Міністерство оборони України

ПІДТВЕРДЖУВАЛЬНЕ ПОВІДОМЛЕННЯ

Головне управління технічного оцінювання та контролю якості озброєння та військової техніки

наказ від 02.10.2025 № 49

STANAG 4107 Ed. 14 / AQAP-2070 Ed. C

NATO MUTUAL GOVERNMENT QUALITY ASSURANCE (GQA) PROCESS

ПРИЙНЯТО ЯК ВІЙСЬКОВИЙ СТАНДАРТ МЕТОДОМ “ПІДТВЕРДЖЕННЯ”

ВСТ 023.002:2025(01)

“Якість товарів, робіт і послуг оборонного призначення. Взаємне державне гарантування якості (STANAG 4107 Ed. 14 / AQAP-2070 Ed. C “NATO Mutual Government Quality Assurance (GQA) Process”, IDT)”

Копію цього військового стандарту можна отримати у Фонді нормативних документів зі стандартизації

З наданням чинності з 07.10.2025
РЕЄСТРАЦІЙНИЙ НОМЕР: 0185

STANDARDIZATION AGREEMENT

ACCORD DE NORMALISATION

STANAG 4107

MUTUAL ACCEPTANCE OF GOVERNMENT QUALITY ASSURANCE AND USAGE OF THE ALLIED QUALITY ASSURANCE PUBLICATIONS (AQAP)

ACCEPTATION DE SERVICES MUTUELS D'ASSURANCE OFFICIELLE DE LA QUALITÉ (AOQ) ET UTILISATION DES PUBLICATIONS INTERALLIÉES SUR L'ASSURANCE DE LA QUALITÉ (AQAP)

EDITION/ÉDITION 14

4 June/juin 2025

NORTH ATLANTIC TREATY ORGANIZATION

ORGANISATION DU TRAITÉ DE L'ATLANTIQUE NORD

Published by the NATO STANDARDIZATION OFFICE (NSO)

Publié par le BUREAU OTAN DE NORMALISATION (NSO)

LETTER OF PROMULGATION

LETTRE DE PROMULGATION

STATEMENT

The enclosed NATO standardization agreement (STANAG), which has been ratified by member nations, as reflected in the NATO Standardization Documents Database (NSDD), is promulgated herewith.

DÉCLARATION

L'accord de normalisation OTAN (STANAG) ci-joint, qui a été ratifié par les pays membres dans les conditions figurant dans la Base de données des documents de normalisation OTAN (NSDD), est promulgué par la présente.

ENACTMENT

This STANAG is effective upon receipt for use by the participating nations and NATO bodies.

ENTRÉE EN VIGUEUR

Ce STANAG entre en vigueur dès réception aux fins d'application par les pays et les organismes OTAN participants.

ACTIONS BY NATIONS

Nations are invited to examine their ratification of the STANAG and, if they have not already done so, advise the NSO of their intention regarding its ratification and implementation.

Once implemented, Allies shall provide implementation details through the electronic reporting tool.

MESURES À PRENDRE PAR LES PAYS

Les pays sont invités à examiner l'état d'avancement de la ratification du STANAG et à informer, s'ils ne l'ont pas encore fait, le NSO de leur intention concernant sa ratification et sa mise en application.

Dès que le STANAG est mis en application, les Alliés doivent fournir les informations y afférentes via l'outil de notification électronique.

SECURITY CLASSIFICATION

This STANAG is a NATO non-classified document to be handled in accordance with C-M(2002)60.

CLASSIFICATION DE SÉCURITÉ

Ce STANAG est un document OTAN non classifié qui doit être traité conformément au C-M(2002)60.

RESTRICTION TO REPRODUCTION

This NATO standardization document is issued by NATO. In case of reproduction, NATO is to be acknowledged. NATO does not charge any fee for its standardization documents at any stage, which are not intended to be sold. They can be retrieved from the NATO Standardization Documents Database ((https://nso.nato.int/nso/) or through your national standardization authorities.

RESTRICTION DE REPRODUCTION

Ce document de normalisation OTAN est produit par l'OTAN. Il peut être reproduit moyennant mention de la paternité de l'OTAN. L'OTAN n'exige aucune participation financière, à aucun stade, pour ses documents de normalisation, lesquels ne sont pas destinés à la vente. Ceux-ci sont disponibles dans la base de données des documents de normalisation OTAN ((https://nso.nato.int/nso/) ou auprès de l'organisme national de normalisation.

ADDITIONAL INFORMATION

This Edition of STANAG 4107 reflects the ratification of AQAP-2070, Edition C, and AQAP-4107, Edition B, both of which have been reviewed and updated, and the introduction of AQAP-2190.

- All other covered AQAPs remain unchanged and in effect.
- Nations are asked to note that the nature of the agreement for mutual Government Quality Assurance and the use of AQAPs has not changed.

INFORMATIONS SUPPLÉMENTAIRES

Cette édition du STANAG 4107 tient compte de la révision et de la mise à jour de l'AQAP-2070, Édition C, et de l'AQAP-4107, Édition B, toutes deux ratifiées, ainsi que de l'introduction de l'AQAP-2190.

- Toutes les autres AQAP couvertes par ce STANAG demeurent inchangées et restent en application.
- Les pays sont invités à noter que la nature de l'accord concernant les services mutuels d'assurance officielle de la qualité et l'utilisation des AQAP n'a pas changé.

Thierry POULETTE
Major General, FRA (A)
Director, NATO Standardization Office

Thierry POULETTE
Général de division, FRA (A)
Directeur du Bureau OTAN de normalisation

STANAG 4107 Edition/Édition 14

MUTUAL ACCEPTANCE OF GOVERNMENT QUALITY ASSURANCE AND USAGE OF THE ALLIED QUALITY ASSURANCE PUBLICATIONS (AQAP)

AIM

The aim of this NATO standardization agreement (STANAG) is to respond to the following interoperability requirements.

INTEROPERABILITY REQUIREMENTS

To set forth the process, procedures, terms and conditions under which Mutual Government Quality Assurance of defence products is to be performed by the appropriate national authority of one NATO member nation, at the request of another NATO member nation or NATO organization; and to standardize the development, updating and application of AQAP on the basis of the concept of quality assurance in the procurement of defence products.

AGREEMENT

Participating nations agree to implement the following standards.

STANDARDS

- AQAP-2000, Edition D
- AQAP-2070, Edition C
- AQAP-2105, Edition C
- AQAP-2110, Edition D
- AQAP-2131, Edition C
- AQAP-2190, Edition A
- AQAP-2210, Edition B
- AQAP-2310, Edition B
- AQAP-4107, Edition B

OTHER RELATED DOCUMENTS

None.

SUPERSEDED DOCUMENTS

This STANAG supersedes the following document:

STANAG 4107, Edition 13,
dated 7November 2023

ACCEPTATION DE SERVICES MUTUELS D'ASSURANCE OFFICIELLE DE LA QUALITÉ (AOQ) ET UTILISATION DES PUBLICATIONS INTERALLIÉES SUR L'ASSURANCE DE LA QUALITÉ (AQAP)

BUT

Le présent accord de normalisation OTAN (STANAG) a pour but de répondre aux exigences d'interopérabilité suivantes.

EXIGENCES D'INTEROPÉRABILITÉ

Définir les processus, procédures, modalités et conditions régissant l'exercice mutuel de l'assurance officielle de la qualité des produits de défense par les autorités nationales compétentes d'un pays de l'OTAN, à la requête d'un autre pays de l'OTAN ou d'une organisation de l'OTAN ; et normaliser l'élaboration, la mise à jour et la mise en application des AQAP, à partir du concept d'assurance de la qualité applicable à l'acquisition des produits de défense.

ACCORD

Les pays participants conviennent de mettre en application les normes suivantes.

NORMES

- AQAP-2000, Édition D
- AQAP-2070, Édition C
- AQAP-2105, Édition C
- AQAP-2110, Édition D
- AQAP-2131, Édition C
- AQAP-2190, Édition A
- AQAP-2210, Édition B
- AQAP-2310, Édition B
- AQAP-4107, Édition B

AUTRES DOCUMENTS CONNEXES

Aucun.

DOCUMENTS ANNULÉS ET REMPLACÉS

Le présent STANAG annule et remplace le document suivant :

STANAG 4107, Édition 13,
du 7novembre 2023

NATIONAL RATIFICATION RESPONSE

National responses are recorded in the NATO Standardization Documents Database (NSDD).
Allies shall provide ratification details through the electronic reporting tool (e-Reporting).

RÉPONSES NATIONALES AUX DEMANDES DE RATIFICATION

Les réponses nationales sont consignées dans la Base de données des documents de normalisation OTAN (NSDD).
Les Alliés doivent rendre compte de leurs ratifications via l'outil de notification électronique (e-Reporting).

IMPLEMENTATION OF THE AGREEMENT

The implementation of STANAG 4107 requires nations to:

- have adequate infrastructure and processes to support their National Quality Assurance Authority's role,
- appoint a GQA focal point,
- establish competent GQA Representative resource with supporting processes and implement AQAP-2070,
- monitor and continually improve delivery of GQA Surveillance services,
- promote the use of contractual AQAPs for acquisition,
- proactively support NATO AC/327 Working Group 2.

NATO organizations shall:

- have the processes and resources to support the conduct of quality assurance activities across all stages of the lifecycle acquisition process.
- appoint a focal point for quality who shall ensure that this publication is applied to the organisation and engage as appropriate with nations for the provision of mutual GQA.
- promote the use of AQAPs for acquisition throughout the supply chain and proactively support NATO AC/327 Working Group 2.

Partner Nations are invited to implement this STANAG noting that the provision of mutual GQA is reserved for NATO nations and agencies.

MISE EN APPLICATION DE L'ACCORD

Les pays qui entendent mettre en application le STANAG 4107 doivent :

- disposer des infrastructures et des processus nécessaires, afin que l'autorité nationale pour l'assurance de la qualité puisse remplir ses fonctions ;
- désigner un point focal AOQ ;
- mettre en place un représentant pour l'AOQ aux compétences appropriées et les processus correspondants, et appliquer l'AQAP-2070 ;
- contrôler et améliorer continuellement la prestation de services de surveillance de l'AOQ ;
- favoriser l'utilisation des AQAP de type contractuel pour les acquisitions ;
- soutenir de façon proactive le Groupe de travail 2 de l'AC/327 de l'OTAN.

Les organisations de l'OTAN doivent :

- disposer des processus et des ressources requises pour conduire les activités d'assurance de la qualité à toutes les étapes du processus d'acquisition ;
- désigner un point focal pour la qualité, qui veillera à ce que les dispositions de la présente publication soient appliquées au sein de l'organisation et qui, au besoin, se mettra en contact avec les pays pour la fourniture de services mutuels d'AOQ ;
- promouvoir l'utilisation des AQAP pour les acquisitions sur l'ensemble de la chaîne d'approvisionnement, et soutenir de façon proactive le Groupe de travail 2 de l'AC/327 de l'OTAN.

Les pays partenaires sont invités à appliquer ce STANAG, étant entendu que la prestation de services mutuels d'AOQ est réservée aux pays membres et aux agences de l'OTAN.

This Edition of STANAG 4107 covers the release of AQAP-2070, Edition C, and AQAP-4107, Edition B, both of which enable the provision of mutual GQA. Nations and NATO organisations are requested to use these publications to inform their national processes for GQA.

La présente édition du STANAG 4107 couvre l'Édition C de l'AQAP-2070 et l'Édition B de l'AQAP-4107, qui permettent toutes deux la fourniture de prestations d'AOQ mutuelles. Les pays et les organisations de l'OTAN sont invités à utiliser ces publications pour éclairer leurs processus nationaux d'AQQ.

This Edition of STANAG 4107 also covers the release of AQAP-2190, Edition A, "NATO Quality Assurance Requirements for Disposal". Nations and NATO organisations are requested to use this contractual QA requirement when contracting for disposal.

La présente édition du STANAG 4107 couvre également l'AQAP-2190, Édition A, « Exigences OTAN en matière d'assurance qualité pour l'élimination ». Les pays et les organisations de l'OTAN sont invités à utiliser cette exigence contractuelle d'AQ lors de la passation de contrats d'élimination.

Allies and NATO bodies shall provide implementation details through the electronic reporting tool (e-Reporting).

Les Alliés et les organismes OTAN doivent rendre compte de leur mise en application via l'outil de notification électronique (e-Reporting).

Partner nations are invited to provide their implementation details through the electronic reporting tool (e-Reporting).

Les pays partenaires sont invités à rendre compte de leur mise en application via l'outil de notification électronique (e-Reporting).

NATO EFFECTIVE DATE (NED)

Not applicable.

DATE D'ENTRÉE EN VIGUEUR OTAN (NED)

Sans objet.

REVIEW

This STANAG is to be reviewed in accordance with AAP-03. The result of the review is to be recorded within the NSDD.

RÉEXAMEN

Le présent STANAG doit être réexaminé conformément à l'AAP-03. Le résultat de ce réexamen doit être consigné dans la NSDD.

TASKING AUTHORITY

This STANAG is supervised under the authority of:

AUTORITÉ DE TUTELLE

Le présent STANAG est sous la responsabilité du :

CNAD LIFE CYCLE MANAGEMENT GROUP/
GROUPE DE LA CDNA SUR LA GESTION DU CYCLE DE VIE
(AC/327)

WORKING GROUP 2 ON QUALITY/
GROUPE DE TRAVAIL 2 SUR LA QUALITÉ
(WG/2)

FEEDBACK

Any comments concerning this STANAG shall be directed to:

INFORMATIONS EN RETOUR

Tous les commentaires concernant le présent STANAG doivent être adressés au :

NATO Standardization Office (NSO)

Bureau OTAN de normalisation (NSO)

Boulevard Léopold III
1110 BRUXELLES – Belgique

NATO STANDARD

AQAP-2070

NATO MUTUAL GOVERNMENT QUALITY ASSURANCE (GQA)

Edition C, Version 1

JUNE 2025

NORTH ATLANTIC TREATY ORGANIZATION

ALLIED QUALITY ASSURANCE PUBLICATION

Published by the
NATO STANDARDIZATION OFFICE (NSO)

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NORTH ATLANTIC TREATY ORGANIZATION (NATO)

NATO STANDARDIZATION OFFICE (NSO)

NATO LETTER OF PROMULGATION

4 June 2025

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

2. AQAP-2070, Edition C, Version 1, is effective upon receipt and supersedes AQAP-2070, Edition B, Version 4, which shall be destroyed in accordance with the local procedure for the destruction of documents.

3. This NATO standardization document is issued by NATO. In case of reproduction, NATO is to be acknowledged. NATO does not charge any fee for its standardization documents at any stage, which are not intended to be sold. They can be retrieved from the NATO Standardization Document Database (https://nso.nato.int/nso/) or through your national standardization authorities.

4. This publication shall be handled in accordance with C-M(2002)60.

Thierry POULETTE
Major General, FRA (A)
Director, NATO Standardization Office

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RESERVED FOR NATIONAL LETTER OF PROMULGATION

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RECORD OF RESERVATIONS

CHAPTER	RECORD OF RESERVATION BY NATO NATIONS
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 Documents Database for the complete list of existing reservations.	

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RECORD OF SPECIFIC RESERVATIONS

[nation]	[detail of reservation]
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 Documents Database for the complete list of existing reservations.	

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TABLE OF CONTENTS

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SECTION 1. INTRODUCTION

SECTION 1. INTRODUCTION

1.1. GENERAL

1. Mutual Government Quality Assurance is the process by which NATO Nations provide each other and NATO organisations with risk-based Government Quality Assurance Surveillance of defence products, which establishes confidence that the contractual requirements relating to quality are met.

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

3. This publication provides the process for mutual GQA between NATO nations and agencies in support of STANAG 4107. To promote harmonization of working practices and increase efficiency it is recommended that this publication is used by NATO nations as the basis of processes for mutual GQA with other, non-NATO nations. The MOU / Implementing Arrangement would make reference to AQAP 2070 noting the one modification that the NATO emblem should be removed from forms issued by the non-NATO nation/IP partner.

4. NATO nations shall have adequate infrastructure and processes to ensure consistent GQAS (surveillance), and to validate skills and competence of GQARs. NATO nations shall ensure the below minimum requirements are met.

a) NATO nations will identify the organization(s) responsible for performing GQA.
b) If more than one organization is used to perform GQA, the roles and responsibilities of each organisation are defined.
c) Training and competence requirements for the GQA workforce are defined.
d) NATO nations will provide training in QA methods, processes, and practices.
e) GQARs will be competent to conduct assigned GQAS.
f) GQA processes will address actions to be taken if the GQAR is not familiar with or knowledgeable of the industrial practices and techniques required by the delegation or contract.
g) The GQAR should have knowledge of STANAG 4107 and subordinate Allied Publications,
h) The GQA participants shall be capable of communicating in one of the NATO Official languages or another, acceptable to both sides.

1.2. REFERENCES

1.2.1 Normative References

1. STANAG 4107 Mutual Acceptance of Government Quality Assurance and Usage of Allied Quality Assurance Publications (AQAPs)
2. ISO 9000:2015 Quality Management Systems – Fundamentals and Vocabulary

1.2.2. Informative References

1. AQAP 2110 NATO Quality Assurance Requirements For Design, Development And Production
2. ISO 19011:2018 Guidelines for Auditing Management Systems

SECTION 2. ACRONYMS, TERMS AND DEFINITIONS AND FLOWCHART CONVENTION

2.1. ACRONYMS

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

1. AQAP Allied Quality Assurance Publication
2. CoC Certificate of Conformity
3. DFB Delegation Feedback
4. FAI First Article Inspection
5. GQA Government Quality Assurance
6. GQACR Government Quality Assurance Closure Report
7. GQAR Government Quality Assurance Representative
8. GQAS Government Quality Assurance Surveillance
9. NQAA National Quality Assurance Authority
10. QDR Quality Deficiency Report
11. QMS Quality Management System
12. RIAC Risk Identification, Assessment and Communication
13. RGQA Request for Government Quality Assurance
14. RGQAR Response to Government Quality Assurance Request

2.2. TERMS AND DEFINITIONS

Unless stated otherwise, AQAP 2110 and ISO 9000:2015 definitions shall apply. Additional terms used in this AQAP are defined below:

1. 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.

2. 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.

3. Delegatee
The appropriate authority of a NATO nation performing GQA after acceptance of the RGQA.

4. Delegator
The appropriate authority of a NATO nation or NATO organisation requesting GQA in a NATO supplying nation.

5. Government quality assurance participants
Collective term for those active in mutual GQA.

6. Government Quality Assurance Representative
The personnel with responsibility for Government Quality Assurance (GQA), acting on behalf of the acquirer.
Note: the GQAR can be both a delegatee and delegator where subdelegations are raised.

7. 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.

8. Quality deficiency report
Documented information identifying nonconformity against contract requirements.

9. 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.

10. 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.

11. Risk impact
The consequence of an uncertain event occurring.

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

13. Risk likelihood
The degree of confidence that the risk will occur.

14. 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.

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

16. Special requirements
Those requirements identified by the acquirer and or GQA participants, related to risk and complexity, thus requiring their inclusion in the risk management process.

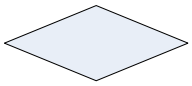
17. Statement of GQA
Documented information signed by the GQAR to attest that GQA has been performed within the provisions of STANAG 4107 and the agreed RGQA.

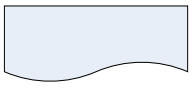
2.3. FLOW CHART CONVENTION

Throughout this document the following flowchart conventions are applied.

Process Input or Initiator 

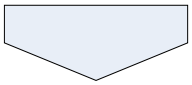
Process Activity 

Decision Block 

Document 

Stored Data 

Process Terminator 

Link to Another Process 

SECTION 3. INTENT AND SCOPE

1. The intent of this publication is to standardise and harmonise the process by which the participating NATO 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 NATO nations' reservations can be viewed, by authorised users, at the NATO Standardisation Office website http://nso.nato.int

3. The mutual GQAS processes described in this document is initiated after a contract and/or a derived subcontract is issued and a risk assessment determines that GQAS is necessary.

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. Compulsory/legal requirements are the exclusive responsibility of the acquirer and the supplier.

4. GQA is not intended to replace or replicate supplier activities, including inspection and QMS auditing. GQA provides 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.

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SECTION 4. CONCEPT OF OPERATION

4.1 GENERAL

1. This publication provides instruction detailing what is considered the minimum (in regard of mutual GQA Activities) to fulfil NATO 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.

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.

3. GQA supporting processes, reference material and forms are provided in the annexes to this publication.

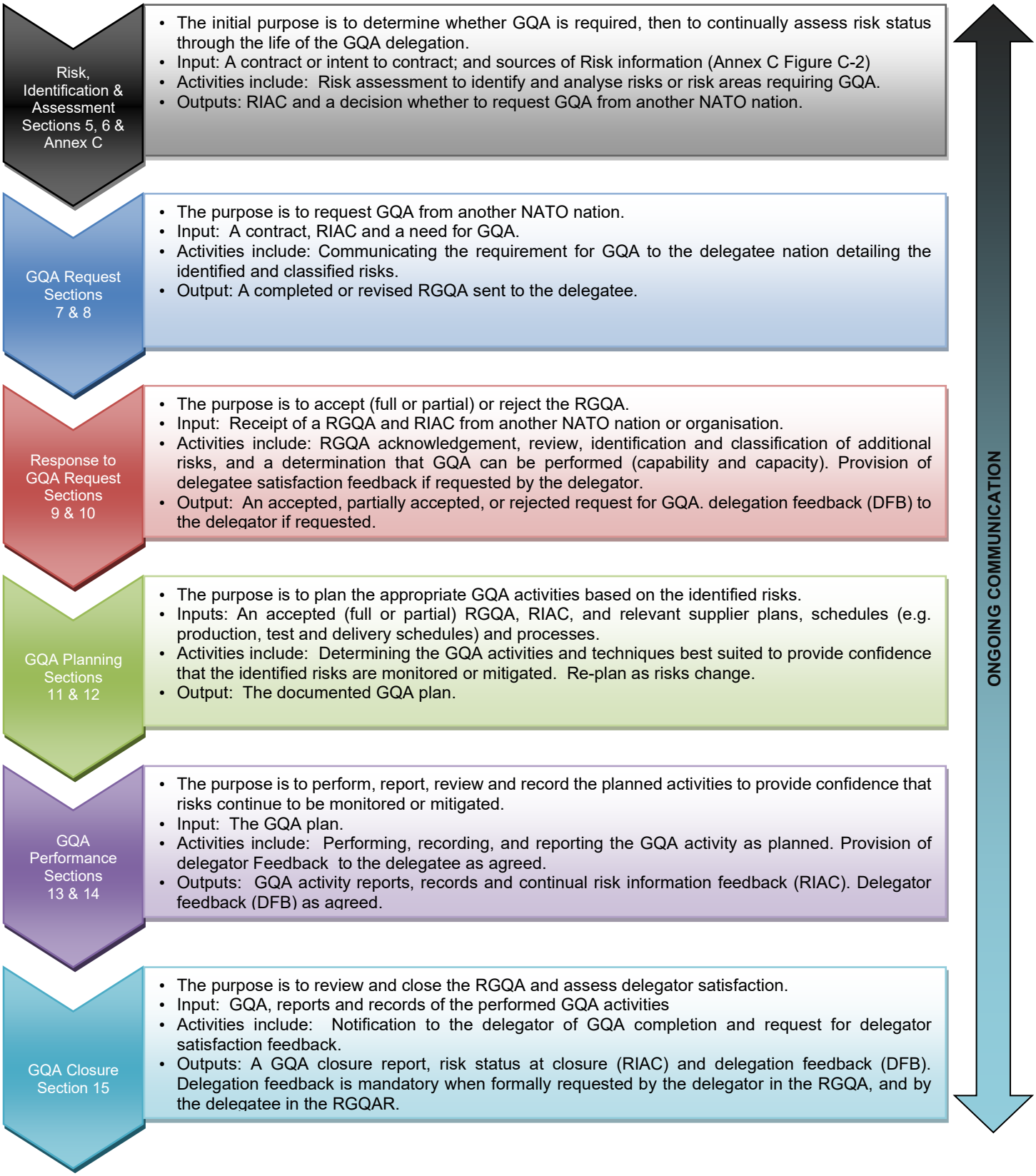
4. The forms are designed to support the process and standardize communications between GQA participants. The use of the RIAC, RGQA, RGQAR and GQACR is mandated. GQA participants are strongly encouraged to use all of the other forms in order to assure coherence and continuity. Electronic transmission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

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

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. Delegatees are therefore, encouraged to address the expectations and concerns of the delegator stated in the RIAC in their responses to the GQA requests and communications (reference para. 4.2).

7. Contracts involving one nation acting on behalf of a non-NATO nation other than that nation will be handled on a case by case basis. In this situation, the name of the non-NATO nation concerned is identified in the RGQA.

Figure 4A The Mutual GQA Process Overview



4.2. GQA INFORMATION

4.2.1. Information Exchange

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.

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.

3. Once an RGQA is generated all written communications between the delegator and delegatee should reference the relevant RGQA Number. It is recognised that NATO 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 two reference numbers must be traceable to each other.

4. Classified information shall only be exchanged in accordance with the procedures currently in place between the participating NATO nations.

5. The delegator is responsible for informing the delegatee of any contract changes that affect planned GQAS for example: schedule changes or early termination of the contract.

4.2.2. REPORTS

1. The GQA process is intended to provide acquirers with confidence that contractual requirements relating to quality will be or have been met. Confidence can be gained through knowledge of GQA performance. Where the delegator requires more visibility, GQA reports should be requested. Reporting requirements should be related to project and contractual risk as agreed upon on the RGQA. The delegator should recognise the GQAR's primary task is GQA performance.

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).

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

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).

5. GQA reports shall be considered as records.

4.2.3. RECORDS

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.

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.).

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. Records shall be made available to the delegator upon request.

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

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.

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

4.4. MEASUREMENT, ANALYSIS AND IMPROVEMENT

1. The GQA participants are encouraged to provide feedback to aid the participating NATO 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.

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.

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) using the DFB form at annex B or an equivalent.

4. Participating NATO 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.

4.5. GQA SERVICE DISPUTE RESOLUTION PROCESS

When the GQAR has exhausted all methods to resolve GQA service disputes between the delegator and delegatee the GQAR should formally request their AC/327 NATO WG/2 national representative pursue resolution with the corresponding national representative. The resolution process and documentation will be developed by national practices, but the AC/327 NATO WG/2 representative will coordinate resolution. An example of a resolution process is identified below:

a) Dispute Resolution Document (see example Annex B GQA) shall be sent to the GQAR supervision for review and validation of perceived non-compliance of mutual GQA.

b) GQAR supervision shall formally notify their applicable NQAA and/or GQA focal point

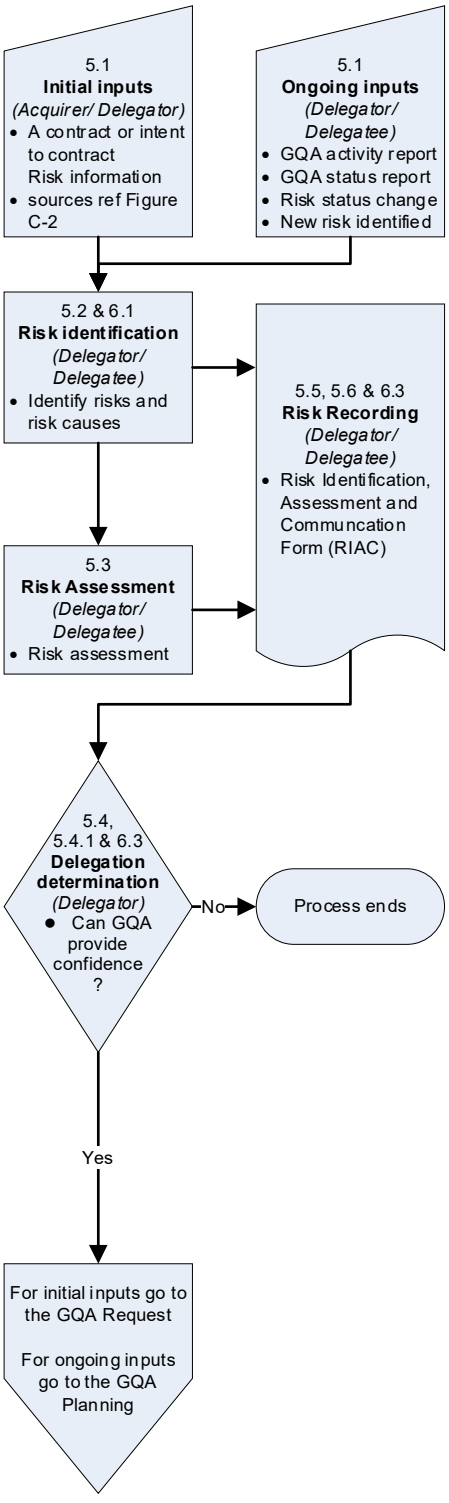
c) NQAA and/or GQA focal point will notify AC/327 NATO WG/2 national representative

d) AC/327 NATO WG/2 national representative will contact their corresponding national representative of the nation of which the dispute is filed

Note: Binding national laws will take precedence over the aforementioned procedure.

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 cannot 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

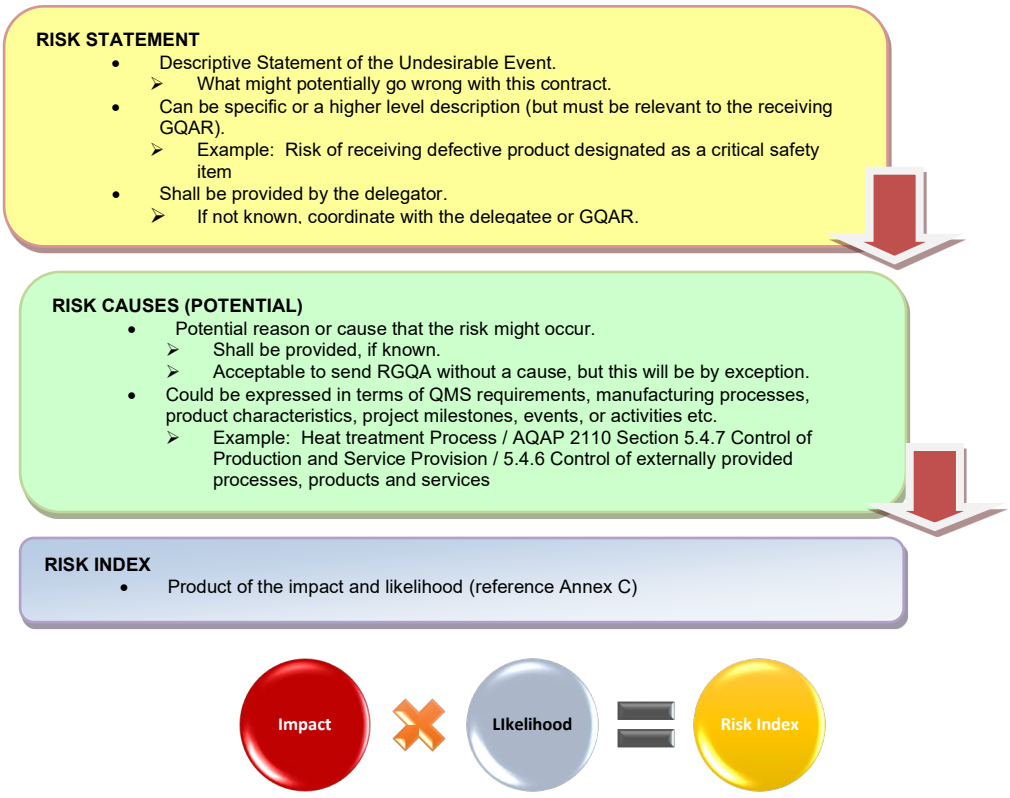
Identifying risks associated with a project, contractual requirements or supplier usually requires the consolidated input of the delegator and the delegatee. Generally the delegator should have greater access and insight into project and contract risks and be better placed to assess the impact of a risk 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 RISK IDENTIFICATION AND ASSESSMENT PROCESS



6.3. Risk Information Guidance

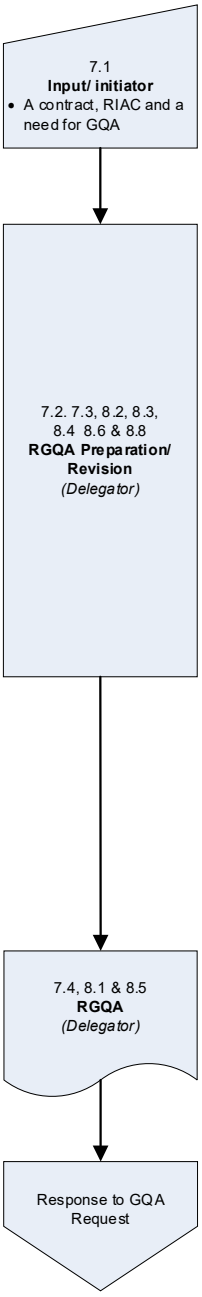
Frequent reference to risk information or records is made throughout this document. These references refer to risk information records maintained by the acquirer, delegator and delegatee. They should be a historical record of risks and when consolidated, provide the complete view of risk to the fulfilment 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.8.8),
b) Whether the GQAR is required to sign a statement of GQA (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 their external providers (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 anddelegator 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).

7.6. Termination of RGQA

If an RGQA is no longer required (e.g. the contract(s) it relates to are cancelled) the delegator shall close the RGQA.

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
1. 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 external provider'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.

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

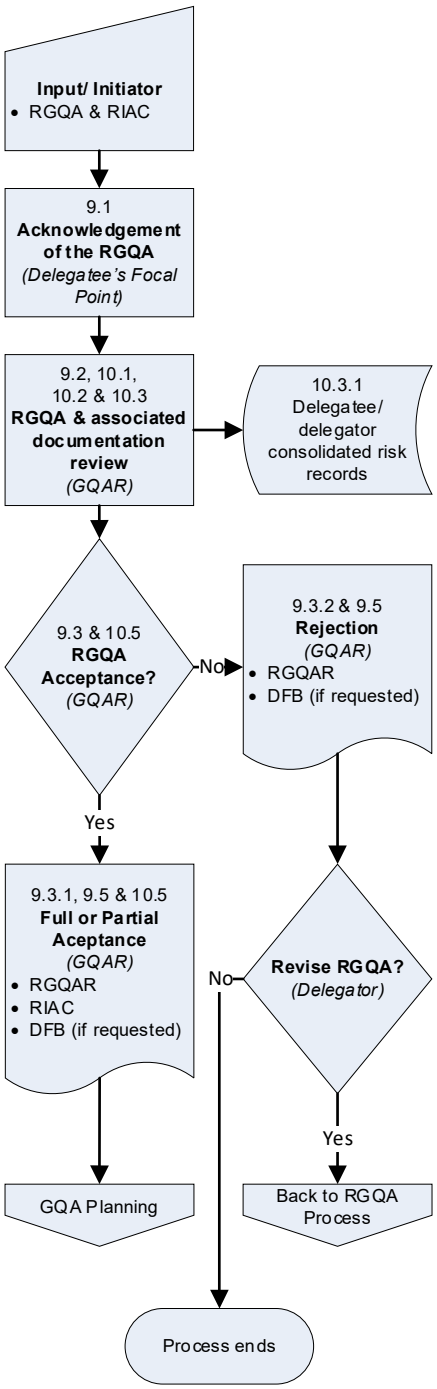
8.7. Requesting a copy of the GQA Plan

1. The decision to request a copy of the GQA plan should be made in accordance with the delegator's national practice.

2. A copy of the GQA plan will help the delegator understand the depth of surveillance through the supply chain and prevent duplication of QA activity, especially for major programs or where higher risks are involved.

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.

9.2.3 Update RIAC

The GQAR shall update the RIAC with the results of the risk review (9.2.1) and any additional risks (9.2.2).

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 and the revised RIAC. 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.

9.3.3 Update RGQAR

In case of significant changes such as change of GQAR or major evolution of the RIAC, the delegatee will send an updated RGQAR.

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

1. If the delegator has requested delegation feedback on the RGQA, then the delegatee should provide feedback to the delegator.

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 will be maintained according to national requirement for record retention.

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 external provider'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 add these to the 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

1. The delegator may elect to conduct their own GQA activities at the supplier if:

a) an RGQA has been partially accepted and the delegatee GQA Plan does not address all risks identified by the delegator,
b) the delegator chose to suggest specific GQA activities on the RGQA that the delegatee cannot or will not perform,
c) an RGQA has been rejected.

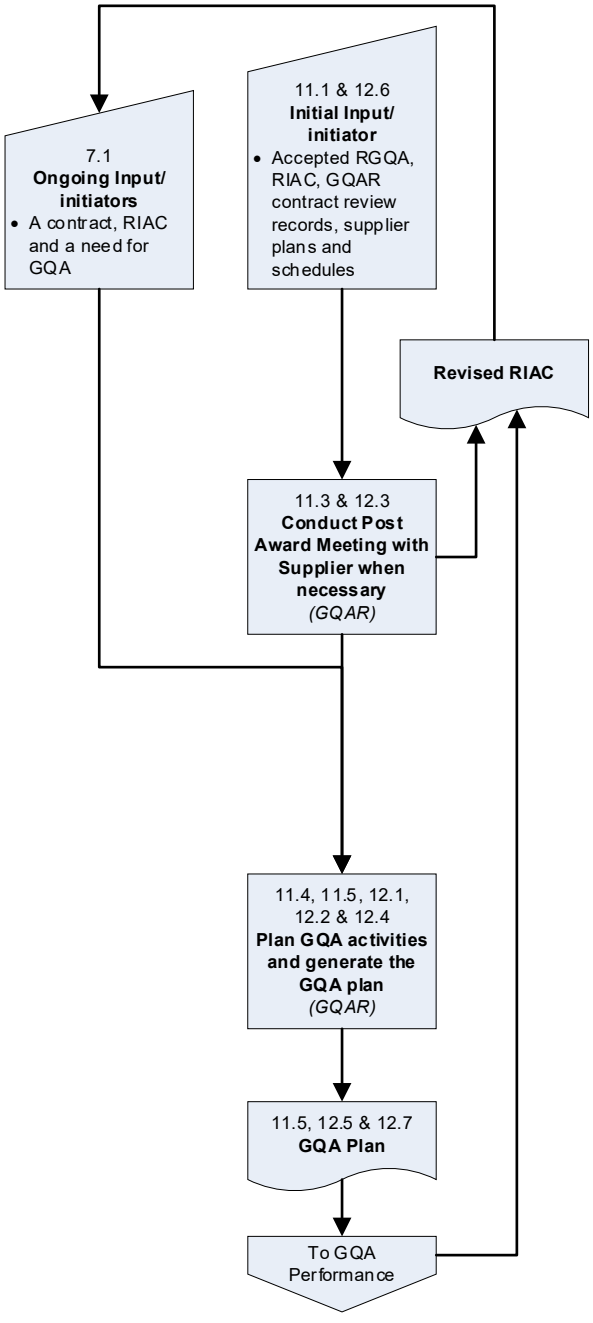
2. Any such visits shall be coordinated with the delegatee who shall have the right to accompany the delegator. It is important that information is openly shared between the delegator and delegatee to ensure that both parties have a consistent understanding of risk status at the supplier and do not duplicate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

10.6. Feedback

Where a delegation is expected to be in place for a long period, the delegatee may request delegator satisfaction feedback before closure 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 acquirer or the GQAR 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

1. The GQAR shall apply the Risk Identification and Assessment Process to determine the need for GQA at the external provider's facility. If the GQAR at the supplier's level determines that GQA at an external provider's facility is necessary, the GQAR shall raise an RGQA in accordance with the GQA request process and notify the supplier of the requirement.

2. GQARs operating at the external provider level shall not take any action or make any statement that could be construed as modifying the contractual arrangements between the suppliers and their external providers.

11.5. The GQA Plan

1. 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.

2. 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.

3. 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 supply chain 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).

4.. When requested on the RGQA, the GQA plan and subsequent revisions, shall be provided to the delegator.

11.6. 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 2. 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 to inform planning of GQA activities.(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) Supply chain information.

12.4.GQA Sub Delegations

Planning and issuing supply chain 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 supply chain management (reference to Annex A section A.6.2).

12.5.GQA Plan

1. The GQA Plan provides the focus for GQAR surveillance activities. The GQA Plan is a standalone document that will guide the GQAR in providing surveillance on appropriate processes with respect to the stated risk and risk cause.

2. The extent / level of detail of the GQA plan should be proportionate to the complexity and criticality of the acquisition programme and level of risk but should be sufficient for the delegatee and delegator to understand the depth of surveillance through the supply chain and prevent duplication of QA activity.

3. 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.

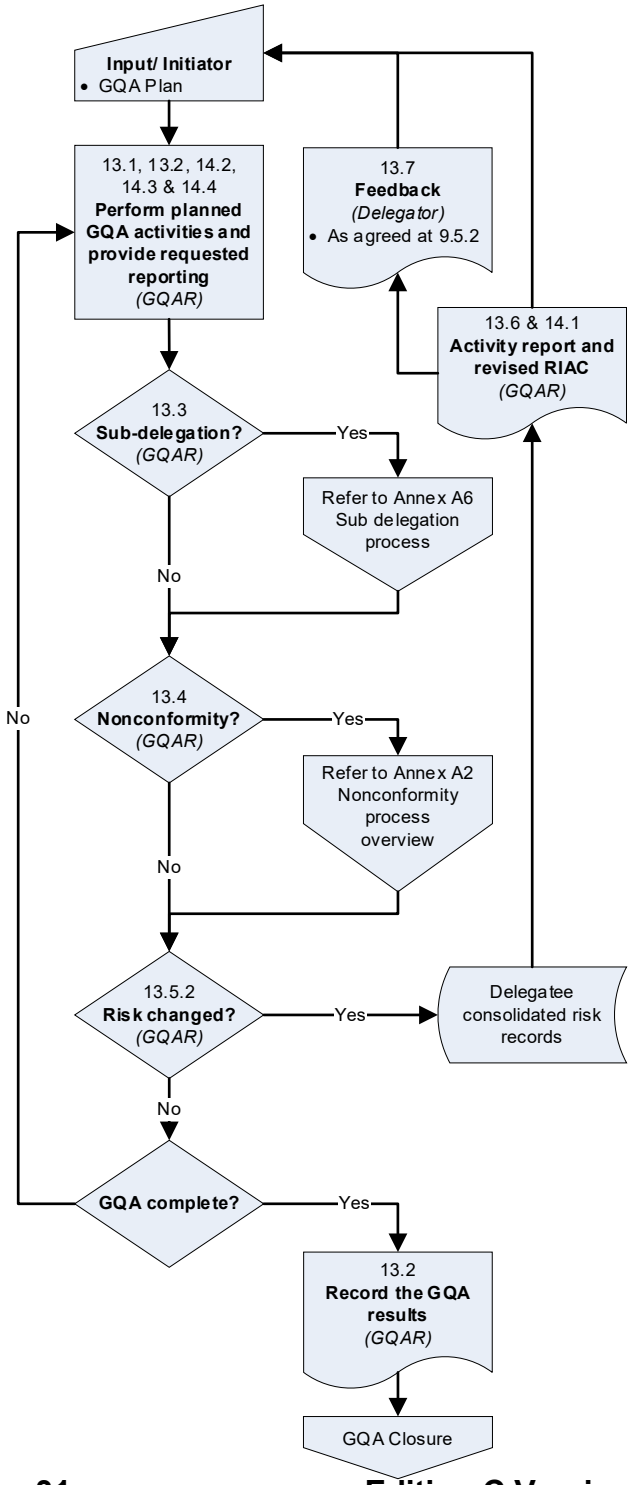
SECTION 13. GQA PERFORMANCE INSTRUCTIONS

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 supply chain 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.

13.5.3. Risks which are closed shall not be removed from the RIAC as they form part of the historical record and may need to be re-opened in the future.

13.6. GQA Risk Information Feedback

The GQAR shall provide risk information feedback to the delegator 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 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

1. 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.

2. Risk should only be removed from the RIAC if the supplier activity they relate to is no longer conducted (e.g. change of process or completion of a programme phase).

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

1. 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 GQAR Signature

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, that the individual items have been inspected, or that certification (e.g. airworthiness and seaworthiness) has been granted.

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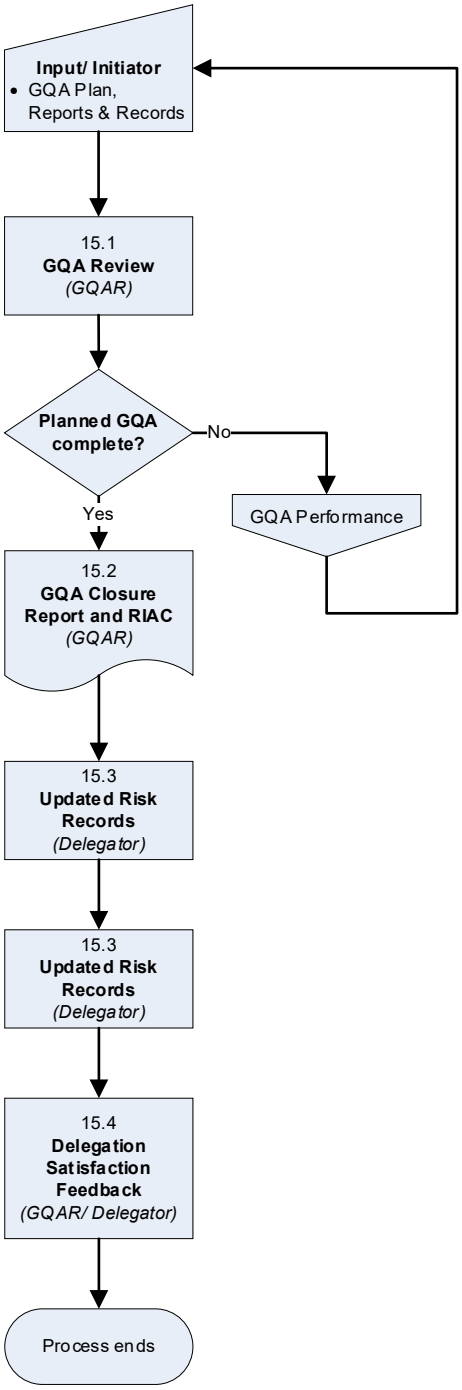
SECTION 15. GQA CLOSURE INSTRUCTIONS AND GUIDANCE

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 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.

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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.

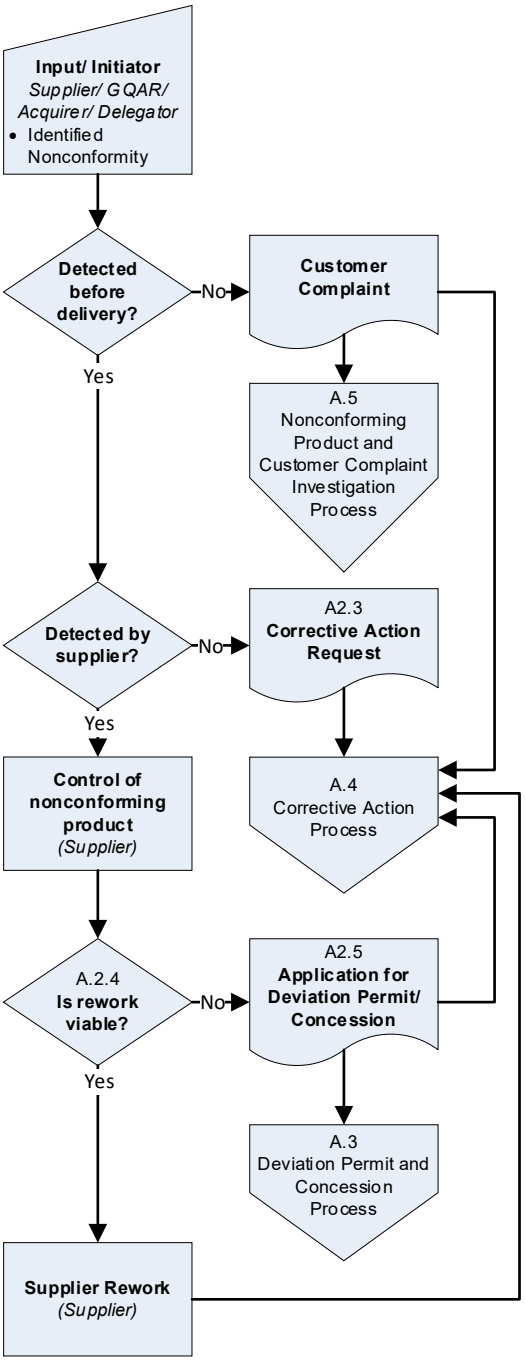
A.2.3.1 If the occurrence is an isolated case and/or minor in nature an informal request may be appropriate.

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.

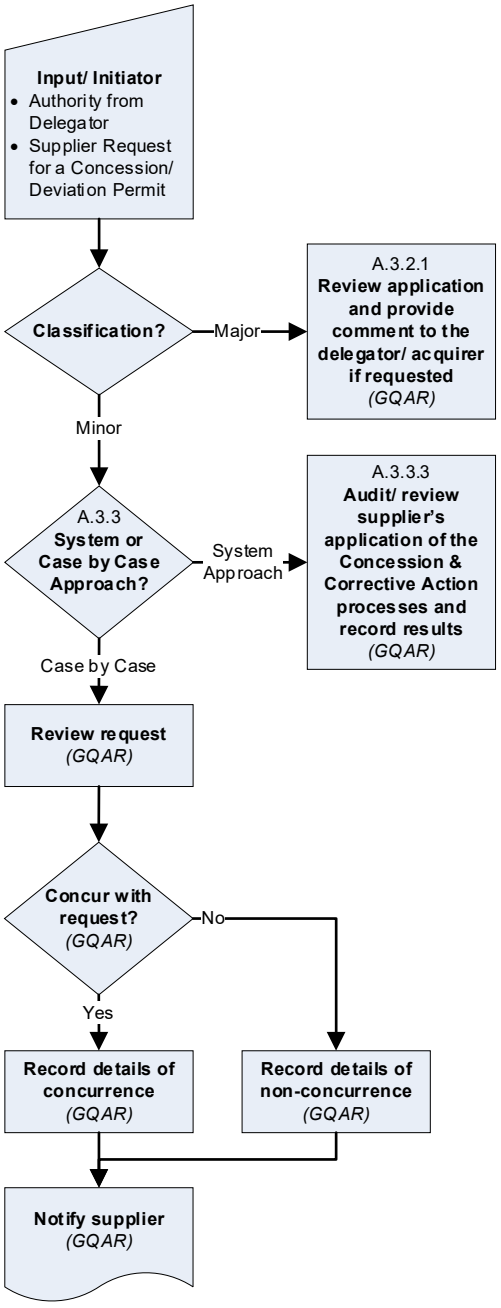
A.3.2.1 Classification

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.

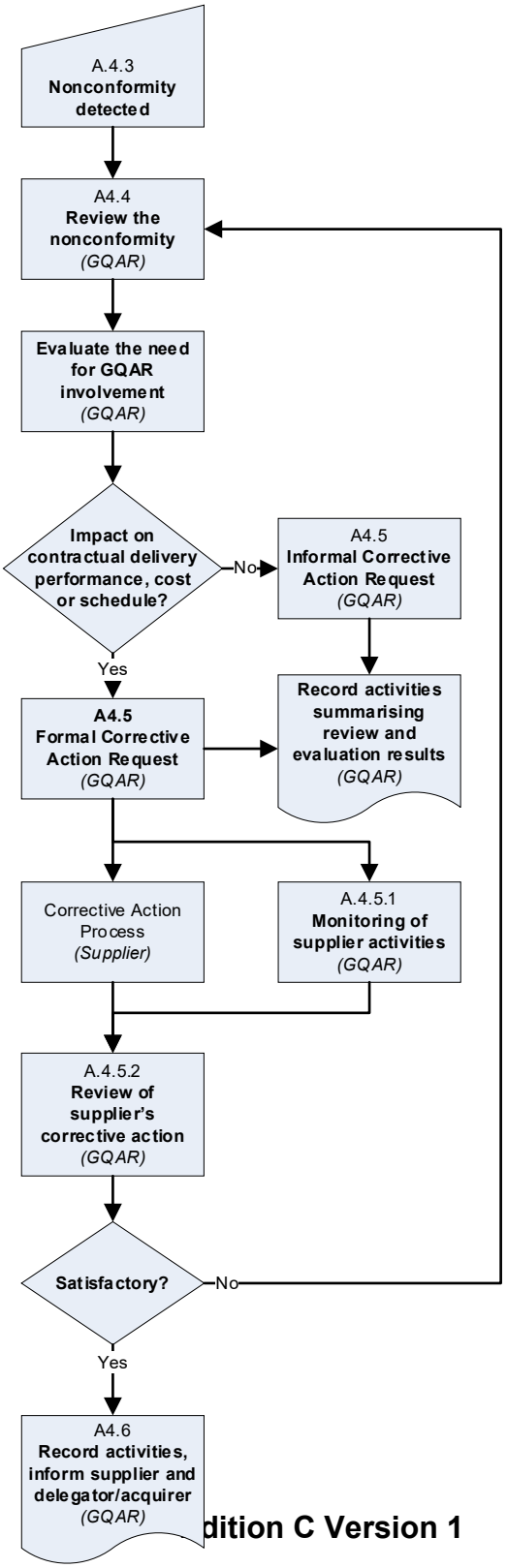
A.4.4 Nonconformity Review

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

1. 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.

2. If the delegatee 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 delegatee will immediately advise the delegator.



A.4.5.1 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,
f) 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 inefficacy.

A.4.6 Corrective Action Closure
Once the GQAR is satisfied that the supplier's corrective actions are likely to preventive recurrence of the nonconformity, the corrective action details should be recorded, including root cause. The details shall be provided to the delegator if requested.

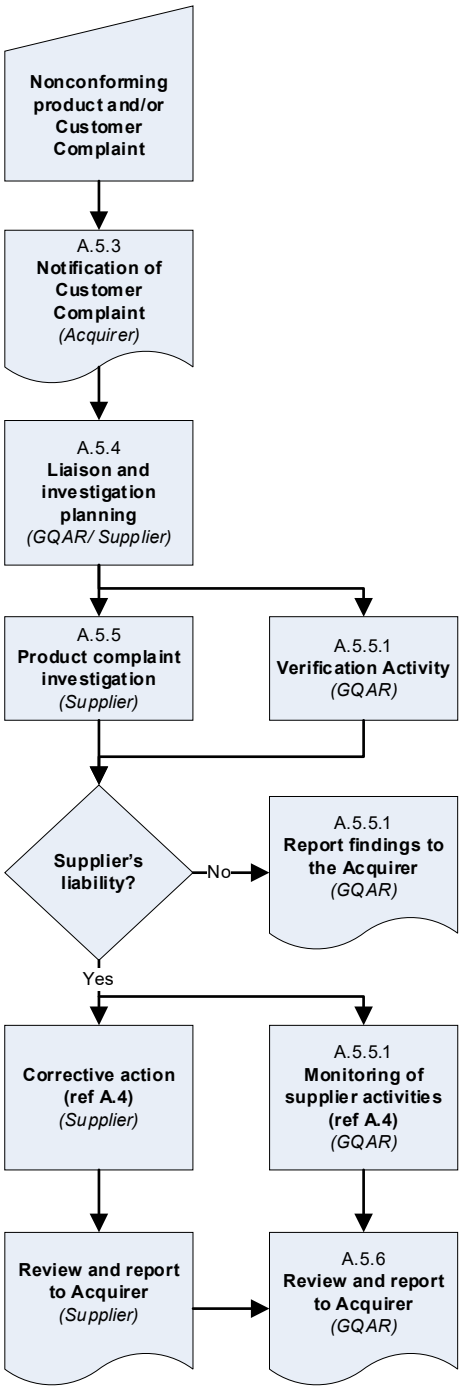
A.5 NONCONFORMING PRODUCT AND CUSTOMER COMPLAINT INVESTIGATION PROCESS

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) A request for the supplier to initiate an investigation and take the necessary corrective actions;
b) Any specific 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.

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. Where the acquirer request that the GQAR witnesses the opening of the exhibit package for verification of condition this must be justified by a specific risk in the RIAC.

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).

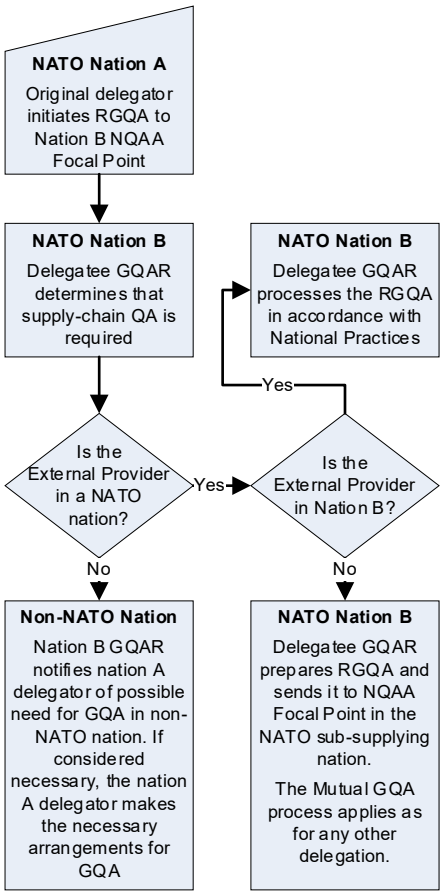
A.5.5.2 The acquirer and supplier will coordinate arrangements concerning the supplier's cost of investigations or product expended in the course of the investigation. The GQAR shall not authorise the supplier to incur costs without the express written authorisation of the acquirer.

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

Figure A-1



A.6.1 Purpose

The purpose of Figure A-1, Sub Delegation Flow, 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 their supply chains; GQA activities in the supply chain are not intended to supplement or replace that responsibility.

A.6.3 Applicability

1. 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.

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

3. Figure A-1 illustrates the NATO supply chain RGQA process and is used as an example to demonstrate the various delegation scenarios that the GQAR may encounter when considering GQA in the supply chain.

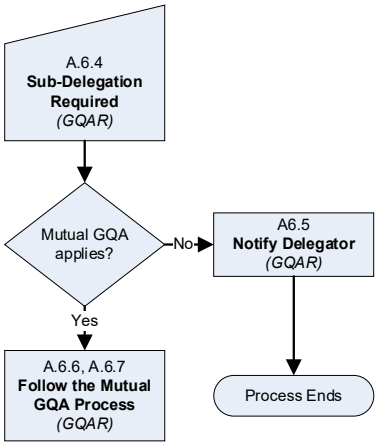
4. The mutual GQA process only applies if the original delegator (acquirer) is a NATO member nation that has ratified STANAG 4107.

A.6.4 Sub Delegation Planning

1. Planning for and issuing external provider 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 external provider GQA effort, based on continuing risk assessments relating to sub-supplied products.

2. 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.

Figure A-2



A.6.5 Using Figure A-2, Sub Delegation Planning the GQAR shall determine whether the mutual GQA process applies. If it does not the GQAR shall notify the delegator, advising of the risks that are not addressed.

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 in the supply chain 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. GQAR Statement of GQA
8. Example Quality Deficiency Report
9. Example Deviation Permit / Concession Request Form
10. Example GQA Plan Template
11. Customer Complaint Report (CCR)
12. Dispute Resolution Document

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

NATO Government Quality Assurance
Risk Identification, Assessment and Communication (RIAC)

RGQA Number:	Click here.	**Revision:**	Click here	**Date:**	Click here

RIAC Number:	Click here	**Delegator Revision:**	Click here	**Date:**	Click here
		Delegatee Revision:	Click here	**Date:**	Click here
Purpose of RIAC revision:	Choose an item.				

Risk ID: Click here	**Date Risk Added:** Click here	**Date Risk Closed:** Click here
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)		
Delegator Risk Status Justification and Narrative: Click or tap here to enter text.		
Delegatee Risk Status Justification and Narrative: Click or tap here to enter text.		

Risk Assessment	**Impact:** Choose an item.	**Likelihood:** Choose an item.	**Index/Rating:** Choose an item.	**Trend:** Choose an item.

Impact: The consequence of an uncertain event occurring (see Section 2.2 and Annex C 3.4.1).
Likelihood: The degree of confidence that the risk will occur (see Section 2.2 and Annex C 3.4.2).
Index/Rating: The degree of importance of the risk expressed as the product of impact & likelihood, used to prioritise GQA activities.

RIAC Form Field drop-down options

Purpose of RIAC revision:

- Delegator initial RIAC
- Delegator change to risk scoring
- Delegator addition/removal of risk(s)
- Delegatee reporting of risk status
- Delegatee reporting of risk status & suggested risk addition
- Delegatee suggested risk addition
- Other - Please specify

Impact

- Low (1)
- Medium (4)
- High (9)

Likelihood

- Low (1)
- Medium (4)
- High (9)

Index Rating

- Low (1)
- Low (4)
- Medium (9)
- Medium (16)
- High (36)
- High (81)

Trend

- Decreasing
- Stable
- Increasing

NATO Government Quality Assurance

Request for Government Quality Assurance (RGQA)

Government Quality Assurance (GQA) for the Referenced Defence Contract is Hereby Requested by Authority of STANAG 4107.		**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:			☐
Government Contract No:		Subcontract No:	
Contract Modification No:		Estimated Contract Final Delivery Date:	
Is the government contract on behalf of a third party other than the requesting Nation?			Yes / No If yes specify:
Contractual Quality Assurance Requirements / Standards:			
Product / Supplies Descriptions (Include reference to Essential Items if applicable):			
Attachments:			
RIAC Reference Number:			
Copies of the Contract / Subcontract / Purchase Order to be Subjected to GQA:			☐
Technical Data Specifications and Quality Assurance Standards:	Are Attached:		☐
	Will be Furnished by the Supplier:		☐

Other Attachments or Forms (Specify):	☐

Delegator Requirements:		
Delegation feedback is requested:		☐
Provide information copy of GQA Plan: Note: Requesting a copy of the plan should not be a common occurrence on routine RGQAs.		☐
GQAR is requested to complete the Statement of GQA:	For partial shipments:	☐
	and final shipments:	☐
GQAR is requested to forward electronic copy of signed Statement of GQA (in pdf format):		☐
Product Release Special instructions related to product release (if Statement of GQA 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	☐
	Case By Case	☐
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.		☐
Reporting (reference para. 4.2.2):		
Report risk status on an ongoing basis: ☐	Copies of Quality Deficiency Reports issued to the Supplier or External provider are requested:	☐
At RGQA Completion: ☐		
Other reporting, please Specify:		☐

Other Requirements:

Delegator Signature (Signature not Required if Sent Electronically)	**Date**

NATO Government Quality Assurance

Response to Government Quality Assurance Request (RGQAR)

Request for Government Quality Assurance (RGQA) is hereby **[choose an item].**					
Delegator RGQA					
Number:	Click or tap here to enter text.	**Revision**	Click or tap here to enter text.	**Date:**	Click or tap to enter a date.

Purpose of RGQAR Revision	Other (see Delegatee Comments for explanation)		
Delegation Feedback is Choose an item.			
Delegatee Comments (Mandatory, if Not Accepted):			
Click or tap here to enter text.			
A Facility Wide Approach will Choose an item.			
Delegatee revised RIAC Form:	Choose an item.		
Delegatee RIAC revision :	Click or tap here to enter text.	**Date:**	Click or tap to enter a date.

Delegatee GQAR Details:	
Name:	Click or tap here to enter text.
Organisation:	Click or tap here to enter text.
Mailing Address:	Click or tap here to enter text.
Phone No.:	Click or tap here to enter text.
Email Address:	Click or tap here to enter text.

Other information:
Click or tap here to enter text.

Delegatee/GQAR Signature (Signature not Required if Sent Electronically):	**Date:**
	Click or tap to enter a date.

RGQAR Form Field drop-down options

Request for Government Quality Assurance (RGQA) is hereby
- Accepted
- Partially Accepted
- Rejected

Purpose of RGQAR Revision
- Initial response to RGQA
- Change of GQAR (GQAR details updated below)
- Change of acceptance status (see Delegatee Comments for explanation/justification)
- Change to sub-delegation status (see Delegatee Comments for explanation/justification)
- Other (see Delegatee Comments for explanation)

Delegation Feedback is
- requested on an annual basis
- requested as agreed
- not required

A Facility Wide Approach will
- be applied to this delegation
- not be applied to this delegation

Delegatee revised RIAC Form:
- is attached
- is not attached

NATO Government Quality Assurance

Government Quality Assurance Closure Report (GQACR)

Government Quality Assurance (GQA) for referenced RGQA is hereby complete.

Delegator RGQA No:	Click or tap here to enter text.	**Revision Number:**	Click or tap here to enter text.	**Date:**	Click or tap to enter a date.

Attachments:			
RIAC updated (with the current risk status and trends) attached			
Delegatee RIAC revision:	Click or tap here to enter text.	Date:	Click or tap to enter a date.
Statement of GQA attached as requested			Choose an item.
Supplier's CoC attached as requested:			Choose an item.
Supplementary report attached:			Choose an item.
Summary of nonconformities attached:			Choose an item.
Delegation Feedback is requested:			Choose an item.
Additional Comments:			
Click or tap here to enter text.			

Delegatee GQAR details if different of those in the RGQAR :	
Name:	Click or tap here to enter text.
Organisation:	Click or tap here to enter text.
Phone No.	Click or tap here to enter text.
Email Address:	Click or tap here to enter text.

Delegatee/GQAR Signature (Signature not Required if Sent Electronically):	**Date:**
	Click or tap to enter a date.

GQACR Form Field drop-down options

CoC attached as requested:

- No
- Yes
- N/A

Supplementary report attached:

- No
- Yes

Summary of nonconformities attached:

- No
- Yes

Delegation Feedback is requested:

- No
- Yes

NATO Government Quality Assurance

Delegation Feedback Form (DFB)

RGQA		**RIAC**	
RGQA Number:	Click or tap here to enter text.	**RIAC Number:**	Click or tap here to enter text.
Revision:	Click or tap here to enter text.	**Revision:**	Click or tap here to enter text.
Date:	Click or tap to enter a date.	**Date:**	Click or tap to enter a date.

Part 1 – Delegatee Feedback
1.1 Risk Identification Choose an item. Additional comments – required if expectations in this area were not met.
1.2 RGQA and RIAC completeness Choose an item. Additional comments – required if expectations in this area were not met.
1.3 Timeliness of RGQA receipt Choose an item. Additional comments – required if expectations in this area were not met.
Delegatee additional comments: Click or tap here to enter text.

Part 2 Delegator Feedback on Communication and GQA Services provided by the Delegatee
2.1 Acknowledgment of Receipt Choose an item. Additional comments – required if expectations in this area were not met.
2.2 Timeliness of Response (Acceptance, Partial Acceptance or Rejection) to the RGQA Choose an item. Additional comments – required if expectations in this area were not met.
2.3 Communication in the course of GQA Choose an item. Additional comments – required if expectations in this area were not met.
2.4 Content/quality of the GQA deliverable documents (RIAC, reports, Statements of GQA, QDRs) Choose an item. Additional comments – required if expectations in this area were not met.
2.5 Timeliness of the GQA deliverable documents (RIAC, reports, Statements of GQA, QDRs) Choose an item. Additional comments – required if expectations in this area were not met.
2.6 Confidence provided by the GQA services Choose an item. Additional comments – required if expectations in this area were not met.
Delegator additional comments: Click or tap here to enter text.

Delegatee/Delegator Signature (Signature not required if sent electronically)**:** Click or tap here to enter text.	**Date:** Click or tap to enter a date.

DFB Form Field drop-down options

1.1 Risk Identification

- 1 - The risk identification by the delegator were insufficient to enable planning of appropriate GQAS
- 2 - The risks identified by the delegator were generic but enabled planning of appropriate GQAS
- 3 - The risks identified by the delegator were specific and focussed and contained some background information
- 4 - The risks identified by the delegator were specific and focussed and contained excellent background information

1.2 RGQA and RIAC completeness

- 1 - The RGQA and RIAC had many errors or omissions and were insufficient to enable the delegatee to plan appropriate GQAS
- 2 - The RGQA and RIAC had some errors or omissions which needed to be clarified by the delegator to enable the delegatee to plan appropriate GQAS
- 3 - The RGQA and RIAC contained sufficient information to enable the delegatee to plan appropriate GQAS
- 4 - The RGQA and RIAC contained the full information to enable the delegatee to plan appropriate GQAS

1.3 Timeliness of RGQA receipt

- 1 - The RGQA was received late. The items were awaiting delivery.
- 2 - The RGQA was received late. Many of the items had already been produced.
- 3 - The RGQA was received on time. Production was about to start.
- 4 - The RGQA was received on time. There was enough time to conduct activity prior to production.

2.1 Acknowledgment of Receipt

- 1 - The RGQA was not acknowledged or needed to be hastened by the delegator
- 2 - The RGQA was acknowledged late
- 3 - The RGQA was acknowledged within 5 working days of receipt

2.2 Timeliness of Response (Acceptance, Partial Acceptance or Rejection) to the RGQA

- 1 - The response to the RGQA was not received and needed to be hastened by the delegator
- 2 - The response was received late or did not justify the Partial Acceptance/Rejection.
- 3 - The response was received within 20 working days of receipt and provided good information how the delegatee would perform the GQAS
- 4 - The response was received within 20 working days of receipt and provided excellent information how the delegatee would perform the GQAS

2.3 Communication in the course of GQA

- 1 - There was little or no communication even when hastened by the delegator
- 2 - Communication was usually initiated by the delegator
- 3 - Regular communication was provided by the delegatee
- 4 - The delegatee communicated all important information in a timely manner

2.4 Content/quality of the GQA deliverable documents (RIAC, reports, Statements of GQA, QDRs)

- 1 - The content/quality of the deliverable documents gave the delegator little or no evidence of the level of performance of the supplier
- 2 - The content/quality of the deliverable documents gave the delegator some evidence of the level of performance of the supplier

- 3 - The content/quality of the deliverable documents gave the delegator good evidence of the level of performance of the supplier
- 4 - The content/quality of the deliverable documents gave the delegator excellent evidence of the level of performance of the supplier

2.5 Timeliness of the GQA deliverable documents (RIAC, reports, Statements of GQA, QDRs)

- 1 - The deliverable documents were not provided or provided late
- 2 - Many of the deliverable documents were provided late or needed to be hastened by the delegator
- 3 - Most of the deliverable documents were provided on time to the delegator
- 4 - The deliverable documents were provided on time to the delegator

2.6 Confidence provided by the GQA services

- 1 - The GQAS services provided little or no confidence in the supplier's level of performance
- 2 - The GQAS services provided confidence in the supplier's level of performance in some areas
- 3 - The GQAS services provided good confidence in the supplier's level of performance
- 4 - The GQAS services provided excellent confidence in the supplier's level of performance

Example of a Certificate of Conformity (CoC)

<table>
<tr><td colspan="5">Supplier Certificate of Conformity</td><td>1. Supplier CoC Serial No.</td></tr>
<tr><td colspan="3" rowspan="2">2. Supplier (Include Name, Address, Email etc.):</td><td colspan="3">3. Contract Number:</td></tr>
<tr><td colspan="3">4. Contract Modification Number:</td></tr>
<tr><td colspan="3">5. Approved Deviations and/or Concessions:</td><td colspan="3">6. Acquirer (Include Name, Address, Email etc.):</td></tr>
<tr><td colspan="3">7. Delivery Address:</td><td colspan="3">8. Applicable to:
Partial Delivery Number:
Final Delivery Number:</td></tr>
<tr><td>9. Contract Item #</td><td>10. Product Description or Part #</td><td>10. Quantity</td><td>11. Shipment Document</td><td>13. Undelivered Quantity</td><td></td></tr>
<tr><td colspan="6">14. Remarks or Comments:</td></tr>
<tr><td colspan="6">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.</td></tr>
<tr><td>Date:</td><td colspan="2">Supplier Name and Title:</td><td colspan="3">Supplier Signature:</td></tr>
</table>

GQAR Statement of GQA

<table>
<tr><td colspan="2">GQAR Statement of GQA</td><td>1. Supplier CoC Serial No(s).</td></tr>
<tr><td colspan="3">2. Supplier:</td></tr>
<tr><td colspan="2">3. Contract Number:</td><td>4. Contract Modification Number:</td></tr>
<tr><td colspan="3">5. Remarks or Comments:</td></tr>
<tr><td colspan="3">6. Government Quality Assurance Representative Statement of GQA:
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.

(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 on the indicated CoC(s), do not necessarily mean that the individual items have been inspected, nor do they mean that certification has been granted).</td></tr>
<tr><td>Date:</td><td>GQAR Information:

Name:

Phone Number:

Email Address:</td><td>GQAR Signature:</td></tr>
</table>

Example of a Quality Deficiency Report (QDR)

QUALITY DEFICIENCY REPORT (QDR)	
QDR No.:	Date:
Supplier:	Acquirer/GQAR:
(Supplier name, Address)	(GQAR details, Address, Tel, e-mail)
Contract No:	RGQA No:
Deficiency description:	
(Description of nonconformity)	
Reference to contract para/AQAP/contractual Quality standard:	
(Define the criteria, reference of the requirement that has not been complied with)	
Comments:	
A formal response is required within …. working days of the date below.	
GQAR signature:	Date:
Supplier ‘s response:	
Corrections:	
(Immediate plan of action to remove the effect of nonconformity: rework, repair… and to prevent non-conforming material from being delivered)	
Root Cause:	
(Identification of root cause and techniques used)	
Corrective Action:	
(What actions will be taken to prevent future nonconformities)	
Evidence of Effectiveness of Corrective Action:	
(Provide evidence of the effectiveness of the actions and how this has been assessed eg. process metrics, internal audit, etc.)	
Comments:	
Supplier’s Representative signature:	Date:

Review of Supplier's corrective action implementation	
GQAR signature:	Date:

Example of a Deviation Permit / Concession Form

REQUEST FOR DEVIATION PERMIT / CONCESSION	Supplier's Ref. No. External provider'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 an External provider 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.

PART 1 – To be Completed by the Supplier

1. Supplier (Name and Address)	2. External provider (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 ☐ Decreased ☐ Unchanged ☐
12. Is Nonconformity Considered Major ☐ Minor ☐ Indicate in the product characteristics affected in Block #13.	13. Affected Characteristics Performance ☐ Environment ☐ Safety ☐ Interchangeability ☐ Reliability ☐ Maintainability ☐ Service Life ☐ Appearance ☐ Other (see block 8) ☐	14. Contract Amendment Required ☐

15. Effect on Contractual Delivery date:	16. Identify the Design Authority:

17. Engineering Authority Approval	18. Production Authority Approval	19. Quality Authority Approval

Signature and Date	Signature and Date	Signature and Date
20. Is Supplier the Design Authority: Yes ☐ No ☐ 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 ☐ No ☐
Contract Number:		GQAR Name:	
RGQA Ref:		GQAR Phone No:	
Facility Wide Approach:	☐		
Supplier:		GQAR Email:	

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	
		☐	☐	☐			☐	☐	☐	☐	☐	☐	☐	☐	☐	
		☐	☐	☐			☐	☐	☐	☐	☐	☐	☐	☐	☐	
		☐	☐	☐			☐	☐	☐	☐	☐	☐	☐	☐	☐	
		☐	☐	☐			☐	☐	☐	☐	☐	☐	☐	☐	☐	
		☐	☐	☐			☐	☐	☐	☐	☐	☐	☐	☐	☐	
		☐	☐	☐			☐	☐	☐	☐	☐	☐	☐	☐	☐	
		☐	☐	☐			☐	☐	☐	☐	☐	☐	☐	☐	☐	
		☐	☐	☐			☐	☐	☐	☐	☐	☐	☐	☐	☐	
		☐	☐	☐			☐	☐	☐	☐	☐	☐	☐	☐	☐	

NATO Government Quality Assurance

Government Quality Assurance Customer Complaint Report (CCR)

Government Quality Assurance (GQA) for the Referenced Non-Conformity is Hereby Requested by Authority of STANAG 4107.	**Delegator RGQA No:**	
	Revision Number:	
	Date RGQA issuance:	

From: Delegator		To: Delegatee	
Name:		Name:	
Organisation:		Organisation:	
Mailing Address:		Mailing Address:	
Telephone:		Telephone:	
E-mail:		E-mail:	
Acquirer:		Supplier:	
Government Contract No:		Subcontract No:	

Step 1 - Description of the Non-Conformity (NC) (by the Delegator)			
Reference of the letter sent by the Acquirer		Is Attached:	☐
The item/equipment has been returned to the Supplier.		Yes / No	
Wrap up of main issues detailed in the letter sent by the Acquirer to the Supplier.			

Step 2 – Questions for the Delegatee (non exhaustive list, to be adapted at the context of the NC by the Delagator)

1. *Has this problem ever been observed during a production?*

   or has another customer already informed of such a problem?

2. *About this problem, how does the Supplier assess the risk on the performance if that occurs?*

   Does the Supplier recommend controlling all items/equipment of the previous production batches and giving an early alert to the end users?

3. *Did the Supplier define critical/safety parameters for their items/equipment?*

   If yes, on what criteria were these parameters defined?

4. *What is the test policy applied to these parameters?*

   Did the Supplier perform systematic checks on those critical/safety parameters during production process?

5. *During final tests, does the Supplier address a specific focus on this point?*

Name of NQAR		Date:	

Step 3 – Opinion on implementation of Supplier action plan (by the Delegatee)			
Reference of the Supplier action plan to remove the effect of the NC		Is Attached:	☐
Name of NQAR		Date:	

Step 4 – Closure (by the Delegator)

After receiving items/equipment without NC.

Name of NQAR		Date:	

NATO Government Quality Assurance

Government Quality Assurance Dispute Resolution Document

AUTHORITY: National Practices and Procedures
PURPOSE: Form is used to identify gaps between NATO nations of requirements set forth in AQAP 2070; documented efforts taken to resolve the issue; GQAR supervision acknowledgment and validation; GQA Focal Point knowledge and engagement; AC/327 NATO WG/2 national representative engagement for resolution with NATO WG2.

RGQA		**RIAC**	
RGQA Number:		**RIAC Number:**	
Revision Number:		**Revision Number:**	
Date:		**Date:**	

Part 1: Missing Documents or Correspondence			
1.1 RGQA acknowledgment	Yes ☐	No ☐	*If no, please provide the documentation.*
1.2 RGQAR received	Yes ☐	No ☐	*If no, please provide the documentation.*
1.3 RIAC received	Yes ☐	No ☐	*If no, please provide the documentation.*
1.4 Surveillance Plan received	Yes ☐	No ☐	*If no, please provide the documentation sent to GQAR.*
1.5 GQACR received	Yes ☐	No ☐	*If no, please provide the documentation sent to GQAR.*
1.6 DFB received after receipt of GQACR	Yes ☐	No ☐	*If no, please provide the documentation sent to GQAR.*
1.7 Requested reports received at frequency agreed in RGQAR	Yes ☐	No ☐	*If no, please provide the documentation sent GQAR.*
1.8 Other…			*Please provide details and correspondence with GQAR*
Additional Comments:			

Part 2: Inadequate Documents			
2.1 RIAC & GQA Plan mismatch	Yes ☐	No ☐	*If yes, provide documentation received from GQAR.*
2.2 RIAC GQAR reports don't provide adequate risk adjustment justification	Yes ☐	No ☐	*If yes, provide documentation received from GQAR*
2.3 Other..			*Please provide details and correspondence with GQAR*

Additional Comments:

Part 3: Perceived non-compliance of International Agreement (not for engagement with the nation)			
3.1 What is the concern?	Yes ☐	No ☐	*Provide details (do not engage HN)*
3.2 What is the requirement?	Yes ☐	No ☐	*Provide agreement reference.*
3.3 Has the concern been elevated to GQAR Supervision?	Yes ☐	No ☐	*If yes, provide supporting documentation.*
Additional Comments:			
Part 4: Communication issues between Delegator and Delegatee			
4.1 Did you call GQAR?	Yes ☐	No ☐	*If yes, provide dates and times.*
4.2 Did you email the GQAR?	Yes ☐	No ☐	*If yes, provide emails sent to the GQAR*
4.3 Did you received feedback from the GQAR?	Yes ☐	No ☐	*If no, please provide the documentation received from GQAR.*
4.4 Is this a repeat occurrence for this nation?	Yes ☐	No ☐	*If yes, provide supporting documentation.*
Additional Comments:			

Delegator/Delegatee Signature (Signature not required if sent electronically):	**Date:**

ANNEX C – GQA RISK IDENTIFICATION, ASSESSMENT AND COMMUNICATION

C.1 PURPOSE OF THIS ANNEX

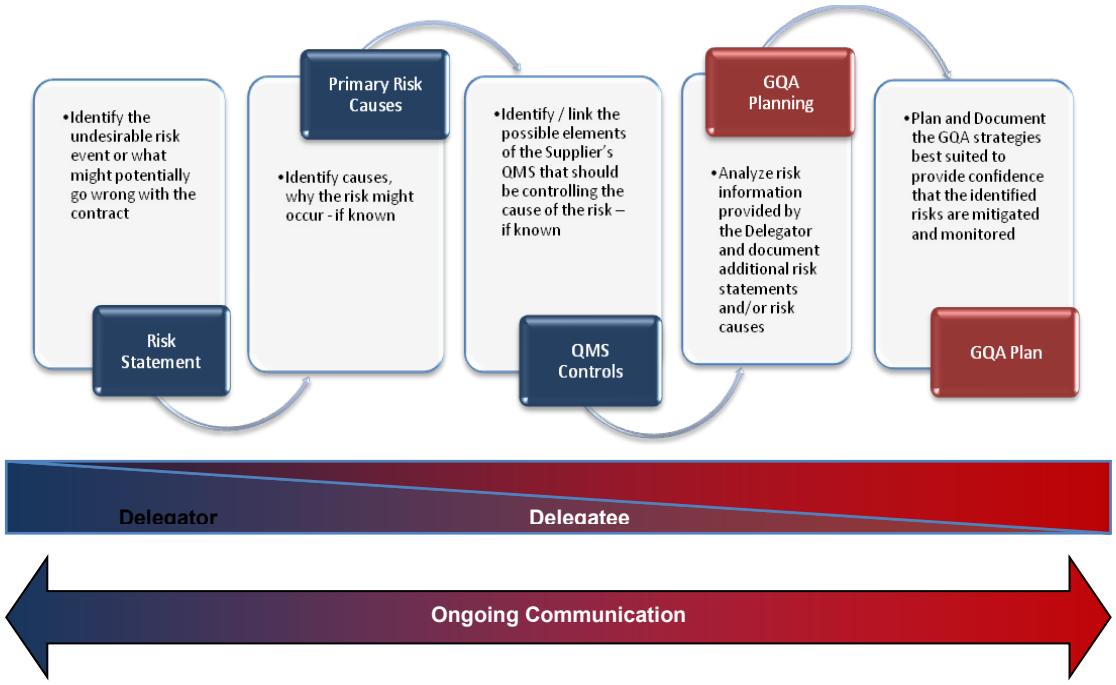
This annex provides additional instruction and guidance designed to assist the delegator and delegatee in identifying, assessing and communicating risk in the context of GQA.

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 2nd or 3rd 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.

Special Requirements
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 (i.e. new / developing technologies), or requirements determined by the organisation to be at the limit of their technical or process capabilities.
Technology Readiness Levels/Manufacturing Readiness Levels may be used to quantify potential levels of risk.

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. The risk impact should be justified by the Risk Statement and the attribute(s) influencing the risk impact should be easily identifiable.

Table C-3 Attributes of Risk Impact

Attribute	Impact
Product is widely available and not prohibitively expensive so can be replaced easily, for example consumable items, commercially available products and services.	Low (1)
Easily recoverable localised environmental impact.	
Product appearance would be adversely affected, it is not a critical characteristic.	
Increased costs, within budgetary constraints	
Manageable project delays, not impacting operations	
Only non-critical or non-key characteristics affected.	
Localised or temporary environmental damage that is easily remediated.	Medium (4)
Injury or disruption of the mission, for example, a significant delay, increased cost.	
Significant increase of the life cycle costs.	
Localised or temporary environmental damage.	
Significant delay.	
Lack of equipment availability would have a moderate impact current military operations.	
Product lead time is long, it is single source supply.	
Single serious injury	
Lack of equipment availability would impact future military operations	
Life extensions to existing systems would be necessary.	
Product lead time is very long.	
Non-critical, but key characteristics or special requirements affected.	
Product capability would be restricted so that 1 or more key capabilities would be compromised.	
Lack of equipment availability would have a major impact on current military operations.	High (9)
Product lead time is very long, it is single source supply.	
Loss of critical assets (for example assets critical to a single military operation) that are not easily replaced or secret information.	
Single incident causing serious environmental damage, for example radiation leak or widespread chemical contamination	
Loss of a single human life or multiple serious injury.	
Product lead time is prohibitively long, it is single source supply or procuring redundancy is prohibitively expensive.	
Product would not fulfil the intended purpose and cannot be satisfied by alternative means, e.g. another product or system.	
Loss of critical assets (for example assets critical to multiple military operations) that are not easily replaced or secret information.	
Multiple incidents causing serious or a single incident causing permanent environmental damage, for example radiation leak or widespread chemical contamination	
Multiple loss of human life or serious injury.	
Complete failure of mission.	

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 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. The risk likelihood should be justified by the Risk Status Justification and Narrative and the attribute(s) influencing the risk likelihood should be easily identifiable.

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 to the delegator, rather than make a assumption, the risk likelihood should be left blank. In these cases the delegatee's knowledge should be used to assess the likelihood. Where the delegatee has no current knowledge GQA should be used to gather sufficient evidence to make an informed assessment.

Table C-4 Attributes of Risk Likelihood

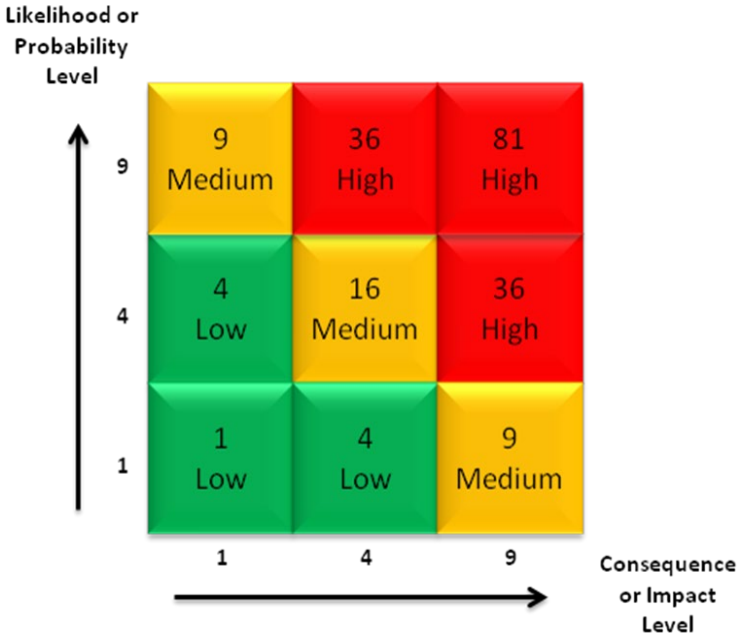
Attribute	Likelihood
The system or process is under control or performance data, current or recent GQA results or the Supplier provides evidence that the contractual requirements relating to quality will be met.	Low (1)
It is unlikely that the risk will occur.	
The process is either new to the Supplier or difficult to control. There is some evidence of control but it is insufficient to provide confidence of the process control.	Medium (4)
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.	
It is probable or likely that the risk will occur.	
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.	High (9)
The process is seldom used, so rarely practiced, leading to a lack of control, e.g. a lack of experienced operators.	
The uncontrolled process is used very frequently leading to increase of occurrence of the risk.	
There is no evidence available of the Supplier's capability to perform the required activity.	

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.	
It is highly likely to occur.	

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

When the risk relates to a system part, assembly or equipment where a failure may result in catastrophic or critical failure resulting in loss of life or significant operational capability the risk impact and the risk index can never be less than 9. Examples include: Critical Safety Items (CSI), Safety to Life, Submarine 1st 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. The supporting narrative entries on the RIAC should allow and enhance the mutual understanding of the joint risk identification and assessment. The Risk Statement text should justify the Risk Impact score
The Risk Status Justification and Narrative text should justify the Risk Likelihood score. Refer to Figure C-7 and C-8 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.

C3.5.2 Mapping to different risk matrices

Where a nation does not use a 3x3 risk matrix it may be beneficial to generate a mapping between the nation's matrix and the 3x3 matrix used in AQAP-2070. This may be done by identifying the appropriate level in the national approach for each of the attributes in tables C-3 and C-4. An example of a mapping from 3 to 5 levels for the risk impact attributes in table C-3 is at Figure C-6.

Figure C-6
Example of a mapping from 3 to 5 levels for the risk impact attributes in table C-3

Attribute	Impact Level	
	AQAP-2070	[National]
Product is widely available and not prohibitively expensive so can be replaced easily, for example consumable items, commercially available products and services.	Low	Very Low
Easily recoverable localised environmental impact.		
Product appearance would be adversely affected, it is not a critical characteristic.		
Increased costs, within budgetary constraints		
Manageable project delays, not impacting operations		Low
Only non-critical, non-key characteristics or special requirements affected.		
Localised or temporary environmental damage that is easily remediated.		
Injury or disruption of the mission, for example, a significant delay, increased cost.	Medium	
Significant increase of the life cycle costs.		
Localised or temporary environmental damage.		Medium
Significant delay.		
Lack of equipment availability would have a moderate impact current military operations.		
Product lead time is long, it is single source supply.		
Single serious injury		
Lack of equipment availability would impact future military operations and/or Life extensions to existing systems would be necessary.		
Product lead time is very long.		High
Non-critical, but key characteristics or special requirements affected.		
Product capability would be restricted so that 1 or more key capabilities would be compromised.		
Lack of equipment availability would have a major impact on current military operations.	High	
Product lead time is very long, it is single source supply.		
Loss of critical assets (for example assets critical to a single military operation) that are not easily replaced or secret information.		
Single incident causing serious environmental damage, for example radiation leak or widespread chemical contamination		
Loss of a single human life or multiple serious injury.		
Product lead time is prohibitively long, it is single source supply or procuring redundancy is prohibitively expensive.		
Product would not fulfil the intended purpose and cannot be satisfied by alternative means, e.g. another product or system.		Very High
Loss of critical assets (for example assets critical to multiple military operations) that are not easily replaced or secret information.		
Multiple incidents causing serious or a single incident causing permanent environmental damage, for example radiation leak or widespread chemical contamination		
Multiple loss of human life or serious injury.		
Complete failure of mission.		

Figure C-7 Example of a Delegator Risk

NATO Government Quality Assurance
Risk Identification, Assessment and Communication (RIAC)

RGQA Number:	DAOQ nº280708	**Revision:**	0	**Date:**	28/07/2008

RIAC Number:	RIAC nº280708	**Delegator Revision:**	0	**Date:**	28/07/2008
		Delegatee Revision:	0	**Date:**	Click here
Purpose of RIAC revision:	Choose an item.				

Risk ID: 1	**Date Risk Added:** 28/07/2008	**Date Risk Closed:** Click here
Risk Statement The hull integrity – Insufficient strength of the welded joints of the submarine hull.		
Risk Cause Uncontrolled supply of welding wire (AQAP2110 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)		
Delegator Risk Status Justification and Narrative: 3 customer complaints. 2 concerning incorrect specification of welding wire and 1 concerning a non-qualified welder		

Delegatee Risk Status Justification and Narrative: Click or tap here to enter text.				
Risk Assessment	**Impact:** 9	**Likelihood:** 9	**Index/Rating:** 81	**Trend:** Choose an item.
Impact: The consequence of an uncertain event occurring (see Section 2.2 and Annex C 3.4.1). **Likelihood:** The degree of confidence that the risk will occur (see Section 2.2 and Annex C 3.4.2). **Index/Rating:** The degree of importance of the risk expressed as the product of impact & likelihood, used to prioritise GQA activities.				

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-8 Example of a Delegatee Risk

	NATO Government Quality Assurance **Risk Identification, Assessment and Communication (RIAC)**				
RGQA Number:	DAOQ nº280708	**Revision:**	0	**Date:**	28/07/2008

RIAC Number:	RIAC nº280708	**Delegator Revision:**	0	**Date:**	28/07/2008
		Delegatee Revision:	1	**Date:**	25/08/2008
Purpose of RIAC revision:	Choose an item.				

Risk ID: 1	**Date Risk Added:** 28/07/2008	**Date Risk Closed:** Click here		
Risk Statement The hull integrity – Insufficient strength of the welded joints of the submarine hull.				
Risk Cause Uncontrolled supply of welding wire (AQAP2110 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)				
Delegator Risk Status Justification and Narrative: 3 customer complaints. 2 concerning incorrect specification of welding wire and 1 concerning a non-qualified welder				
Delegatee Risk Status Justification and Narrative: 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.				
Risk Assessment	**Impact:** 9	**Likelihood:** Medium (4)	**Index/Rating:** High (36)	**Trend:** Decreasing
Impact: The consequence of an uncertain event occurring (see Section 2.2 and Annex C 3.4.1). **Likelihood:** The degree of confidence that the risk will occur (see Section 2.2 and Annex C 3.4.2). **Index/Rating:** The degree of importance of the risk expressed as the product of impact & likelihood, used to prioritise GQA activities.				

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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

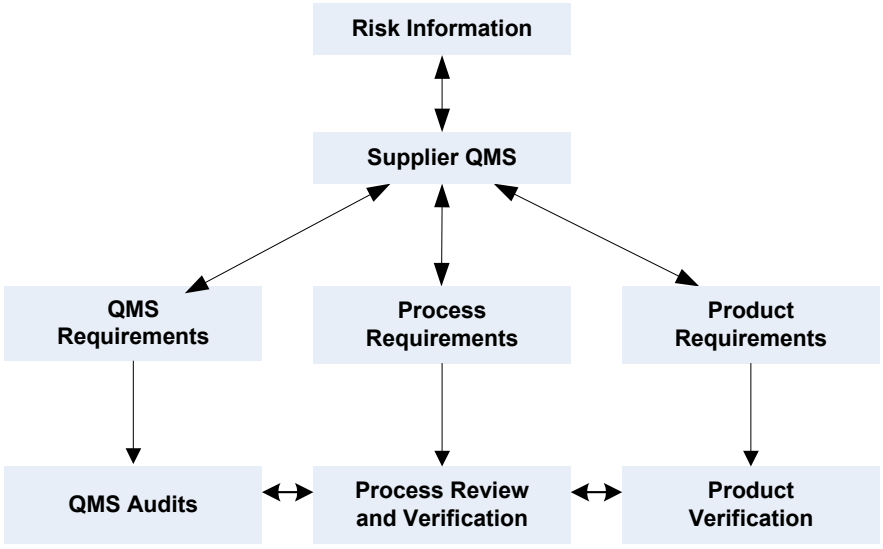
This annex is structured around the RIAC form and first illustrates the general concepts of planning GQA activity based on an initial risk assessment and providing some typical GQA activities. It then provides some guidance and instruction on GQA planning throughout the life of a GQA delegation, including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



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 Risk Identification, Assessment and Communication (RIAC)

	NATO Government Quality Assurance **Risk Identification, Assessment and Communication (RIAC)**

RGQA Number:	DAOQ nº280708	**Revision:**	0	**Date:**	28/07/2008

RIAC Number:	RIAC nº280708	**Delegator Revision:**	0	**Date:**	28/07/2008
		Delegatee Revision:	1	**Date:**	25/08/2008
Purpose of RIAC revision:	Choose an item.				

Risk ID: 1	**Date Risk Added:** 28/07/2008	**Date Risk Closed:** Click here
Risk Statement The hull integrity – Insufficient strength of the welded joints of the submarine hull.		
Risk Cause Uncontrolled supply of welding wire (AQAP2110 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)		
Delegator Risk Status Justification and Narrative: 3 customer complaints. 2 concerning incorrect specification of welding wire and 1 concerning a non qualified welder		
Delegatee Risk Status Justification and Narrative: 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.		

Risk Assessment	**Impact:** 9	**Likelihood:** Medium (4)	**Index/Rating:** High (36)	**Trend:** Decreasing

Impact: The consequence of an uncertain event occurring (see Section 2.2 and Annex C 3.4.1).
Likelihood: The degree of confidence that the risk will occur (see Section 2.2 and Annex C 3.4.2).
Index/Rating: The degree of importance of the risk expressed as the product of impact & likelihood, used to prioritise GQA activities.

D.3.2 Risk Index and GQA Planning

The risk index is the key indicator of risk priority used in GQA planning. The resource spent on GQA-should be proportionate to the risk index of the specific risk.

For delegator GQA requirements the resource spent should be proportionate to the level of assurance and confidence in the associated supplier processes. Risks with a low impact and low likelihood require little or infrequent GQA.

Where the likelihood of a risk is as low as reasonably practicable, the GQAR shall confirm the risk likelihood remains low. In these cases the acquirer must be informed (reference para. 11.5) to enable them to consider monitoring product delivery, cost and performance in order to detect variance that might indicate an increase in risk likelihood and the need for more in depth or frequent GQAS.

Risks must only be closed by the delegator, but the GQAR should recommend closure of risks where there is evidence that the likelihood of a risk is low.

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) External providers.

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 (where applicable), 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 and/or 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

	NATO Government Quality Assurance **Risk Identification, Assessment and Communication (RIAC)**

RGQA Number:	DAOQ nº280708	**Revision:**	0	**Date:**	28/07/2008

RIAC Number:	RIAC nº280708	**Delegator Revision:**	0	**Date:**	28/07/2008
		Delegatee Revision:	2	**Date:**	18/12/2008
Purpose of RIAC revision:	Choose an item.				

Risk ID: 1	**Date Risk Added:** 28/07/2008	**Date Risk Closed:** Click here
Risk Statement The hull integrity – Insufficient strength of the welded joints of the submarine hull.		
Risk Cause Uncontrolled supply of welding wire (AQAP2110 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)		
Delegator Risk Status Justification and Narrative: 3 customer complaints. 2 concerning incorrect specification of welding wire and 1 concerning a non qualified welder		
Delegatee Risk Status Justification and Narrative: 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.		

Risk Assessment	**Impact:** 9	**Likelihood:** Low (1)	**Index/Rating:** Medium (9)	**Trend:** Decreasing

Impact: The consequence of an uncertain event occurring (see Section 2.2 and Annex C 3.4.1).
Likelihood: The degree of confidence that the risk will occur (see Section 2.2 and Annex C 3.4.2).
Index/Rating: The degree of importance of the risk expressed as the product of impact & likelihood, used to prioritise GQA activities.

D.5.3 Ongoing GQA Risk Status
According 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):

a) Decreasing,
b) Stable,
c) 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:

a) No Occurrence,
b) Occurred & Controlled,
c) Occurred & Uncontrolled.

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

D.5.5 RIAC Information Configuration
Each time the RIAC is revised and amended, 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 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(C)(1)