figure C-2 illustrates potential sources of risk information that can be used as a memory jogger to assist in the identification of risk. The information suggested should be readily available and should not require extensive investigation to acquire or analyse. Figure C-2 should not, however, be considered all inclusive.

**Figure C-2 Sources of Risk Information**

Customer Feedback – Risk Information gained from the customers or users of products previously produced by the Supplier, i.e. customer complaints.

Supplier Past Performance - Systems or processes which, based on the Supplier's performance on previous contracts, are likely to have an adverse impact on the product or on contract performance, schedule, or cost requirements.

Previous Risk Feedback - Risk information and recommendations received from the Delegatee on previously completed RGQA or the current RGQA.

Pre-award Surveys - Risk information (or lack thereof) that may have been identified during contract pre-award QA surveys or QA audits.

System or Process Certification - Risk information associated with 2<sup>nd</sup> or 3<sup>rd</sup> party certifications, product or process certification, use of product testing laboratories etc.

Project Office - If the contract is managed by a project office, risk information may be available from the risk manager.



Key or Critical Product Characteristics or Processes – Processes or Product elements or features which, if not properly controlled, can have an adverse impact on the product delivery, cost and performance.

Supplier Inexperience - Systems or processes which, based on the Supplier's inexperience, can have an adverse impact on the product or on product delivery, cost and performance.

Contract Review – Reviewing the contract may identify additional risks that may have an adverse impact on the product or on product delivery, cost and performance. Include reviews of associated documents e.g. Supplier quality, risk, configuration management plans if available.

### **C.3.3.2 Risk Statement**

For the purposes of GQA the risk statement describing 'what might go wrong' should be expressed as an event having a negative effect on the product, delivery schedule, cost and/or performance. The risk statement should reflect concerns with fulfilment of the contractual requirements related to quality. In developing the risk statement, it is often helpful to consider the reasons for specific product specifications or contractual QMS requirements, as they should relate directly to what is important to the product user. This is the primary reason why the Acquirer or Delegator has more insight into the risk impact.

The risk statement may, especially for new programmes or Suppliers, be quite general. As GQA is performed the risk information should mature and the risk knowledge should increase. Risk should be reassessed and the RIAC revised, if appropriate.

### **C.3.3.3 Risk Causes**

Identification of the risk causes 'Why might it go wrong?' is necessary for GQA planning. For GQA purposes the risk causes are expressed in terms of the processes that, if ineffective, could lead to the negative effect on the product delivery schedule, cost and/or performance. The risk causes should be linked to the contractual QMS requirements e.g. AQAP or equivalent. Any pertinent information from previous occurrences should be provided, directly or by reference. There may be numerous processes and sub-processes that contribute to the effective control of product delivery, cost and/or performance and therefore, numerous risk causes.

### **C.3.4 Risk Assessment**

Identified risks require a quantitative assessment to determine whether GQA is necessary and support GQA planning (reference para 5.4). The risk assessment should take account of the impact of the risk and the likelihood of its occurrence. Assessment of each, leading to the risk index, shall take into account three levels for both impact and likelihood. High (9), Medium (4) or Low (1) (reference figure C-5).

#### **C.3.4.1 Risk impact**

The risk impact represents how critical the consequence of the risk occurring would be, either high, medium or low. Normally the Delegator has greater insight into the risk impact. It should be noted that GQA can have little or no influence on the risk impact. Table C-3 below shows typical attributes of high, medium and low risk impacts to aid GQA participants to quantify risk impact.

Table C-3 Attributes of Risk Impacts

Risk Impact	Attribute
<b>High (9)</b>	The risk event could reasonably result in loss of human life or serious injury or complete failure of mission.
	Typically, designators such as critical safety item (CSI), flight safety item, submarine first level. Are used to identify products or characteristics with this attribute. The event would be the result a single point failure.
	Serious or permanent environmental damage, for example radiation leak or widespread chemical contamination.
	The loss of critical assets for example, assets critical to military operations that are not easily replaced or secret information.
	The product would not fulfil the intended purpose and cannot be satisfied by alternative means, e.g. another product or system.
	Product lead time is long, it is single source supply or procuring redundancy is prohibitively expensive.
	Lack of equipment availability would impact current military operations.
<b>Medium (4)</b>	The risk event would result in injury or disruption of the mission, for example, a significant delay, increased cost.
	The product capability would be restricted so that 1 or more key capabilities would be compromised.
	Non critical, but key characteristics or special requirements affected.
	Product lead time is long and procuring redundancy is expensive.
	Lack of equipment availability would impact future military operations and/or Life extensions to existing systems would be necessary.
	Localised or temporary environmental damage.
	Significant increase of the life cycle costs.
<b>Low (1)</b>	Only non critical, non key characteristics or special requirements affected.
	Increased costs, within budgetary constraints
	Manageable project delays, not impacting operations
	Product appearance would be adversely affected, it is not a critical characteristic.
	Easily recoverable localised environmental impact.
	Product is widely available and not prohibitively expensive so can be replaced easily, for example consumable items, commercially available products and services.

### C.3.4.2 Risk Likelihood

Risk by definition is uncertain, so needs to be rationalised by an assessment of the likelihood of its occurrence to provide a balanced criterion for GQA planning. The risk likelihood is a quantitative assessment of the how effectively the Supplier's QMS might control product delivery, cost and/or performance. It is expressed as high, medium or low. The risk cause and the risk likelihood are closely linked by the Supplier's processes.

#### 3.4.2.1 Risk Likelihood Attributes

Table C-4 below shows typical attributes of high, medium and low risk likelihoods. Normally the GQAR, having more knowledge of the Supplier, has a greater insight into the risk likelihood. Table C-4 can be used to aid GQA participants to quantify risk likelihood.

#### 3.4.2.2 Risk Likelihood Supporting Evidence

The assessment of risk likelihood is highly dependent on the knowledge and experience of the assessor and the available evidence. Where there is little or no evidence available, it is reasonable to assume that risk likelihood is high. In these cases GQA can be used to gather sufficient evidence to make an informed assessment.

**Table C-4 Attributes of Risk Likelihood**

<b>Risk Likelihood</b>	<b>Attribute</b>
<b>High (9)</b>	It is highly likely to occur. A system or process is not in control. Performance data for example GQA results, current or recent experience show that the system or process will not fulfil the contractual requirements relating to quality.
	There is no evidence available of the Supplier's capability to perform the required activity.
	The uncontrolled process is used very frequently leading to increase of occurrence of the risk.
	The process is seldom used, so rarely practiced, leading to a lack of control, e.g. a lack of experienced operators.
	The process is either new to the Supplier or very difficult to control. There is little or no evidence of past performance that could provide confidence of the process control.
<b>Medium (4)</b>	It is probable or likely that the risk will occur. A system or process is not in complete control or performance data, for example recent GQA results, recent experience and/or the Supplier, cast doubt on the ability of the system or process to meet the contractual requirements relating to quality.
	The process is either new to the Supplier or difficult to control. There is some evidence of control but it is insufficient to provide confidence of the process control.
<b>Low (1)</b>	It is unlikely that the risk will occur. The system or process is under control or performance data, current or recent GQA results or the Supplier provides evidence that the contractual requirements relating to quality will be met.

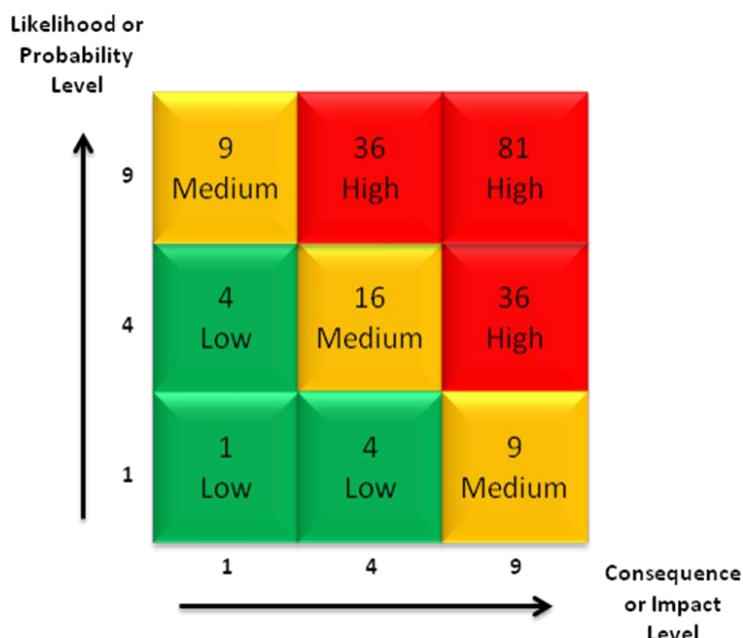
### C.3.4.3 Risk Index

The risk index is a quantitative measure of how significant a risk is and is used to prioritise GQA effort. The risk index is the product of the risk impact and likelihood. Figure C-5, the Risk Index Matrix, is used to illustrate the different risk indices.

**Figure C-5 Risk Index Matrix**

#### C.3.4.3.1 Product Criticality

Referring to the Risk Index Matrix, where the project or contract involves any system part, assembly or equipment where a failure will result in catastrophic or critical failure resulting in loss of life or significant operational capability the risk impact and therefore, the risk index can never be less than 9. Examples include: Critical Safety Items (CSI), Safety to Life, Submarine 1<sup>st</sup> level, Vital Parts and Flight Safety Items.



### C.3.5 Risk Communication


It is essential that the Delegator and Delegatee (GQAR) conduct their own risk identification and assessment to provide a balanced view of the risks and enable the GQAR to plan GQA appropriately. Supporting comments or recommendations on the RIAC will enhance the mutual understanding of the joint risk identification and assessment. Refer to Figure C-6 and C-7 for examples to completed RIAC from both the Delegator and Delegatee perspectives.

#### C.3.5.1 Information Configuration

Each time the RIAC is revised and exchanged, either from the Delegatee to the Delegator or vice versa, its issue number and date needs to be updated to assure configuration of the information.




Figure C-6 Example of a Delegator Risk

 <b>NATO Government Quality Assurance</b> <b>Risk Identification, Assessment and Communication (RIAC)</b> <i>Page 1 of 1</i> <small>Risk information is considered commercially sensitive and shall be used for GQA purposes only. Risk information shall not be shared outside of the Mutual GQA Participants, unless by prior agreement by the Acquirer, Supplier and GQAR.</small>					
<b>RGQA Number:</b>	<b>DAOQ n°280708</b>	<b>Revision Number:</b>	<b>0</b>	<b>Date:</b>	<b>28/07/2008</b>
<b>RIAC Number:</b>	<b>RIAC n°250708</b>	<b>Revision Number:</b>	<b>0</b>	<b>Date:</b>	<b>25/07/2008</b>
<b>Risk Statement:</b> The hull integrity – Insufficient strength of the welded joints of the submarine hull.					
<b>Risk Cause(s):</b> Uncontrolled supply of welding wire (AQAP 2110 5.4.6 and ISO 9001:2015 8.4) There is a high turn over staff (welders) at the company has to employ inexperienced and sometimes unqualified welders. (AQAP 2110 – 5.3.3 and ISO 9001:2015 – 7.2)					
<b>Risk Assessment:</b>	Impact: 1, 4 or 9	<b>9</b>	Likelihood: 1,4 or 9	<b>9</b>	Risk Index = I x L <b>81</b>
<b>On going GQA Risk Status:</b>	Decreasing <input type="checkbox"/>		Stable <input type="checkbox"/>		Increasing <input type="checkbox"/>
<b>Delegator/Delegatee (GQAR) area for comments and recommendations:</b> 3 customer complaints. 2 concerning incorrect specification of welding wire and 1 concerning a non qualified welder.					
<b>Risk Status at Closure:</b>	No Occurrence <input type="checkbox"/>		Occurred & Controlled <input type="checkbox"/>		Occurred & Uncontrolled <input type="checkbox"/>

The risk statement and risk causes can be assessed individually (if the likelihoods are different) or as above, as a consolidated view against the risk statement,

Figure C-7 Example of a Delegatee Risk

 <b>NATO Government Quality Assurance</b> <b>Risk Identification, Assessment and Communication (RIAC)</b> <i>Page 1 of 1</i> <small>Risk information is considered commercially sensitive and shall be used for GQA purposes only. Risk information shall not be shared outside of the Mutual GQA Participants, unless by prior agreement by the Acquirer, Supplier and GQAR.</small>					
<b>RGQA Number:</b>	<b>DAOQ n°280708</b>	<b>Revision Number:</b>	<b>0</b>	<b>Date:</b>	<b>28/07/2008</b>
<b>RIAC Number:</b>	<b>RIAC n°250708</b>	<b>Revision Number:</b>	<b>1</b>	<b>Date:</b>	<b>25/08/2008</b>
<b>Risk Statement:</b> The hull integrity – Insufficient strength of the welded joints of the submarine hull.					
<b>Risk Cause(s):</b> Uncontrolled supply of welding wire (AQAP 2110 5.4.6 and ISO 9001:2015 8.4) There is a high turn over staff (welders) at the company has to employ inexperienced and sometimes unqualified welders. (AQAP 2110 – 5.3.3 and ISO 9001:2015 – 7.2)					
<b>Risk Assessment:</b>	Impact: 1, 4 or 9	<b>9</b>	Likelihood: 1,4 or 9	<b>4</b>	Risk Index = I x L <b>36</b>
<b>On going GQA Risk Status:</b>	Decreasing <input checked="" type="checkbox"/>		Stable <input type="checkbox"/>		Increasing <input type="checkbox"/>
<b>Delegator/Delegatee (GQAR) area for comments and recommendations:</b> The Supplier has implemented a new process for the control of welding wire. Spools are now colour coded, and duplicate checks are required prior to welding being started. The company has also recognized the importance of experienced welders and have instated a staff retention system to reward staff in critical roles, the staff turnover issue seems to be resolved but should still be monitored. The risk likelihood is reduced.					
<b>Risk Status at Closure:</b>	No Occurrence <input type="checkbox"/>		Occurred & Controlled <input type="checkbox"/>		Occurred & Uncontrolled <input type="checkbox"/>



## ANNEX D - RISK BASED GQA PLANNING AND PERFORMANCE

### D.1 PURPOSE OF THIS ANNEX

The purpose of this annex is to provide the GQAR with instruction, guidance and examples of how to plan, perform and review GQA based on risk. Nothing in this annex should be considered to override national practice, or the instructions within this publication. This annex is supplementary to the GQA planning (reference section 11 and 12) and GQA performance (reference section 13 and 14).

### D.2 GENERAL

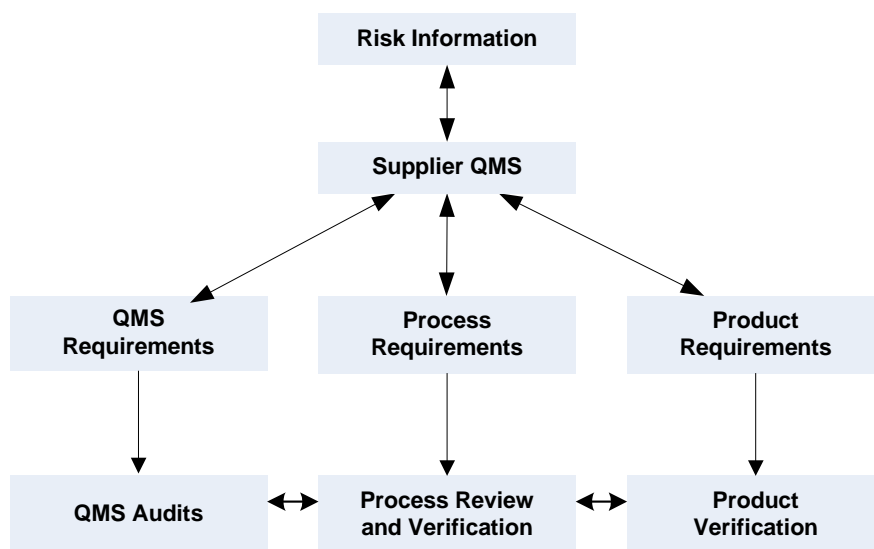
This annex is structured around the RIAC form and first illustrates the general concepts of planning GQA activity based on an initial risk assessment and providing some typical GQA activities. It then provides some guidance and instruction on GQA planning throughout the life of a GQA delegation, including how the evidence gained through GQA should influence the risk status and GQA planning.

Each delegation is different and so this annex cannot address every situation or replace the need for training and experience of GQA participants. Knowledge of the Supplier and the product will have a significant influence on the types of GQA that are appropriate.

### D.3 RISK BASED GQA PLANNING

Figure D-1 illustrates how the risk information should be used to focus GQA activity.

**Figure D-1 Concepts Relating to Risk Based GQA Planning**




ISO 9000 Definitions Apply

### D.3.1 Documents Required for GQA Planning

The essential documents for GQA planning are the completed RIAC form, the contract, its referenced standards and processes, Supplier schedules, plans and associated documents. The GQA plan template at Annex B-13 is recommended. An example of a RIAC is at figure D-2 below.

Figure D-2

 <b>NATO Government Quality Assurance</b> <b>Risk Identification, Assessment and Communication (RIAC)</b> <i>Page 1 of 1</i>					
<small>Risk information is considered commercially sensitive and shall be used for GQA purposes only. Risk information shall not be shared outside of the Mutual GQA Participants, unless by prior agreement by the Acquirer, Supplier and GQAR.</small>					
<b>RGQA Number:</b>	<b>DAOQ n°280708</b>	<b>Revision Number:</b>	<b>0</b>	<b>Date:</b>	<b>28/07/2008</b>
<b>RIAC Number:</b>	<b>RIAC n°250708</b>	<b>Revision Number:</b>	<b>1</b>	<b>Date:</b>	<b>25/08/2008</b>
<b>Risk Statement:</b> The hull integrity – Insufficient strength of the welded joints of the submarine hull.					
<b>Risk Cause(s):</b> Uncontrolled supply of welding wire (AQAP 2110 5.4.6 and ISO 9001:2015 8.4) There is a high turn over staff (welders) at the company has to employ inexperienced and sometimes unqualified welders. (AQAP 2110 – 5.3.3 and ISO 9001:2015 – 7.2)					
<b>Risk Assessment:</b>	Impact: 1, 4 or 9	9	Likelihood: 1, 4 or 9	4	Risk Index = I x L <b>36</b>
<b>On going GQA Risk Status:</b>	Decreasing <input checked="" type="checkbox"/>	Stable <input type="checkbox"/>	Increasing <input type="checkbox"/>		
<b>Delegator/Delegatee (GQAR) area for comments and recommendations:</b> The Supplier has implemented a new process for the control of welding wire. Spools are now colour coded, and duplicate checks are required prior to welding being started. The company has also recognized the importance of experienced welders and have instated a staff retention system to reward staff in critical roles, the staff turnover issue seems to be resolved but should still be monitored. The risk likelihood is reduced.					
<b>Risk Status at Closure:</b>	No Occurrence <input type="checkbox"/>	Occurred & Controlled <input type="checkbox"/>	Occurred & Uncontrolled <input type="checkbox"/>		

### D.3.2 Risk Index and GQA Planning

The risk index is the indicator of risk priority used in GQA planning. Any resource spent on GQA shall be addressed to a risk and proportionate to its risk index. Normally, risks with a low index require little or no GQA. There are exceptions and so each case should be considered on its merits. Where GQA is not performed the Acquirer should be informed (reference para. 11.5) The Acquirer should consider monitoring product delivery, cost and performance in order to detect variance that might affect risk status and the need for GQA. Once it is determined that GQA is to be performed, further analysis is necessary to plan GQA.

#### D.3.2.1 Risk Impact in GQA Planning

Analysis of the risk impact can influence the type of GQA activity, or more specifically, depth of the GQA activity. For low impact risks, QMS reviews to assure that processes are operating in accordance with planned arrangements can be sufficient to provide confidence that contractual requirements relating to quality will be met. For medium impact risks process reviews and verifications should be included. For High impact risks the type of GQA should be expanded to include the monitoring of Supplier's product verification activities, especially for key characteristics.

#### D.3.2.2 Risk Likelihood in GQA Planning

Closer analysis of the risk likelihood should influence the frequency of GQA activity; the higher the likelihood, the greater the frequency of GQA that has to be considered.

### **D.3.2.3 The Risk Statement and Risk Causes in GQA Planning**

The risk cause(s) drives GQA planning to specific areas of the Supplier's QMS. The details from the risk statement will provide the relationship to the product, contract, or issue of concern, providing the necessary focus on the relevant:

- a) Processes/Production lines,
- b) Product life cycle stage,
- c) Sub-assembly,
- d) Departments/Teams,
- e) Sub-suppliers.

## **D.4 OBJECTIVES OF GQA ACTIVITIES AND TECHNIQUES**

### **D. 4.1 GQA Activities**

GQA activities should address the Supplier QMS as it is applied to the contract; to appropriate depth and frequency and at the appropriate stage of the project to gather sufficient evidence:

- a) To assure that the Supplier QMS, processes and plans are capable of meeting the contractual requirements relating to quality (review),
- b) Of the Supplier continuing fulfilment of the contractual requirements relating to quality (verification) or
- c) To assure that the Supplier takes appropriate action to correct non-conformities; Prevent their recurrence (review and verification) and
- d) Mitigate risks.

### **D.4.2 GQA Techniques**

A variety of techniques can be used by the Delegatee (GQAR) in accordance with national practice. GQA techniques should be selected based on the sources of evidence under review or verification i.e. documents, processes, products, tests etc they include:

- a) Formal Audit (reference ISO 19011:2018),
- b) Informal audit,
- c) Interviews,
- d) Document reviews or verifications,
- e) Witnessing of any Supplier processes and/or activity,
- f) Participation/attendance of meetings.

#### **D.4.2.1 Reviews**

Reviews are a proactive approach conducted if confidence in the suitability, adequacy and effectiveness of planned Supplier activities or actions is required; it is the comparison of the 'required' and the 'to be implemented or provided'. The GQAR is typically looking for evidence to influence decision on the acceptability of Supplier plans and proposed actions, examples include:

- a) QMS or quality plan reviews;
- b) Process reviews;

- c) Planned corrective and prevent action reviews.

The parts of the QMS or the processes to be reviewed should be determined by the risk statement and the risk cause. Reviews are normally conducted during the earlier stages of a contract or process; when there is insufficient evidence or knowledge of the Supplier to provide confidence that contractual requirements relating to quality will be met.

#### **D.4.2.2 Verification**

Verifications are a reactive approach conducted if confidence that Supplier activities or actions have met the specified requirements is required; it is the comparison of the stated or planned to the actual result. Examples of verification are:

- a) Production process verification,
- b) Corrective and prevent action verification,
- c) Product verification.

Verifications should be considered when reviews have raised concerns; There have been past issues related to the subject of verification or when the subject is considered critical.

### **D.5 GQA PERFORMANCE**


#### **D.5.1 General**

As GQA is performed the GQAR should be continually learning more about the risks that are being monitored. It is important that the GQAR uses this knowledge to review the risk status and revise the RIAC as appropriate. Changes in risk status should be supported by brief comments explaining the reason for the change. Figure D-3 shows an example of a revised RIAC during the life of a GQA delegation.

#### **D.5.2 GQA Influence**

There is a mutual obligation between the GQAR and the Delegator to continually share information that might influence GQA planning throughout the life of the GQA delegation. GQA is intended to reduce risk likelihood, but greater knowledge might lead the GQAR to conclude that the initial assessment underestimated the risk likelihood so it might increase in the short term. GQA is not expected to influence the risk impact. If, during a GQA delegation, risk likelihood increases, it should be considered as an indicator that the type of planned GQA activity is not appropriate. For example QMS review might indicate that there is a potential issue with a process, simply conducting more frequent QMS reviews is unlikely to have any influence. In these cases the GQAR should consider raising a QDR and/or process and/or product verifications, until confidence is gained and the likelihood is reduced.

Figure D-3 RIAC Updated Throughout the Life of the GQA Delegation

 <b>NATO Government Quality Assurance</b> <b>Risk Identification, Assessment and Communication (RIAC)</b> <i>Page 1 of 1</i> <small>Risk information is considered commercially sensitive and shall be used for GQA purposes only. Risk information shall not be shared outside of the Mutual GQA Participants, unless by prior agreement by the Acquirer, Supplier and GQAR.</small>					
<b>RGQA Number:</b>	<b>DAOQ n°280708</b>	<b>Revision Number:</b>	<b>0</b>	<b>Date:</b>	<b>28/07/2008</b>
<b>RIAC Number:</b>	<b>RIAC n°250708</b>	<b>Revision Number:</b>	<b>2</b>	<b>Date:</b>	<b>18/12/2008</b>
<b>Risk Statement:</b> The hull integrity – Insufficient strength of the welded joints of the submarine hull.					
<b>Risk Cause(s):</b> Uncontrolled supply of welding wire (AQAP 2110 5.4.6 and ISO 9001:2015 8.4) There is a high turn over staff (welders) at the company has to employ inexperienced and sometimes unqualified welders. (AQAP 2110 – 5.3.3 and ISO 9001:2015 – 7.2)					
<b>Risk Assessment:</b>	Impact: 1, 4 or 9	9	Likelihood: 1, 4 or 9	1	Risk Index = I x L 9
<b>On going GQA Risk Status:</b>	Decreasing <input checked="" type="checkbox"/> Stable <input type="checkbox"/> Increasing <input type="checkbox"/>				
<b>Delegator/Delegatee (GQAR) area for comments and recommendations:</b> Process verification conducted on the hull welding, staff appear happy to remain in the company, records and witnessed activity show. That welding wire cross checks are always undertaken. Welding wire checked and only the correct specification wire was available. Will monitor again in 9 months. The risk likelihood is reduced.					
<b>Risk Status at Closure:</b>	No Occurrence <input type="checkbox"/> Occurred & Controlled <input type="checkbox"/> Occurred & Uncontrolled <input type="checkbox"/>				

### D.5.3 Ongoing GQA Risk Status

Accordingly to the GQA activity results the 'On going risk status' shall reflect the GQAR view on the risk index (normally limited to the risk likelihood):

- Decreasing,
- Stable,
- Increasing.

The comments provided in the dedicated block are necessary to explain the GQAR perception.

### D.5.4 Risk Status at Closure

Throughout the life of the GQA delegation and accordingly to the whole GQA results, the 'Risk status at Closure' shall reflect the GQAR balanced view of the risk occurrence and its control by the Supplier:

- No Occurrence,
- Occurred & Controlled,
- Occurred & Uncontrolled.

The comments provided in the dedicated block are necessary to explain the GQAR perception and should be used by the Delegator/Delagatee for future delegations.

### **D.5.5 RIAC Information Configuration**

Each time the RIAC is revised and exchanged, either from the Delegatee to the Delegator or vice versa, its issue number and date needs to be updated to assure configuration of the information.

## **D.6 Facility Wide Delegations**

### **D.6.1 Application and Use**

D.6.1.1: Facility Wide Delegation can be requested where the intention of the Delegator is to have a number of contracts for the same type of equipment at a particular Supplier covered by a single delegation.

D.6.1.2 Facility Wide Approach can be applied by the Delegatee at a particular Supplier, where multiple delegations have been received for the same type of equipment with common risks.

### **D.6.2 Role of the Delegator**

D.6.2.1 The Delegator may request a Facility Wide Delegation where:

- There will be a number of similar contracts for the same Product at a particular Supplier.
- A single contract has been placed with a Supplier that will run for a number of years and involve the issuing of a number of separate purchase orders.

D.6.2.2 The requirement for a Facility Wide Delegation shall be identified on the RGQA form by the Delegator.

D.6.2.3 The Delegator is encouraged to request the use the Facility Wide Delegation to optimise resources. Where a Delegator has an existing Facility Wide Delegation, there is no need to raise additional RGQAs for similar contracts, with the same Supplier. The Delegator may simply provide the contractual information (i.e. purchase orders) and request that this be added to the existing delegation.

D.6.2.4 Additional contracts may be added to an existing Facility Wide Delegation by referencing the initial RGQA. The Delegator is still required to provide all relevant contractual documentation.

### **D.6.3 Role of the Delegatee**

D.6.3.1 To ensure economic and effective use of resources the Delegatee is encouraged to look for opportunities to share the results of GQA across contracts and Delegators. In these circumstances the Delegatee should communicate to the Delegator their intention to use a Facility Wide Approach with the delegation by checking the appropriate box in the RGQAR.

D.6.3.2 For example, the GQAR can conduct specific GQA activities against contracts sharing the same specific risks and record the results of those activities against the GQA delegations sharing those specific risks.

D.6.3.3 The use of a Facility Wide Approach shall be shown on the GQA plan.

D.6.3.4 When reporting on Facility Wide GQA activity the GQAR should take care not to share commercially sensitive or contract specific information across Delegators. The frequency of GQAR reports on Facility Wide Delegations shall be as agreed with the Delegator.

#### **D.6.4 Management of Facility Wide Delegations**

D.6.4.1 Facility Wide Delegation should be managed in accordance with national practice.

D.6.4.2 The Delegator and Delegatee shall review the Facility Wide Delegations at regular intervals, at least annually, to ensure that:

- All contracts are reviewed (e.g. list of open; closed; received; late delivery, cancelled contracts and purchase orders.),
- All risks identified on the RIAC are still relevant,
- Reporting activity requested by the Delegator meets the delegation requirements and they are still proportional to the projects or contractual risks,
- Consideration is given to updating and reissuing the RGQA.

D.6.4.3 Communication between the Delegator and GQAR (identified by the Delegatee) is critical in ensuring that any GQA surveillance activities are directed at identified risks and are effective.

#### **D.6.5 Facility Wide Closure**

D.6.5.1 The Facility Wide Delegation can be closed by following the GQA closure instructions (see section 15), when all contracts and/or purchase orders for a Facility Wide Delegation are completed. The Delegatee should confirm with the Delegator that no more tasks are forecast within six months.

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**AQAP-2070(B)(4)**