Міністерство оборони України

ПІДТВЕРДЖУВАЛЬНЕ ПОВІДОМЛЕННЯ

Головне управління технічного оцінювання та контролю якості озброєння та військової техніки

наказ від 12.11.2025 № 63

STANREC 4874 Ed. 1 / AQAP-2030 Ed. A

AQAP CERTIFICATION/CONFIRMATION PROCESSES – NATIONAL QUALITY ASSURANCE AUTHORITY GUIDANCE

ПРИЙНЯТО ЯК ВІЙСЬКОВИЙ СТАНДАРТ МЕТОДОМ “ПІДТВЕРДЖЕННЯ”

ВСТ 023.005:2025(01)

“Якість товарів, робіт і послуг оборонного призначення. Процеси сертифікації/підтвердження відповідності. Керівництво національного органу з гарантування якості (STANREC 4874 Ed. 1 / AQAP-2030 Ed. A “AQAP Certification/Confirmation Processes – National Quality Assurance Authority Guidance”, IDT)”

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

З наданням чинності з 15.11.2025
РЕЄСТРАЦІЙНИЙ НОМЕР: 0208

STANDARDIZATION RECOMMENDATION

RECOMMANDATION DE NORMALISATION

STANREC 4874

AQAP CERTIFICATION/CONFIRMATION - HARMONISATION OF NATIONAL QUALITY ASSURANCE AUTHORITY PROCESSES

HARMONISATION DES PROCESSUS DE L'AUTORITÉ NATIONALE D'ASSURANCE QUALITÉ POUR LA CERTIFICATION/CONFIRMATION AQAP

EDITION/ÉDITION 1

9 April/avril 2025

NORTH ATLANTIC TREATY ORGANIZATION

ORGANISATION DU TRAITÉ DE L'ATLANTIQUE NORD

Published by the NATO STANDARDIZATION OFFICE (NSO)

Publiée par le BUREAU OTAN DE NORMALISATION (NSO)

9 April/avril 2025 NSO(LCMG)0468(2025)WG2/4874

LETTER OF PROMULGATION

STATEMENT

The enclosed NATO standardization recommendation (STANREC), which has been approved by member nations, is promulgated herewith.

ENACTMENT

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

ACTIONS BY NATIONS

Nations are invited to use the Allied standard(s) covered by the STANREC and to provide feedback to the NSO on the use of the covered Allied standard(s).

SECURITY CLASSIFICATION

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

RESTRICTION TO REPRODUCTION

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ADDITIONAL INFORMATION

None

LETTRE DE PROMULGATION

DÉCLARATION

La recommandation de normalisation OTAN (STANREC) ci-jointe, qui a été approuvée par les pays membres, est promulguée par la présente.

ENTRÉE EN VIGUEUR

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

MESURES À PRENDRE PAR LES PAYS

Les pays sont invités à appliquer la ou les normes interalliées couvertes par cette STANREC et à fournir des informations en retour au NSO quant à leur utilisation desdites normes.

CLASSIFICATION DE SÉCURITÉ

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

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INFORMATIONS SUPPLÉMENTAIRES

Aucune

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

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

STANREC 4874 Edition/Édition 1

AQAP CERTIFICATION/CONFIRMATION - HARMONISATION OF NATIONAL QUALITY ASSURANCE AUTHORITY PROCESSES

HARMONISATION DES PROCESSUS DE L'AUTORITÉ NATIONALE D'ASSURANCE QUALITÉ POUR LA CERTIFICATION/CONFIRMATION AQAP

AIM

The aim of this NATO standardization recommendation (STANREC) is to list recommended practices regarding:

NATO nations' approaches for the use of Allied Quality Assurance Publications as the basis of quality management system (QMS) certification.

BUT

La présente recommandation de normalisation OTAN (STANREC) a pour but de répertorier les pratiques recommandées concernant :

l'utilisation, par les pays de l'OTAN, des publications interalliées sur l'assurance de la qualité comme base de certification d'un système de management de la qualité (SMQ).

RECOMMENDATION

The following Allied and/or non-NATO standard is recommended:

RECOMMANDATION

La norme interalliée ou non OTAN suivante est recommandée :

STANDARD

AQAP-2030, Edition A

NORME

AQAP-2030, Édition A

OTHER RELATED DOCUMENTS

ISO 19011:2018 - GUIDELINES FOR AUDITING MANAGEMENT SYSTEMS

ISO/IEC 17021-1:2015 - CONFORMITY ASSESSMENT – REQUIREMENTS FOR BODIES PROVIDING AUDIT AND CERTIFICATION OF MANAGEMENT SYSTEMS – PART 1: REQUIREMENTS

AUTRES DOCUMENTS CONNEXES

ISO 19011:2018 – LIGNES DIRECTRICES POUR L'AUDIT DES SYSTÈMES DE MANAGEMENT

ISO/IEC 17021-1:2015 - ÉVALUATION DE LA CONFORMITÉ – EXIGENCES POUR LES ORGANISMES PROCÉDANT À L'AUDIT ET À LA CERTIFICATION DES SYSTÈMES DE MANAGEMENT – PARTIE 1 : EXIGENCES

SUPERSEDED DOCUMENTS

This STANREC does not supersede any document.

DOCUMENTS ANNULÉS ET REMPLACÉS

La présente STANREC n'annule et ne remplace aucun document.

USE

Member or partner nations and NATO bodies should provide feedback to the NSO on the use of Allied standards covered by a STANREC.

EMPLOI

Les pays membres ou partenaires et les organismes OTAN devraient fournir au NSO des informations en retour sur l'emploi des normes interalliées couvertes par les STANREC.

REVIEW

This STANREC is to be reviewed in accordance with AAP-03. The result of the review is to be recorded within the NATO Standardization Documents Database (NSDD).

RÉEXAMEN

La présente STANREC doit être réexaminée conformément à l'AAP-03. Le résultat de ce réexamen doit être consigné dans la Base de données des documents de normalisation OTAN (NSDD).

TASKING AUTHORITY

This STANREC is supervised under the authority of:

AUTORITÉ DE TUTELLE

La présente STANREC 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 STANREC shall be addressed to:

INFORMATIONS EN RETOUR

Tous les commentaires concernant la présente STANREC doivent être adressés au :

NATO Standardization Office (NSO)

Bureau OTAN de normalisation (NSO)

Boulevard Léopold III
1110 BRUXELLES - Belgique

NATO STANDARD

AQAP-2030

AQAP CERTIFICATION/CONFIRMATION PROCESSES - NATIONAL QUALITY ASSURANCE AUTHORITY GUIDANCE

Edition A, Version 1

APRIL 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

9 April 2025

1. The enclosed Allied Quality Assurance Publication AQAP-2030, Edition A, Version 1, AQAP CERTIFICATION/CONFIRMATION PROCESSES - NATIONAL QUALITY ASSURANCE AUTHORITY GUIDANCE, which has been approved by the nations in the in the LIFE CYCLE MANAGEMENT GROUP (AC/327), is promulgated herewith. The recommendation of nations to use this publication is recorded in STANREC 4874.

2. AQAP-2030, Edition A, Version 1, is effective upon receipt.

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 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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CHAPTER 1 INTRODUCTION

1.1 BACKGROUND

1. There are many organisations providing defence suppliers with AQAP certification on behalf of National Quality Assurance Authorities (NQAA) within NATO sphere of influence. These certification activities are not always consistently controlled, which undermines the value of the certificates and potentially exposes NATO to reputational risk if suppliers use such certification to misrepresent their actual capability. Certificates provided by some NATO nations are contributing to this undefined process by not having a unified/standardised approach to NQAA sponsored certification. The different national approaches and the different business models of conformity assessment bodies increase the risk that such certification misrepresents the suppliers' actual capabilities.

2. Implementation of AQAP requirements by suppliers of defence products promotes a quality culture and provides confidence in the ability of suppliers to meet AQAP requirements before contracts are awarded. Having an AQAP certificate implies a lower risk of non-compliance with AQAP requirements by suppliers. Certification is a recognition to suppliers given by the appropriate authority (i.e. NQAA).

1.2 PURPOSE

1. This guidance document has been published to promote a consistent approach to AQAP certification processes across NATO nations and partners to limit the use of multiple certificates and maintain a consistent and standardised approach to NQAA sponsored certification.

2. This guidance document is for all applications of AQAP conformity assessment processes authorised by NQAA and other governmental authorities with derived responsibilities. The good practice contained in this guidance publication is derived from an analysis of NATO nation certification approaches.

3. It should be noted that acquiring nations may use supplementary contractual requirements and issue supplementary guidance that reflects their national practice. Readers are encouraged to contact their National Quality Assurance Authority if further clarification is required. Contact details for National Authorities are contained in AQAP- 4107-SRD.1.

1.3 INTRODUCTION

NATO AC327 WG/2 conducted a study into national practices for AQAP certification. This identified three approaches which were further developed to establish good practice and these are detailed in this publication.

1.4 INFORMATIVE REFERENCES

- AQAP-2030.SRD.1 Study Report - Harmonisation of NQAA AQAP Certification/Confirmation Processes

- ISO/IEC 17021-1:2015; Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements

- AQAP-4107-SRD.1; Appropriate national authorities and focal points for delegation of government quality assurance

- AQAP-2000; NATO policy on an integrated systems approach to quality through the life cycle

- AQAP-2110; NATO quality assurance requirements for design, development and production

- AQAP-2310; NATO quality assurance requirements for aviation, space and defence suppliers

- ISO 9001:2015; Quality management systems – Requirements

- AS 9100 Rev D; Quality management systems – Requirements for aviation, space and defence organizations.

CHAPTER 2 AQAP CERTIFICATION: NQAA RESPONSIBILITY

2.1 NQAA RESPONSIBILITY AND NATIONAL FORMS OF APPLICATION

1. NATO policy for quality defined in AQAP-2000 places a requirement on nations to establish a National Quality Assurance Authority and for this Authority to determine their national approach to AQAP certification.

2. NQAAs are encouraged to adopt one of the approaches detailed in this publication.

3. The NQAA shall decide how AQAP certification is to be used within their nation. There are three options and each is outlined in this AQAP:

a. Option 1 – no AQAP certification
b. Option 2 – accredited AQAP certification utilising their national accreditation body (NAB) (third party certification/confirmation)
c. Option 3 – NQAA second party AQAP conformity assessment

4. No matter what option is selected, NQAAs are encouraged to engage with their NAB and relevant conformity assessment bodies (CAB) to drive continual improvement and ensure closer alignment between the certification process and receipt of conforming products.

5. This AQAP recognises the influence that accredited quality management system (QMS) certification can have on organisations involved in the supply chain and the importance of such certification being issued by CABs that are accredited as competent by an International Accreditation Forum recognised NAB.

6. This AQAP recognises that NQAA/acquisition teams shall not use AQAP certification as a discriminator at supplier selection because it is not available to all potential suppliers.

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CHAPTER 3 INTRODUCTION OF THE DIFFERENT NQAA OPTIONS REGARDING AQAP CONFORMITY AND ASSESSMENT ACTIVITIES

3.1 AQAP CONFORMITY ASSESSMENT OPTIONS

NQAA Option 1 – No AQAP certification

1. Where NQAAs decide not to support AQAP certification, it is recommended that this is formally recorded in national policies/processes and communicated to their NAB.

Note: Some organisations could pursue certification with CABs that are accredited by other nation's NABs. This should be notified by the appropriate NQAA. It is recommended that certification is not supported, thereby ensuring equitable treatment of suppliers in their nation.

NQAA Option 2 – accredited AQAP certification utilising national accreditation body

1. NQAAs who pursue this option shall establish a formal agreement with their NAB that complies with this AQAP. This is to ensure that nations have a common engagement with NABs and CABs. Detailed information is presented at Annex A.
2. The agreement establishes arrangements for the monitoring and conduct of certification and accreditation activities. This includes:
    a. the sharing of certification assessment information with the NQAA,
    b. the provision of statistics and periodic meetings,
    c. an annual review of the arrangements and agreement,
    d. the NATO specific requirements for CAB assessment times, conduct of surveillance and recertification,
    e. the requirement for the CAB to seek permission from the NQAA if suppliers are located in another nation.
3. The agreement makes provision for the participation of the NQAA/GQAR in CAB AQAP certification activities.
4. The NQAA is required to collate information on the performance of suppliers and feedback concerns to the appropriate CAB and, if required, the NAB.
5. The agreement shall establish that a prerequisite for AQAP certification is that the organization has accredited certification to ISO 9001/AS 9100 as appropriate and that the CAB has the correct scope.
6. Annex – A – imposes detail information with regard to requirements and legal relationships of affected national accreditation bodies (NAB) on behalf of the NQAA.

NQAA Option 3 – NQAA second party AQAP conformity assessment

1. The supplier submits a formal application to the NQAA (or commissioned body) for auditing its processes according to particular AQAP standards, which are imposed in valid and/or enduring contracts. The supplier must have active contracts that include AQAP-2110 or 2310.
2. The NQAA and/or conformity assessment organization confirms the contractor has been established a reliable and resistant quality management system in accordance with NATO specific requirements corresponding to AQAP for all contractual related development, production and repair of military products.
3. The AQAP certified organization should impose the standards of ISO 9001 or AS 9100 in an effective way.
4. The maintenance of an AQAP certificate is limited to three years and can also be bound to the period of validity of an accredited ISO certificate in an inseparably way.
5. The NQAA should take specific aspects, that are referred in detail at ANNEX B, into account in its own national processes by applying explicit prerequisites and requirements on behalf of the NQAA.

ANNEX A NQAA OPTION 2 – ACCREDITED AQAP CERTIFICATION UTILISING NATIONAL ACCREDITATION BODY[1]

PART 1 - METHOD DESCRIPTION USING THE 'FRANCE' MODEL

1. The French AQAP certification system is presented as an example for the principal of a typical third-party AQAP certification. It defines the relationship between the NQAA (DGA), the national accreditation service, the conformity assessment body and the applicant (for example a supplier) which is illustrated in figure 1.

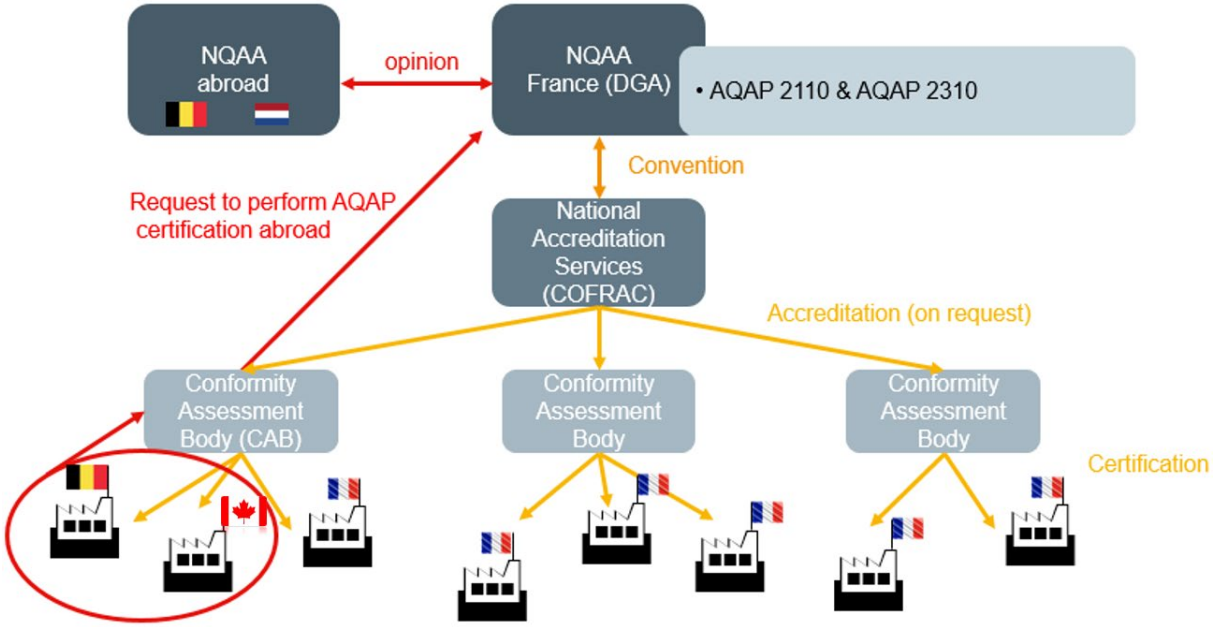

Figure 1: Concept of the French AQAP certification system.

Cooperation with COFRAC

2. DGA has granted permission for the French National Accreditation Body (NAB), COFRAC, to accredit French Conformity Assessment Bodies (CAB) to use AQAP-2110 and 2310 as the basis for management system certification. An agreement between DGA and COFRAC defines (1) commitments and (2) the terms of cooperation for the implementation and monitoring of accreditation and responsibilities for the conformity assessment bodies concerned. Each year, a meeting between DGA and COFRAC is organized. The convention is annually renewed by tacit agreement.

[1] Severability note in accordance with the sovereign national application practice: In the event of the absence of an NQAA and/or a missing ratification framework for STANAG-4107, this model does not apply.

Requirements for Conformity Assessment Body

3. Furthermore, the DGA provides technical specification which specify the DGA requirements relating to the conformity assessment according to AQAP standards. It includes requirements for the conformity assessment bodies accredited by COFRAC and the accreditation process for certification according to AQAP 2110 and 2310.

4. The conformity assessment body shall be accredited for ISO 9001 or AS 9100 certification and in the appropriate activity area. AQAP-2110 and 2310 accreditations are attached to the organisation's ISO 9001 or AS 9100 certification. If the ISO 9001 certification or AS 9100 certification is suspended or withdrawn, the AQAP accreditation of a conformity assessment body is automatically suspended or withdrawn.

5. Specific requirements for the conformity assessment body address the duration time for initial surveillance and re-certification audits. DGA can attend any audits as an observer to confirm DGA and COFRAC requirements are satisfied. It also includes requirements for the information to be communicated and confidentiality.

6. The conformity assessment body can certify organisations abroad. However, they are instructed to ask DGA if they wish to perform AQAP certification abroad in a company which is not linked to a French organisation. In this case, DGA requests the position of the foreign NQAA.

PART 2 – EXAMPLE OF AN AGREEMENT BETWEEN NQAA AND NAB

AGREEMENT
FOR THE IMPLEMENTATION AND MONITORING OF ACCREDITATION WITHIN THE FRAMEWORK OF THE CONFORMITY ASSESSMENT ACCORDING TO NATO AQAP STANDARDS

Between

The National Quality Assurance Authority of the Ministry of Defence

Located in […],

Represented by […]

hereinafter referred to as the «NQAA»,

and

The National Accreditation Body,

Located in […],

Represented by ……

hereinafter referred to as the « NAB »,

It is agreed as follows:

PREAMBLE

NATO

The North Atlantic Treaty Organization is responsible for the development and update of Allied Quality Assurance Publication (AQAP).

The NQAA

Within the Ministry of Defence, the NQAA:

- Provides the clients of the Ministry of Defence, the Government Quality Assurance of defence equipment developed and manufactured by the domestic industry
- Performs the Government Quality Assurance as part of international commitments and as part of national acquisition programmes;
- Ensures that the NAB and the domestic Certification Bodies (CBs) comply with the Policy of Organization Certification Activities according to AQAP-2110, Edition D and AQAP-2310, Edition B. These are hereafter referred to as "Relevant certification activities".

The NAB

In accordance with the European Parliament and Council Regulation (EC) No 765/2008 laying down the requirements for accreditation and market surveillance for the marketing of products, the National Accreditation Body (NAB) has been recognized by the domestic State as national accreditation body[2].

For this reason, NAB is in charge of controlling the competence and impartiality of conformity assessment bodies in relation to international standards and international accreditation rules within the framework of international multilateral accreditation agreements.

As part of its missions, NAB has been requested by the NQAA to provide its know-how and technical support to set up an accreditation system within the framework of the regulations for the activities covered by this agreement.

ARTICLE 1 – PURPOSE OF THE AGREEMENT

The purpose of this agreement is to define the terms of cooperation between NAB and NQAA for the implementation and monitoring of accreditation of the CBs responsible for the certification activities concerned.

[2] The National Accreditation Body (NAB) must be a signatory to the International Accreditation Forum (IAF) or IAF Accredited Regional Multi-Lateral Agreements (MLA).

ARTICLE 2 – DURATION OF THE AGREEMENT

Once accreditation is open, the process of this accreditation monitoring in accordance with Article 6 of this agreement begins. Within this context, this agreement is renewed every year by tacit agreement.

ARTICLE 3 – NQAA COMMITMENT

In the context of this agreement, the NQAA undertakes to fulfil the following established clauses:

- to retain the authority to establish or modify the certification requirements applicable in France and compatible with the accreditation standard in force,
- to appoint a reference interlocutor vis-à-vis NAB for the requested activity;
- to participate in the possible elaboration and updating of the NAB Specific Requirements Document;
- to assist NAB in the search for candidates for the role of evaluator/technical expert;
- to answer NAB's requests for clarification and to specify in case of divergent interpretations of the certification requirements;
- inform all stakeholders without delay of evolutions in the certification activities concerned (CBs, accreditation bodies concerned including NAB, etc.).

ARTICLE 4 – NAB COMMITMENT

- The principles and rules applicable to the accreditation monitoring are as follows:
- After the opening of the accreditation, NAB:
- Checks that the requirements of the conformity assessment framework, the requirements of the accreditation reference system chosen and any additional requirements on the CBs are applied by the candidate or accredited CBs;
- Forward to NQAA the requests for clarification regarding the certification activities concerned;
- Reviews, as far as necessary, the document of specific requirements established to take into account the certification activities concerned in partnership with the NQAA, to take into account the feedback and the evolution of the regulations, the accreditation framework and the documents opposable to NAB as part of the mutual recognition agreements for accreditation;
- Confirms the acceptability of this certification for each evolution of the latter, and adapts the NAB specific requirements document according to the evolutions of this certification, if need be;
- Collaborates with the accrediting bodies of the countries in which this certification is deployed, if the certification has a cross-border vocation.

Furthermore, if the changes made to this certification no longer make it possible to meet the criteria for acceptability of the certification activities concerned, the

corresponding accreditation activity will be closed and the corresponding accreditations withdrawn after prior notification to the concerned CBs. In the same way, NAB will reconsider the continuation of the activity if the NQAA does not respect the commitments specified in §3.

NAB undertakes to implement the means necessary for the proper performance of the actions provided for in this agreement.

ARTICLE 5 – AMENDMENTS

Any modification of terms of the present agreement, in particular of its duration (see article 2), must be subjected to written agreement signed by both parties.

ARTICLE 6 – COLLABORATION MODALITIES

In addition to the commitments of each of the parties referred to in Articles 3 and 4, there are the following cooperation arrangements.

A collaborative partnership is established for the accreditation monitoring, subject of this agreement as follows:

1. Information of NQAA by NAB of any decision of extension, refusal, non-renewal, cancellation, withdrawal or total suspension of the accreditation of an OC concerning the object of the present agreement. A copy of the notification letter to the body concerned is sent to NQAA, together with information as to the reasons for the decision when they do not appear clearly in the notification;

2. Support of NQAA for the training or harmonization of the NAB evaluators for the accreditation concerned;

3. Information to NAB about any project that could interfere with a standard or accreditation program or specific requirements documents as soon as possible;

4. Follow-up of NQAA alerts by NAB;

5. Information of NQAA to the accreditation requirements;

6. Annual meeting of the 2 parties in order to carry out a review and an exchange of accreditation feedback for these certifications.

ARTICLE 7 – COORDINATION

For the execution of this agreement, NAB is represented by […], NQAA is represented by […]

ARTICLE 8 – TERMINATION

As part of the accreditation scheme monitoring, in the event of non-compliance by either party with the respective commitments set out in this agreement, this agreement may be terminated automatically by one or the other party at the end of a period of three months following the sending of a registered letter with acknowledgment of receipt, giving formal notice.

ARTICLE 9 – CONFIDENTIALITY

NQAA and NAB undertake to preserve the confidentiality of any document and information relating to the implementation of this agreement.

ARTICLE 10 – CONFLICT RESOLUTION

NQAA and NAB undertake to make their best efforts to amicably settle any dispute that may arise during the execution of the Agreement.

Location and date of signature

For NAB,

For NQAA

PART 3 –NQAA REQUIREMENTS FOR AQAP CONFORMITY ASSESSMENT BY THIRD PARTY CERTIFICATION

1 AUDIT PREPARATION

1.1 AQAP certification is limited to suppliers with activities connected to defence products. These suppliers are already in receipt of defence contracts or, part of a defence product supply chain. The certification body shall ensure this reality when considering the admissibility of an AQAP certification request.

1.2 During surveillance and renewal audits, compliance with the specific requirements of the AQAP standards will be verified, in particular contracts completed or in progress since the previous audit. In case a company has not executed a military contract during the period concerned, nevertheless it shall demonstrate its ability to comply with these requirements.

1.3 Suppliers wishing to diversify can be AQAP certified. If, when the certificate expires, the company has not responded to a call for tenders or signed a contract in the military sector, the certificate will not be renewed.

1.4 he certification body will introduce each audit with a presentation prepared by the NQAA.

1.5 If a certification body wishes to certify a company or a site abroad which is not attached to a domestic company/group that it has certified AQAP, this body will first seek the agreement of the NQAA before undertaking this certification.

2 MINIMUM DURATION OF AN INITIAL EXTENSION, SURVEILLANCE AND RENEWAL AUDIT IN ACCORDANCE WITH AQAP STANDARDS

AQAP-2110

2.1 Audit duration in number of days (excluding preparation, travel time and break):

Number of employees involved in the activity of the audited site	AQAP-2110 Initial extension audit (Duration in addition to an ISO 9001 certification)	AQAP-2110 Annual surveillance (Duration in addition to an ISO 9001 certification)	AQAP-2110 Renewal audit (Duration in addition to an ISO 9001 certification)
1-5	0,5	0,25	0,5
6-10	0,5	0,25	0,5
11-15	1	0,25	0,5
16-25	1,5	0,5	1
26-45	1,5	0,5	1
46-65	1,5	0,5	1

Number of employees involved in the activity of the audited site	AQAP-2110 Initial extension audit (Duration in addition to an ISO 9001 certification)	AQAP-2110 Annual surveillance (Duration in addition to an ISO 9001 certification)	AQAP-2110 Renewal audit (Duration in addition to an ISO 9001 certification)
66-85	1,5	0,5	1
86-125	2	1	1,5
126-175	2	1	1,5
176-275	2	1	1,5
276-425	2	1	1,5
426-625	3	1	2
626-875	3	1	2
876-1175	3	1	2
1176-1550	3	1,5	2
1551-2025	4	1,5	2,5
2026-2675	4	1,5	2,5
2676-3450	4	1,5	2,5
3451-4350	4	1,5	2,5
4351-5450	4	2	3
5451-6800	4	2	3
6801-8500	5	2,5	4
8501-10700	5	2,5	4
>10700	Follow the progression indicated above		

Note: These durations may be adapted within the framework of AQAP-2110 certification integrated with other standards with similar requirements (e.g. AQAP-2110 in a quality management system certified to AS/EN 9100).

2.2 The additional time allowed for the AQAP-2110 audit cannot be zero.

AQAP-2310

2.3 Audit duration in number of days (excluding preparation, travel time and break):

Number of employees involved in the activity of the audited site	AQAP-2310 Initial extension audit (Duration in addition to an EN 9100 certification)	AQAP-2310 Annual surveillance (Duration in addition to an EN 9100 certification)	AQAP-2310 Renewal audit (Duration in addition to an EN 9100 Certification)
1-5	0,5	0,25	0,5
6-10	0,5	0,25	0,5
11-15	1	0,25	0,5
16-25	1	0,5	1
26-45	1	0,5	1
46-65	1	0,5	1
66-85	1,5	0,5	1
86-100	1,5	0,5	1
101-125	1,5	0,5	1
126-175	1,5	0,5	1
176-275	2	1	1,5
276-425	2	1	1,5
426-625	2	1	1,5
626-875	2	1	1,5
876-1000	3	1	2
1001-1175	3	1	2
1176-1550	3	1	2
1551-2025	4	1,5	2,5
2026-2675	4	1,5	2,5
2676-3450	4	1,5	2,5
3451-4350	4	1,5	2,5
4351-5450	4	1,5	2,5
5451-6800	4	1,5	2,5
6801-8500	5	2	3
8501-10700	5	2	3
10701-14564	5	2	3
>14565	Follow the progression indicated above		

Note: These durations may be adapted within the framework of AQAP-2310 certification integrated with other standards with similar requirements (e.g. AQAP-2310 in a quality management system already certified AQAP-2110).

2.4 The additional time allowed for the AQAP 2310 audit cannot be zero.

Case for a Multi-Site Company

2.5 The durations above are specified by site. In the case of a certificate covering several sites, reductions in the audit duration for each unit site are allowed depending on the activities performed by each site (see the provisions of IAF MD1 for AQAP-2110 and AS/EN 9104-001:2013 for AQAP-2310).

2.6 The durations are rounded up to the next half day. An audit day is counted for 8 hours per 24-hour period, longer possible durations do not justify a reduction in the number of days.

2.7 If the extension is carried out during an ISO 9001 or AS/EN 9100 surveillance or renewal audit, the durations are counted in addition to the expected duration for the latter.

3 AUTHORIZATION GRANTED TO NQAA

The certification bodies will authorize NQAA:

- to attend, as an observer, the initial AQAP audits, extension, surveillance and renewal to ensure that the requirements required by NAB and the NQAA are met.

- to view initial AQAP audit, extension, surveillance and renewal reports. The NQAA may view these reports on a site chosen by it, in the certification body’s premises or in the AQAP certified company.

4 AFFIXING OF THE ACCREDITATION MARK ON AQAP CERTIFICATES

4.1 In accordance with the IAF resolutions, it is forbidden for any organization accredited according to the ISO/IEC 17021-1:2015 standard to issue a management system certificate not covered by the accreditation, when this certificate falls within the scope of its scope of accreditation.

4.2 All certificates issued by an accredited certification body, falling within the scope of its scope of accreditation, must bear the accreditation mark (NAB logo).

5 ANNUAL REPORTING OF CERTIFICATION BODIES TO NQAA

The certification bodies will send to the NQAA an annual report with the following information:

- Name of AQAP certified companies;
- AQAP certification standard used for each company;
- Nation of the company (specifying where applicable the industrial sites abroad).

PART 4 – SPECIFIC REQUIREMENTS FOR THE ACCREDITATION F BODIES CARRYING OUT CERTIFICATION TO NATO AQAP STANDARDS

1 REQUIREMENTS TO BE SATISFIED BY THE CERTIFICATION BODY

1.1 It is the responsibility of any candidate or accredited certification body to keep up to date with the documents referred to in para. 2, to take into account the applicable regulations in force as well as the requirements of each NATO member country for certification according to AQAP standards.

1.2 In the remainder of the document, only the requirements specific to this field have been specified, it being understood that the requirements and procedures in force for accreditation according to EN ISO/IEC 17021-1 and AS/EN 9104-001 apply.

1.3 These specific requirements are reported under the chapter of the standard EN ISO/IEC 17021-1 or the standard AS/EN 9104-001 which they specify and whose name is then taken up, as well as the reference to the corresponding clause of the standard. As a result, when there is no specific requirement, the chapter of the standard is not included.

Certification standards	EN ISO/CEI 17021-1 :2015	Additional requirements
AQAP-2110	7.1.2 Competence of management and personnel. Annex A	ISO/CEI 17021-3
	9.1.2 Review of the request	IAF MD 2 NQAA requirements ref. …, § 1
	9.1.4 Determination of audit duration	IAF MD5 (excluding calculation of audit duration) NQAA requirements ref… §2.1
	9.1.5 Multi-site sampling	IAF MD1 NQAA requirements ref. …, §2.3
	9.1.6 Multi-site sampling standards	IAF MD 11
	9.6 Maintaining certification	NQAA requirements ref. …, §1
	8 Information requirements	NQAA requirements ref. …, §3 NQAA requirements ref. …, §4 NQAA requirements ref. …, §5
	EN 9104-001 :2013	Additional requirements

	8.2 Minimum audit durations	NQAA requirements ref. …, §2.2 NQAA requirements ref. …, §2.3
	6, 6.7 g et 18.2 Requirements for CBs	NQAA requirements ref. …, §1, 3, 4 and 5

2 ACCREDITATION PROCESS

2.1 Generalities

2.1.1 Certification bodies requesting accreditation for AQAP-2110 certification in accordance with this document shall either have ISO 9001 quality system certification or apply for certification at the same time.

2.1.2 Certification bodies requesting accreditation for AQAP-2310 certification in accordance with this document shall have accreditation for quality system certification according to AS/EN 9100.

2.1.3 The scope of accreditation shall cover the areas of activity for which the body undertakes AQAP certification (refer to the list of EA/IAF codes

2.2 Scope of accreditation requested

The scope of the accreditation application is established according to the NAB document ref. […]

2.3 Terms of evaluation

2.3.1 In this document, the accreditation application for the AQAP-2110 certification will be treated as a request for a major extension of the scope of accreditation according to the procedure provided in NAB document ref […] if the applicant CB is already accredited for certification of quality systems according to ISO 9001.

2.3.2 In this document, the accreditation application for the AQAP-2310 certification will be treated as a request for minor extension of the scope of accreditation according to the procedure provided in NAB document ref […] if the applicant CB is already accredited for certification of quality systems according to AS/EN 9100. An observation of an AQAP-2310 audit will be made during the next evaluation of the accreditation cycle of the body.

2.3.4 At the time of the accreditation application, the applicant bodies shall have already made at least one certification decision referring to the AQAP standards.

2.4 Observations of certification activities

AQAP-2110
2.4.1 For any first accreditation application for the AQAP-2110 standard, an observation of an initial audit (step 2) according to the AQAP standard shall be performed.
On the accreditation cycle, an audit observation (witness assessment) according to the AQAP standard will be carried out during one out of two surveillance evaluations.
During the renewal evaluation, an audit observation according to the AQAP standard will be performed.

AQAP-2310
2.4.2 For any first accreditation application for the AQAP-2310 standard, an AQAP-2310 audit observation will be made during the evaluation following the decision to extend the scope of accreditation to AQAP-2310.
Over the entire accreditation cycle, 2 audit observations according to AQAP-2310 shall be performed.

2.5 Accreditation certificate

AQAP-2110
2.5.1 For any first accreditation application for the AQAP-2110 standard, an observation of an initial audit (step 2) according to the AQAP standard shall be performed.

2.5.2 On the accreditation cycle, an audit observation (witness assessment) according to the AQAP standard will be carried out during one out of two surveillance evaluations.
During the renewal evaluation, an audit observation according to the AQAP standard will be performed.

AQAP-2310
2.5.3 For any first accreditation application for the AQAP 2310 standard, an AQAP-2310 audit observation will be made during the evaluation following the decision to extend the scope of accreditation to AQAP-2310.
Over the entire accreditation cycle, 2 audit observations according to AQAP-2310 shall be performed.

2.6 Confidentiality – Exchange of information

2.6.1 NAB informs NQAA of any new accreditation for certification according to an AQAP standard.

2.6.2 NAB informs NQAA of any measure of suspension or withdrawal of accreditation or any cessation of activity of a certification body.

2.7 Provisions to be taken in the event of suspension, withdrawal of accreditation or cessation of activity of the certifying body, in addition to the provisions of the NAB procedure ref […][3]

2.7.1 The suspension or withdrawal of accreditation from a certification body for the certification of quality systems according to the EN ISO 9001 standard and/or according to AS/EN 9100 automatically leads to the suspension or withdrawal of accreditation of this body for certification the quality system of armament suppliers according to AQAP-2110 and/or AQAP-2310 standards.

Provisions to be taken in case of suspension of accreditation

2.7.2 The actions to be implemented by the body concerning the current certificates issued under accreditation are established on a case-by-case basis depending on the reason for the suspension and are indicated in the suspension notice.

Withdrawal of accreditation from a certification body

2.7.3 The body is no longer allowed to issue certificates or maintain existing certificates. It shall inform the customers concerned as soon as possible so that they can apply to another certification body accredited for this purpose, in order to transfer the certification, if applicable, in accordance with the provisions of the document IAF MD2 and the document AS/EN 9104-001, if need be.

Activity cessation of certification body

2.7.4 The certification body shall inform the customers concerned as soon as possible so that they can apply to another certification body accredited for this purpose, in order to transfer the certification held, as appropriate, under the conditions set out in the chapter “Withdrawal of accreditation from a certification body”

3 FINANCIAL TERMS AND CONDITIONS

The terms and conditions set out in the NAB document ref. […] considering the certification activities that are the subject of this document as an accreditation area.

[3] Severability note in accordance with the sovereign national application practice: The revocation of a Management Systems Certification from a Certification and/or Accreditation Body previously accredited or confirmed according to ISO/IEC 17021-1 and/or IAQG 9104-1 must be documented and addressed under the national or sovereign authority of the NQAA with exclusive regard to AQAP Certification. These follow-up actions, to be independently carried out by the Accreditation and/or Certification Body under the supervision of the responsible body, must be appropriately designed to identify, assess, and rectify any deficiencies. Failure to conduct these investigative measures may result in the revocation of legitimacy by the responsible body to the Certification and/or Accreditation Body with exclusive regard to AQAP Certification.

ANNEX B NQAA SECOND PARTY AQAP CONFORMITY ASSESSMENT

1 - PREREQUISITES BEFORE A SUPPLIER CAN REQUEST AQAP CERTIFICATION

1.1 The supplier must have a current ISO 9001 or AS 9100 series QMS certificate issued by a National Accreditation Body approved Certification Body.

1.2 The supplier must have active contracts that include AQAP-2110 or 2310. This is to ensure that the supplier can demonstrate process performance instead of planned arrangements.

1.3 The supplier must have accepted the second party agreement that ensures sharing of certification activity information with acquirers and GQARs.

2 - REQUIREMENTS FOR INTERACTION WITH GQAR ORGANISATIONS

2.1 The certification body must have processes in place that recognize and respond to supplier performance information provided by GQAR organisations. This includes using nonconformity reporting to influence future surveillance activities and the immediate suspension of second party certification if an NQAA formally rejects a suppliers QMS in connection to a particular contract.

2.2 The certification body must have in place arrangements for annual engagement with GQAR organisations in order to understand supplier performance.

2.3 The certification body must have in place routine arrangements for the communication of certification activities to acquirers and GQAR organisations.

PART 3 - THE REQUIREMENTS THAT THE CONFORMITY ASSESSMENT ORGANIZATION MUST MEET IN ORDER TO ISSUE A SECOND PARTY AQAP CERTIFICATION ON BEHALF OF THE NQAA

No	Area	ISO17021		Study
1	AQAP Certification body is a legal entity.	5.1.1	The CB offering second party AQAP certification must be part of nation government and operate with permission from NQAA.	7.3.2.1
2	Formal agreement between CB and supplier	5.1.2	The agreement must outline the CB activities that will be conducted (scope and frequency) and ensure supplier provides access to all areas within scope of certification. The agreement must also cover use of certificate. The agreement will establish sharing of assessment information with acquirers and GQARs	7.3.2.2
3	CB Impartiality	5.2.1	The CB must ensure that certification activities are not influenced by external factors such as acquisition decisions. The CB must ensure that prior knowledge of supplier performance obtained from other regulatory or assurance bodies such as GQARs that is used as part of the assessment process is validated by the CB.	7.3.2.3
4	CB Top Management	6.1.3	The CB will identify top management with authority and responsibility for requirements at ISO17021 para 6.1.3	7.3.2.4
5	Operational control	6.2.2	The CB will identify the level and method of control of certification activities, operations, competence and access to information.	7.3.2.5
6	Competence of personnel	7.2.5	The CB will have a process that demonstrates effective auditing and this will include competence of the audit team in relation to audit skills and appropriate knowledge for areas being audited.	7.3.2.6
7	Outsourcing	7.5.3	The CB will not outsource second party AQAP certification	7.3.2.7

			to another government body that is not accountable to the NQAA or any commercial organisation. The use of external audit resource as part of an audit team is permitted providing they operate under the control of the audit team lead, have appropriate clearance and have signed a non-disclosure agreement	
8	Use of marks and certification		The CB will ensure that the formal agreement covers the use of the certificate and CB mark. The mark must not be used on product or packaging or represent product conformity. The CB will clearly define the scope of the management system covered by the certificate.	7.3.2.8
9	Audit programme	9.1.3.2	The initial certification will be a two-stage audit: to determine processes and overall readiness followed by a compliance based visit that will cover all aspects of AQAP. Subsequent recertification audits will be carried out in the third year following certification.	7.3.2.9
10	Surveillance audits (12 months)	9.1.3.3	There will be annual audits of limited scope in years one and two. This can be carried out by national GQAR organisations on behalf of the certification organisation. In addition, the NQAA GQAR organisation is required to provide annual reports on supplier performance to the assessment organisation.	7.3.2.10
11	Subcontractor commitment	9.5.1.3	The NQAA will not subcontract second party AQAP certification activities but may employ technical specialists as part of the audit team. Such specialists will be under the control of the audit lead and will follow NQAA processes.	7.3.2.11
12	Appeal Management	9.7.1	The NQAA will ensure that the CB has an appeal and	7.3.2.12

			complaints process which will ensure complaints are investigated impartially.	
13	Client Records	9.9.1	The CB will maintain records of certification including details of the organisations audited, the scope of certification, results and resolution of corrective actions. Such records will be made available to acquisition and GQAR organisations.	7.3.2.13
14	CB QMS	10.1	The CB must demonstrate to the NQAA that they have a QMS that meets the requirements of ISO 9001 and demonstrates that their certification activities meet the requirements of ISO 17021	7.3.2.14

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AQAP-2030(A)(1)

STANDARDS RELATED DOCUMENT

AQAP-2030.SRD.1

STUDY REPORT - HARMONISATION OF NQAA AQAP CERTIFICATION/CONFIRMATION PROCESSES

EDITION A VERSION 1

APRIL 2025

NORTH ATLANTIC TREATY ORGANIZATION

Published by the
NATO STANDARDIZATION OFFICE (NSO)

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NORTH ATLANTIC TREATY ORGANIZATION (NATO)

NATO STANDARDIZATION OFFICE (NSO)

NATO LETTER OF PROMULGATION

9 April 2025

1. The enclosed Standards Related Document, AQAP-2030.SRD.1, Edition A, Version 1, STUDY REPORT - HARMONISATION OF NQAA AQAP CERTIFICATION/CONFIRMATION PROCESSES, which has been approved in conjunction with AQAP-2030 by the nations in the LIFE CYCLE MANAGEMENT GROUP (AC/327), is promulgated herewith.

2. AQAP-2030.SRD.1, Edition A, Version 1 is effective upon receipt.

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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Final Report

SP 2018/004 – AQAP Certification

Version 1.2

Lead Nation for AQAP Certification: Germany

Action Team Members:

Austria, Brazil, Denmark, Finland, France, Great Britain, Greece, Hungary, Italy, Lithuania, Latvia, Netherlands, Norway, Poland, Portugal, Romania, Spain, Slovakia, Slovenia, Türkiye, United States of America

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Content

Chapter 1 Standardization Proposal [1]

Status: Submitted December 2018

Excerpt from the standardization proposal

To 6. Standardization Need and Impact on Interoperability: There are many organizations providing defence suppliers with AQAP Certification. These conformity assessment bodies are not always consistently controlled, which undermines the value of the certificates and potentially exposes NATO to reputational risk if suppliers use such certification to misrepresent their actual capability. Certificates provided by multiple NATO Nations are contributing to an undefined process by not having a unified or standardized approach to NQAA sponsored certification. Implementation of AQAP requirements is disseminated and promoted among the suppliers of Defence products (it promotes a quality culture according to AQAP). The certification process provides confidence in the ability of suppliers to be able to meet AQAP requirements before the contracts are awarded. Pre-evaluation of the suppliers' QMS is contemplated in section 2.3.5 of the AQAP 2000, and to assess the suppliers' QMS is required in section 4.1 of Annex C of AQAP 2009[1]. Having an AQAP certificate implies a lower risk of non-compliance with AQAP requirements by suppliers. Certification is a recognition to suppliers given by the appropriate authority (i.e. NQAA).

To 9. Proposed Standardization Solution: To identify best national practices and develop shared publications that promote a consistent approach to NQAA AQAP certification process to limit the use of multiple certificates and maintain a consistent and standardized approach to NQAA sponsored certification.

To 12. Covering Document: STANREC

[1] AQAP 2009 was withdrawn and replaced by individual SRDs for contractual AQAPs and AQAP 4107.

Chapter 2 Standardization Task [2]

Status: On 11 June 2021, under the silence procedure, the Life Cycle Management Group (AC/327) approved the Standardization Task related to AQAP certification. Herewith the Break of silence by Türkiye from 13 December 2019 is resolved.

Excerpt from the standardization task

To 5. Standardization Need and Impact on Interoperability:

There are many organizations providing defence suppliers with AQAP Certification. These certification bodies are not always consistently controlled, which undermines the value of the certificates and potentially exposes NATO to reputational risk if suppliers use such certification to misrepresent their actual capability. Many certificates are provided by NATO nations (circa 14 nations) who are contributing to the confused situation by not having a consistent approach to NQAA sponsored certification. Implementation of AQAP requirements is disseminated and promoted among the suppliers of Defence products (it promotes a quality culture according to AQAP). The certification process provides confidence in the ability of suppliers to be able to meet AQAP requirements before/after the contracts are awarded. Pre-evaluation of the suppliers' QMS is contemplated in section 2.3.5 of the AQAP 2000, and to assess the suppliers' QMS is required in section 4.1 of Annex C of AQAP 2009[2]. Having an AQAP certificate implies a lower risk of non-compliance with AQAP requirements by suppliers. Certification is a recognition to suppliers given by the appropriate authority. (i.e. NQAA)

To 8. Standardization Solution:

To develop common approaches to AQAP certification that NQAAs can adopt as national practice. This will exploit best practice and lead to efficient use of Government Quality Assurance (GQA) resources through use of common processes, guidance and training material and improve performance of defence suppliers through increased tailoring of their QMS to meet AQAP requirements.

[2] AQAP-2009 deprecated and withdrawn since 2018-11-08

To 11. Covering Document: STANREC

Chapter 3 Motivation for a coordinated AQAP certification

Some suppliers related to the armament industry are interested in an AQAP certification. Moreover, it is recognized that some companies demand AQAP certificates from their suppliers, which increases the motivation to hold an AQAP certificate.

The demand for AQAP certificates in the private sector may emerge new business opportunities for conformity assessment bodies (CABs) and arise new fields of regulations for NQAA.

At this time, each nation has its own procedure for an AQAP certification process. The certification process is based on national rules or interest.

The diversity of AQAP certification processes and the individual activities that make up the entire certification process, from application review to termination of certification, cause troubles in the comparability. Each nation defines the value of such a certificate on its own. Consequently, nations have to know the exact certification process of the issuing nation in order to determine the scope of a certificate.

Many organizations are providing defence suppliers with AQAP Certification. The NQAAs do not always consistently control these conformity assessment bodies. Therefore, the value of the certificates is even more undermined. In the field of 3rd party AQAP certification, systematic control of certification bodies is essential. Therefore, the NQAA subject matter oversight should take precedence regarding to AQAP conformity assessment bodies. In the field of 2nd party AQAP certification, NQAA bodies are controlled, monitored and evaluated by internal process specifications based standards (e.g. on ISO 17021) and furthermore by external process audits running by accredited conformity assessment bodies.

The confused situation by not having a consistent approach to NQAA sponsored certification potentially exposes NATO to reputational risk. The different national approaches and the different business models of conformity assessment bodies increase the risk that such a certification misrepresents the suppliers' actual capabilities.

In order to increase the validity of an AQAP certificate on an international level and to avoid misrepresenting capabilities, it is necessary to have common

requirements. An implemented standard for the AQAP certification can define these common requirements. The overall aim of an AQAP certificate is to give confidence to all parties, especially across the borders, that the supplier's quality management system fulfils specified requirements about the relevant AQAP.
In the first step, supporting a common ground for an AQAP certification standard, the standardization task provides an exchange of the national practices. Chapter Chapter 4 gives an overview of the advantages of a commonly implemented AQAP certification standard. Chapter 5 presents a selection of different national approaches.
In the second step, possible requirements for a common implemented AQAP certification standard are derived for the further way ahead.

Note: The AQAP certification is in general not required. In EU countries, it is **not allowed**[3] to use the AQAP certification as a discriminator in the tendering phase because the AQAP certification is not available on the free market. Nonetheless, the requirement of effective application of AQAP processes is important and permissible as a feature in the tendering phase.

[3] See article 43 of Directive 2009/81/EC of the European Parliament and of the council of 13 July 2009

Chapter 4 Advantages of a common approach to AQAP Certification

Some AQAP enable partial access to a common approach to AQAP certification in a preliminary stage. Firstly, section 2.3.5 of AQAP 2000 contemplates the possibility of a pre-evaluation of the suppliers' quality management system (QMS). Secondly, AQAP 2070 refers to a risk-based accompanying assessment of the supplier's quality management system documentation within the scope of GQA.
However, there is no consistent approach to NQAA sponsored certification. NATO nations provide AQAP conformity assessment procedures in different methods, thus contributing to an unclear situation.
A standardized approach to AQAP certification establishes a higher-level of transparency and comparability. All parties involved can benefit: suppliers, external providers, acquirer, as well as different nations.
The advantages for the interested parties are as follows.

4.1. Risk mitigation

A systematic and common approach to AQAP certification promotes continuous improvement opportunities and risk mitigation measures in the suppliers‘ Quality Management System. The QMS is evaluated as a whole at regular intervals along with the certification. This enables suppliers to treat the risk likelihood and probability in a proactive and responsible manner. Thus, maintaining an AQAP certificate implies, in general, a lower risk of non-compliance with AQAP requirements.

4.2. Improvement of the quality management system

Important outcomes of a certification process are a determination of the conformity to the considered standard and an analysis of strengths and weaknesses of the quality management system. As already emphasized in risk mitigation, it is essential for an effective quality management system to unfold the potential of identified chances and to mitigate risks. Achieving and

maintaining an AQAP certification inherently improves the suppliers' quality management system. Therefore, enables the acquirers' confidence in the supplier. In this context, the suppliers are developed and supported on the basis of a sustainable long-term cooperation.
The long-term cooperation starts with a pre-evaluation of potential suppliers. By an assessment of the quality management system, the supplier will be prepared. A common level of understanding related to the AQAP requirements is set, which provides the basis to fulfil the contract.

4.3. Increase reputation of the defence industry

The implementation of AQAP requirements is disseminated and promoted among suppliers of defence products. Maintaining the certificate provides confidence in the ability of suppliers to meet AQAP requirements. This confidence and reliability pervade as constant factors throughout the supply chain. Ideally, defence industry improves the efficiency and performance throughout its supply chain. Overall, AQAP certification strengthens the reputation of the total Security & Defence Industry. AQAP certification strengthens the reputation of the security and defence industry, promoting a strong reputation by other nations.

Useful information for acquirer in a different country

A common approach to AQAP certification defines the prerequisites and requirements uniformly. Having a harmonized way of standardization makes AQAP certificates from different nations comparable. Moreover, the AQAP certificate provides meaningful information about the (prospective) supplier's quality management system even without knowing the special features of some nation's AQAP certification process.

4.4. Useful information for an acquirer in general

The AQAP certification process can be considered as one of many possible instruments of GQA. Firstly, the AQAP certification process guarantees a structured assessment of the quality management system. Secondly, the quality management system is certified to conform to the considered standard within a defined scope. Contemplating this information, the GQAR can plan, review and

perform GQA based on the Risk Identification, Assessment and Communication (RIAC), which may be affected by an AQAP certificated QMS. This increases an effective and focused use of resources.
Furthermore, the certification process provides confidence in the ability of suppliers to be able to meet AQAP requirements.

A uniformly and systematically implemented AQAP certification system may be an efficient GQA measure. Certification is a recognition to suppliers given by the appropriate authority, for example NQAA. The potentials resulting from a coordinated AQAP certification program among multiple nations can be utilized in the best possible way.

Chapter 5 National practices of the AQAP certification process

This chapter presents a selection of different national approaches to AQAP certification. It paves the way for the development of common approaches to AQAP certification. In a drive for continual improvement in an organisation, the NQAA can identify best practices to adopt in their system.
Firstly, the AQAP certification process is classified according to the relationship between the agency which issues the certificate and the certificate holder.

5.1. Classification of the AQAP certification process

The AQAP certification process is classified as **second-party certification** and **third-party certification**. The classification is affected according to the relationship between the issuing agency and the holder[4].
Second-party certification
It is a certification, where the NQAA (respectively, a competent authority within the national procurement agency) conducts the AQAP certification process and issues the AQAP certificate.
If the NQAA conducts the certification, it has a direct and overall control over the entire AQAP certification process. Security clearance, non-disclosure agreements, etc. are addressed in the procurement contract and are subject to official secrecy, respectively.
The NQAA is directly able to use the information obtained during the certification process and has an immediate connection to the project office.
Third-party certification
It is a certification, where an independent, external party (a third-party outside the national procurement agency) conducts the AQAP certification process and issues the AQAP certificate.
In this constellation of the AQAP certification process, the NQAA can minimize its personnel resources. The NQAA's activities are limited to implement an official

[4] The classification is analogous to the one used for audits in ISO 19011 (second party audit, third party audit).

agreement with their National Accreditation Body and, if necessary, to the surveillance of the third-party conformity assessment bodies. It must therefore be ensured that the external certification bodies are also recognized by the national accreditation body.

5.2. Classification of nations

Table 1 contains the classification of nations in second-party certification, second party confirmation, and third-party certification. Instead of issuing a certificate, some nations issue a confirmation. Additionally, it lists the nations which do not have any approach for the AQAP certification.

Nation	2nd party certification	2nd party confirmation	3rd party certification	No certification
Austria (AUT)				x
Brazil (BRA)	x			
Croatia (HRV)	x			
Denmark (DNK)		x		
Brazil (BRA)	x			
Finland (FIN)			x	
France (FRA)			x	
Germany (DEU)		x		
Great Britain (GBR)				x
Hungary (HUN)	x			
Italy (ITA)		x		
Netherlands (NLD)			x	
Norway (NOR)	x			
Poland (POL)				x
Portugal (PRT)			x	
Slovakia (SVK)	x			
Slovenia (SVN)			x	
Spain (ESP)	x			
United States of America (USA)				x

Table 1: Classification of nations in second party certification/confirmation and third-party certification.

5.3. Second-party certification

5.3.1. Germany (DEU)

The German AQAP confirmation system is presented as an example of the principal of a typical second-party process. The motivation for issuing AQAP confirmations in Germany is to achieve the benefits described in section 4.

5.3.1.1. Scope of the AQAP certificate

The German NQAA confirms that a supplier has established and effectively applies a Quality Management System (QMS) in accordance with NATO specific requirements corresponding to AQAP for all contractual related development, production, repair, of military products, which are subject to GQA. The scope for which the certificate is valid is mentioned in the document.
AQAP Confirmation must be considered as a recognition that the supplier has fulfilled until now and under the assumption that the supplier will fulfil during the following period of the certificate‘s validity contractual related to the requirements of the AQAP.

5.3.1.2. Prerequisites for the Issue of the certificates according to AQAP

The issue of the certificates (initial and follow-up certificates) according to AQAP requires and has to fulfil the following:

- A supplier‘s request for (re)confirmation of their QMS according to AQAP.
- At least one current design or production contract or subcontract with agreed GQA, which will be conducted by the GQA – offices of the German Ministry of Defence (MoD).
- A valid certificate according to ISO 9001 or EN 9100 issued by an accredited conformity assessment body.
- Successful inspection (e.g. Audits, awareness of the GQAR‘s daily work or experience, …) of the QMS by the German NQAA/local GQA – offices regarding the NATO supplements of AQAP.

- The supplier confirms to inform the German NQAA about fundamental modifications of QMS before the implementation starts.

5.3.1.3. Granting an AQAP certificate

Confirmations are granted for the following AQAP:

- AQAP 2110, alone, or if applicable, combined with AQAP 2210,
- AQAP 2310, alone, or if applicable, combined with AQAP 2210.

The AQAP certification process is free of charge.

5.3.1.4. Period of validity

The period of validity of the issued AQAP certificates generally depends on the life of the corresponding ISO 9001 or EN 9100 certificates. An issued certificate according to AQAP will lose its validity if:

- the supplier's QMS, according to AQAP, is not applied effectively / not maintained any longer.
- changes to the supplier's QMS have adverse effects on the fulfilment of the NATO Supplements to AQAP and if these are not acceptable to the German NQAA.

5.3.2.Hungary (HUN)

HUNGARIAN DEFENCE FORCES TERRITORIAL DEFENCE AND SUPPORT COMMAND
COUNTRY REPORT- HUNGARY - AQAP CERTIFICATION

In Hungary, the Hungarian Defence Forces (HDF) Territorial Defence and Support Command Quality Assurance Branch is the authorised body to pursue audits according the AQAP 2110:2016 and AQAP 2210:2015 normative document. The HDF carries out second-party audits in a non-accredited status. The Branch currently consists of 14 members. Our new colleagues have all attended a lead auditor course (according to ISO 9001), authorising them to carry out certifications on their own. The organization is located in Budapest, covering the certification tasks all over the country.
The overall purpose of the certification is to build confidence in all parties that the management system of the audited organization meets the adequate requirements of the NATO AQAP 2110 normative document. The value of certification is a measure of the general trust and confidence that an impartial and prepared assessment by a second-party is conducted. The parties involved in the certification include, but are not limited to:
(a) clients of the certification body;
(b) the customers of the organization whose management system is certified;
(c) government authorities,
(d) non-governmental organizations,
e) consumers and other members of society.
Currently, we certify about 120 companies. Concerning prerequisites, the scope of the audit is of crucial importance. The number of activities that can be certified is limited to specific defence-related NACE (Nomenclature statistique des activités économiques dans la Communauté européenne) codes. For these NACE codes, during the procurement procedures, having an AQAP certification is prescribed as a requirement. In addition, active defence-related contractual relationship is required with the Hungarian Defence Forces/Ministry of Defence/ Defence Procurement Agency/ Digital Governmental Agency or any NATO member state. Here, it is important to have an ongoing, or closed

contract/order/application that was made not earlier than 1 January of the year preceding the submission of the datasheet and where the existence of an AQAP 2110 or 2210 certification was prescribed. Outsourced activities cannot be certified.

In the course of its military certification activities, the Branch is responsible for preserving its impartiality as defined in MSZ EN ISO / IEC 17021-1:2016. With the need for impartiality, the HDF involves internal and external auditors and experts used by the Territorial Defence and Support Command, and the administrative staff, which is empowered by internal training. Lead auditor trainings are organized on a yearly basis in order to increase the number of qualified auditors.

Our Branch performs audits on the basis of the ISO 19011:2012 which provides guidance on auditing management systems, including the principles of auditing, managing an audit program and conducting management system audits, as well as guidance on the evaluation of competence of individuals involved in the audit process, including the person managing the audit program, auditors and audit teams. The current version of this standard is the ISO 19011:2018, which implementation is currently in progress.

As far as the administrative side is concerned, before the on-site audit takes place, we ask the clients to provide us with the following initial documentation in order to be fully prepared for the audit:

- an extract of an existing contract as a proof of being involved in defence acquisitions;
- the filled Datasheet for purchasing certification process,
- a valid integrated management manual, internal audit report and management review, related procedures and other relevant documents.

In sum, we can say that certification of operating quality management systems is only partially aimed at demonstrating confidence and compliance with the standard requirements, but has a strong interest in enforcing AQAP requirements in the contract during all contract performance. In other words, our certification aims to strengthen the confidence of other actors towards the companies.

Budapest, 20 May 2021

5.3.3. Norway (NOR)

Norway does not require a valid certificate according to ISO 9001 or AS/EN 9100 as a pre-requisite for AQAP certificate. AQAP certificate validity is 3 years.
Figure 1 displays Norway's AQAP approval process.

An issued certificate according to AQAP will lose its validity if:

- the supplier's QMS, according to AQAP, is not applied effectively / not maintained any longer.
- changes to the supplier's QMS have adverse effects on the fulfilment of the NATO Supplements to AQAP and if these are not acceptable to the Norwegian NQAA.
- supplier is not willing or able to fulfil corrective action requests from the NQAA

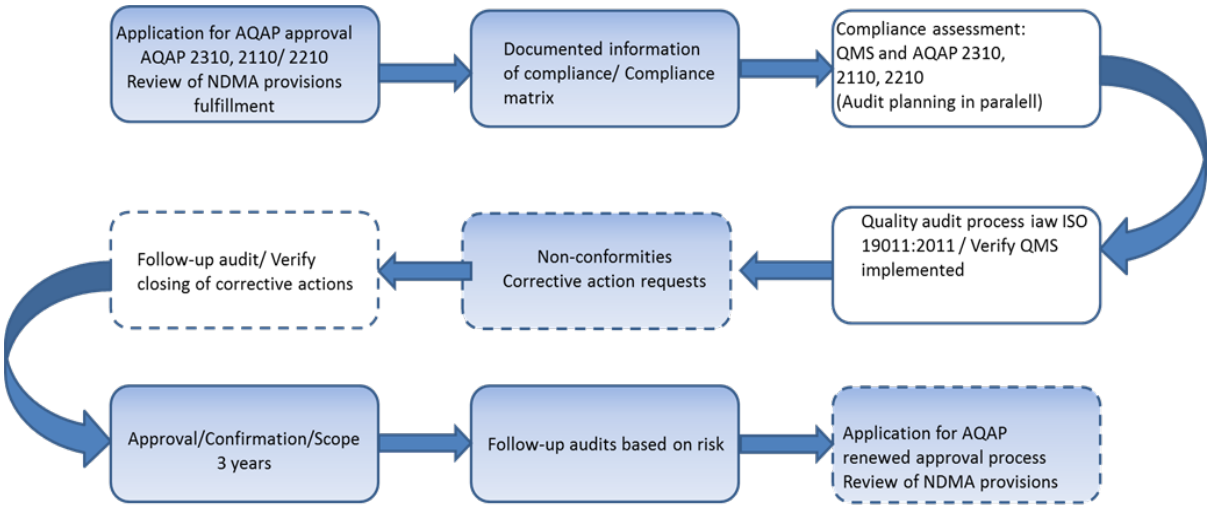


Figure 1: Norway AQAP approval process

NDMA Provisions for AQAP Approvals is to be found in Annex D

5.3.4.Spain (ESP)

The Spanish AQAP certification system, being a second-party process, shares some commonalities with third-party processes as it also involves the participation of conformity assessment bodies in it (though the certification issuance, without exception, is always carried on by the NQAA). The motivation for issuing AQAP certifications in Spain is to achieve the benefits described in section 4.

5.3.5.1. Scope of the AQAP certificate

The Spanish NQAA certifies that a supplier has established and effectively applies a Quality Management System (QMS) in accordance with NATO specific requirements corresponding to AQAP for all contracts for the acquisition of military products which are subject to GQA. The scope for which the certificate is valid is mentioned in the document and must be of interest for the Ministry of Defence (MoD) acquisition processes.
AQAP Certification must be considered as a recognition that the supplier complies regularly with the requirements of the AQAP.

5.3.5.2. Initial Certification

The issue of the initial certificate according to AQAP requires and has to fulfil the following:

- A supplier‘s request for certification of their QMS according to AQAP.
- The scope of the requested AQAP certificate must be of interest to the Spanish Ministry of Defence
- The supplier must be registered in the Directorate General for Armament and Material (DGAM) or MoD Register;
- The supplier must be ISO 9001 or EN 9100 certified by an accredited Conformity assessment body in the same or wider scope than requested;
- Real interest for MoD, demonstrated with former or current contracts with NATO requirements or, in some cases, by a letter of interest from a MoD Acquirer;
- Successful audit conducted by Defence Auditors in AQAP requirements (auditors are GQAR with experience and training in audit processes).

- Supplier written compromise not to make use of the Quality System Certificate:
    - To enter into supply contracts for products not included in its scope.
    - From the moment its validity period expires, unless an extension is granted in writing.
    - From the moment the authority communicates the temporary suspension or final withdrawal of the aforementioned certificate.
- Supplier written compromise to:
    - Keep its registration updated on the MoD Register of Companies.
- Maintain the ISO 9001/EN 9100 Certificate issued by a third-party, which has served as the basis for the issuance of the AQAP Certificate and without which the AQAP Certificate would not be valid.
- Allow MoD staff designated for this purpose access to documents related to the certified quality system and to the facilities where activities covered by the quality system are carried out.
- Communicate to MoD in writing all the modifications that affect its quality system (changes in the Management, quality representative, facilities, scope of the certification, etc.). In view of these modifications, the MoD might carry out an extraordinary audit, in order to decide on the advisability of maintaining the Quality System Certificate according to AQAP.
- Communicate to the MoD any variation that occurs in relation to the certificate issued by the Certification Entity, which was initially provided (warning, suspension, withdrawal, modification of the UNE-EN- Reference ISO, scope modification, etc.).
- Submit to the MoD all documentation associated with the certification process when requested.

5.3.5.3. Follow-up Certification

Follow-up certificate issuance, after the first 3-year period of validity from the initial certification, requires a successful audit conducted by auditors belonging to accredited conformity assessment bodies. That is the only externalized part of the process, as all the rest is controlled by MoD, as responsible for the emission of the renovated AQAP certificate.

The Joint Defence-Industry Committee (CMDIN) is responsible for coordinating renewal certification process and to reinforce collaboration and participation of all involved agents. All in order increase MoD confidence in the industries Quality Management Systems, improve efficiency of Defence Industry supply chain and assure the openness and transparency of the whole process. It is composed of:

- MoD representatives;
- Conformity assessment bodies/Auditors' representatives;
- ENAC (National Accreditation Body)/AEC (Spanish Quality Association) representatives;
- Defence suppliers' representatives;
- Other associations.

Both auditors and Conformity assessment bodies (CAB) must be recognized by the CMDIN, who establishes the compulsory requirements.

Some other CMDIN functions are to:

- Consolidate relations among MoD, Industry and Conformity assessment bodies
- Approve Auditors Certification
- Ratify approval of Conformity assessment bodies
- Ratify independent training organizations
- Manage Training Programs
- Audit Reports assessing
- Resolve Complaints

There are two working groups under the authority of CMDIN and therefore under MoD authority (and control) that are responsible for:

- WG1: ensuring the competence of the audit teams and the compliance of the Conformity assessment bodies (according to MoD compulsory requirements)
- WG2: reviewing the audit reports delivered by the corresponding Conformity assessment bodies and propose or deny the renewal of the certification to CMDIN (according to the MoD compulsory requirements for audits). This certification proposal is not mandatory. MoD may decide not to certify considering other information that so advises it (e.g., information from the GQAR on the performance of the company in the execution of contracts).

When the process finishes successfully, MoD issues the renewed certificate with a validity three months longer than the ISO linked-certificate. From first renewal, ISO and AQAP audits are common and annual monitoring audits (by Conformity assessment bodies) are mandatory. Figure 3 displays the AQAP/PECAL certification model, initial and renewal and maintenance

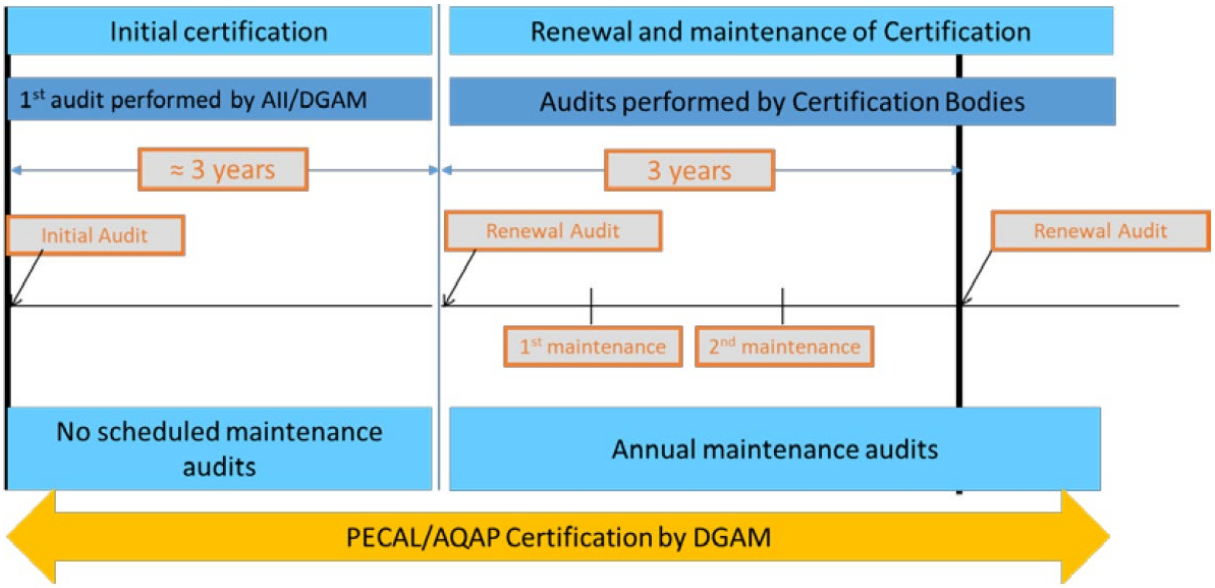


Figure 3: AQAP/PECAL certification model, initial and renewal and maintenance

5.3.5.4. Granting an AQAP certificate

Certifications are granted for the following AQAP:

- AQAP-2110, alone, or if applicable, combined with AQAP-2210,
- AQAP-2310, alone, or if applicable, combined with AQAP-2210,
- AQAP-2110 and AQAP-2310, or if applicable, combined with AQAP-2210.

5.4. Third-party certification

5.4.4. Finland (FIN)

AQAP certification in Finland resembles the practice applied in France. Contract concerning the AQAP accreditation has been signed between the MoD of Finland and The Finnish Accreditation Service (FINAS), NAB of Finland. FINAS controls the accreditation of the certification bodies performing AQAP-2110 certification audits. There are some certification bodies operating in Finland that have gained their accreditation to AQAP certification in another country.

The Finnish Defence Forces have regular meetings with FINAS to ensure that they perform AQAP accreditation according to the requirements set by The Finnish Defence Forces. FINAS reports AQAP accreditation related statistics yearly. The Finnish Defence Forces can have separate meetings directly with the certification bodies to control the third-party auditors. Representatives of The Finnish Defence Forces typically have the permission to attend AQAP-certification audits.

The Finnish Defence Forces do not encourage or ask the suppliers to get an AQAP certificate but evaluate contract by contract that the suppliers comply with the required AQAP standard.

5.3.4. Portugal (PRT)

5.4.4.1. Scope of the AQAP certificate

The Portuguese NQAA confirms that a contractor has established and effectively applies a Quality Management System (QMS) in accordance with NATO specific requirements corresponding to AQAP for all contractual related development, production, repair, of military products, which are subject to GQA. The scope for which the certificate is valid is mentioned in the document.

Contractors must be mandatorily registered in the National Defence Provider's companies Data Base, and have a governmental permit to operate and provide services to the Defence sector.

AQAP Certification must be considered as a recognition that the contractor has fulfilled until now and the assumption that the contractor will fulfil during the following period of the certificate 's validity contractual related to the requirements of the AQAP. Figure 2 displays the audit management cycle.

5.4.4.2. Prerequisites for the Issue of the certificates according to AQAP

The issue of the certificates according to AQAP requires and has to fulfil the following:

- A formal request for certification of their QMS according to AQAP;
- A valid certificate according to ISO 9001 or EN 9100 issued by an accredited conformity assessment body;
- The scope of the requested AQAP certificate must be of interest to the Portuguese Defence Sector;
- Successful audit conducted by Defence Auditors in AQAP requirements (auditors are GQAR with experience and training in audit processes).

5.4.4.3. Granting an AQAP certificate

Confirmations are granted for the following AQAP:

- AQAP-2110, alone, or if applicable, combined with AQAP-2210
- AQAP-2310, alone, or if applicable, combined with AQAP-2210
- AQAP-2131

The AQAP certification process is free of charge.

5.4.4.4. Period of validity

The period of validity of the issued AQAP certificates is three years with annual verification. An issued certificate according to AQAP will lose its validity if:

- ISO 9001 or EN 9100 certificates expire.
- the contractor's QMS according to AQAP is not applied effectively / not maintained any longer.
- changes to the contractor's QMS have adverse effects on the fulfilment of the NATO Supplements to AQAP and if these are not acceptable to the Portuguese NQAA.

contractor is not willing or able to fulfil corrective action requests from the NQAA.

5.4.4.5. Follow–up Certification

- Follow-up certificate issuance, after the first 3-year period of validity from the initial certification, requires a successful audit conducted by the NQAA.

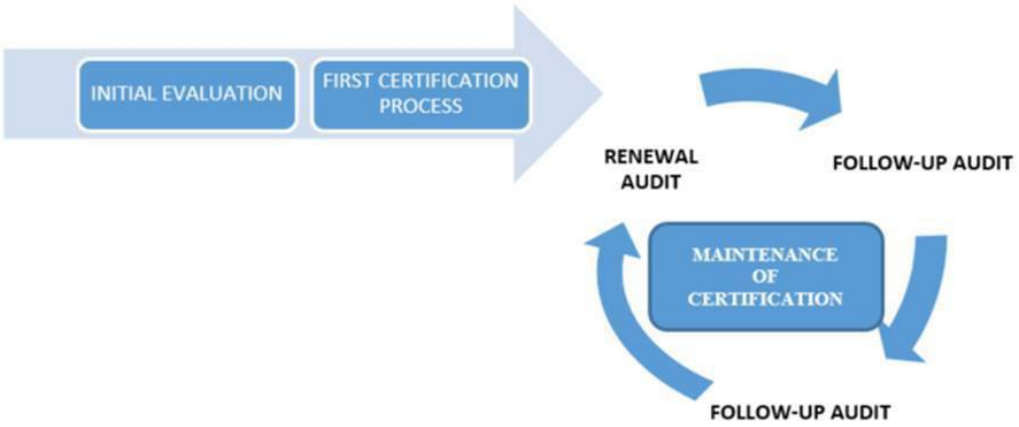


Figure 2: Audit management cycle

5.4.5.France (FRA)

The French AQAP certification system is presented as an example for the principal of a typical third-party certification. It defines the relationship between the NQAA (DGA), the national accreditation service, the conformity assessment body and the applicant (for example a supplier) which is illustrated in 4.

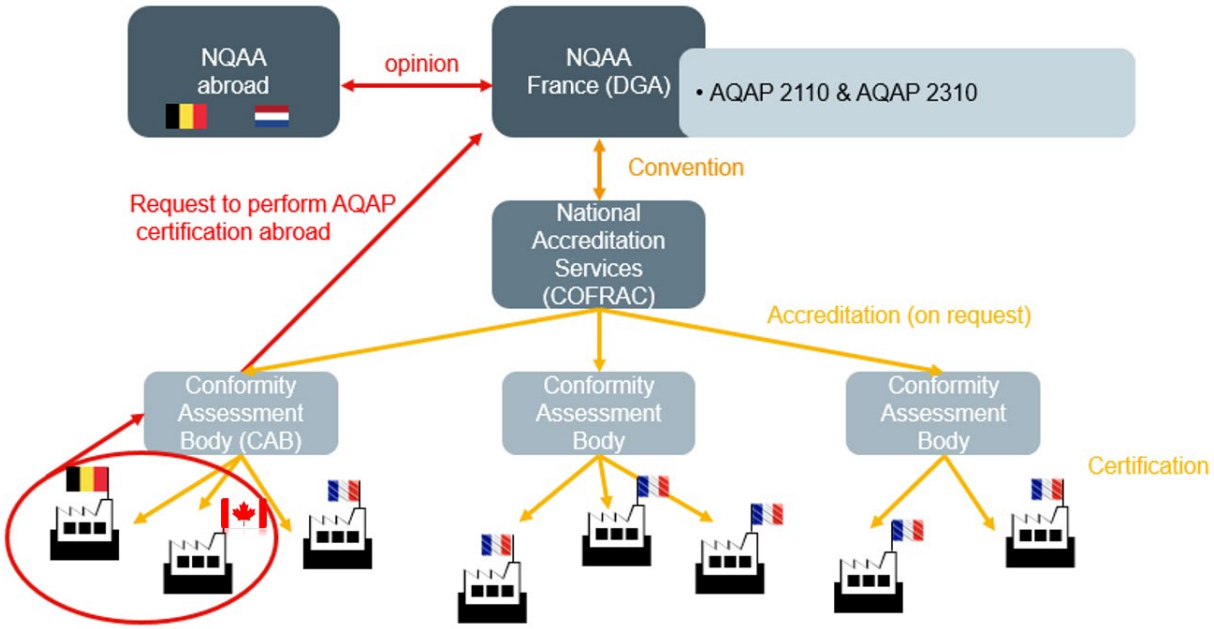


Figure 4: Concept of the French AQAP certification system.

5.4.5.1. Cooperation with COFRAC

DGA has granted the French National Accreditation Body (NAB) COFRAC to accredit the French Conformity Assessment Bodies (CAB) according to the AQAP 2110 and 2310. An agreement between DGA and COFRAC defines (1) commitments and (2) the terms of cooperation for the implementation and monitoring of accreditation and responsibilities for the conformity assessment bodies concerned. Each year, a meeting between DGA and COFRAC is organized. The convention is annually renewed by tacit agreement.

Requirements towards Conformity Assessment Body

Furthermore, the DGA provides technical specification which specify the DGA requirements relating to the conformity assessment according to AQAP standards. It includes requirements for the conformity assessment bodies accredited by COFRAC and the accreditation process for certification according to AQAP 2110 and 2310.

The conformity assessment body shall be accredited for ISO 9001 or EN 9100 certification and in the appropriate activity area. AQAP 2110 and 2310 accreditations are attached to the organization's ISO 9001 or EN 9100 certification. If the ISO 9001 certification or EN 9100 certification is suspended or withdrawn, the accreditation of a conformity assessment body is automatically suspended or withdrawn.

Specific requirements towards the conformity assessment body address the duration time for initial surveillance and re-certification audits. DGA can attend as an observer of all audits to confirm if DGA and COFRAC requirements are satisfied. It also includes requirements for the information to be communicated and its confidentiality.

The conformity assessment body can certify organizations abroad. However, they are instructed to ask DGA if they wish to perform AQAP certification abroad in a company which is not linked in a French organization. In this case, DGA requests the position of the foreign NQAA.

Some figures (dated Sept 2020)

AQAP 2110	106 companies certified
AQAP 2310	16 companies certified
20 organizations/industrial plants certified abroad	

Table 2: Overview of national AQAP certification

5.5. No certification

5.5.4. Austria (AUT)

Austrian conformity assessment bodies are able to perform AQAP certification. However, due to their code of conduct, they are not willing to perform it for companies dealing with war material.

5.6. Discussion conclusions

5.6.1. Issuing the AQAP certification

There are no legal prerequisites being obliged to whole parties, including also third-party for issuing AQAP certificates. In fact, every organization is allowed to conduct AQAP audits and to issue certificates. There is consensus amongst the action team member that AQAP certification shall conducted either by NQAA or by an accredited conformity assessment body.
The action team members agree that the AQAP certificate shall specify the considered AQAP as well as the scope.

5.6.2. Period of validity and withdrawal

The certificate's period of validity shall be limited, and it ends automatically if the certificate holder has not expressed his wish to renewal. A period of validity of three years is reasonable and harmonizes the circumstances of the ISO 9001 certification.
Due to the fact AQAPs are based on the standard of the ISO 9000 family, the issued AQAP certificates are related to an ISO certificate. It is common that the loss of the ISO certificate automatically includes the withdrawal of the AQAP certificate. Moreover, significant findings during (re)certification, surveillance or event-related audits can result in the withdrawal of the existing certificate.

Chapter 6 Reliability of AQAP-certificates today

In a workshop during the Host Nation Conference in June 2019, multiple representatives of the various NQAA discussed the reliability of AQAP certificates. A sentiment survey addressed the reliability of AQAP certificates, which the conformity assessment bodies have been issuing. All attendees were invited to rate their level of satisfaction on a scale from 1 (unhappy) to 10 (happy).

Figure 5 summarizes the result:

The distribution of votes in 5 indicates a slight tendency towards a reliable AQAP certification system among the different nations. However, it also demonstrates there is potential for improvement.

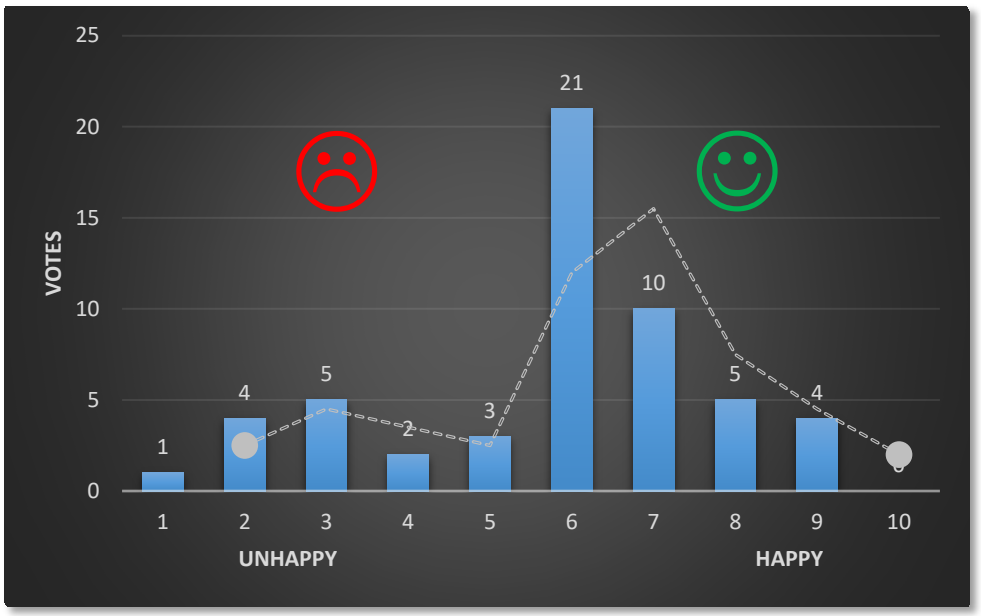


Figure 5: Result of the survey 'Are you personally of the opinion (perhaps even convinced) that AQAP certificates are basically reliable because they refer to NATO standards?'.

Chapter 7 Self-assessment according to ISO 17021

7.1. Introduction

During the WG/2 Meeting held in Kosice, Slovakia on 2nd to 4th October 2019, the decision was made to consider ISO 17021 requirements to compare with national practice.
ISO/IEC 17021-1 specifies requirements for bodies that audit and certify management systems. This standard provides principles and requirements for the competence, consistency and impartiality of bodies performing audits and certifications of any type of management system. It provides general requirements for such bodies performing audits and certifications in the field of quality, environment, and other forms of management systems. Such bodies are referred to as conformity assessment bodies (CAB). Compliance with these requirements is intended to ensure that conformity assessment bodies carry out the certification of management systems in a competent, consistent and impartial manner, thereby promoting the recognition of such bodies and the acceptance of their certifications at national and international level.
ISO/IEC 17021-3 determines additional competence requirements for personnel involved in the audit and certification process for QMS and complements the existing requirements of ISO/IEC 17021-1. It is applicable to the auditing and certification of a QMS based on ISO 9001. It can also be used for other QMS applications. ISO/IEC 17021-3 explains, in particular, the requirements for the competence of personnel involved in the certification process.

7.2. Preparation and Conduction

In Brussels on January 2020, the action team decided that each nation should conduct a self-assessment in order to determine whether these standards may be appropriate for an AQAP Certification regulation. Thus, the nations were invited by the action team to prepare national evaluations and positions on the requirements of the standard ISO 17021-1 and ISO 17021-3.

For this purpose, an evaluation matrix was prepared as an excel sheet, which was distributed to the nations. In the excel sheet, 3 columns were available for the evaluation of each requirement.

First column:

Assessment of the maturity level to meet the listed requirement - (full compliance, partial compliance, non-compliance).

This information was for the nation's own consideration and not necessary to share the information.

Second column:

Decision of the acceptance of the requirement – (accepted, measures are taken, ok, blocked)

The assessment in this column was the basis of the decision whether to accept or block the requirement. This information was important for the analysis, with implications for the further process (related to possible requirements in an AQAP certification standard). Nations were invited to share this information.

Third column: provided for comments, e.g. for notes or evidences

This information was for the nation's own consideration and it was not necessary to share this information. But the nations' thoughts could be fruitful and welcome.

7.3. Results

7.3.1. Summarized result as prioritized fields of action

From the 190 standard requirements of ISO 17021, which had been queried from the nations contacted, prioritized requirements were identified and evaluated by the Action Team Lead for AQAP certification process. Specifically, 14 standard test points have been considered. The selection criteria for this were:

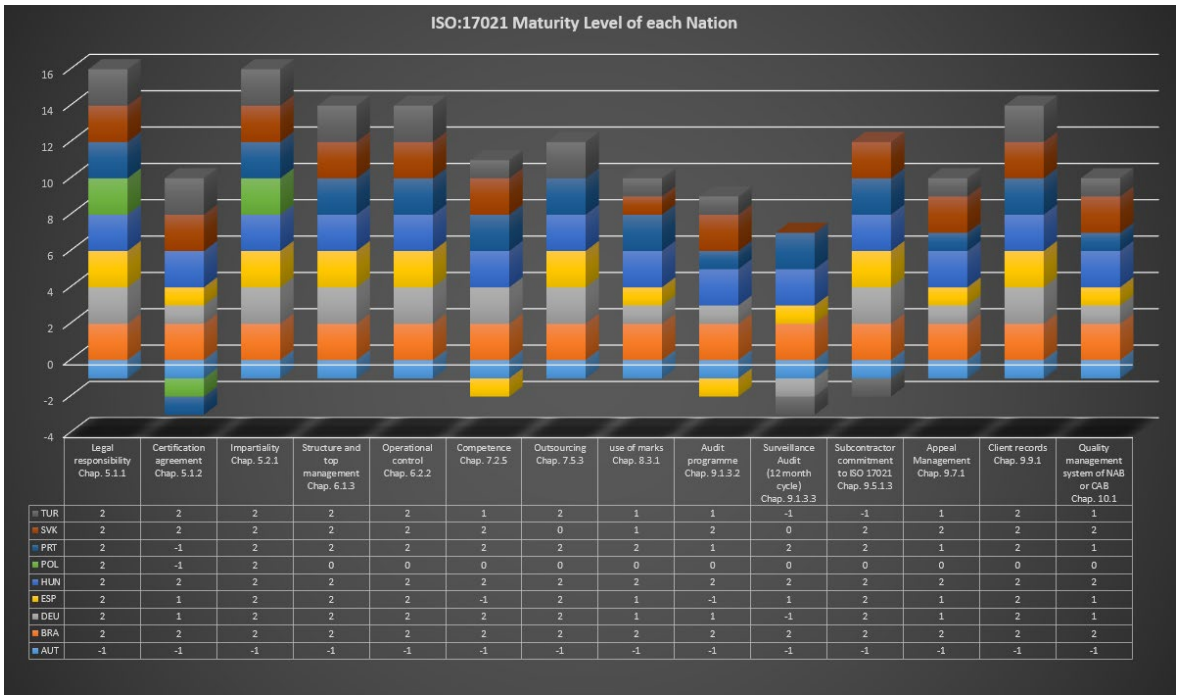
- Greatest possible consensus among participating nations
- Significance for the verifiability of the NATO AQAP conformity fulfilment

For the self-assessment, nations were invited to give answers on the acceptance of the relevant quality criteria and/or the maturity of the implementation:

Maturity Level according to ISO 17021		Acceptance Level according to ISO 17021	
Full Compliance	2	Fully Accepted	2
Partial Compliance	1	Partially Accepted	1
Not Specified	0	Not Specified	0
No Compliance	-1	Blocked	-1

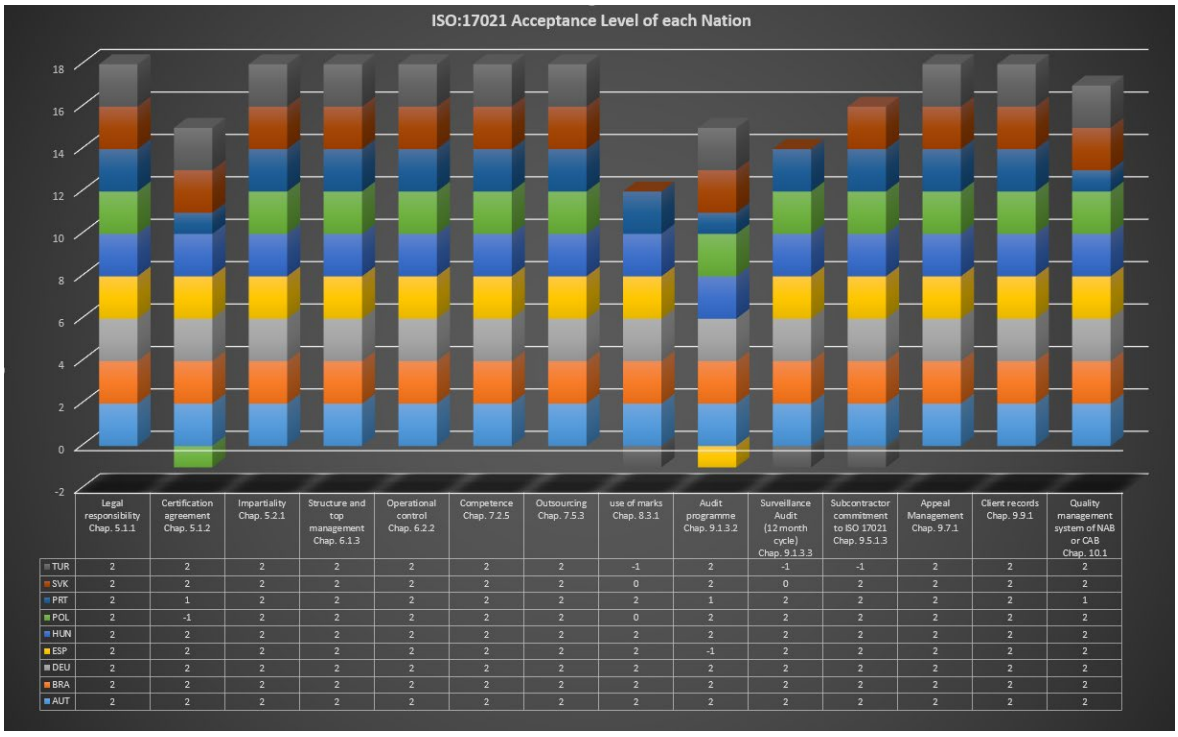
Table 3: Evaluation key for the self-assessment

To continue of the work on a consistent approach for the NQAA AQAP certification process, these 14 standard criteria could be understood as fields of action and thus form the starting point for discussions to develop a common minimum standard for AQAP certification. Therefore, in the following, these individual standard requirements are referred to as "fields of action".
In the Figures 6 & 7 below, the summarized evaluations for the fields of actions are shown graphically.



	Legal responsibility Chap. 5.1.1	Certification agreement Chap. 5.1.2	Impartiality Chap. 5.2.1	Structure and top management Chap. 6.1.3	Operational control Chap. 6.2.2	Competence Chap. 7.2.5	Outsourcing Chap. 7.5.3	use of marks Chap. 8.3.1	Audit programme Chap. 9.1.3.2	Surveillance Audit (12 month cycle) Chap. 9.1.3.3	Subcontractor commitment to ISO 17021 Chap. 9.5.1.3	Appeal Management Chap. 9.7.1	Client records Chap. 9.9.1	Quality management system of NAB or CAB Chap. 10.1
TUR	2	2	2	2	2	1	2	1	1	-1	-1	1	2	1
SVK	2	2	2	2	2	2	0	1	2	0	2	2	2	2
PRT	2	-1	2	2	2	2	2	2	1	2	2	1	2	1
POL	2	-1	2	0	0	0	0	0	0	0	0	0	0	0
HUN	2	2	2	2	2	2	2	2	2	2	2	2	2	2
ESP	2	1	2	2	2	-1	2	1	-1	1	2	1	2	1
DEU	2	1	2	2	2	2	2	1	1	-1	2	1	2	1
BRA	2	2	2	2	2	2	2	2	2	2	2	2	2	2
AUT	-1	-1	-1	-1	-1	-1	-1	-1	-1	-1	-1	-1	-1	-1

Figure 6: Summarized illustration of the Maturity Level for the selected fields of action



	Legal responsibility Chap. 5.1.1	Certification agreement Chap. 5.1.2	Impartiality Chap. 5.2.1	Structure and top management Chap. 6.1.3	Operational control Chap. 6.2.2	Competence Chap. 7.2.5	Outsourcing Chap. 7.5.3	use of marks Chap. 8.3.1	Audit programme Chap. 9.1.3.2	Surveillance Audit (12 month cycle) Chap. 9.1.3.3	Subcontractor commitment to ISO 17021 Chap. 9.5.1.3	Appeal Management Chap. 9.7.1	Client records Chap. 9.9.1	Quality management system of NAB or CAB Chap. 10.1
TUR	2	2	2	2	2	2	2	-1	2	-1	-1	2	2	2
SVK	2	2	2	2	2	2	2	0	2	0	2	2	2	2
PRT	2	1	2	2	2	2	2	2	1	2	2	2	2	1
POL	2	-1	2	2	2	2	2	0	2	2	2	2	2	2
HUN	2	2	2	2	2	2	2	2	2	2	2	2	2	2
ESP	2	2	2	2	2	2	2	2	-1	2	2	2	2	2
DEU	2	2	2	2	2	2	2	2	2	2	2	2	2	2
BRA	2	2	2	2	2	2	2	2	2	2	2	2	2	2
AUT	2	2	2	2	2	2	2	2	2	2	2	2	2	2

Figure 7: Summarized illustration of the Acceptance Level for the selected fields of action

7.3.2. Introduction of the prioritized fields of action (excerpt from standard ISO 17021):

7.3.2.1. 1st Action Item

Legal responsibility – The CAB as a legal entity

(EN ISO 17021-1:2015 Chap. 5.1.1)

"Legal responsibility - The certification body shall be a legal entity, or a defined part of a legal entity that can be held legally responsible for all its certification activities. A governmental certification body is deemed to be a legal entity on the basis of its governmental status."

There is unanimous agreement from the responding nations on this field of action.

7.3.2.2. 2nd Action Item

Enforceable certification agreement between the client and / or the CAB

(EN ISO 17021-1:2015 Chap. 5.1.2)

"Certification agreement - The certification body shall have a legally enforceable agreement with each client for the provision of certification activities in accordance with the relevant requirements of this part of ISO/IEC 17021. In addition, where there are multiple offices of a certification body or multiple sites of a client, the certification body shall ensure there is a legally enforceable agreement between the certification body granting certification and the client that covers all the sites within the scope of the certification."

There is unanimous agreement from the responding nations on this field of action.

7.3.2.3. 3rd Action Item

Impartiality management requirements

(EN ISO 17021-1:2015 Chap. 5.2.1)

"Conformity assessment activities shall be undertaken impartially. The certification body shall be responsible for the impartiality of its conformity assessment activities and shall not allow commercial, financial or other pressures to compromise impartiality."

There is unanimous agreement from the responding nations on this field of action.

7.3.2.4. 4th Action Item

Structure and top management – authority and responsibility

(EN ISO 17021-1:2015 Chap. 6.1.3)

"The certification body shall identify the top management (board, group of persons, or person) having overall authority and responsibility for each of the following: a) development of policies and establishment of processes and procedures relating to its operations; b) supervision of the implementation of the policies, processes and procedures; c) ensuring impartiality; d) supervision of its finances; e) development of management system certification services and schemes; f) performance of audits and certification, and responsiveness to complaints; g) decisions on certification; h) delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf; i) contractual arrangements; j) provision of adequate resources for certification activities."

There is unanimous agreement from the responding nations on this field of action.

7.3.2.5. 5th Action Item

Operational control activities

(EN ISO 17021-1:2015 Chap. 6.2.2)

"The certification body shall consider the appropriate level and method of control of activities undertaken including its processes, technical areas of certification bodies' operations, competence of personnel, lines of management control, reporting and remote access to operations including records."

There is unanimous agreement from the responding nations on this field of action.

7.3.2.6. 6th Action Item

Competences of personnel

(EN ISO 17021-1:2015 Chap. 7.2.5)

"The certification body shall have a process to achieve and demonstrate effective auditing, including the use of auditors and audit team leaders possessing generic auditing skills and knowledge, as well as skills and knowledge appropriate for auditing in specific technical areas."

Competent staff is the prerequisite of sustainable governmental technical quality assurance. A Consensus should be achieved here.

7.3.2.7. 7th Action Item

Outsourcing – management activities

(EN ISO 17021-1:2015 Chap. 7.5.3)

"The certification body shall:
a) take responsibility for all activities outsourced to another body;
b) ensure that the body that provides outsourced services, and the individuals that it uses, conform to requirements of the certification body and also to the applicable provisions of this part of ISO/IEC 17021, including competence, impartiality and confidentiality;
c) ensure that the body that provides outsourced services, and the individuals that it uses, are not involved, either directly or through any other employer, with an organization to be audited, in such a way that impartiality could be compromised."

There is unanimous agreement from the responding nations on this field of action.

7.3.2.8. 8th Action Item

Use of marks and reference to certification

(EN ISO 17021-1:2015 Chap. 8.3.1)

"A certification body shall have rules governing any management system certification mark that it authorizes certified clients to use. These rules shall ensure, among other things, traceability back to the certification body. There shall be no ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification. This mark shall not be used on a product nor product packaging nor in any other way that may be interpreted as denoting product conformity."

The use of a quality mark or a quality seal creates confidence in the process and reflects a standardized procedure. In this sense, a common approach should be adopted and coordinated among nations.

7.3.2.9. 9th Action Item

Audit Programme – Pre-certification activities

(EN ISO 17021-1:2015 Chap. 9.1.3.2)

"The audit programme for the initial certification shall include a two-stage initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification. The first three-year certification cycle begins with the certification decision. Subsequent cycles begin with the recertification decision (see 9.6.3.2.3). The determination of the audit programme and any subsequent adjustments shall consider the size of the client, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits."

This field of action describes a holistic audit program, which should be perceived in a standardized way by the nations that provide AQAP certification. A sustainable approach for all nations should be found in further discussions.

7.3.2.10. 10th Action Item

Surveillance audit – 12 Month cycle

(EN ISO 17021-1:2015 Chap. 9.1.3.3)

"Surveillance audits shall be conducted at least once a calendar year, except in recertification years. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date."

NOTE

It can be necessary to adjust the frequency of surveillance audits to accommodate factors such as seasons or management systems certification of a limited duration (e.g. temporary construction site).

This field of action produced a differentiated result. On this point, some nations are considering a RIAC based periodic surveillance audit, however there are

many nations that cannot guarantee a 12-month AQAP review. The nations should have a common understanding of the minimum frequency by which surveillance audits should be performed.

7.3.2.11. 11th Action Item

Subcontractor commitment to ISO 17021

(EN ISO 17021-1:2015 Chap. 9.5.1.3)

"The persons employed by, or under contract with, entities under organizational control shall fulfil the same requirements of this part of ISO/IEC 17021 as persons employed by, or under contract with, the certification body."

There is unanimous agreement from the responding nations on this field of action.

7.3.2.12. 12th Action Item

Appeal Management

(EN ISO 17021-1:2015 Chap. 9.7.1)

"The certification body shall have a documented process to receive, evaluate and make decisions on appeals."

There is unanimous agreement from the responding nations on this field of action.

7.3.2.13. 13th Action Item

Client records

(EN ISO 17021-1:2015 Chap. 9.9.1)

"Client records - The certification body shall maintain records on the audit and other certification activities for all clients, including all organizations that submitted applications, and all organizations audited, certified, or with certification suspended or withdrawn."

There is unanimous agreement from the responding nations on this field of action.

7.3.2.14. 14th Action Item

Quality management system of NAB's and / or CAB's

(EN ISO 17021-1:2015 Chap. 10.1)

"Options: The certification body shall establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this part of ISO/IEC 17021. In addition to meeting the requirements of Clauses 5 to 9, the certification body shall implement a management system in accordance with either:

a) general management system requirements (see 10.2); or
b) management system requirements in accordance with ISO 9001 (see 10.3)."

The requirement for a management system should be consistent with the principles and objectives of a quality-oriented way of working of the NQAAs. Therefore, it is important that there is consensus among nations on this point with regard to a common implemented assistance provided by NATO.

7.3.3. Feedback from the participating nations

The attached files contain the results of the feedback from the nations that participated in the self-assessment.

Chapter 8 Way ahead

As a result, this final report contains the different national practices of the NQAA concerning the AQAP certification activities.
In order to harmonize the AQAP certificates and to define a minimum requirement level, a specific document for NATO AQAP certificates should be published in the next stage within a new standardization proposal. The new standardization proposal should indicate the publication format in the context of STANREC.
For this purpose, the next step should be to further develop the findings of the final report to provide NQAA with best practices for the effective use of GQA resources for the AQAP certification process in the form of common processes, guidelines, and training materials in the STANRECs mentioned above.
The new standard should include requirements of all dimensions considered: the conformity assessment body and the certification process itself. The latter comprises prerequisites, issuing, maintenance, and withdrawal of AQAP certificates.

In order to determine the next steps, it is proposed to have another Action Team Meeting to discuss the content of the report and to work out further measures.

A. Sources

[1] Life Cycle Management Group (LCMG) (AC/327), "Standardisation Proposal (SP 2018/004) related to AQAP certification," 03.12.2018.

[2] Life Cycle Management Group (LCMG) (AC/327), "Standardisation Task (ST 2018/004) adressing national quality assurance authority endorsed AQAP certification".

B. Index of Tables and Figures

C. Disclosure to national practices for AQAP certification

Brazil (BRA)

Brazil State: April 2023

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited certification body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☐ please specify:

No ☒

Are there any other prerequisites, e.g. a contract?

Contract: DCTA/IFI adopts the ICA 57-21 (Military Airworthiness Regulation - Procedures for Aeronautical Product Certification) and the standards AQAP 2110 - Allied Quality Assurance Publications, made available by NATO - North Atlantic Treaty Organization in the original English version, to comply with the Governmental Quality Assurance activity (GQA) under the Air Force Command (COMAER).

The Governmental Quality Assurance Representative is the representative designated by the DCTA/IFI with responsibility for the Governmental Quality Assurance (GQA), acting on behalf of the Air Force Command (COMAER), during the term of the contract.

Which AQAP are certified?

AQAP 2110	☒	AQAP 2131	☐	AQAP _____	☐
AQAP 2210	☐	AQAP 2120	☐	AQAP _____	☐
AQAP 2310	☐	AQAP _____	☐	AQAP _____	☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

ISO 9001:2015 and ISO IEC 17021-1

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

Applicants shall fill in the form RSC (Request for Certification Services) available at https://ifi.dcta.mil.br/index.php/certificacao-da-qualidade/documentos to apply for certification. After the document review the application is accepted or rejected. In case it is accepted- based on capacity, competence, scope, etc.- the contract is issued. Once the contract is signed the audit programme is scheduled and the audit planning with the audit team and agenda is set for each audit.

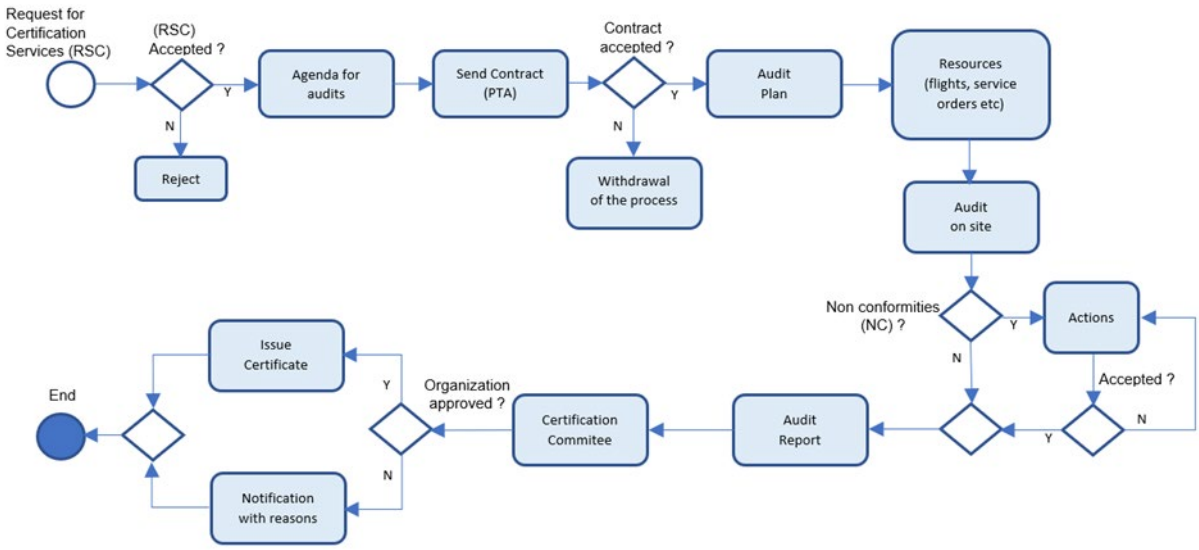
To whom is the application addressed?

DCTA/IFI - Industrial Fostering and Coordination Institute

Which competences of personnel being involved in the certification process are required?

ISO/IEC 17021-1 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: requirements
ISO/IEC 17021-3 Part 3: Competence requirements for auditing and certification of quality management systems

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.



What is the scope of the AQAP certification/confirmation?

Design, development and production of defence products.

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

- It cannot be used in the cases of temporary suspension or withdrawal.
- It cannot be used when the certificate expires.
- It is restricted for products, parts, equipment and services listed in the Addendum to the Supplying Organization Certificate – ACOF.

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

Yes, it is communicated to the Acquirer (COMAER) when the scope is reduced.

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

- Certification and re-certification audits.
- Acquirer complaints.
- Government Quality assurance activities (GQAR on site).
- Follow-up of actions regarding non-conformities related to suspension of certification and if the DCTA/IFI judges it is necessary to follow-up.

Which controlled configuration measures are taken into account to manage the certification activities?

Certificates are numbered and controlled for its validity. A register view is controlled. The certificate is valid only with the presentation of the Addendum to the Supplying Organization Certificate - ACOF, being its quality management system approved to produce or develop products, parts, equipment and services listed in the Addendum.
Major changes in the Quality management system, original installations changes or its address must be communicated to DCTA/IFI.

After how many years is a renewal certification obligatorily necessary?

The certificate is valid for 1 year, but we have changed the procedure NPA 07-500 Rev 01 (Production Certification) for 3 three years validation with annual surveillance audits. It is available for approval.

Which administrative authority of the conformity assessment body signs the certificate at the end?

DCTA/IFI - Industrial Fostering and Coordination Institute.

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

None.

Can national signed AQAP certificates awarded to companies from abroad?

No.

Is the AQAP certificate/conformity from a different country accepted?

Yes ☒

No ☐

Does the applicant have to pay for the AQAP certification/confirmation process?

Yes.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

Yes.

Croatia (HRV)

Croatia State: April 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited certification body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☐ please specify:

No ☒

Are there any other prerequisites, e.g. a contract?

Company request

Which AQAP are certified?

AQAP 2110	☐	AQAP 2131	☐	AQAP _____	☐
AQAP 2210	☐	AQAP 2120	☒	AQAP _____	☐
AQAP 2310	☐	AQAP _____	☐	AQAP _____	☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

AQAP 2120 certification[5]

AQAP 2130 certification[9]

AQAP 2131 certification

AQAP 2310 certification

AQAP 2210 certification

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

-

To whom is the application addressed?

Service for receive and quality control, Sarajevska 7, 10000 Zagreb

Which competences of personnel being involved in the certification process are required?

-

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

-

[5] Deprecated and only valid for running contractual relationships

What is the scope of the AQAP certification/confirmation?

The part of the company which is object to the AQAP certification (the scope is mentioned on the document of the AQAP certificate).

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

-

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

-

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

Regular inspections of the certified company (at least one per year).

Which controlled configuration measures are taken into account to manage the certification activities?

-

After how many years is a renewal certification obligatorily necessary?

The certificate is valid for 3 years.

Which administrative authority of the conformity assessment body signs the certificate at the end?

The certificate is signed by the Assistant Minister for Material Resources

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

-

Can national signed AQAP certificates awarded to companies from abroad?

-

Is the AQAP certificate/conformity from a different country accepted?

Yes ☐

No ☐

Does the applicant have to pay for the AQAP certification/confirmation process?

No, the process is free of charge.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

No, the process is free of charge.

Finland (FIN)

Finland State: April 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☐
Third party certification	☒
Conformity assessment body is accredited	☒

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☐ please specify:

No ☐

Are there any other prerequisites, e.g. a contract?

-

Which AQAP are certified?

AQAP 2110	☐	AQAP 2131	☐	AQAP _____	☐
AQAP 2210	☐	AQAP _____	☐	AQAP _____	☐
AQAP 2310	☐	AQAP _____	☐	AQAP _____	☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

AQAP 2120 certification[6]

AQAP 2130 certification[9]

AQAP 2131 certification

AQAP 2310 certification

AQAP 2210 certification

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

-

To whom is the application addressed?

-

Which competences of personnel being involved in the certification process are required?

-

[6] Deprecated and only valid for running contractual relationships

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

-

What is the scope of the AQAP certification/confirmation?

-

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

-

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

-

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

-

Which controlled configuration measures are taken into account to manage the certification activities?

-

After how many years is a renewal certification obligatorily necessary?

-

Which administrative authority of the conformity assessment body signs the certificate at the end?

-

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

-

Can national signed AQAP certificates awarded to companies from abroad?

-

Is the AQAP certificate/conformity from a different country accepted?

Yes ☐

No ☐

Does the applicant have to pay for the AQAP certification/confirmation process?

-

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

-

France (FRA)

France State: April 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☐
Third party certification	☒
Conformity assessment body is accredited	☒

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (*e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or* equivalent *and listed on the IAQG Online Aerospace Supplier Information System OASIS*) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☐ please specify:

No ☒

Are there any other prerequisites, e.g. a contract?

The company must be active in the armament field.
There must be an ongoing contract or an offer to a concrete project.

Which AQAP are certified?

AQAP 2110	☒	AQAP 2131	☐	AQAP _____	☐
AQAP 2210	☐	AQAP _____	☐	AQAP _____	☐
AQAP 2310	☒	AQAP _____	☐	AQAP _____	☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

NF EN ISO/CEI 17021-1 « Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: requirements »- NF EN ISO/CEI 17021-3 « Part 3: Competence requirements for auditing and certification of quality management systems»

AQAP 2120 certification[7]

AQAP 2130 certification[9]

AQAP 2131 certification

No AQAP 2131 certification in France.

AQAP 2310 certification

NF EN ISO/CEI 17021-1 « Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: requirements »- NF EN ISO/CEI 17021-3 « Part 3: Competence requirements for auditing and certification of quality management systems »

AQAP 2210 certification

No AQAP 2210 certification in France.

[7] Deprecated and only valid for running contractual relationships

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

The candidate Supplier shall contact a French Conformity Assessment Body (CAB) accredited by the French National Accreditation Body (COFRAC).

To whom is the application addressed?

To one of three CABs accredited (AFNOR certification, BV certification and LRQA).

Which competences of personnel being involved in the certification process are required?

Fulfilment of ISO 17021-1 and 17021-3

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

DGA has granted COFRAC to accredit French CABs through an agreement named "convention". COFRAC's document CERT CEPE REF 14 defines the specific requirements toward CABs and makes applicable the DGA specific requirements STB DGA01D17019388 SMQ/SQ/OP/RI.
COFRAC is responsible for checking the fulfilment of those requirements.

What is the scope of the AQAP certification/confirmation?

Part or all of the company that is the object of AQAP certification.

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

An AQAP certificate is not a prerequisite for tendering of French Ministry Army Forces bodies (DGA and Support Services Departments).

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

Certification scope is defined on the AQAP certificate released by the CAB.

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

CABs follow the COFRAC requirements:
One surveillance audit/year
One renewal audit every 3 years.

Which controlled configuration measures are taken into account to manage the certification activities?

DGA informs COFRAC and CABs when new version/edition of AQAP 2110 or 2310 are published by NATO.

After how many years is a renewal certification obligatorily necessary?

Every 3 years.

Which administrative authority of the conformity assessment body signs the certificate at the end?

The appropriate authority of each CAB. Example: managing Director for AFNOR Certification.
Specify the possibilities for foreign companies to an AQAP certificate/conformity?
CAB can perform AQAP certification abroad if the foreign company is linked with a French group/company.
If not, the CAB shall request to DGA and DGA asks to the foreign NQAA the authorisation to the French CAB to carry out AQAP certification abroad.

Can national signed AQAP certificates awarded to companies from abroad?

Yes, this is possible. If the company is not linked in a French group/company the position of the foreign NQAA is requested by DGA beforehand.

Is the AQAP certificate/conformity from a different country accepted?

Yes ☐
No ☒
AQAP certificate is not used by the French Ministry Armed Forces bodies (DGA and Support Services Departments) as a prerequisite or a discriminator to accept/reject an offer.

Does the applicant have to pay for the AQAP certification/confirmation process?
Yes, in the contract between the Supplier and the CAB.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

Yes, in the contract between the Supplier and the CAB.

Germany (DEU)

Germany State: April 2020

What kind of AQAP certification document do you issue?

Certificate	☐
Confirmation	☒
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☒ ISO 9001 or EN 9100

No ☐

Are there any other prerequisites, e.g. a contract?

Request for an AQAP confirmation

Contractual relationship (research, development, product, other service) with GQA

Which AQAP are certified?

AQAP 2110	☒	AQAP 2131	☐	AQAP _____	☐
AQAP 2210	☒	AQAP _____	☐	AQAP _____	☐
AQAP 2310	☒	AQAP _____	☐	AQAP _____	☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

ISO 9001

AQAP 2310 certification

AS EN 9100

AQAP 2210 certification

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

The supplier (contractor) shall has a valid and ongoing contract with the BAAINBw. Corresponding AQAP standards are contractually agreed therein. According to special agreements between industry and the official side within the board of BDSV, there is a need to be checked whether the contractually agreed deliverables can be categorized as complex or highly complex ones.

To whom is the application addressed?

Federal office of Bundeswehr Equipment, Information Technology and In-Service Support (BAAINBw), Government Quality Assurance Service Bundeswehr (ZtQ1.1) via E-Mail
BAAINBwZtQ1.1@Bundeswehr.org

Which competences of personnel being involved in the certification process are required?

In principle, our engineers can conduct ex officio audits. However, as an organization certified according to ISO 9001, we attach great importance to the fact that the auditors go through recognized certification courses. In the BAAINBw, the audits are therefore always carried out by certified quality management auditors. Knowledge of applicable standards (e.g. AQAP) is imparted internally.

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

Based on the existing contract, an AQAP-2110 and/or an AQAP-2310 audit in connection with parts of the AQAP-2210 is agreed upon in consideration of this question. The findings obtained in the audit are recorded in the audit report and in the data processing parts of an SAP system. Corrective measures are determined together with the supplier, i.e. the organization to be audited. If a major nonconformity is identified, no AQAP compliance is declared. If a mixed conformity is determined, conformity can be declared under the proviso of a traceable defect elimination. The evaluation system is currently being reviewed and should be based on the VDA standard QMC 6 Part 3 in the future.

What is the scope of the AQAP certification/confirmation?

Contractually agreed service

Part of the company which is the object of the AQAP confirmation process (both are mentioned on the document of the AQAP confirmation)

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

No agreements. The AQAP confirmation cannot be part of any invitation to tender from public authorities.
Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

GQA (AQAP audits may be a possible instrument)
No specific audits acc. to the specific AQAP are planned. The next officially planned audit will be in case of a request for recertification

Which controlled configuration measures are taken into account to manage the certification activities?

-

After how many years is a renewal certification obligatorily necessary?

Max. 3 years and the validity of the ISO 9001 or EN 9100 certification, respectively

Which administrative authority of the conformity assessment body signs the certificate at the end?

Head of branch BAAINBw ZtQ1.1

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

Foreign companies will only be certified if the place where the contract is to be performed is (at least partially) in Germany.

Can national signed AQAP certificates awarded to companies from abroad?

Foreign companies will only be certified if the place where the contract is to be performed is (at least partially) in Germany.

Is the AQAP certificate/conformity from a different country accepted?

Yes ☐

No ☒

Does the applicant have to pay for the AQAP certification/confirmation process?

The AQAP (re-)confirmation process is completely free of charge for any applicant.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

The maintenance of the AQAP confirmation is completely free of charge for any confirmation holder.

Hungary (HUN)

Hungary State: December 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☒

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☐ please specify: -

No ☒

Are there any other prerequisites, e.g. a contract?

A number of prerequisites as set against the applicants. Our primary requirement is to have a contractual relationship with the military. The latest regulation was launched by the Commander of the Hungarian Defence Forces Territorial Defence and Support Command (hereinafter: HDF TDSC) on 13 November 2020. Prerequisites are categorised into five areas.

Limited number of activities contained in the Regulation (EC) No 1893/2006 establishing the statistical classification of economic activities (NACE Revision 2)

- 10- Manufacture of food products (except 10.9),
- 11.07- Manufacture of soft drinks; production of mineral waters and other bottled waters,
- 13- Manufacture of textiles,
- 14- Manufacture of wearing apparel,
- 15- Manufacture of leather and related products,
- 20- Manufacture of chemicals and chemical products,
- 24- Manufacture of basic metals (except 24.46),
- 25- Manufacture of fabricated metal products, except machinery and equipment,
- 26;95.1- Manufacture of computer, electronic and optical products (except 26.6;26.8),
- 27- Manufacture of electrical equipment (except 27.4; 27.5; 27.9),
- 28- Manufacture of machinery and equipment n.e.c. (except 28.3),
- 29- Manufacture of motor vehicles, trailers and semi-trailers,
- 30- Manufacture of other transport equipment (except: 30.9),
- 32.99- Other manufacturing n.e.c.,
- 33- Repair and installation of machinery and equipment,
- 45- Wholesale and retail trade and repair of motor vehicles and motorcycles,
- 46- Wholesale trade, except of motor vehicles and motorcycles (except 46.11;46.13;46.15;46.19;46.2;46.6;46.9),
- 62- Computer programming, consultancy and related activities,
- 71- Architectural and engineering activities; technical testing and analysis (exclusively related to the military),

- 72- Scientific research and development (exclusively related to the military).

Activities related to NATO Supplier Status

- 25.40- Manufacture of weapons and ammunition,
- 30.40- Manufacture of military fighting vehicles,
- 33.20- Installation of industrial machinery and equipment,
- 42.22- Construction of utility projects for electricity and telecommunications,
- 46.69- Wholesale of other machinery and equipment,
- 62.01- Computer programming activities,
- 62.02- Computer consultancy activities.

Active contractual relationship with the Hungarian Defence Forces/Ministry of Defence/Defence Procurement Agency/Digital Governmental Agency or any NATO country

- Active contractual relationship means valid contract or application as well as expired contract within a given year,
- The subject of the contract has to be military-related,
- In the absence of a contract, the NQAA conducts the certification process for the first time, but next year, prerequisites shall be fulfilled.

- Applicants shall fill in a datasheet to apply for certification. We expect applicants to use NACE codes to identify their field of activities.
- NQAA is not in a position to certify outsourced activities.

Which AQAP are certified?

AQAP 2110	☒	AQAP 2131	☐	AQAP _____	☐
AQAP 2210	☒	AQAP _____	☐	AQAP _____	☐
AQAP 2310	☐	AQAP _____	☐	AQAP _____	☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

<ISO 9001:2015 >

AQAP 2120 certification

AQAP 2130 certification11

AQAP 2131 certification

AQAP 2310 certification

AQAP 2210 certification

< ISO 9001:2015 >

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

Applicants shall fill in a datasheet to apply for certification. We expect applicants to use NACE codes to identify their field of activities. Attached to this datasheet we ask them to provide us with a military contract. After processing the datasheet, application is accepted or rejected. In case it is accepted- based on capacity, competence, scope, etc.- the audit team is appointed.

To whom is the application addressed?

Applications are addressed to the authorized NQAA which is the Hungarian Defence Forces Territorial Defence and Support Command, Quality Assurance Branch. There is one designated contact point who is responsible for processing the datasheets and make decisions on whether a company fulfils the requirements or not.

Which competences of personnel being involved in the certification process are required?

Personnel of the Quality Assurance Branch shall possess specialized qualifications and experience in the field of quality assurance. Different levels of competences are set in different positions. The QAB puts special emphasis on follow-on trainings. Every year a number of colleagues have the opportunity to enrol in a training program at the Budapest University of Technology and Economics, Institute of Continuing Engineering Education.

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

After the datasheet is processed and accepted - based on capacity, competence, scope, etc.- the audit team is appointed. For a thorough preparation, auditees are requested to send us their basic QMS documents (basic procedures, quality manual, internal audit report, management review) which are screened by the audit team. In case of certification and recertification audits it is of crucial importance to collect QMS documents as a first periodic report is made by the QAB before attending an on-site audit.
We have a comprehensive questionnaire that we rely on during the audit, covering all points of the normative documents. While auditing against the AQAP 2110:2016 we also pay attention to ISO requirements. During an on-site audit we examine QMS-related documentation as well as contract performance. The latter is presented by the auditee, demonstrating the stages and the related documented information related to that particular contract.
The audit procedure ends with the audit report. In case of any non-conformities, audit reports shall be written after corrective actions/measures are completed and accepted by the QAB.

What is the scope of the AQAP certification/confirmation?

The scope of the certificate is clearly set, as we use NACE codes to identify the field of activity it covers. NACE codes and a brief description are displayed on the certificate.

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

AQAP certifications are primarily used when applying in a tender. Otherwise, companies may use our logo/certification on their webpage. It is of special importance that only valid certifications may be displayed on the webpage or used anywhere.

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

For the auditees it is communicated by email and during the audit. In addition, an attachment is enclosed to the audit report describing the rights and obligations of the holder of the certificate. For the acquirers it is set forth in the tendering period.

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

During the period of validity (3 years) surveillance audits are performed annually.

Which controlled configuration measures are taken into account to manage the certification activities?

Please specify. In case you mean the configuration management of the auditees, we apply the relevant ACMP regulations.

After how many years is a renewal certification obligatorily necessary?

Certification cycle lasts for 3 years, so in every third year a renewal certification is necessary.

Which administrative authority of the conformity assessment body signs the certificate at the end?

There are two signatures on the certificate. One is given from the head of the Quality Assurance Branch (NQAA) and the other is given from the director of the Logistics Directorate of the HDF TDSC.

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

Foreign companies may also apply for certification, but in our case it is rare.

Can national signed AQAP certificates awarded to companies from abroad?

Yes, it is possible.

Is the AQAP certificate/conformity from a different country accepted?

Yes ☒

No ☐

It is accepted with certain restrictions: the certificate should be issued by a foreign NQAA or from an accredited body.

Does the applicant have to pay for the AQAP certification/confirmation process?

Yes, the NQAA is authorized to charge a certain fee for performing the certification. Companies are informed about the fees via email. The cost depends on various factors e.g. size of the company, type of certification, number of premises etc.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

Yes, surveillance audits are also charged.

Italy (ITA)

Italy State: April 2020

What kind of AQAP certification document do you issue?

Certificate	☐
Confirmation	☒
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☐ please specify:

No ☐

Are there any other prerequisites, e.g. a contract?

-

Which AQAP are certified?

AQAP 2110 ☐ AQAP 2131 ☐ AQAP _____ ☐

AQAP 2210 ☐ AQAP _____ ☐ AQAP _____ ☐

AQAP 2310 ☐ AQAP _____ ☐ AQAP _____ ☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

AQAP 2120 certification[8]

AQAP 2130 certification[9]

AQAP 2131 certification

AQAP 2310 certification

AQAP 2210 certification

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

-

To whom is the application addressed?

-

8 Deprecated and only valid for running contractual relationships

Which competences of personnel being involved in the certification process are required?

-

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

-

What is the scope of the AQAP certification/confirmation?

-

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

-

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

-

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

-

Which controlled configuration measures are taken into account to manage the certification activities?

-

After how many years is a renewal certification obligatorily necessary?

The certification is valid for 3 years.

Which administrative authority of the conformity assessment body signs the certificate at the end?

-

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

-

Can national signed AQAP certificates awarded to companies from abroad?

-

Is the AQAP certificate/conformity from a different country accepted?

Yes ☐

No ☐

Does the applicant have to pay for the AQAP certification/confirmation process?

No, it is free of charge.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

-

Norway (NOR)

Norway State: Oct 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☐ please specify:

No ☒

Are there any other prerequisites, e.g. a contract?

The company needs to apply for the AQAP certification.
National provisions of the Norwegian Defence Materiel Agency must be fulfilled (confirmed by the top management to be applied). National provisions attached.

Which AQAP or set of AQAP are certified?

AQAP 2110	☒	AQAP 2110 and 2210	☒
AQAP 2210	☐	AQAP 2310 and 2210	☒
AQAP 2310	☒		

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

<ISO 9001:2015, ISO 31000, ISO 10007, ISO 10012>
AQAP 2120 certification[9]
AQAP 2130 certification[9]
AQAP 2131 certification
<None, Not applicable >

AQAP 2310 certification

<AS 9100:2016, ISO 31000, ISO 10007, ISO 10012>

AQAP 2210 certification

<None, only in combination of AQAP 2310 or AQAP 2110 approvals>

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

Application for AQAP approval
Review of Norwegian Defence Materiel Agency provisions fulfilment

[9] Deprecated and only valid for running contractual relationships

To whom is the application addressed?

To the Norwegian Defence Materiel Agency/Quality Assurance Branch

Which competences of personnel being involved in the certification process are required?

GQAR authorization and competence requirements
NDMA/QA Branch has established a competent GQAR resource pool of quality professionals within the organization that operate under a qualified and documented GQA policy and framework with its necessary supporting processes. The GQARs shall be authorized by the appointed NQAA in order to provide GQA services according to the STANAG 4107 agreement and its subset of GQA processes and usage of the contractual AQAPs. To be authorized, the GQARs shall have received the necessary and proper training as specified below. The minimum competence consists of a combination of formal education, quality practice, courses and certifications and "on the job training" guided and supervised by senior GQARs. Long and relevant experience may be judged to fulfil a gap of formal and documented competence.

GQAR minimum competence

- Formal education BSc level in the technical field
- Minimum 2-3 years experience in the fields technical, project management or acquisition
- Minimum 1 years of GQA practising
- Level 3 practicing the English language
- PRINSIX project management basic course
- ISO 9001 or AS 9100 formal courses
- NATO course in the contractual AQAPs (2110, 2310, 2210, 2131 and 2105)
- NATO course in the GQA process and GQA Surveillance activities – AQAP 2070
- Training in the operation of GQA national practice and the NDMA QMS

- Certified as Lead quality auditor and/or Quality Manager through the national accreditation body
- Courses in at least one of the areas Risk Management, Configuration Management, Measurement Management or other relevant quality related areas.
- Security clearance: NATO SECRET

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

- Application received and reviewed, provisions to be verified for compliance, scope to be agreed
- Documented information received and assessed for compliance to the AQAP
- Perform Quality Audits to verify QMS implementation
- Period of corrective actions to be followed up and closed
- Follow-up audits based on risk and GQA Surveillance on contracts/supplies
- Renewal process to start 6 months prior to the expiration date

What is the scope of the AQAP certification/confirmation?

The scope is proposed in writing and agreed during the application process. The needed processes shall be appropriate to the content and products involved.

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

Lack of an AQAP certificate cannot be used as a discriminator in a tender process.

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

It is regulated in the Norwegian Defence Acquisition Regulation

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

Contractual GQA Surveillance
Follow-up audits are based on an individual risk assessment
Holder of the AQAP certificate have to present changes of their QMS to the Norwegian Defence Materiel Agency

Which controlled configuration measures are taken into account to manage the certification activities?

Certificates are numbered and controlled for its validity. A register view is controlled.

After how many years is a renewal certification obligatorily necessary?

The certificate is valid for 3 years.

Which administrative authority of the conformity assessment body signs the certificate at the end?

NDMA/ Second in command

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

Applies only for sited Norwegian industry with a valid national registration

Can national signed AQAP certificates awarded to companies from abroad?

No, not normally

Is the AQAP certificate/conformity from a different country accepted?

Yes (in a NATO nation when the certificate is controlled by an NQAA) ☒

No ☐

Does the applicant have to pay for the AQAP certification/confirmation process?

No, the certification process is free of charge.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

No fee or cost payment involved

Portugal (PRT)

Portugal State: May 2022

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☐
Third party certification	☒
Conformity assessment body is accredited	☐

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☒

ISO9001 certification and/or AS/EN9100; Publication of the relevant system documentation to the DGRDN; The organisation applying for certification must provide all necessary information about its authorised representative in accordance with 9.2.1 of the NP EN ISO / IEC 17021.

No ☐

Are there any other prerequisites, e.g. a contract?

The issue of the certificates according to AQAP requires and has to fulfil the following:

- Suppliers must be registered in the National Defense Providers Companies Data Base;
- Must have a governmental permit to operate and provide services to the Defense sector;
- A supplier‘s request for certification of their QMS according to AQAP;
- A valid certificate according to ISO 9001 or EN 9100 issued by an accredited conformity assessment body;
- Successful inspection (e.g. Audits, awareness of the GQAR‘s daily work or experience, …) conducted by Defence Auditors in AQAP requirements (auditors are GQAR with experience and training in audit processes) regarding the NATO supplements of AQAP.

Which AQAP are certified?

AQAP 2110 ☒

AQAP 2310 ☒

AQAP 2210 ☒

AQAP 2131 ☒

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

ISO 9001 or equivalent

AQAP 2310 certification

AS/EN9100 or equivalent

AQAP 2210 certification

ISO 27001 or equivalent

AQAP 2131 certification

Part145 EASA - Regulation (EU) 2021/1963

ISO 27001 or equivalent

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

The certification process begins with the formal request to the DGRDN. For this purpose, the purpose as well as the scope and the desired AQAP standard must be specified.

To whom is the application addressed?

Should be addressed to the Director of the General Directorate of Defence Resources DGRDN.

Which competences of personnel being involved in the certification process are required?

Auditors are GQAR with experience and training in audit processes, with training ISO9001, AS/EN9100, ISO19011 and ISO31000.

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

The GGQ (Garantia Governamental da Qualidade) related processes are based on the regulations of STANAG 4107 (mutual acceptance of the governmental (national) quality assurance and use of the Allied Quality Assurance Publications - AQAP) and the associated AQAP (Allied Quality Assurance Publications).
The certification process begins with the formal request to the DGRDN. For this purpose, the purpose as well as the scope and the desired AQAP standard must be specified.
Before any audit, the company is asked to provide a set of documents that support its preparation. After this submission, the audit plan is prepared and sent to the company. During the audit, the points of the corresponding standard are evaluated to verify compliance. After the audit, a final report is produced with the findings and which includes opportunities for improvement and non-compliances, as well as the deadline for delivering the corrective action plan.
Only after all this process is it decided whether the certificate will be issued.

What is the scope of the AQAP certification/confirmation?

-

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

-

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

-

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

- Annual audit, between the three years cycle.

Which controlled configuration measures are taken into account to manage the certification activities?

- "Unexpected Audit" is a short-term audit for the investigation, which can be carried out in the following cases:

1. Investigation of complaints that lead to doubts of the effectiveness and conformity of the organisation system with regard to the references of the AQAP standard.
2. Significant changes in the organization.

After how many years is a renewal certification obligatorily necessary?

The validity period is three years or less if any important changes occur in the QMS or within the scope of the Company.

Which administrative authority of the conformity assessment body signs the certificate at the end?

Director of the General Directorate of Defence Resources

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

-

Can national signed AQAP certificates awarded to companies from abroad?

Is the AQAP certificate/conformity from a different country accepted?

Yes ☒

No ☐

Does the applicant have to pay for the AQAP certification/confirmation process?

Is free of charge

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

Is free of charge.

Romania (ROU)

Romania State: April 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☒ please specify: ISO EN 9001:2015

No ☐

Are there any other prerequisites, e.g. a contract?

Yes.

Assessment (evaluation)/certification:

Of suppliers requested by contracting authority of MoND.

Application from suppliers related to QSL – Qualified Suppliers List.

Contractual relationship with GQA

Which AQAP are certified?

AQAP 2110 ☒ AQAP 2131 ☒

AQAP 2210 (only with the certification of AQAP 2110 and/or AQAP 2310) ☒

AQAP 2210 ☐ AQAP _____ ☐ AQAP _____ ☐

AQAP 2310 ☒ AQAP _____ ☐ AQAP _____ ☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

<ISO 9001:2015>

AQAP 2120 certification[10]

AQAP 2130 certification[9]

AQAP 2131 certification

AQAP 2310 certification

<ISO 9001:2015>

AQAP 2210 certification

<ISO 9001:2015>

[10] Deprecated and only valid for running contractual relationships

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

When a contracting authority request an assessment, certification and quality surveillance of a supplier, it must submit the Application letter with quality documentation and copies of ISO certificate obtained from conformity assessment body.

To whom is the application addressed?

Romanian Ministry of Defence,
Armaments General Directorate.

Which competences of personnel being involved in the certification process are required?

The Government Quality Assurance Representative and Auditors are military or civilian engineers authorized to audit, inspect and control the Supplier's production facilities.

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

The internal process is based on a specific procedure issued in accordance with the the legislation in force.

What is the scope of the AQAP certification/confirmation?

The scope of the AQAP certification/confirmation is to confirm the implementation of the AQAP standards at the suppliers.

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

There are no restrictions or rules.

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

Yes, inside the specific tender documentation.

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

Surveillance audit at least one time per year.

Which controlled configuration measures are taken into account to manage the certification activities?

In order to manage the certification activities we have in place a certified Suppliers list.

After how many years is a renewal certification obligatorily necessary?

A renewal certification is needed after two years.

Which administrative authority of the conformity assessment body signs the certificate at the end?

The certificate is signed by the Chief of Armaments General Directorate.

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

Foreign companies located in Romania can apply for AQAP Certificate.

Can national signed AQAP certificates awarded to companies from abroad?

No.

Is the AQAP certificate/conformity from a different country accepted?

Yes (for NATO Nations) ☒
No ☐

Does the applicant have to pay for the AQAP certification/confirmation process?

No.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

No.

Slovakia (SVK)

Slovakia State: April 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☒ please specify: ISO EN 9001:2015

No ☐

Are there any other prerequisites, e.g. a contract?

Yes, a contract is a prerequisite for an AQAP certification.

Which AQAP are certified?

AQAP 2110	☒	AQAP 2131	☐	AQAP _____	☐
AQAP 2210	☐	AQAP _____	☐	AQAP _____	☐
AQAP 2310	☐	AQAP _____	☐	AQAP _____	☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

AQAP 2120 certification[11]

AQAP 2130 certification[9]

AQAP 2131 certification

AQAP 2310 certification

AQAP 2210 certification

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

- Request for certification from client of the AQAP certification. The request has to fulfil all basic requirements identify by DSCaGQAA (Defence Standardization, Codification an Government Quality Assurance Authority).
- Preliminary review of request by DSCaGQAA at the client facilities.
- DSCaGQAA final decision about request.
- Contract between DSCaGQAA and client of the AQAP certification.

To whom is the application addressed?

For procurers of defence-related products and services

[11] Deprecated and only valid for running contractual relationships

Which competences of personnel being involved in the certification process are required?

The personnel have to be holders of Quality Management System External Auditor as per ISO 9001 issued by appropriate authority CQI and IRCA

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

Internal process fulfills the requirements of ISO/IEC 17021-1:2015, Conformity assessment. Requirements for bodies providing audit and certification of management systems. Part 1: Requirements.

What is the scope of the AQAP certification/confirmation?

The scope of the AQAP certification is design, development and production of defence products or production of defence products. The specific subject of certification is clarified between DSCaGQAA and client of the audit in contract for AQAP certification. The client of the audit has to be producer of defence products which are identified in contract for AQAP certification.

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

The basic rule is to use certificate only in tenders of defence products in NATO nations. Second important condition is do not to use certificate as certificate of quality for specific type o the product. We have other conditions which are part of the contract for AQAP certification.

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

Yes, the restrictions are part of the contract for AQAP certification.

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

A supervisory audit is planned every year, at least once a year. We perform extraordinary audits if there are reasons (complaints, a discrepancy is found in the supplier's quality management system or a discrepancy in the supplied defence products).

Which controlled configuration measures are taken into account to manage the certification activities?

Organizational changes in the quality management system, changes in the subject of business, changes in ownership, compliance with binding legal regulations in the field of providing products for defence purposes.

After how many years is a renewal certification obligatorily necessary?

After 3 years.

Which administrative authority of the conformity assessment body signs the certificate at the end?

The issuance of the certificate is decided by the appointed DSCaGQAA commission on the basis of reports from audit and recommendation of lead auditor.

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

Slovak authority do this process only for companies settled in Slovak republic.

Can national signed AQAP certificates awarded to companies from abroad?

No, this is not possible, the company has to be settled in SVK.

Is the AQAP certificate/conformity from a different country accepted?

Yes ☐

No ☒

Does the applicant have to pay for the AQAP certification/confirmation process?

No, the certification is free of charge.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

No, the confirmation maintenance-recertification is made each 3 years on the base of client request and contract for recertification.

Slovenia (SVN)

Slovenia State: April 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☐
Third party certification	☒
Conformity assessment body is accredited	☒

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☒ please specify: A valid QMS certification according to ISO 9100 or AS/EN 9100 is a prerequisite.

No ☐

Are there any other prerequisites, e.g. a contract?

The company must have a contract or interest in development or production of defence products that require quality control in accordance with the AQAP.

Which AQAP are certified?

AQAP 2110	☒	AQAP 2131	☒	AQAP _____	☐
AQAP 2210	☒	AQAP _____	☐	AQAP _____	☐
AQAP 2310	☒	AQAP _____	☐	AQAP _____	☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification
AQAP 2120 certification[12]
AQAP 2130 certification[9]
AQAP 2131 certification
AQAP 2310 certification
AQAP 2210 certification

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

- Request for certification from client of the AQAP certification. The request has to fulfill all basic requirements identify by DSCaGQAA (Defence Standardization, Codification an Government Quality Assurance Authority).
- Prelimanary review of request by DSCaGQAA at the client facilities.
- DSCaGQAA final decision about request.
- Contract between DSCaGQAA and client of the AQAP certification.

[12] Deprecated and only valid for running contractual relationships

To whom is the application addressed?

For procurers of defence-related products and services

Which competences of personnel being involved in the certification process are required?

The personnel have to be holders of Quality Management System External Auditor as per ISO 9001 issued by appropriate authority CQI and IRCA

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation:

Internal process fulfills the requirements of ISO/IEC 17021-1:2015, Conformity assessment. Requirements for bodies providing audit and certification of management systems. Part 1: Requirements.

What is the scope of the AQAP certification/confirmation?

The scope of the AQAP certification is design, development and production of defence products or production of defence products. The specific subject of certification is clarified between DSCaGQAA and client of the audit in contract for AQAP certification. The client of the audit has to be producer of defence products which are identified in contract for AQAP certification.

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

The basic rule is to use certificate only in tenders of defence products in NATO nations. Second important condition is do not to use certificate as certificate of quality for specific type o the product. We have other conditions which are part of the contract for AQAP certification.

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

Yes, the restrictions are part of the contract for AQAP certification.

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

A supervisory audit is planned every year, at least once a year. We perform extraordinary audits if there are reasons (complaints, a discrepancy is found in the supplier's quality management system or a discrepancy in the supplied defence products).

Which controlled configuration measures are taken into account to manage the certification activities?

Organizational changes in the quality management system, changes in the subject of business, changes in ownership, compliance with binding legal regulations in the field of providing products for defence purposes.

After how many years is a renewal certification obligatorily necessary?

After 3 years.

Which administrative authority of the conformity assessment body signs the certificate at the end?

The issuance of the certificate is decided by the appointed DSCaGQAA commission on the basis of reports from audit and recommendation of lead auditor.

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

Slovak authority do this process only for companies settled in Slovak republic.

Can national signed AQAP certificates awarded to companies from abroad?

No, this is not possible, the company has to be settled in SVK.

Is the AQAP certificate/conformity from a different country accepted?

Yes ☐

No ☒

Does the applicant have to pay for the AQAP certification/confirmation process?

No, the certification is free of charge.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

No, the confirmation maintenance-recertification is made each 3 years on the base of client request and contract for recertification.

Spain (ESP)

Spain State: November 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note
Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body(e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes	☒
No	☐

Are there any other prerequisites, e.g. a contract?

Companies must be included in the Spanish MoD Register of Companies. Also, as a general criteria, should be MoD contractors/subcontractors with former or current contracts with AQAP requirements.

Which AQAP / PECAL[13] are certified?

PECAL 2110 ☒

PECAL 2210 ☒

PECAL 2310 ☒

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

ISO 9001

AQAP 2120 certification[14]

*AQAP 2130 certification*9

AQAP 2131 certification

AQAP 2310 certification

AS 9100

AQAP 2210 certification

ISO 9001 as AQAP 2210 certification is always preceded by an AQAP 2110 or AQAP 2310 certification.

[13] PECAL: Publicación Española de Calidad

[14] Deprecated and only valid for running contractual relationships

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

As prerequisites, companies must have an ISO 9001 certificate issued by an accredited conformity assessment body and must be included in the Spanish MoD Register of Companies. Then there is an audit process, similar to the processes of the accredited body but performed by auditors from the Spanish MoD.

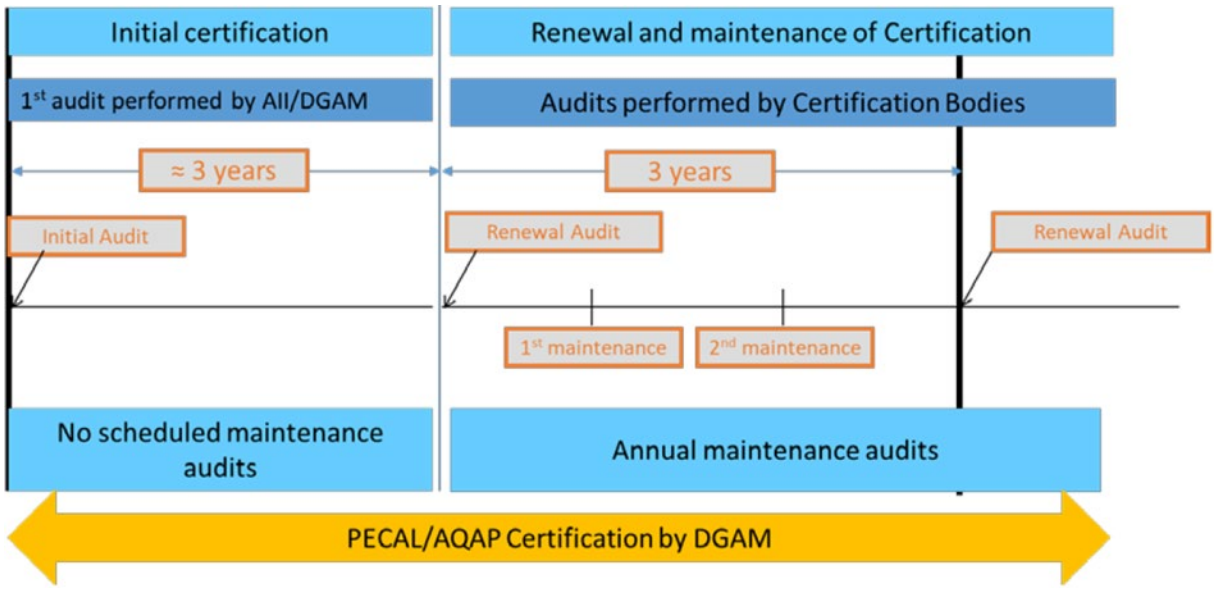
To whom is the application addressed?

To Spanish MoD suppliers.

Which competences of personnel being involved in the certification process are required?

For the auditors, they are required the same competences that for civil auditors (quality management training, audit training and practices).
For other participants involved in the certification process, experience in quality management is required.

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.



What is the scope of the AQAP certification/confirmation?

As similar as possible to the scope of the usual contracts of the company with the MoD.

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

The rules and restrictions to use the AQAP certification are signed by the company when they accept the AQAP certificate.

The certified company cannot make use of the Quality System Certificate:

- To enter into supply contracts for products not included in its scope.
- From the moment its validity period expires, unless an extension is granted in writing.
- From the moment the authority communicates the temporary suspension or final withdrawal of the aforementioned Certificate.

Also, the certified company is obliged to:

- Keep its registration updated in the MoD Register of Companies.
- Maintain the UNE-EN-ISO 9001/EN 9100 Certificate issued by a third party, which has served as the basis for the issuance of the PECAL / AQAP Certificate and without which the PECAL / AQAP Certificate will not be valid.
- Allow MoD staff designated for this purpose access to documents related to the certified quality system and to the facilities where activities covered by the quality system are carried out.
- Communicate to MoD in writing all the modifications that affect its quality system (changes in the Management, quality representative, facilities, scope of the certification, etc.). In view of these modifications, the MoD may carry out an extraordinary audit, in order to decide on the advisability of maintaining the Quality System Certificate according to PECAL / AQAP.
- In the case of companies certified by a third party, communicate to the MoD any variation that occurs in relation to the certificate issued by the Certification Entity, which was initially provided (warning, suspension, withdrawal, modification of the UNE-EN- Reference ISO, scope modification, etc.).
- Submit to the MoD all documentation associated with the certification process that is requested in writing.

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?
Yes, it is expressed in a document that must be signed back to the Spanish MoD by the Company before the Certificate expedition.
How does your conformity assessment body **monitor the compliance** during the period of validity, e.g. surveillance audits?
With surveillance audits performed by accredited conformity assessment bodies and by the GQAR in the execution of the GQA.

Which controlled configuration measures are taken into account to manage the certification activities?

It is asked to comply with the ACMP.

After how many years is a renewal certification obligatorily necessary?

After three years.

Which administrative authority of the conformity assessment body signs the certificate at the end?

The General Director for Armament and Material and by delegation, the Deputy Director for Inspection, Regulations and Defence Industrial Strategy.

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

None.

Can national signed AQAP certificates awarded to companies from abroad?

No.

Is the AQAP certificate/conformity from a different country accepted?

Yes ☒

No ☐

Does the applicant have to pay for the AQAP certification/confirmation process?

Yes, first for the audit process and later for the emission of the certificate.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

For the first certification, companies must pay to the Spanish MoD for the audit process and the emission of the certificate.
Once the certificate reaches its expiration date for the first time, in order to maintain it, accredited conformity assessment bodies shall perform, both renewal and maintenance audits. Companies must pay to those accredited conformity assessment bodies to be audited.
After that, they must pay to the MoD for the emission of the renewed certificate.

Türkiye (TUR)

Türkiye State: April 2020

What kind of AQAP certification document do you issue?

Certificate	☒
Confirmation	☐
No AQAP certification	☐

Which type of certification or conformation program is performed by your governmental organisation (NQAA / certifying body)? Please choose between the three given options below:

Second party certification	☒
Third party certification	☐
Conformity assessment body is accredited	☐

Note

Your NQAA or the supplier of a certification task must be accredited by an official quality group

Is an ISO or AS certification by an accredited conformity assessment body (e.g. ISO9001, IAQG (EN/AS/JISQ) 9100 series or equivalent and listed on the IAQG Online Aerospace Supplier Information System OASIS) an absolute prerequisite for starting the AQAP certification / confirmation process?

Yes ☐ please specify:

No ☒

Are there any other prerequisites, e.g. a contract?

There are two main prerequisites to apply for AQAP Certificates; firstly, the Supplier has to get the defence industry security certificate with regard to activities of defence industrial security in order to safeguard facilities, personnel, documentation, equipment and machinery against all kinds of espionage, sabotage, attack, subversion, burglary, fire and accident and in order to prevent unauthorized persons from having access to classified information and documents. Secondly, the Supplier has to get the production permission certificate in accordance with the relevant Turkish Law and regulations.

Which AQAP are certified?

AQAP 2110 ☒ AQAP 2131 ☒

AQAP 2210 (not individual, only with the certification of AQAP 2110 and/or AQAP 2310) ☒

AQAP 2210 ☐ AQAP _____ ☐ AQAP _____ ☐

AQAP 2310 ☒ AQAP _____ ☐ AQAP _____ ☐

Which ISO or AS standards do you apply for the:

AQAP 2110 certification

<ISO 9001:2015, ISO 31000, ISO 10007, ISO 10012>

AQAP 2120 certification[15]

AQAP 2130 certification[9]

AQAP 2131 certification

AQAP 2310 certification

< AS 9100:2016, ISO 31000, ISO 10007, ISO 10012>

AQAP 2210 certification

<ISO/IEC 25010:2011 and with the fulfilment of the requirements of AQAP 2310 or AQAP 2110

[15] Deprecated and only valid for running contractual relationships

The way to a NATO AQAP certification or confirmation – Please depict the application process which is triggered before the process of confirmation or certification starts?

The Application letter enclosed relevant certificate and required forms and quality documentation.
The Protocol signed between both parties.

To whom is the application addressed?

Ministry of National Defence
Quality Management Department
06650 Yücetepe/Ankara-Türkiye

Which competences of personnel being involved in the certification process are required?

The Government Quality Assurance Representative and Auditors are the military or civilian personnel authorizing to audit, inspect and control at the Supplier's production facilities.
Military or civilian personnel working in the section of Quality Assurance Services at the MND take up their duties after they have received training of level 1 or 2 according to the nature of their duties.
Training is provided to the expert personnel as per a pre-designated program for any particular field to which the expert personnel is commissioned.
On-Duty Training is provided to the expert personnel as on-duty training basis per pre-designated program for any particular field to which the assigned personnel is commissioned in order to avail fulfillment of continued and similar works and services.
The Quality Assurance Experts who received and completed their training at the Quality Assurance domain as designated by the Ordinance, in case of their appointment at their respective tasks.

Please illustrate your internal process or describe the proceeding of the approach to an AQAP certification/confirmation.

AQAP certification process which is provided to the Supplier is free of charge.
Review of the Supplier's application and evaluations of the adequacy of the Supplier's QMS documentation according to relevant AQAP standard. If there is no problem to accept this application and documentation, audit team is established.
Audit is carried out at the Supplier facilities to evaluate the implementation of the quality system of the Supplier according to its QMS documentation.
In the result of audit if findings are not major or just minor which is not required follow-up action, the certificate is granted to the Supplier for 3 years period.
During this period, at least one time surveillance audit is carried out at the Supplier's facilities. Corrective actions are followed up till closed.
What is the scope of the AQAP certification/confirmation?
It is the Suppliers which are Defence Industry Companies that are producing the main defence systems and their spare parts according to relevant law and regulations.

Which rules or restrictions are agreed to use the AQAP certificate/confirmation, e.g. not for advertisement, tendering?

There are no restrictions or rules to use the AQAP Certificate.

Are the restrictions or constraints in the area of application (scope) communicated to the acquirer of an AQAP certificate/confirmation?

AQAP Certification of Defence Industry Companies are performed by the Quality Assurance personnel according to the Directive on "Certification of Industrial Quality Assurance System"

How does your conformity assessment body monitor the compliance during the period of validity, e.g. surveillance audits?

Follow up action for minor nonconformities and surveillance audit at least one time during the period of validity.

Which controlled configuration measures are taken into account to manage the certification activities?

There is a Certified Supplier list which is numbered, controlled and maintained.

After how many years is a renewal certification obligatorily necessary?

3 years.

Which administrative authority of the conformity assessment body signs the certificate at the end?

General Manager signs the certificate at the end.

Specify the possibilities for foreign companies to an AQAP certificate/conformity?

If the foreign companies are located in Türkiye and fulfil the prerequisites, they can apply for AQAP Certificate.

Can national signed AQAP certificates awarded to companies from abroad?

There is no any implementation about that.

Is the AQAP certificate/conformity from a different country accepted?

Yes (for NATO Nations) ☒

No ☐

Does the applicant have to pay for the AQAP certification/confirmation process?

No.

Does the certificate holder have to pay for the AQAP certification/confirmation maintenance?

No

D. Additional information and explanations
Norwegian Certification Policy

	Norwegian Defence Materiel Agency (NDMA)	**Ansvarlig avdeling:** FMA/Inv-avd/ Kvalitetssikrings-seksjonen (KS)	**Versjon:** 1.1 Translated	
		Utarbeidet av: KS	**Dato:** 15.10.2019	KS 061
		Godkjent av navn: SJ KS	**Dato:** 15.10.2019	**Side:** 7D av 5

The document is rendered from the Norwegian edition – it is not entirely translated

NDMA Provisions- AQAP Approvals

Purpose

This document serves as NDMA provisions for AQAP Approvals of suppliers Quality Management System (QMS) within the Norwegian Defence Sector. The purpose of the NDMA AQAP Approval regime towards the Norwegian industry is to achieve (ensure) the necessary confidence that suppliers with repetitive and/or long-term deliveries of defence products to the Norwegian Defence Sector, NATO nations and NATO agencies, hold a QMS compliant with the AQAP Requirements.
Through a continuous and systematic approach NDMA achieves an improved knowledge of the suppliers QMS and the related risks. The suppliers on the other hand achieve is given opportunities for further developing and continuously improving its QMS. The purpose of the AQAP Approvals is to reduce risks, simplify pre-contracting activities related to quality and enhance subsequent surveillance/monitoring activities.

Scope

An AQAP Approval shall normally include the complete organization. The context and scope will be documented in the letter of approval. An AQAP Approval is a confirmation by the Norwegian Defence Sector that acknowledges and recognizes that a supplier has implemented a QMS in accordance with an AQAP Publication. An AQAP Approval is valid independently of ongoing defence contracts and supplies. An AQAP Approval is granted based on second party compliance assessments and quality audits. The Norwegian National Quality Assurance Authority (NQAA) within

NDMA acts as the second party assessor and approving authority. ISO/AS third party certification is not a pre-requisite to be able to gain an AQAP Approval. The AQAP Approval Scheme is free-of charge. NDMA maintain a register of AQAP Approved suppliers.

Criteria

a) An application from the supplier top-management to be considered
b) Pre-requisite to be a major defence supplier / external provider.
c) Considered, and granted if cost- and work-efficient to the NQAA (NDMA).
The above criteria will be assessed by NDMA for its compliance prior to commencing the AQAP Approval Process.

Publications

The following NATO Publications are subject to an AQAP Approval:

AQAP-2110 NATO Quality Assurance Requirements for design, development and Production

AQAP-2310 NATO Quality Management System Requirements for Aviation, Space and Defence Suppliers

AQAP-2210 NATO Supplementary Software Quality Assurance Requirements to AQAP-2110 or AQAP- 2310

An AQAP Approval based on AQAP-2210 will only be granted together with either AQAP-2110 or AQAP-2310.

Application

The application for an AQAP Approval and / or a renewed AQAP Approval from the supplier top management shall confirm that the above criteria are fulfilled. The supplier application and the NDMA grant in writing is a commitment to both parties. If the application is accepted, the supplier will be notified in writing. If an application is not granted the suppler shall receive in writing the justification.

The «Context» and the «Scope» of the AQAP Approval to be applied for shall in the application be described by the supplier as precise as possible and include organizational elements, geographical facilities, processes included and its products. Any exclusions or exemptions shall clearly be described in the scope and shall specifically be justified. These exclusions or exemptions will be part of the AQAP Approval letter.

Process

The supplier shall perform a self-assessment to verify that all AQAP Requirements are fulfilled and include a traceability matrix between the AQAP Requirements and the suppliers Quality Management System. The Quality Management System shall be available on an agreed format and NDMA perform a conformity assessment. When all AQAP Requirements are included NDMA will conduct one or more quality audits to verify the implementation of the Quality Management System.

NDMA Quality Assurance Authority shall have unrestricted access and shall be given the necessary support by the supplier according to the applicable AQAP Publications. The Quality Management System shall be applicable for all activities independent of the acquirers involved or contractual requirements being posed. The Quality Management System will be subject to GQA surveillance and shall be maintained and implemented according to the applicable AQAP Publications. The AQAP-approval is valid for a period of 3 years or until the criteria’s are not complied with. NDMA will then withdraw the AQAP Approval.

The NQAA within NDMA shall be supported during conduct of quality audits and GQA surveillance activities according to the AQAP Requirements.

Approval, renewal and surveillance

An AQAP approval letter with a validity of 3 years is issued by NDMA when the suppliers Quality Management System in all respects conform to the requirements. NDMA need a written application for a renewal of the AQAP approval within 6 months prior to the expiration date. Quality Audits and GQA surveillance activities will be performed during the 3 years approval period. Organizational changes and changes to the QMS that occur during the approval period must be presented for review to NDMA without any delay. NDMA will review the changes and give feedback to the supplier in writing.

Withdrawal

The AQAP Approval may be withdrawn if the QMS has significant lack of compliance to AQAP and if it is evident that sufficient corrective actions are not implemented. The supplier will be notified in writing about the withdrawal and its justification and requested to return the AQAP approval letter.

Chief Quality Assurance Branch within NDMA

AQAP-2030.SRD.1(A)(1)