



OCCAR Management Procedure

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Record of changes

Date	Issue	Changes
11/03	1	Creation of the document. OMP approved by the BoS.
11/06	2	<ul style="list-style-type: none"> • Insertion of new paragraphs covering GQA Management, Risk Management and the formal establishment of a “Quality Assurance Working Group” with Terms of Reference; • Flexibility in RGQA distribution for Consortiums where consortium members are located in different Nations; • Clarification of cost for GQA; • Alignment with updated reference documents; • Restructuring of the document to bring it in line with OMPs published after 2003 and conversion to the OCCAR-EA graphical house style; • Updating of existing forms.
11/01/12	3	Reviewed and amended from lessons learned and to align with the latest version of AQAP 2070.

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List of terms/definitions/explanations

Term	Definition / Explanation
Acquirer	OCCAR-EA, that enters into a contractual relationship with a Supplier, defining the Product and quality requirements.
Certificate of Conformity	A document, signed by the Supplier, which states that the Product conforms to contractual requirements.
Consortium	An association of several business companies.
Contract	An agreement in support of an OCCAR Programme, concluded between an Acquirer and a Supplier, or any sub-agreement arising there from, including all specifications, plans, drawings, schedules and other documentation, expressly made part of such an agreement.
Customer	Organisation or person that receives a Product.
Delegatee	The appropriate national authority performing GOA after acceptance of the RGQA.
Delegator	The appropriate authority requesting GOA.
Facility Wide Delegation	The facility wide approach allows GQA results, relating to common Supplier risks, to be shared across contracts and/or Delegators
Government Quality Assurance	Process by which the appropriate National Authorities establish confidence that the contractual requirements relating to quality are met.
Government Quality Assurance Representative	The representatives are the personnel with responsibility for Government Quality Assurance, acting on behalf of the Acquirer.
GQA Surveillance Plan	A document identifying the activities, which should be performed by the GOAR with respect to the accepted RGQA.
Member State	A State that has ratified the OCCAR Convention.
National Quality Assurance Authority	The national/ Government authority in Member or Participating States, which is responsible for the implementation of the provisions of this document.
National Focal Point	The recipient of incoming RGQAs in a State where GOA is to be performed.
Nonconformity (Major/Minor)	<p><u>Major</u> A nonconformity that is a departure from the specified technical or functional requirements, which may effect i.e. safety, reliability, maintainability, interchange ability, service/ storage life, performance/ function, cost, health/ environment, appearance, time or other area that may reduce the ability to meet the specified requirements.</p> <p><u>Minor</u> A nonconformity that is a departure from the specified technical or functional requirements not meeting the criteria of major.</p>
Other State	A Non Member State and Non Participating State, in which GQA tasks have to be performed for an OCCAR Programme.
Participating State	A State, which has signed the BoS Programme Decision or accepted it or signed a Programme Board Decision.
Pre-Contract Award Evaluation	A systematic evaluation of a potential supplier's ability to meet contract requirements prior to contract award.
Product	Result of activities, processes, and tasks. A Product may include service, hardware, processed materials, software or a combination thereof. A Product can be tangible (e.g.

Term	Definition / Explanation
	assemblies or processed materials) or intangible (e.g. knowledge or concepts), or a combination thereof. A Product can be either intended (e.g. offering to Customers) or unintended (e.g. pollutant or unwanted effects).
Programme	For OCCAR purposes, a Programme is to be understood as a collaborative armament Programme which is managed by OCCAR-EA. This includes Technology Demonstrator Programme (TDP).
Programme Manager	Head of the Programme Division and responsible to the Director of OCCAR-EA for meeting the Programme High Level Objectives. The PM heads and manages a Programme Division.
Quality Management System	Management System to direct an organisation with regard to quality.
Quality Plan	A Quality Plan is a Supplier's document that specifies which procedures and associated resources shall be applied by whom and when to a specific project, Product, process or contract requirement.
Request for Government Quality Assurance	The formal request from the Delegator to the Delegatee to perform GQA.
Risk	An uncertain event or condition that if it occurs has a positive or negative effect on a project's objective.
Supplier	Organisation that acts in a Contract as the provider of Products to the Acquirer.
Task	The work requested by the Delegator in the RGQA.

List of acronyms

AQAP	Allied Quality Assurance Publication
CoC	Certificate of Conformity
CM	Configuration Management
FWD	Facility Wide Delegation
GQA	Government Quality Assurance
GQAR	Government Quality Assurance Representative
ISO	International Organisation for Standardisation
NPC	National Programme Coordinator
NQAA	National Quality Assurance Authority
PCAE	Pre-Contract Award Evaluation
PRM	Programme Review Meeting
QA	Quality Assurance
QAWG	Quality Assurance Working Group
QMS	Quality Management System
RGQA	Request for Government Quality Assurance
R&M	Reliability & Maintainability

1. **Introduction**

1.1 **Scope**

This Government Quality Assurance (GQA) Policy document covers the management of GQA services provided by OCCAR Member States for all OCCAR Programmes and Participating States for OCCAR Programmes in which they participate. It is intended to form the basis of separate arrangements with any Other State when necessary.

1.2 **Purpose**

This OCCAR Management Procedure (OMP) has been developed to define the process, procedures, terms and conditions under which GQA is to be managed by OCCAR-EA and performed by the appropriate GQA organisation of one OCCAR Member / Programme Participating State related to OCCAR Programmes and requested by OCCAR-EA.

2. **Related documentation**

OCCAR	Convention
OMP 1	Principle Programme Management Procedure
OMP 2	Programme Integration
OMP 4	Legal Issues
OMP 6	Contract Terms and Conditions
OMP 10	Financial Rules
OMP 11	Security Regulations
OMP 12	Handling of unclassified Sensitive Information
AQAP-2070	NATO Mutual Government Quality Assurance Process
AQAP-2105	NATO requirements for deliverable quality plans
AQAP-2110	NATO QA requirements for design, development and production
AQAP-2120	NATO QA requirements for production
AQAP-2130	NATO QA requirements for inspection and test
AQAP-2131	NATO QA requirements for final inspection
AQAP-2210	NATO Supplementary Software QA requirements to AQAP 2110
ISO 9000	Quality Management Systems – Fundamentals and Vocabulary
ISO 9001	Quality Management Systems – Requirements

3. **Related forms and templates**

Form OMP 7-1	OCCAR-EA Risk Identification, Assessment and Communication (RIAC)
Form OMP 7-2	OCCAR-EA Request for Government Quality Assurance (RGQA)
Template OMP 7-3	Response to Government Quality Assurance Request (RGQAR)
Template OMP 7-4	Government Quality Assurance Closure Report (GQACR)
Form OMP 7-5	Delegation Feedback Form
Template OMP 7-6	Certificate of Conformity
Form OMP 7-7	Application for Deviation Permit / Concessions
Form OMP 7-8	Appropriate National Quality Authorities and Focal Points

4. Principles

4.1 Provision of GQA

Member States recognise that OCCAR-EA can request them to provide GQA for all OCCAR Programmes irrespective of their involvement in the Programme in accordance with the provisions of this OMP. Participating States can also be requested by OCCAR-EA to provide GQA for the Programmes in which they are involved in accordance with the provisions of this OMP.

The National Authorities of the OCCAR Member States and Participating States responsible for the implementation of GQA are listed in Form OMP 7-8.

4.2 Costs of GQA

The Member States recognise that the provision of GQA is costly and often involves the commitment of significant resources.

Nevertheless, GQA services in relation to the OCCAR Programme shall be provided by each Participating State at no cost to the Programme.

Where GQA is provided by a Member State not involved in the Programme or by a Non-Member and Non-Participating State, the additional costs where applicable shall be distributed by mutual agreement of the Programme Participating States on a case-by-case basis.

4.3 Liability

The Delegatee shall not be liable for damage arising from acts or omissions during the implementation of GQA arranged in accordance with this OMP. This shall not apply to damage that has been caused by gross negligence or wilful misconduct of the staff employed by the Delegatee.

The fact that the Delegatee has signed a Statement of GQA (on the CoC), confirming that the supplies identified on the document have been subjected to GQA, shall not relieve the Supplier of their responsibility to furnish Products that meet all requirements of the Contract. In the event that Nonconformities are discovered on or subsequent to delivery of the Product, no liability shall be attached to the Delegatee. The Delegatee may on request, assist the Delegator in the investigation of such Nonconformities. The Delegator shall provide the Delegatee with a full description of the Nonconformities with supporting evidence, and if possible, samples of the affected parts.

4.4 GQA Management

4.4.1 General

GQA provides confidence to OCCAR-EA that the supplier is complying with the terms of the relevant Contract by mitigating risk areas that have been identified for the Product or Supplier.

In order to assure that Contracts contain the appropriate clauses regarding GQA, specific reference may be made to AQAP 2000 series as part of the contractual requirements.

The Programme Manager shall decide whether or not to establish a Quality Assurance Working Group (QAWG). The QAWG is composed of national delegates from Member States and Participating States involved in the

Programme/Contract, the objectives of the group are detailed in the terms of reference, Annex OMP 7-A.

If GOA activities are considered necessary, a Risk Identification Assessment and Communication (RIAC) Form OMP7-1 and a Request for Government Quality Assurance (RGQA) Form OMP 7-2 shall be issued to the relevant National Quality Assurance Authority (NQAA) in which the Contractor is located. The Delegator in consultation with the delegatee NQAA shall determine the individual programme requirements for GOA delegations at sub-supplier level.

If it is not possible for the NQAA, where the Contractor is located, to perform the process or when an OCCAR-EA Contract is awarded to a Consortium with industrial members located in different Nations, a RGQA may be issued to each relevant NQAA.

GOA activities can only be conducted by the National Quality Assurance Authority. In exceptional cases, where a Nation is unable to provide GOA, the Delegator shall consider other arrangements.

GOA is an activity to be discussed solely between the Delegator and the National Quality Assurance Authority in the supplying Nation acting as the Delegatee. Copies of RGQA are not to be sent to the Supplier.

4.4.2 Sub Contracting / Sub Contractors.

It is solely the responsibility of the Supplier to control Sub-suppliers; GOA activities at the Sub-supplier level are not intended to supplement or replace that responsibility. Sub-delegation should be considered during the GOA request process. See Annex OMP 7-E for further guidance.

4.4.3 Post Contract Award GOA Meeting

When considered beneficial either the Delegator or GQAR may propose the post contract award GOA meeting with the Supplier in order to discuss or clarify QA requirements. The meeting should be used to identify and/or clarify such issues as:

- QMS or inspection requirements;
- Quality plans, CM plans, Software plans, R&M plans, or other contractually required QA documentation or deliverable technical data;
- GOA activity to be performed in support of the Contract;
- Procedures for dealing with requests or deviation permits and / or concessions;
- Certificate of Conformity requirements;
- Critical safety items, airworthiness items, submarine items, etc. identified in the Contract;
- GQAR involvement in design reviews, CM activities, testing etc;
- First article testing/Pre-production testing;

- Points of Contact and ways of working.

4.4.4 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, within contractual limits, which will include AQAP requirements when so agreed by the Nations involved, to satisfy the accepted requirements of the RGQA. 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.

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

- Reference to all risks being monitored;
- Identification of the specific systems (or elements thereof), processes and/or products requiring GQA;
- GQA activities for each identified Risk;
- Schedule of the GQA activities;
- Intensity of GQA, e.g. periodicity, sampling and FWD;
- Other GQA activities to be performed.

4.5 Correspondence language

Correspondence shall always be provided in the English language, additionally another language may be conjointly chosen if it helps to a better understanding and sharing.

5. Process

5.1 Risk Identification, Assessment and Communication

In order to determine whether GQA is required, it is necessary to plan, perform and review GQA based on risk. This process is structured around Form OMP 7-1 Risk Identification, Assessment and Communication (RIAC).

Assessment is to continue throughout the life of the GQA delegation, by all participants, to ensure that the GQA remains aligned to the fulfilment of the requirement relating to quality.

5.2 Request for Government Quality Assurance (RGQA) - Delegation preparation and release

Form OMP 7-2 RGQA is used to communicate all relevant information to the delegatee with respect to the product and the OCCAR-EA requirements and expectations.

The OCCAR-EA Programme Manager as Delegator shall issue the appropriate number of RGQAs to National Focal Points (Delegatee) with a copy to the National Programme Coordinator (NPC) according to the recommendations of the QAWG.

The RGQA shall communicate all relevant information to the Delegatee with respect to the product and Delegator's requirements and expectations. The Delegator specifies the type and scope of the required GQA on the basis of:

- A thorough review of the Contract prior to issuing the RGQA to ensure that there are no incomplete, ambiguous or conflicting contract requirements;
- Risk considerations in accordance with Annex OMP 7-B, AQAP 2070 and national practices;
- Risk information obtained via Pre-Contract Award Evaluation (PCAE) or from data on Supplier performance on previous Contracts;
- Outcome of consultation with the Delegatee in advance, when possible.

The requested GQA Product may include GQA Surveillance Plans, comments on Quality Plans or any relevant available information detailing supplier's quality history and current Risk information feedback.

The Delegatee is to be provided with all essential information to properly plan for the GQA activities (RGQA, RIAC and a copy of the whole Contract and/or subcontract / or relevant chapter(s) of the Contract and/or subcontracts). Product(s) defined in the Contract with a significant designator i.e. Critical Safety Items (CSI), flight critical, level 1 submarine-safety etc, shall be identified as such on the RGQA so as to assist the Delegatee in planning the intensity and frequency of the GQA activities. If this information is discovered at a later point in time, the Delegator shall notify the Delegatee and revise the delegation as necessary.

The format, media and number of copies of these documents should be as jointly decided by the Delegator and Delegatee. If such documents are not forwarded with the request, the Delegator shall arrange for adequate access or copies to be provided to the Delegatee by the Supplier.

Any changes to the Contracts shall be forwarded to the Delegatee without delay. The Delegator shall ensure that the Delegatee is promptly supplied with any amendments, modifications or changes to the information originally supplied together with the Contract. The Delegator shall inform the Delegatee about any correspondence between the Delegator and the Supplier pertaining to matters that could affect the quality of the Product.

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. Annex OMP 7-B and 7-C illustrates the Delegator's responsibilities with regard to the delegation preparation process.

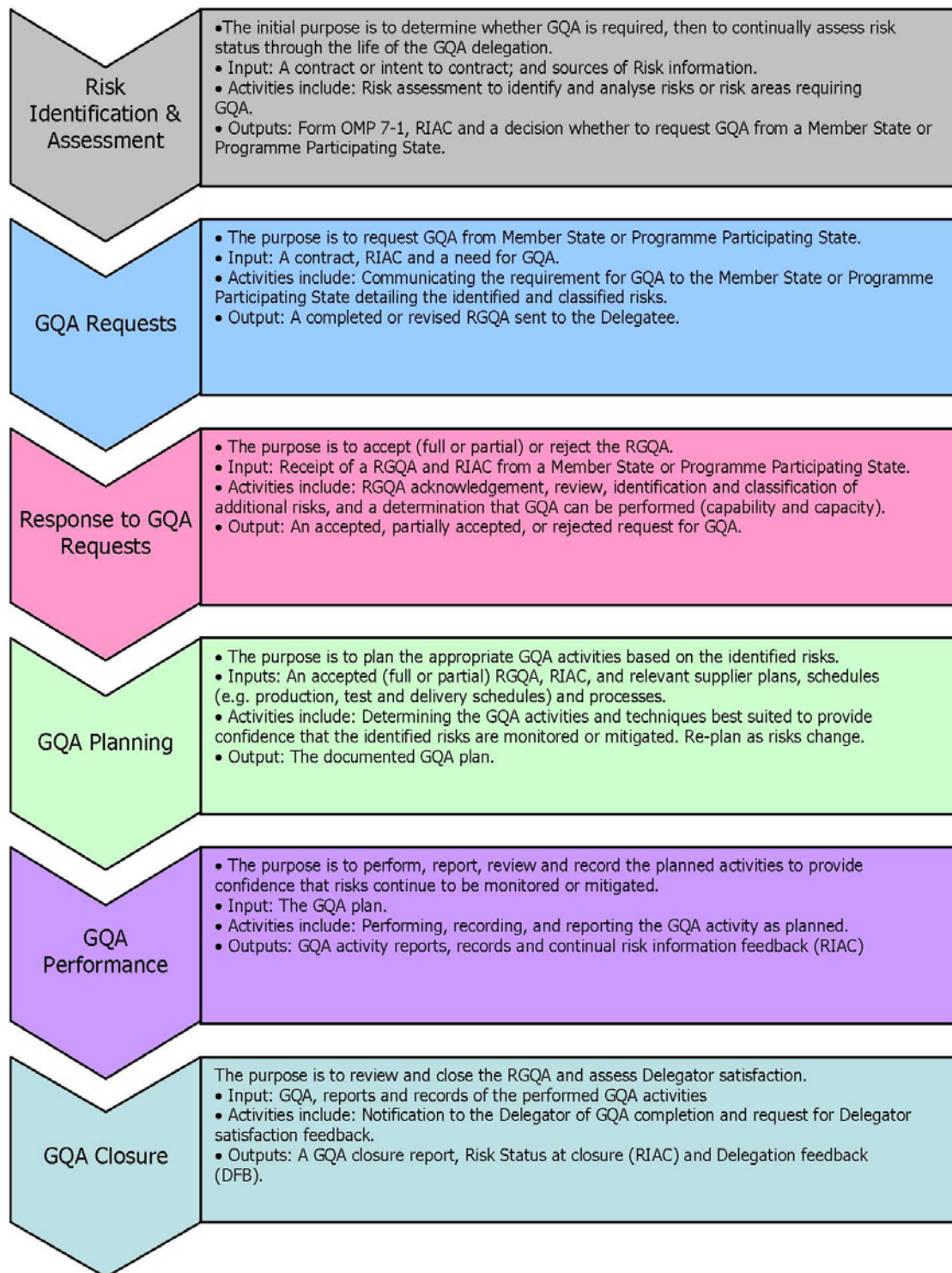


Figure 1 – OCCAR-EA GQA Overview

5.3 RGQA Acceptance and GQA Planning Process

Annex OMP 7-D describes the Delegatee's process for accepting the RGQA and planning the GQA activities.

5.3.1 Acknowledgement and Acceptance of RGQA

The National Focal Point (NFP) shall acknowledge receipt of the RGQA within 5 working days, preferably by return E-mail. The acknowledgement signifies that the RGQA has been received and is being processed.

The Delegatee shall, based on a review of the RGQA, RIAC and associated documentation, determine if it can be accepted fully or in part. The Delegatee shall notify the Delegator of the determination by completing a Response to Government Quality Assurance Request (RGQAR) based on Template OMP 7-3. This shall be done within 20 Working days of receipt of the RGQA, unless by prior agreement with the Delegator.

When accepting a RGQA the Delegatee may provide alternative or additional proposals and should provide an estimate of the number of working hours required to perform the requested GQA. The Delegatee shall inform the Delegator of the decision to accept or reject the RGQA by completing the RGQAR.

When rejecting a RGQA the Delegatee shall formally notify the Delegator and provide reasons for the rejection. The formal explanation shall be attached to the RGQAR when it is sent to the Delegator.

Where the Delegatee provides alternative or additional proposals, the Delegator should confirm acceptance or not of the amended RGQA. The Delegator should always ensure that any subsequent information required by the Delegatee is sent to the address shown on the RGQA.

5.3.2 Review of Contract Requirements

On receipt of the RGQA, the GQAR is responsible for checking that the Contract contains the relevant requirements with respect to GQA, e.g.:

- Appropriate contractual Quality Assurance standards have been invoked; e.g. appropriate AQAPs;
- All applicable contractual requirements are flowed down to subsequent sub-contracts;
- Access and assistance for the GQAR, such as described in AQAP 2110, 2120 and 2130 are provided at no additional costs;
- The supplier to complete, sign and issue a Certificate of Conformity (CoC) at product release. The CoC shall include the identification of agreed deviation permits and concessions. Template OMP 7-6 is a suitable example of a CoC;

The Delegatee shall inform the Delegator immediately on identifying any unsatisfactory or ambiguous contract conditions. OCCAR-EA shall take all the necessary action required.

5.4 Performance of Government Quality Assurance

The Delegatee shall establish and maintain a GQA Plan that meets the Delegator's stated RGQA requirements.

When requested, the Delegatee shall, prior to GQA commencing, submit the GQA Plan for the Delegator's comments.

The Delegatee shall perform GQA in accordance with the GQA Plan. If the Delegatee is unable to perform GQA the Delegatee shall inform the Delegator.

Should the Delegatee discover during the course of GQA activities deficiencies in the supplier's Quality Management System or Products, which are of major importance or could be a cause of excessive delays, the Delegatee shall notify the Delegator immediately.

The GOAR shall complete a Government Quality Assurance Closure Report (GOACR) to certify that the agreed GQA has been performed. An example of a GOACR is included as Template OMP 7-4.

Where the Delegatee identifies non-compliances to contract conditions during GQA activities he shall request the Supplier to define and implement corrective actions. The method for requesting corrective action shall be in accordance with national practices. Contract requirements normally require the Supplier to initiate corrective and preventive action in response to the identified Nonconformities. The GOAR should verify that the Supplier has effectively implemented appropriate corrective or preventive actions to prevent recurrence of the Nonconformity. The GOAR issuing a Quality Deficiency Report to a Supplier should send a copy of the report to the Delegator and consider updating the RIAC (Form OMP 7-1) to highlight the unsatisfactory condition to the Delegator. GOARs operating at sub-supplier level should not take any direct action or make any statement that could be construed as interfering with the contractual arrangements between the Supplier and their Sub-Supplier.

When any sub-delegation requires payments to be made, instructions shall be sought from OCCAR-EA on a case-by-case basis. Any subsequent cost shall be dealt with in accordance with the provision of paragraph 4.2 of this OMP.

The Delegatee shall perform GQA according to the Delegatee's national practice unless other procedures are decided upon.

GQA is considered complete when the GOAR has completed all of the agreed tasks in the RGQA, or when the Delegator has notified the Delegatee that GQA is no longer required. The GOAR should notify the Delegator of GQA completion by submitting a GOACR.

The retention period for Delegatee's GQA records should be in accordance with the national practices of the Delegatee, unless jointly decided otherwise by the Delegator and Delegatee.

Annex OMP 7-F describes the GQA performance process and Annex OMP 7-G the process for notification of RGQA completion.

5.5 Risk¹ Information Feedback

The risk information shared between the Delegator and GOAR, may be commercially sensitive and is to be handled in accordance with OMP 12.

The feedback of risk information, between the Delegator and the GOAR is extremely important to the continued success of the mutual GQA process. The GOAR provides risk information feedback (status of identified risks) at RGQA

¹ A Risk is characterised by the following two main elements:

- 1) Probability or likelihood of failing to achieve a particular outcome and
- 2) Consequence or impact to achieve the particular outcome

completion or on a continuing basis as agreed with the Delegator using the RIAC, Form OMP 7-1. This information must be maintained by the Delegator to assist in RGQA planning for future Contracts with the same Supplier.

Annex OMP 7-F illustrates the Risk Information Feedback process between the Delegator and GOAR.

5.6 Deviation Permit and Concessions

OCCAR contracts require the Supplier to provide Products that fully meet the contract requirements. When the Supplier intends to deliver nonconforming products, the following applies:

1. Due to the difference in national practices regarding the acceptance and processing of deviation permits and concessions, the Delegator at OCCAR-EA shall specify the Delegatee's involvement in the deviation permits / concessions process in the RGQA form. The Delegator shall ensure that any contractual requirement regarding the processing of deviation permits and concessions is clearly identified in the RGQA.
2. Unless stated otherwise in the Contract, the Supplier is responsible for properly documenting the non-compliance(s), classifying the non-conforming product(s) as major or minor and for recommending a disposition for the non-conforming material (use as it is, repair, rework etc.). The supplier shall submit the deviation permit / concession application in a format acceptable to the Delegatee. A suitable example is provided within Template OMP 7-7.
3. When jointly decided in the accepted RGQA, the Delegatee's responsibilities with regard to minor deviation permit/ concession applications are to:
 - Ensure the Supplier has accurately documented and described the non-conformance on each application;
 - Ensure Supplier's corrective actions are effective, as necessary;
 - Concur with the Supplier's classification of the application as a minor on behalf of the Delegator;
 - Indicate concurrence or non-concurrence with the application by signing the supplier's documentation (Form OMP 7-7), where required;
 - Notify the Delegator when an unfavourable trend develops concerning deviation permits and concessions presented by the Supplier.
4. Acceptance or rejection authority for major deviation permits and/or concession applications shall never be delegated to the Delegatee. This authority remains with the Delegator. The supplier shall prepare applications for major deviation permits and/or concessions by using form OMP 7-7. When jointly decided in the accepted RGQA the Delegatee's responsibilities are limited to:
 - Checking major deviations permits and/or concessions are properly documented and classified by the Supplier;

- Provide comments and/or recommendations on the Supplier's application for major deviation permits and/or concessions.

Then the Supplier shall forward it to the Delegator for decision.

5. In situations where the supplier's application for a major deviation permit and concession exceeds the Delegatee's technical expertise / competence, the Delegatee shall notify the Delegator so that appropriate support can be provided.
6. Cancellation of concessions should be dealt with at the same level as which it was approved.
7. Appendix 2 to Annex OMP 7-H illustrates the deviation permit and concession process.

5.7 Nonconforming Product and Customer Complaint Investigations

Nonconforming products that have been delivered to the Customer are typically reported via customer complaints. The process input is the notification from the Delegator that a Customer has initiated a post delivery customer complaint to the Supplier.

Based on the customer complaint the GOAR coordinates the investigation with the Supplier per instructions received from the Delegator. The GOAR verifies and validates supplier's investigation and corrective / preventive actions and provides the results and findings to the Delegator.

The GOAR also has to maintain records of all activities associated with the investigation of the nonconforming Product in accordance with national practices or as requested on the RGQA by the Delegator. Copies of non-conformance reports should be made available to the Delegator upon request.

The Acquirer and Supplier shall coordinate arrangements concerning the Supplier's cost of investigations or Product expended in the course of investigations. The GOAR shall not authorise the Supplier to incur costs without expressed written authorisation of the Delegator. All matters which may have contractual consequences (e.g. have an effect on cost) must be referred to the Delegator for coordination with the Acquirer (if different).

Appendix 4 to Annex OMP 7-H illustrates the nonconforming product and customer complaint investigation process.

5.8 Exchange of Information

While performing GQA, the Delegator and Delegatee shall co-operate in accordance with the provisions of this OMP. They shall keep each other informed of any event, which is likely to affect the implementation of GQA or the quality of the Products.

The Delegatee shall be informed by the Delegator of all correspondence pertaining to quality between the Delegator and the Supplier.

As the need arises, GQA representatives shall meet to exchange information and experience regarding GQA matters and to discuss any problems.

5.9 Protection of Classified and Sensitive Information

Information, which has been classified in the interest of security – hereafter – referred to as Classified Information – and which may need to be exchanged between Member and/or Participating States or made accessible to representatives of the Member and/or Participating States in connection with this OMP shall be handled and protected in accordance with the provisions stated in OMP 11.

Any release of Classified Information to the Delegatee or representatives of the Delegatee shall be in compliance with Programme specific security requirements.

The recipients shall not use such Classified Information for purposes other than those for which it was provided and shall comply with any distribution and access restrictions stated by the originator.

The Delegatee shall also comply with distribution and access limitations, which may pertain to any other information, such as commercially sensitive information, which occasionally is marked as “Commercial in Confidence”. The Delegatee shall protect such information in compliance with appropriate regulations applicable to the Delegatee or requirements stated by the originator of such information. This information shall only be disclosed to aid the performance of the Delegatee’s duties. OCCAR-EA shall handle and protect such Sensitive Information in accordance with OMP 12.

6. Extension to Participating States and Other States

For Participating States GQA shall be provided in accordance with this OMP 7.

Where GQA is required in another State, which has not accepted the provisions of this OMP 7, a separate arrangement in accordance with article 37 of the OCCAR Convention shall need to be established between OCCAR-EA and the individual State before GQA can be requested.

7. Annexes

Annex OMP 7-A	Terms of Reference of the Quality Assurance Working Group
Annex OMP 7-B	Risk Identification, Assessment & Communication Instruction and Guidance
Annex OMP 7-C	GQA Request Instruction and Guidance
Annex OMP 7-D	Response to GQA Request Instruction and Guidance
Annex OMP 7-E	GQA Planning Instruction and Guidance
Annex OMP 7-F	GQA Performance Instruction and Guidance
Annex OMP 7-G	GQA Closure Instruction & Guidance
Annex OMP 7-H	GQA Supporting Activities
Appendix 1	Nonconformities Process Overview
Appendix 2	Deviation Permit and Concession Process
Appendix 3	Corrective Action Process
Appendix 4	Nonconforming Product & Customer Complaint Investigation Process
Appendix 5	Sub- Delegation Process

1. Introduction:

Government Quality Assurance (GQA) provides confidence to OCCAR-EA that the Supplier is complying with the terms of the relevant Contract by reducing or eliminating quality risks that have been identified for the Product or Supplier.

To facilitate the implementation of GQA, the QA Manager may establish a forum for the exchange of GQA information and the provision of advice on Quality Assurance matters to the QA Manager and the Programme Manager respectively as an aid to the communication of Quality information to all participants. The forum, established under the temporary mandate by the Programme Manager as a Quality Assurance Working Group (QAWG), will remain in existence for the duration of the Programme or Contract.

2. Objective of the Group:

The objective of the group is to provide support and advice to the QA Manager on all aspects of the Government Quality Assurance within a specified OCCAR-EA Programme. The Quality Assurance Working Group is partially or fully tasked with:

- Providing advice during the definition of the appropriate QA contractual requirements including documentation relating to GQA;
- Advising on the Programme GQA strategy;
- Contributing to the establishment of the initial risks list (*Risks regarding compliance with contractual requirements*);
- Updating OCCAR-EA with contract risk information to enable risk list to be maintained;
- Aiding definition of the GQA tasks to be performed;
- Reviewing planned GQA activities;
- Presenting GQA aspects during the Programme Review Meeting (PRM);
- Harmonising and promoting consistency in the performance of GQA.

3. Authority:

The group will act under the direction and supervision of the Programme Manager within OCCAR-EA to whom it will report its findings.

4. Methodology:

The group will meet as required to fulfil the assigned tasks within the mandated period, normally where the Programme Division is located. The meeting will be held in a timely manner prior the Programme Committee (PC) Meeting / Programme Review Meeting.

5. Chairmanship:

The chairman will be the QA Manager of the OCCAR-EA Programme Division.

6. Membership:

The Quality Assurance Working Group is composed of national delegates from Member States and Participating States involved in the Programme/Contract.

7. External Participants as required:

The Quality Assurance Working Group may meet with the attendance of Supplier QA / Sub-Supplier QA representatives as liaison and as advisors on request (preferable as a regular participant).

Annex OMP 7-B Risk Identification, Assessment and Communication Instruction

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.

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 a Nation

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.

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?'

3 Risk Assessment

Risk shall be assessed to determine whether to request GQA from a 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.

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.

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.

4.2 Contractual Conditions

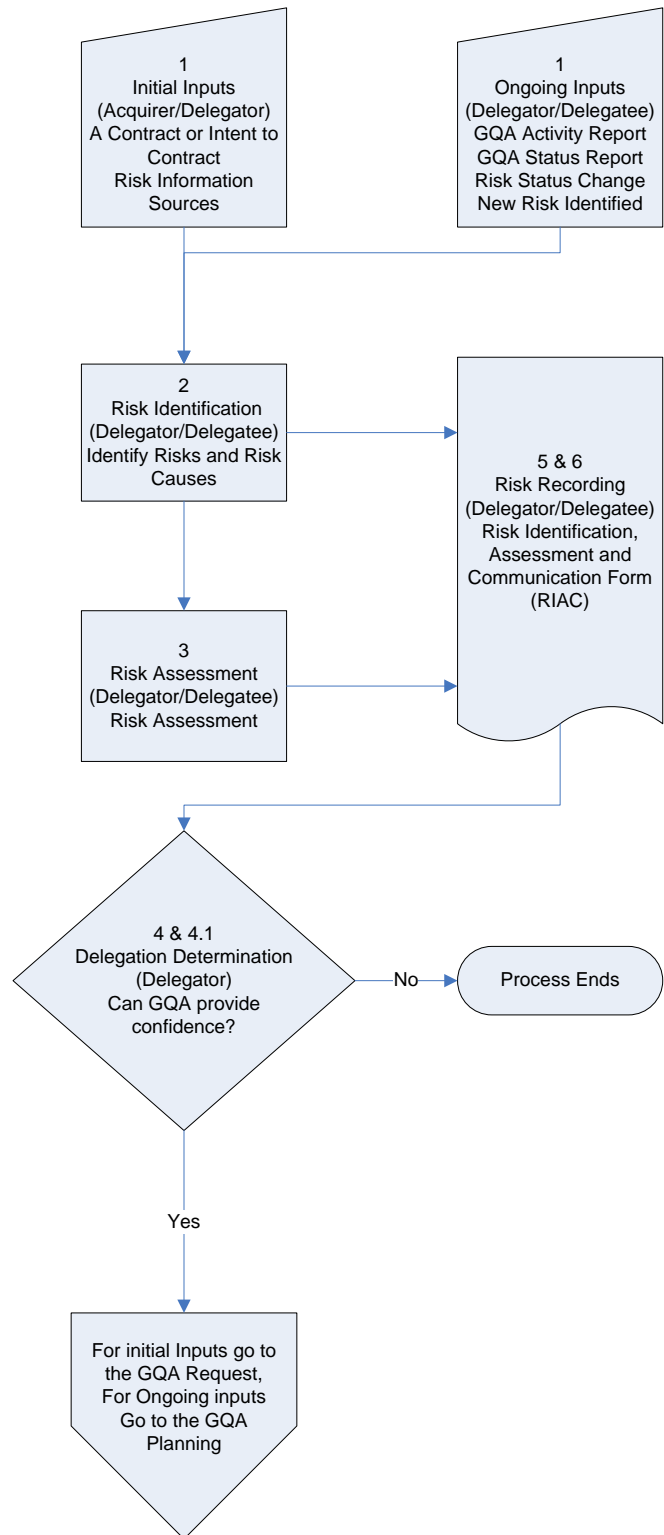
The Delegator shall verify that the contract or intended contract contains adequate contractual conditions.

5 Risk Communication

The RIAC, Form OMP7-1, shall be used to communicate the GQA related risks and their ongoing status.

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 GQA Participants, unless by prior agreement with the Acquirer, Supplier and GQAR.



RISK IDENTIFICATION, ASSESSMENT AND COMMUNICATION GUIDANCE

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.

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.

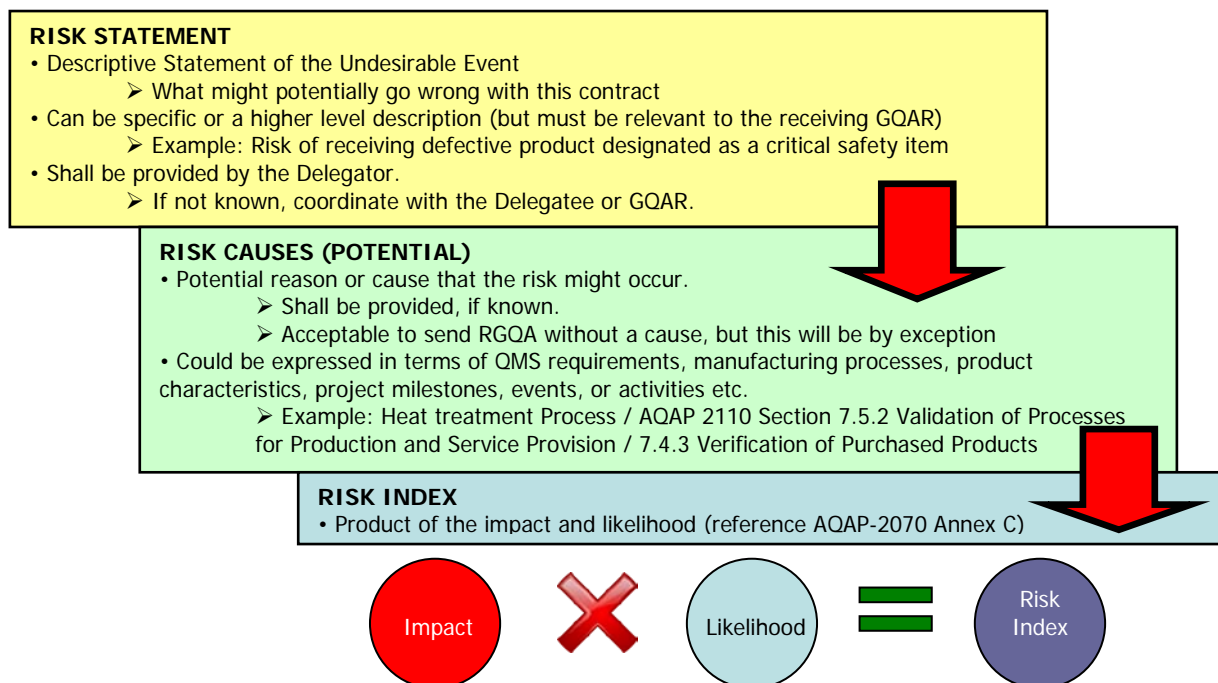


Figure 2 - The concept of the GQA risk identification and assessment process

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.

Purpose: To request GQA from a Nation.
 Inputs: A contract, RIAC (Form OMP 7-1) and a need for GQA.
 Activities: Activities include communicating the requirement for GQA to the Delegatee Nation detailing the identified and classified risks.
 Outputs: A completed or revised RGQA and RIAC sent to the Delegatee.

1 Inputs/Initiators

The GQA process becomes applicable after the OCCAR contract and/or derived subcontract is issued and where a requirement for GQA is determined.

1.1 RGQA Revision

Any changes to the RGQA shall be communicated and recorded

2 RGQA Preparation

The Delegator shall complete the Form OMP 7-2 RGQA. The Delegator shall clearly identify, on the RGQA, any specific requirements or expectations including:

- a) Whether a copy of the GQA plan is required;
- b) Whether the GOAR is required to sign a Statement of GQA on the CoC ;
- c) Any applicable product release requirements;
- d) The authority delegated to the GOAR concerning the processing requests for deviation permits or concessions from suppliers or sub-suppliers;
- e) Reporting requirements;
- f) Any sub-delegation requirements and
- g) Any other requirements or exclusions.

2.1 GQA Activities and Techniques

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

2.2 The Facility Wide Approach

The facility wide approach allows GQA results, relating to common Supplier risks, to be shared across contracts and/or Delegators. The Delegator shall ensure that all contracts are reviewed periodically to determine whether previously identified risks have changed or if additional risks are present before deciding to request an addition to a facility wide delegation. Based on this review, the facility wide delegation shall be revised if necessary.

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

3 Contractual Information

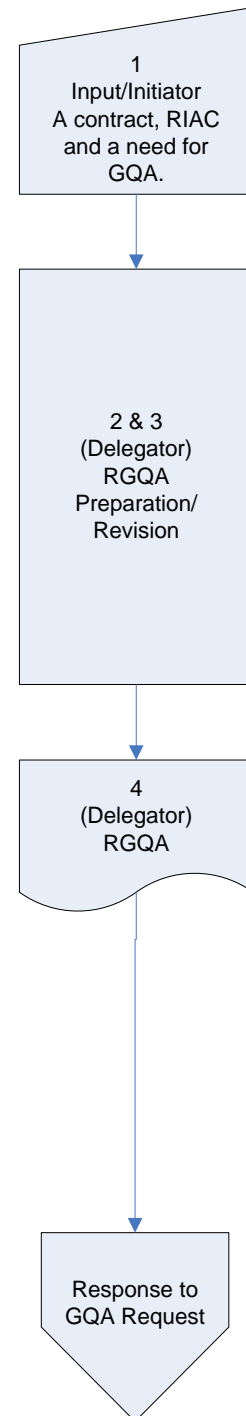
It is the Delegator's responsibility to ensure that the RGQA contains or references all the information needed for the GOAR to plan and perform the GQA. As a minimum this includes the completed RIAC and Delegator requirements and product descriptions. The Delegator shall ensure that the Delegatee receives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

4 RGQA Transmission

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

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



GQA REQUEST GUIDANCE

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

Note: This process shall be applied for all GQA sub delegations, refer to the GQA Planning Process and Annex OMP 7-E.

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.

The Facility Wide Approach. The facility wide approach is recommended where the Delegatee has more than 1 delegation with similar risks. The facility wide approach enables more efficient allocation of GQA resources.

GQA on Low Risk. 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.

RGQA Transmission. Preferably the Delegator should electronically transmit the RGQA and RIAC along with the contract and supporting information, to the appropriate National Authorities or focal points.

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:

- Legal/statutory requirements that could affect the contract and/or the performance of GQA;
- Appropriate contractual AQAP; or equivalent QMS requirements and GOAR and Acquirer right of access into the Supplier's or Sub-supplier's facility to perform GQA;
- Appropriate contract technical requirements or reference thereto;
- Instructions related to product release from the Supplier's facility, including CoC requirements;
- Procedures for dealing with requests for deviation permit/concession (reference Appendix 4 to OMP 7-H);
- Requirements for Supplier generated deliverable plans, e.g. quality plan, risk management plan, configuration management plan;
- Design reviews, first article inspection and/or specific testing requirements andh) Contract delivery schedule requirements.

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

Annex OMP 7-D Response to GQA Request Instructions

Purpose: To accept (full or partial) or reject the RGQA
Inputs: Receipt of a RGQA and RIAC from OCCAR.
Activities: RGQA acknowledgement, review, identification and classification of additional risks, and a determination that GQA can be performed (capability and capacity).
Outputs: An accepted, partially accepted, or rejected request for GQA.

1 GQA Acknowledgement

The focal point shall acknowledge receipt of the OMP Form 7-2 RGQA. The acknowledgement should be within 5 working days and preferably by return email message. The acknowledgement signifies that the RGQA has been received.

2 RGQA and Associated Documentation Review

In order to properly plan GQA activities the GQAR shall review the RGQA and associated documentation. 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.

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.

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.

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) based on Template OMP 7-3. This shall be done within 20 working days of receipt of the RGQA, unless by prior agreement with the Delegator.

3.1 RGQA Partial Acceptance

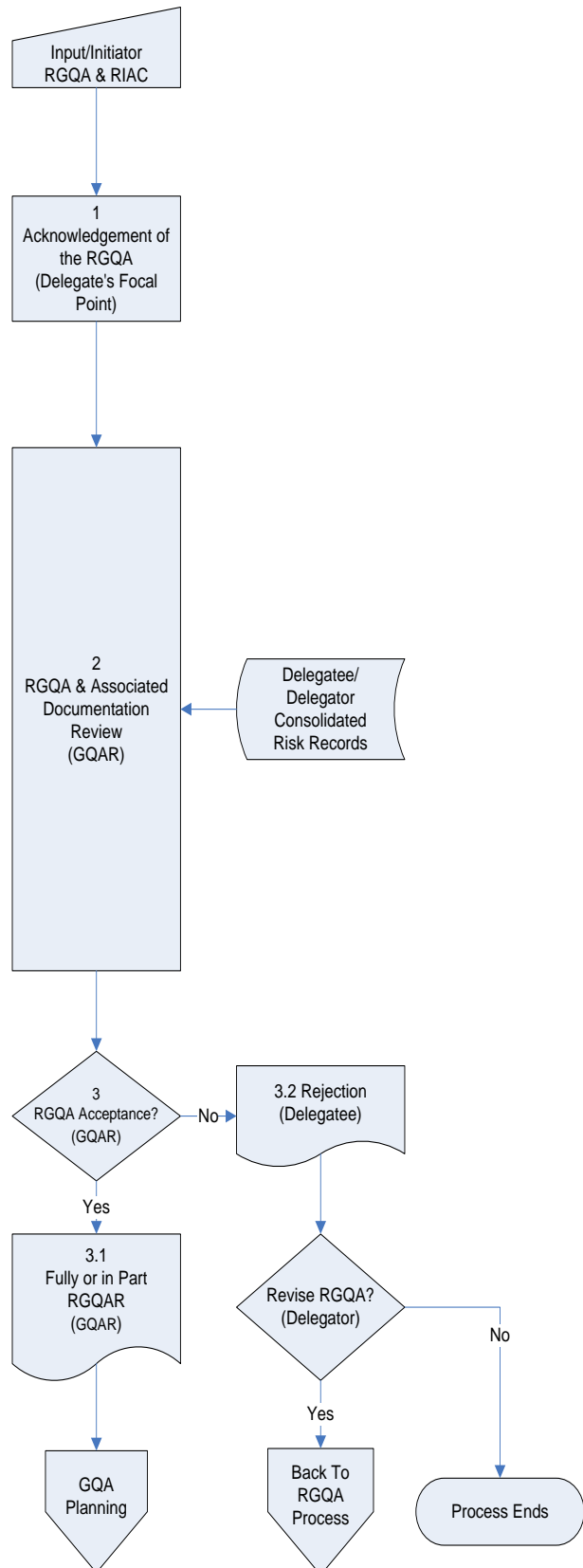
Where the GQAR can only accept the RGQA in part, the GQAR shall complete the RGQAR accordingly and discuss alternatives for the requirements that cannot be accepted with the Delegator. While issues are being resolved, the implementation of GQA on the accepted aspects of the RGQA shall not be delayed. Acceptance, in part, of a RGQA shall be on an exception basis. Acknowledgement of the partial acceptance from the Delegator is not needed prior to GQA performance.

3.2 RGQA Rejection

If the GQAR cannot accept the RGQA, the GQAR shall complete the RGQAR accordingly, as soon as possible, explaining why the RGQA cannot be accepted. Rejection of an RGQA shall only be on an exception basis.

4 Termination of GQA

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



RESPONSE TO GQA REQUEST GUIDANCE

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.

Contract Review Considerations. During the review particular emphasis should be placed on the following, as applicable:

- 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;
- The GQAR's delegated authority with respect to the processing of Supplier's deviation permits and/or concessions;
- The Supplier's authority concerning deviation permits and/or concessions;
- QMS requirements;
- Product technical requirements, if provided;
- The Delegator's requirements relating to product release including the signing of a statement of GQA;
- Requirements for Supplier generated plans, e.g. quality plan, risk management plan, configuration management plan, sub delegations;
- Specific tasking such as requirements for first article inspections, special testing requirements, involvement in design reviews;
- Reporting requirements including risk information (RIAC), activity reports, and ODRs;
- Pre-contract award information and
- Identification of critical items such as critical safety items, flight critical, submarine safety items, and key characteristics or other national high emphasis designators.

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.

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.

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.

RGQA Partial Acceptance or Rejection. If an RGQA is partially accepted or rejected the Delegator may decide to conduct the GQA activity themselves. In such cases, as a courtesy, the Delegatee should be notified.

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.

Outputs: The documented GQA plan.

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.

2 Communication

The Delegator and Delegatee shall communicate risk information.

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 specs or standards.

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.

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 into account relevant supplier plans and schedules, to satisfy the accepted requirements of the RGQA. 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.

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

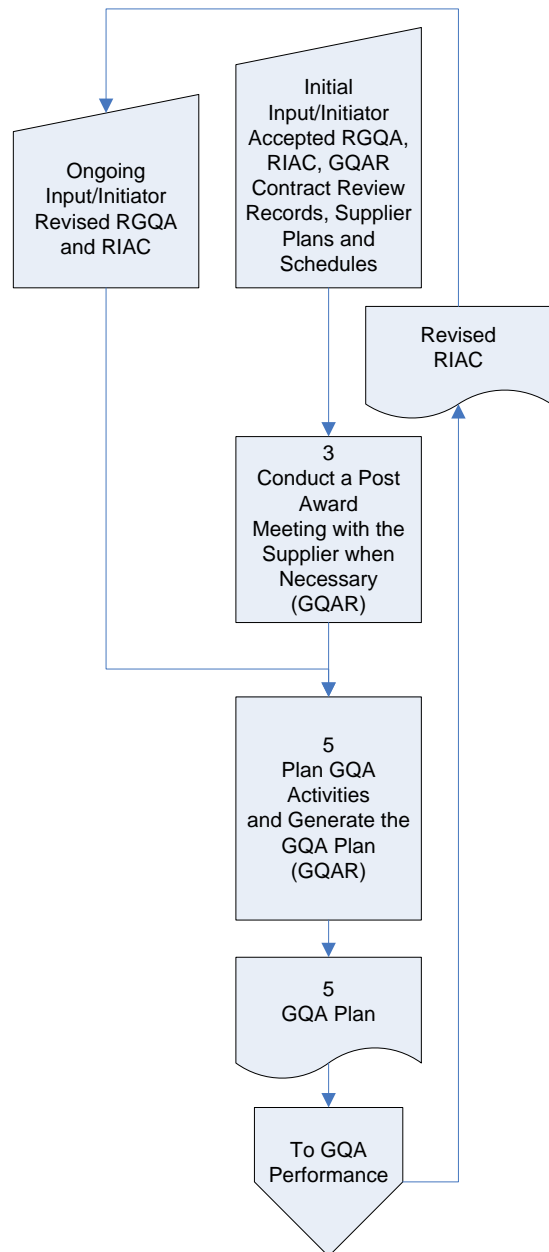
- a) Reference to all risks being monitored;
- b) Identification of the specific systems (or elements thereof), processes and/or products requiring GQA;
- c) GQA activities for each identified Risk;
- d) Schedule of the GQA activities;
- e) Intensity of GQA, e.g. periodicity, sampling and FWD; and
-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

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
- c) Reviewing the results of GQA;
- d) Initiating and processing of QDRs; including verification of preventive and corrective actions;
- e) Initiating Sub-supplier RGQA, as required and
- f) Verifying the Supplier's investigations of customer complaints on current delegations.

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 fulfil contractual requirements changes.



GQA PLANNING GUIDANCE

Risk Based GQA Planning. For examples of how risk can be used to plan GQA activities refer to AQAP-2070 Annex C.

Communications. The Delegator and GOAR should discuss the risks and planning of GQA activities, especially for larger programs or for longer duration delegations.

Post Award GQA Meeting. The meeting should be used to identify and/or clarify such issues as:

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

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 (Appendix 5 to Annex H.)

GQA Planning, Initiation and Review. Revision of the GQA plan should be considered after the following:

- Analysis of GQA records indicate favourable/unfavourable trends;
- Analysis of Supplier data indicate favourable/unfavourable trends;
- Identification of system, process, or product nonconformity that resulted in a QDR being issued; and/or
- Customer complaint investigations.

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.

Annex OMP 7-F 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 and mitigated.

Inputs: The GQA Plan.

Activities: Performing, recording and reporting of the GQA activity as planned.

Outputs: GQA activity reports, records and continual risk information feedback (RIAC).

1 GQA Planned Activities

The GQAR shall perform the GQA activities as planned.

2 GQA Performance Records

The GQAR shall record the results of all GQA activities performed.

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.

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. The GQAR shall verify the effectiveness of the Supplier's corrective action. The managing nonconformity process is outlined at Annex OMP 7-H.

5 GQA Activity Review

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

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.

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

6 GQA Risk Information Feedback

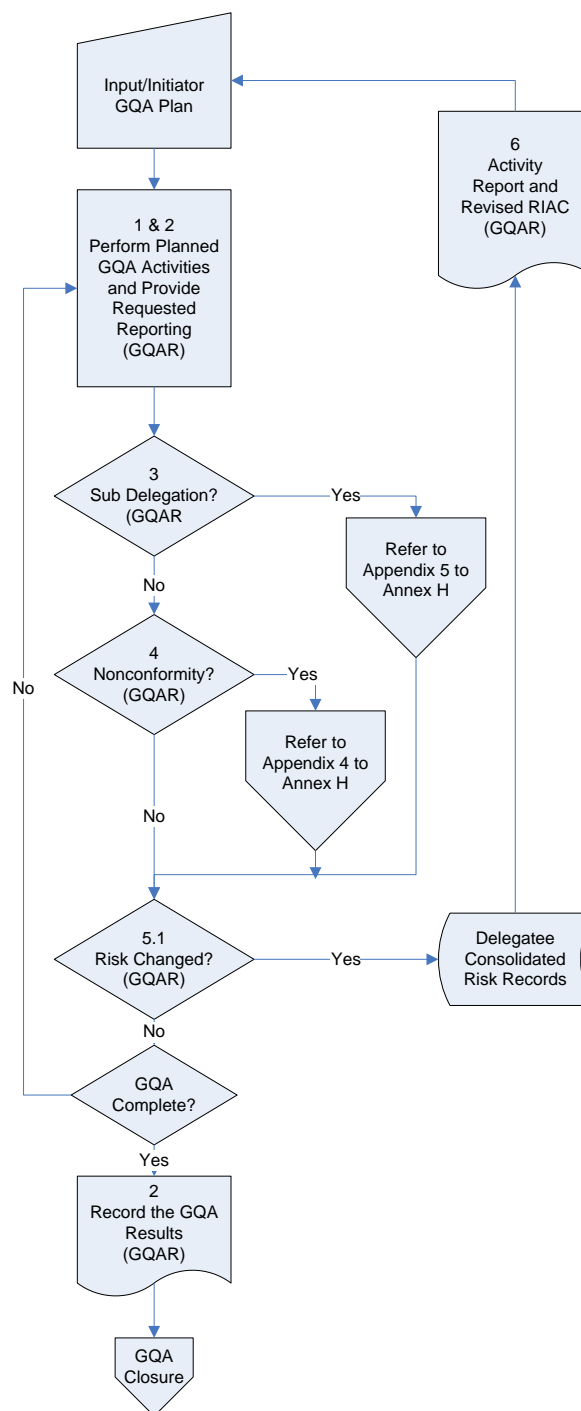
The GQAR shall provide risk information feedback on a continual basis, as appropriate, using the RIAC. Records of GQA activity shall be provided to the Delegator upon request.

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.

6.2 GQA Reporting Chain

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



GQA PERFORMANCE GUIDANCE

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 GOAR may recommend a revision of the RGQA upon significant changes to the risk status.

Access to Relevant Documentation. It is an AQAP 2110, 2120, 2130 and 2131 requirement that the Supplier makes available, to the Acquirer and GOAR, all relevant documentation needed to plan and perform GQA.

CoC and Statement of GQA. An example CoC form is provided at Template OMP 7-6. 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 - GOAR to attest that, within the provisions of OMP 7 and the RGQA, the supplies identified on the CoC have been subjected to GQA.

The GOAR 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.

Annex OMP 7-G 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).

1 GQA Review

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

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 and
- d) Supplier CoCs issued.

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.

2 GQA Closure Report

Using the results of the GQA review the GQAR shall complete the GQA Closure Report based on Template OMP 7-4.

The GQA Closure Report shall be sent to the Delegator within 20 working days of the completion of the GQA

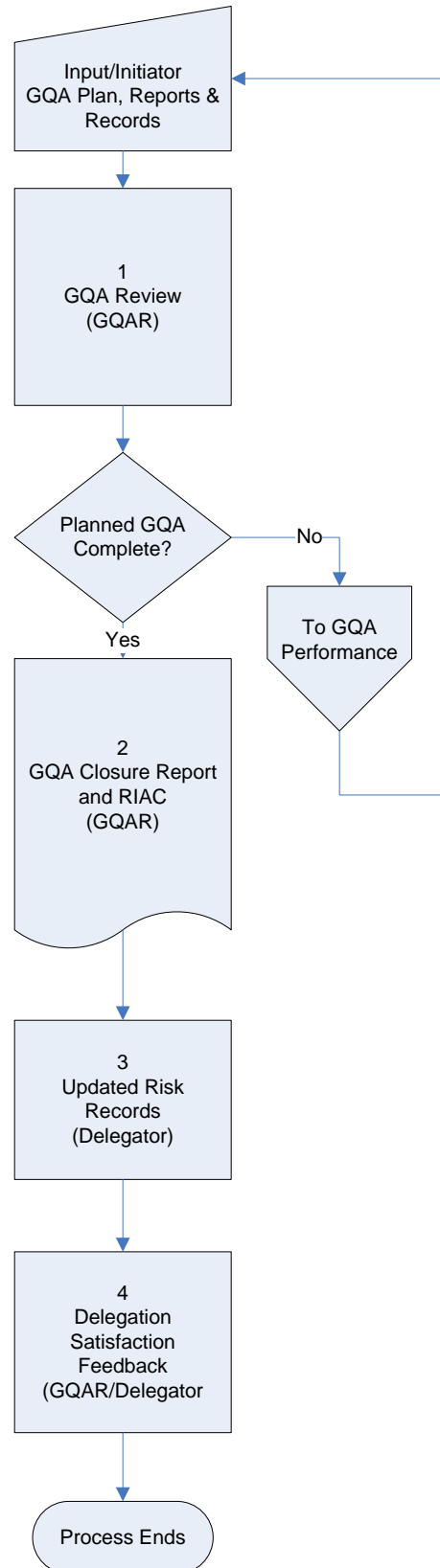
Note: If requested on the RGQA the signing of a statement of GQA on the supplier CoC is part of the GQA performance process and does not, on its own, indicate that the GQA is complete.

3 Records

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

4 Delegator Satisfaction

The Delegator is strongly encouraged to provide the Delegation feedback on the Delegation Feed Back (Form OMP 7-5). The feedback will enable to Delegation to analyse the GQA provided and continually improve their GQA processes.



SUPPORTING PROCESS OUTLINES

This Annex contains supporting process outlines:

- Nonconformities Process Overview;
- Deviation Permits and Concessions Process;
- Corrective Action Process;
- Nonconforming Product and Customer Complaints Investigation Process and
- Sub Delegation Process.

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.

NONCONFORMITIES PROCESS OVERVIEW

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. 8.3 and 8.5

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.

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.

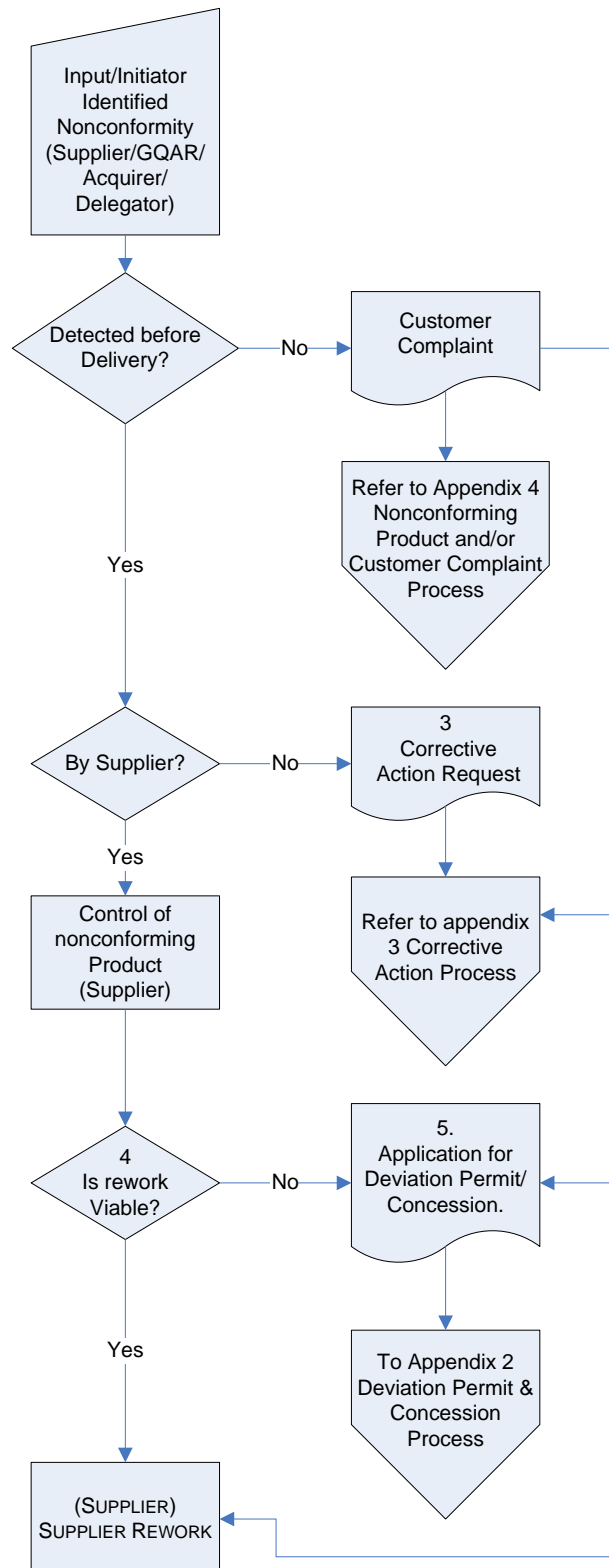
3.1 If the occurrence is an isolated case and/or minor in nature an informal request may be appropriate.

3.2 It is an AQAP 2110, 2120 and 2130 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.

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.

5 The Supplier can seek acquirer approval to deliver nonconforming parts, if allowed under contractual arrangements, via a request for deviation permit or concession.

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



DEVIATION PERMIT & 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.

1 Introduction

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 requirements).

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

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.

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.

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.

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

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) The supplier proposed corrective action is adequate to prevent recurrence of the nonconformity and
- 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.

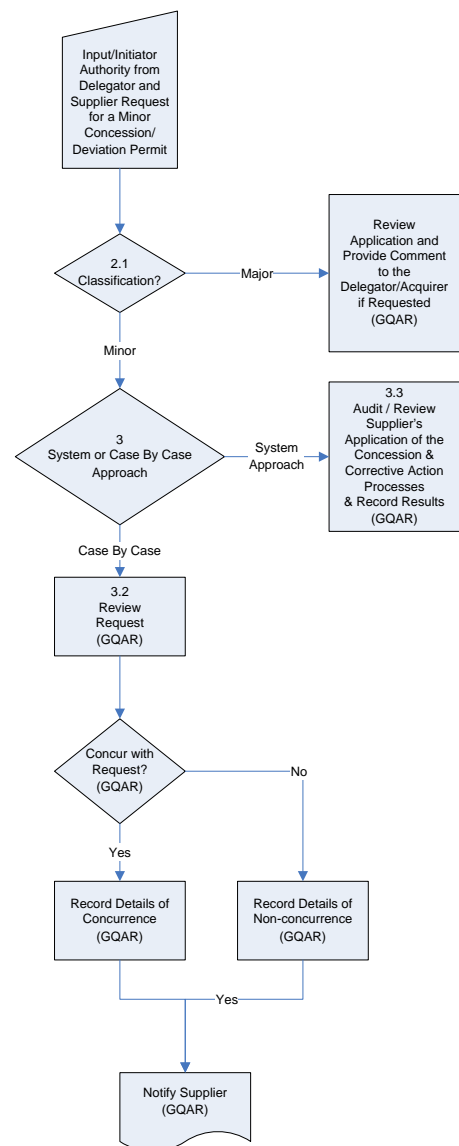
3.3 The System Approach

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.

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.

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.

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.



CORRECTIVE ACTION PROCESS

1 Purpose of the Process

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.

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 yet become apparent in the product. The principles of the corrective action process should be applied to all types of nonconformities.

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.

4 Nonconformity Review

The GQAR shall review the nonconformity to determine the appropriate level of involvement. Where nonconforming product has been delivered to the customer, the 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.

5 Corrective Action Request

Where the nonconformities are isolated incidents and are 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.

5.1 Supplier Corrective Action

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

- a) Nonconformity review;
- b) Determining cause of nonconformities;
- c) Evaluating the need for corrective action;
- d) Implementing corrective actions;
- e) Recording records of Nonconformities and
- f) Reviewing corrective actions

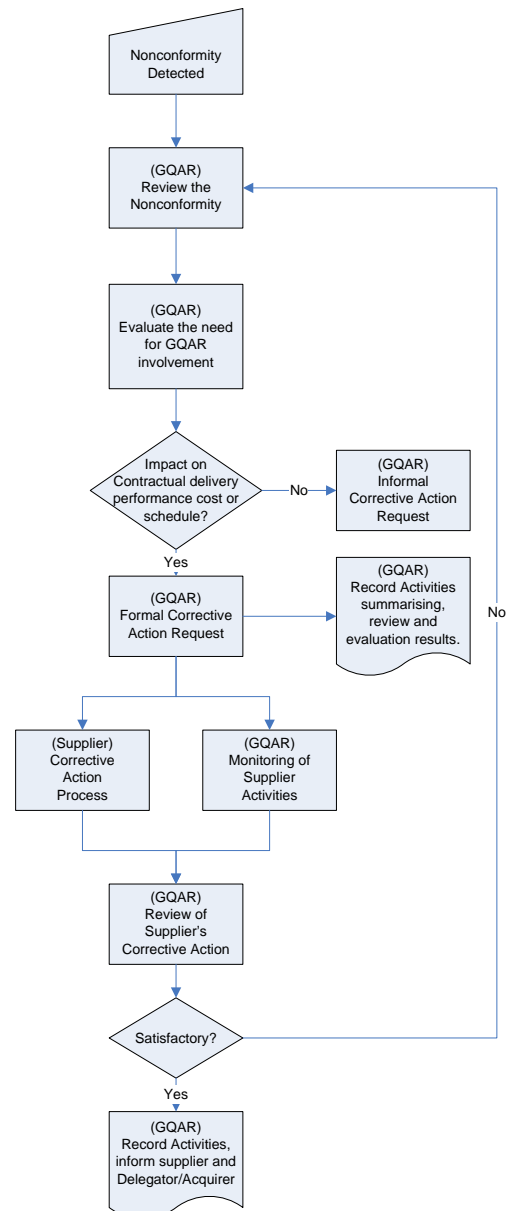
5.2 GQAR Corrective Action Monitoring and Review

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.

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 inefficacy.

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.



NONCONFORMING PRODUCT AND CUSTOMER COMPLAINT INVESTIGATION PROCESS

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.

2 Application

Nonconforming product that has been delivered to the customer is typically reported via a customer complaint. 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 Supplier's investigation.

3 Notification

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

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

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

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.

5 Investigation

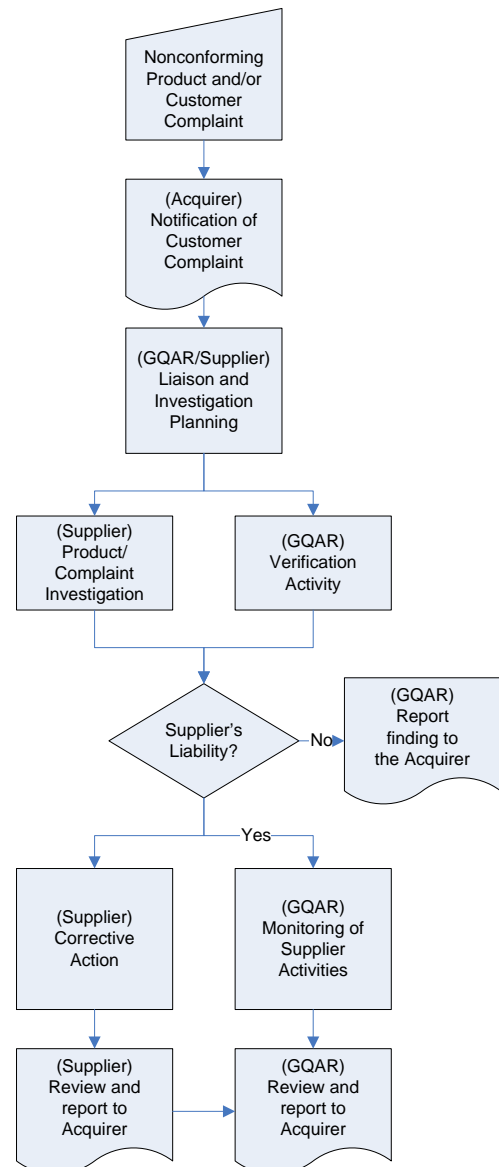
The GQAR should assure that the Supplier conducts an investigation. The GQAR shall verify the Supplier's investigation either independently or in conjunction with the Supplier to determine the root cause of the nonconformity.

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. The Supplier activities should address other previously delivered products and products in production.

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.

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.



SUB DELEGATION PROCESS

1. Purpose

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

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.

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 illustrates the OCCAR 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.

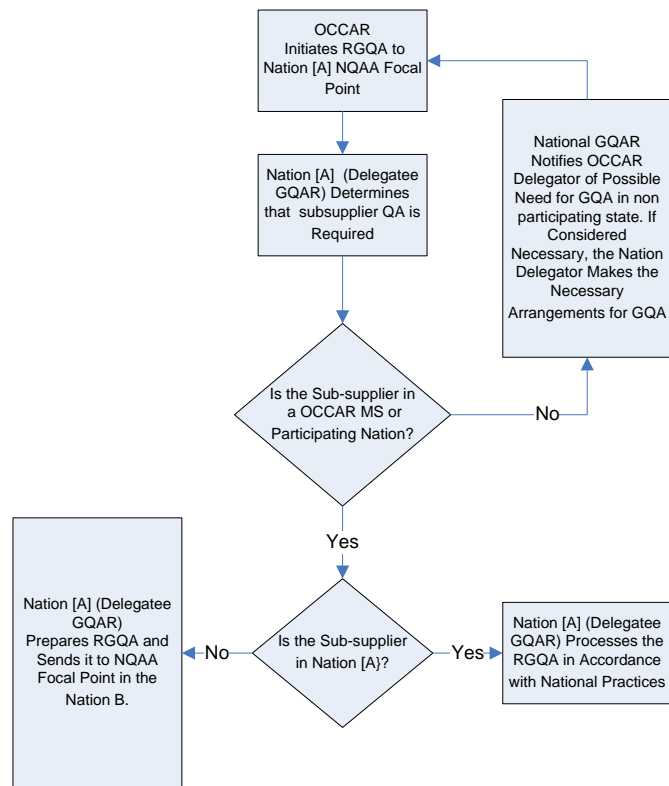


Figure A-1

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.

Prior to any sub delegation the GQAR shall use the Risk Identification, Assessment and Communication Process to establish the risks and to determine whether GQA can provide required confidence. For internal sub delegations national practice may be applied.

5. Sub Delegation Notification

If specified on the ROQA the GQAR shall provide copies of all sub delegations to the Delegator, and Supplier.

6. Delegation

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

7. 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.