2015 Annual Conference - ERAI

Anti Counterfeiting Standards & Accreditation Services Development

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Presentation Focus

- Who is NQA

- Update on NQA's Accreditation

- Update of 5553/6081Revision Impacts

- Update on 9100 & 9120 Revision Impacts

- Pro's and Con's of obtaining ANAB certification

- Provide insight into tools NQA utilized in preparation

- Industry Information Resources

Audience Check-In

- How Many Companies Certified to AS9100/AS9120/ISO 9001?

- How Many Companies have Contractual Flow Downs for AS5553 or AS 6081?

  – Or Other CPP Requirements?

- How Many Organization's Currently Have A Counterfeit Parts Prevention (CPP) Program?

  – ….and are auditing it within their AS9100/AS9120/ISO9001 documented quality systems?

Introductions– Who Is NQA

Company Profile	Standards
• Leading International Accredited Certification Body • Leading Aerospace Industry Registrar • Serving Customers for Industry Success • More than 30,000 Customers Worldwide • Local audit resources world–wide	• AS9100 • AS9110 • ISO 9001 • ISO 27001 • AS9120 • ISO 14001 • ISO 20000 • AS5553 • TS 16949 • ISO 28000 • AS6081 • TL9000 • OHSAS 18001 • ISO 13485 • ESD S20.20
Customers	**Committees**

• Boeing
• NASA
• European Space Agency
• Lockheed Martin
• Raytheon
• L–3 Communications
• Ball Aerospace
• United Launch Alliance
• Cessna
	•**Aerospace**
	  • AAQSC Voting Member
	  • AAQG/IAQG – Numerous Working Groups
	•**Telecom**
	  • QuEST Forum Member
	•**Other**
	  • Automotive – IATF/SMMT
	  • Dept. of Homeland Security – Business Continuity

Update On Accreditation & Certification

- Accredited Certification has Been Around for Decades

- Accredited Certification Schemes Are Understood and Used by Government, Industry and Associated Supply Chains

- But, Initial Focus has Been on *Requirements Standards* for Manufacturers, Distributors and Test Organizations

- Awaiting Further Efforts on *Certification Integrity Focus*

  - In the Mean Time…….

  - NQA has progressed with *Accredited Certification*

Process to certify AS6081 companies

- Submit application to ANAB

- Update NQA quality system/documentation

- Adhere to requirements of AR36

- Train office and auditor staff

- *Find a willing customer*

- Witnessed stage I and stage II audits

  - Deep dive into the base standard (AS9120, ISO 9001)

- Close out findings

- Issue certificate

Pro's of ANAB _Accredited_ Certification

- **Alignment to IAQG (& Sector) Model**
  - Focus on End User/Government Control Model (FAA, DCMA)
  - Focus on ISO 17021/17025 Based Model
  - Areas of Focus
    - Standards, Competencies (e.g. AS9104/3), Tools (e.g. OASIS database), Formats (e.g. AS9101), Oversight Alignment, etc.
- **Why is this Important?**
  - Need Regulatory Compliance _Aligned Approach_
  - Industry, End User, Authority/Government _Recognition_ (DOD, DCMA, FAA now contractually requiring it)
  - Supply Chain _Efficiency & Cost Control_
    - _Avoid Developing an Additional Industry Controlled Model_ to control costs (IAQG, NADCAP, Etc.)
    - Awaiting G-19 to Address & Achieve Alignment
- NQA Aligning Certification with Using IAQG & ANAB Recognized Approaches

Accreditation & Certification Approach

	Base Standard	...which is focused on:	Aerospace/G-14 *Augmentation and/or Oversight*	G-19 Augmentation & Focus	*NQA G/14 Aligned Augmentation*
Regulatory, Authority, Government Compliance	Gov. Laws, Policies, Contractual Requirements and other legal influences	Industry Control • Standards Approval • Auditor Approval • AB/CB Approval, Etc.	IAQG (EAQG, AAQG, APAQG)		•Aligned to IAQG format •ANAB AR 36 •Awaiting G-19 augmentation
Requirements Standards for Certified Company	ISO 9001	Company Requirements	AS9100 AS9110 AS9120	•AS5553 •AS6081	---
Certification Integrity	Industry Oversight	N/A	AS9104/1 &/2		•Awaiting G-19 augmentation
	ISO 17021 Accreditation Approach	CB Oversight	AS9104/1 &/2		•ANAB AR36
		CB Integrity Processes • Industry Confidence • Independence • COI Avoidance • Transparency	AS9104/1 &/2		•Aligned to IAQG format •ANAB AR 36 •Awaiting G-19 augmentation
	ISO 17021 Audit Approach	•Stage I/II/Surv/Reassess, etc •Process, Duration, Frequency •Certificate Reqts •Effectiveness Determination •NC Remedial Actions	AS9104/1 AS9101		•Aligned to IAQG format •ANAB AR 36 •Awaiting G-19 augmentation
	ISO 17021 Competency	•Auditor – Experience, Testing, Approvals •Technical Reviews •Etc.	AS9104/1 &/3		•ANAB AR36 •Awaiting G-19 augmentation
	N/A	•Reporting •Tools & Formats •Cert Achieve Representation	AS 9101 AS 9101 OASIS Database	•AS6463 & AS6301	--- •AS9101 Alignment •OASIS Alignment

Update on the Standards

Update AS 5553/AS 6081

- AS6081
  - Key Changes
    - Test Requirements Removed (Pointer to AS6171 (test methods standard) Added)
    - Modified Competency Needs (Removed Reference to NAS 410)
    - Strengthened Government Reporting (GIDEP, Etc.)
    - Strengthened Supplier Selection (Risk Characterization)
  - Ballot Deferred Until Completion of AS6171 Series

- AS5553
  - Key Change – Appendices Removed
  - AS5553b Ballot Failed
  - Ballot Comments Being Worked

Support From Other Standards & Upcoming Revisions

- **ISO 9001:2008**
  - Currently Very General and Non CPP Specific
    - Statutory/Regulatory
    - Customer Requirements
- **ISO 9001:2015 Draft**
  - Step Forward With Foundational Wording
  - …But Still No Counterfeit Parts Prevention Specifics
    - Risk
    - Mitigation/Prevention
    - Planning & Control

AS 9100 and CPP
– Foundations for AS5553/AS6081 –

nqa.

Current: AS9100C

- – Stronger Wording; More Aligned to CPP Processes
  - Risk, Special Requirements/Critical Items/Key Characteristics
  - Supplier Risk Management
  - Augmented Traceability & Inspection Wording

Future: AS9100:2016 (*draft*)

- – Requirements for Counterfeit Prevention Processes
  - Training, Obsolescence, Traceability, Inspection, Reporting, Quarantine
- – Enhanced Wording on Key QMS Processes Supporting CPP
  - Risk Based Purchasing Controls
    - – Supplier & Sub–Tier Supplier Controls
  - Risk Based Inspection & Test
  - Scrap of Validated Counterfeit items

CPP and the AS9100 draft standard

Subject	DIS Ref.	Topic	Risk	Complex	Impact	Likelihood	Conseqnce Severity	Prevent Mitigate	Control
QMS Plan/Change	6.1/6.1.2/6.3	QMS Plan, Control & Changes	X+		X	X	X	X	
Customer	4.2 5.1.2 8.2.2.d	Cust, Stat, Reg Requirements Customer Focus Determination of Requirements	 X +		X				
Design	8.3.2/8.3.3/8.3.6 8.3.4	Planning, Input & Changes D&D Control (review)		X	X		X+		X+ +
External Providers	8.4.1 8.4.2 8.4.3	Ext. Providers General Type & Extent of Control Doc Info For Ext. Providers	+ +		 X			 +	X+ X+ X+
Ops Plan/Control	8.1 8.1.1 8.1.2 8.1.3 **8.1.4** 8.5.1 8.5.2 8.5.4 8.5.5 8.5.6 8.7	Ops Planning & Control Operation Risk Management Configuration Management Product Safety **Counterfeit Parts** Control Production Provision ID & Traceability Preservation Post Delivery Plan/Cont Control of Changes NC Control	+ + + + X	X	+	 +	 +	X+ + + **+** + + X	X+ + + + X+ + + + X+
QMS Processes	4.4 7.5.1/7.5.3.2 9.1.3 9.2.2 9.3.1 10.1 10.2.1	QMS Processes Documented Information Analysis & Evaluation Internal Audits Management Review Improvement NC & CA	X X	 X		 X X	 X	 + X	X X+ X

X = ISO 9001:2015 adder   + = AS9100:2016 adder

In Closing

Counterfeit Part Avoidance

- Significant Challenges Need Broad-based Solutions
- Industry Focus Ramping Up
  - Educational Information Available to Supply Chain
  - Numerous Committees Are Working Towards Solutions
  - Standards Are Evolving
  - Accredited Certification is Available
- What Part will We Play in Solving this Industry Problem?
- *Accredited Certification* is a Key Component of Building Industry Trust!