ASA Quality Committee Meeting

Denver, CO

June 5, 2022

ASA ANNOUNCEMENTS

- Welcome Back

- Conference Overview
  - Sunday
  - Monday General Session, Workshops
  - Tuesday General Session, Workshops
  - AFRA member lunch with Envisa presentation
  - ASA member breakfast

- Election for QC Leadership and 3 Directors
  - Nomination period starts June 30th

ASA-100 Auditor Training

- ASA Auditors

- Records, Documentation, Traceability

- HazMat

- Warehouse operations

- Self-Audit

- Common Findings

ASA News

ASA is proud to announce the hiring of Lea Kinney to manage the daily operations of its ASA-100 program. Lea brings over thirty years of work, consulting and auditing experience to ASA. She is a certified AS9100/AS9110/AS9120 aerospace auditor and a qualified ASA-100 auditor. Lea has been affiliated with ASA since 2019 as a contracted auditor under our ISO and ASA-100 programs. We welcome her to the team and ask you take the opportunity to introduce yourself during this conference.

Until notified otherwise, ASA-100 Clients should continue to contact:

- Michele Dickstein
- Mat Meyer
- Assigned Auditor

ASA News

ASA has requested an extension to perform AC 00-56B audits remotely. The wording below is from the FAAs letter dated May 10, 2022, to Jason Dickstein, General Counsel Aviation Suppliers Association.

Therefore, FAA concurs with your strategy to conduct these audits remotely as a method of adapting to ongoing global Covid-19 travel restrictions, subject to the following conditions:
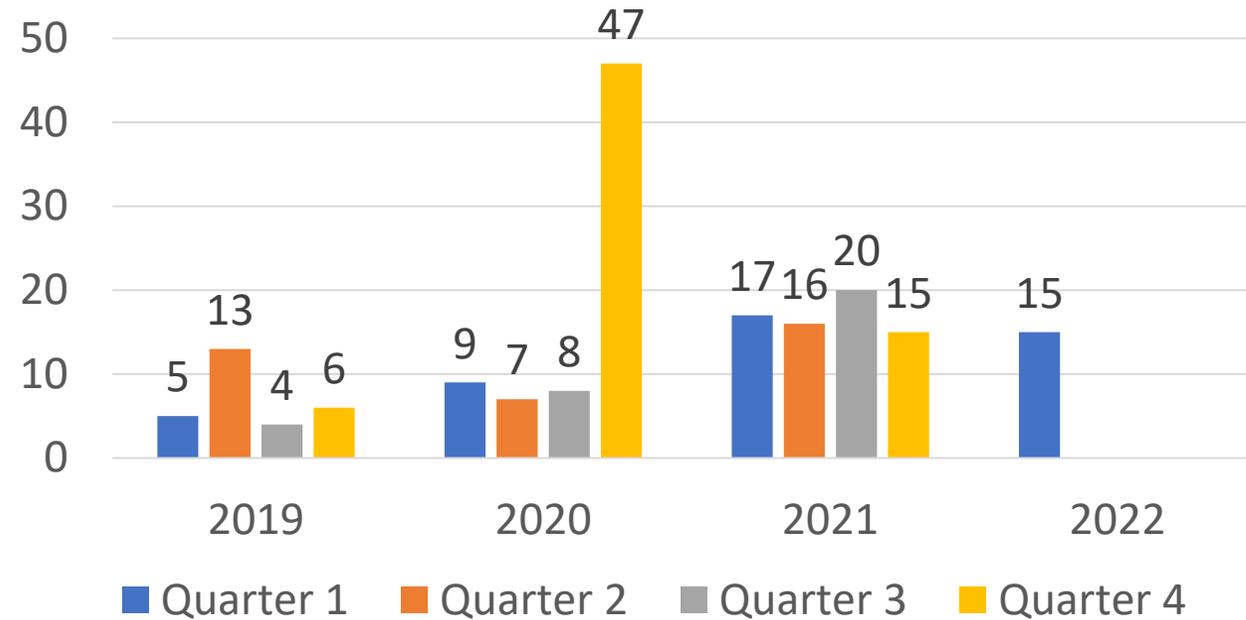
• The audit standards and procedures outlined in your letter dated March 26, 2020, will be adhered to while conducting these remote audits.

• If it is reasonable to conduct an audit onsite, then the audit shall be conducted onsite.

    o ASA shall determine if an onsite audit is reasonable using risk-based analysis.

    o If it is not reasonable to conduct an audit onsite, then remote auditing may be used.

• The prior restriction of "no more than one remote audit per Supplier" is no longer in effect, but if it becomes necessary to conduct more than one remote audit for a company, then ASA shall conduct an individual company risk assessment and may only perform an additional remote audit if the risk assessment demonstrates that a competent audit can be conducted within acceptable risk parameter.

FAA's concurrence with this ongoing strategy will remain valid until such time as the Covid-19 travel restrictions have been lifted or May 31, 2023, whichever occurs first. FAA is open to discussing this strategy further as the situation evolves.

ASA-100 Overview

ASA-100 Accreditations New Companies by Quarter

Bar chart showing new company accreditations by quarter:

	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2019	5	13	4	6
2020	9	7	8	47
2021	17	16	20	15
2022	15			

■ Quarter 1 ■ Quarter 2 ■ Quarter 3 ■ Quarter 4

Audit Information

	2019	2020	2021	2022
Number of Audits Completed	271	379 (40% increase)	324 (6% decrease)	286(YTD 5/31/22)
Number of NCRs Issued	738	872 (18% increase)	1052 (20.6% increase)	564

Audit Information

	2019	2020	2021	2022
NCRs issued top 5 sections of standard	1 – 555 10 – 33 5 – 15 4 – 12 8 – 12	2 – 292 11 – 193 15 – 135 10 – 122 12 - 51	5 – 532 4 - 520	8 – 279 6 – 130 9 – 60 5 – 43 7 - 14

Section 1: Quality System and Quality Manual
Section 2: Self-Audit/Evaluation & Accreditation Programs
Section 4: Training and Authorized Personnel
Section 5: Procurement
Section 6: Receiving Inspection
Section 7: Measuring and Test Equipment
Section 8: Material Control
Section 9: Shelf-Life Control
Section 10: Certification and Release of Materials
Section 11: Shipping
Section 12: Records
Section 15: Hazmat Control and Transport

ASA has focused on substantive requirements of the ASA-100 standard beyond Section 1 issues. This is reflected in the top five sections where NCRs have been issued Since 2020 to YTD.

ASA-100 Overview

During the Winter 2021 Quality Committee, a proposal was made to remove section 6E from the current revision of ASA-100.

Requirement:

"A distributor of new standard parts purchased form a manufacturer, shall maintain an inspection program which includes periodic verification that standard parts meet the technical specifications applicable to the part number. The distributor shall ensure that adequate specifications are available to support the inspection process, and that these specifications are current. The distributor shall maintain a record of inspection sued to make this verification."

The Quality Committee approved the removal of this requirement. The ASA Board of Directors reviewed the proposal and approved the removal of this requirement. ASA-100 will be revised and audits to the existing revision will not have an NCR issued against this requirement.

ASA ISO/AS Update
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ISO/AS Update

The ISO 9001:2015 standard was past due for review of a potential revision. ISO/TC 176/SC 2 body established TG 05. The Strategic Planning and Operations Task Group (SPOTG) identified a potential need to revise the ISO 9001 standard. The SPOTG meet in March 2021:

- Systemic review of ISO 9001 was accomplished
    - 36 members in favor of confirming the standard
    - 32 members in favor of revising it
- User Survey – 8,300 respondents from 149 countries
    - 2221 votes for Option A – Leave ISO 9001 unchanged
    - 1950 votes for Option B – Revise ISO 9001

The final decision as of March 1, 2022 , was not to revise ISO 9001.

ISO/AS Update Continued

The IAQG and its three sectors' Americas Aerospace Quality Group, European Aerospace Quality Group, Asia Pacific Aerospace Quality Group decided to review the AS9000 series standards in lieu of the final decision not to revise the ISO standard. Working Groups were convened to begin the five-year review of each AS9000 series standard.

The IAQG sent out a call for comments within all sectors and certified organizations. The responses were compiled using the 5-Year Review Master Comment Review Template (MCRT).

- 9100 standard had 189 comments
- 9110 standard had 24 comments
- 9120 standard had 14 comments

The final MCRT was provided to each working group which in turn reviewed and collectively determined value with comments. Value options were Considered, Noted, or Not Considered. ASA/ASACB is actively participating on the AS9120B review working Group to represent our industry. The MCRT review was held in Charlotte, NC on March 15, 2022. The outcome was 8 Noted and 6 Not Considered. What does mean? No specific changes based on the submitted comments. This doesn't mean additional comments or suggestions are not being considered that are brought up by the review working group. The next review working group meeting will be held in July 2022.

ISO/AS Update Continued

New revisions of the following standards have been or pending release.

- 9104-1 Requirements for Aviation, Space and Defense Quality Management System Certification Programs
- 9104-2 Requirements for Oversight of Aerospace Quality Management System Registration/Certification Programs
- 9104-3 Requirements for Aerospace Auditor Competency and Training Courses

The changes to 9104-1 will impact how audits are managed and audit time is determined. ASACB is holding a workshop June 7, 2022, to discuss the new revision on the certification body and certified organization.

The changes to 9104-3 define more oversight and performance monitoring of certified auditors under the AS9000 sector scheme. These new requirements have been defined to provide a clear path for auditor development, improvement, and when necessary, suspension and/or withdrawal of an auditor's credentials.

The IAQG has developed and released 19 additional standards for the betterment of the Aviation, Space and defense industries. To find out more information type https://iaqg.org/standards in your web browser.
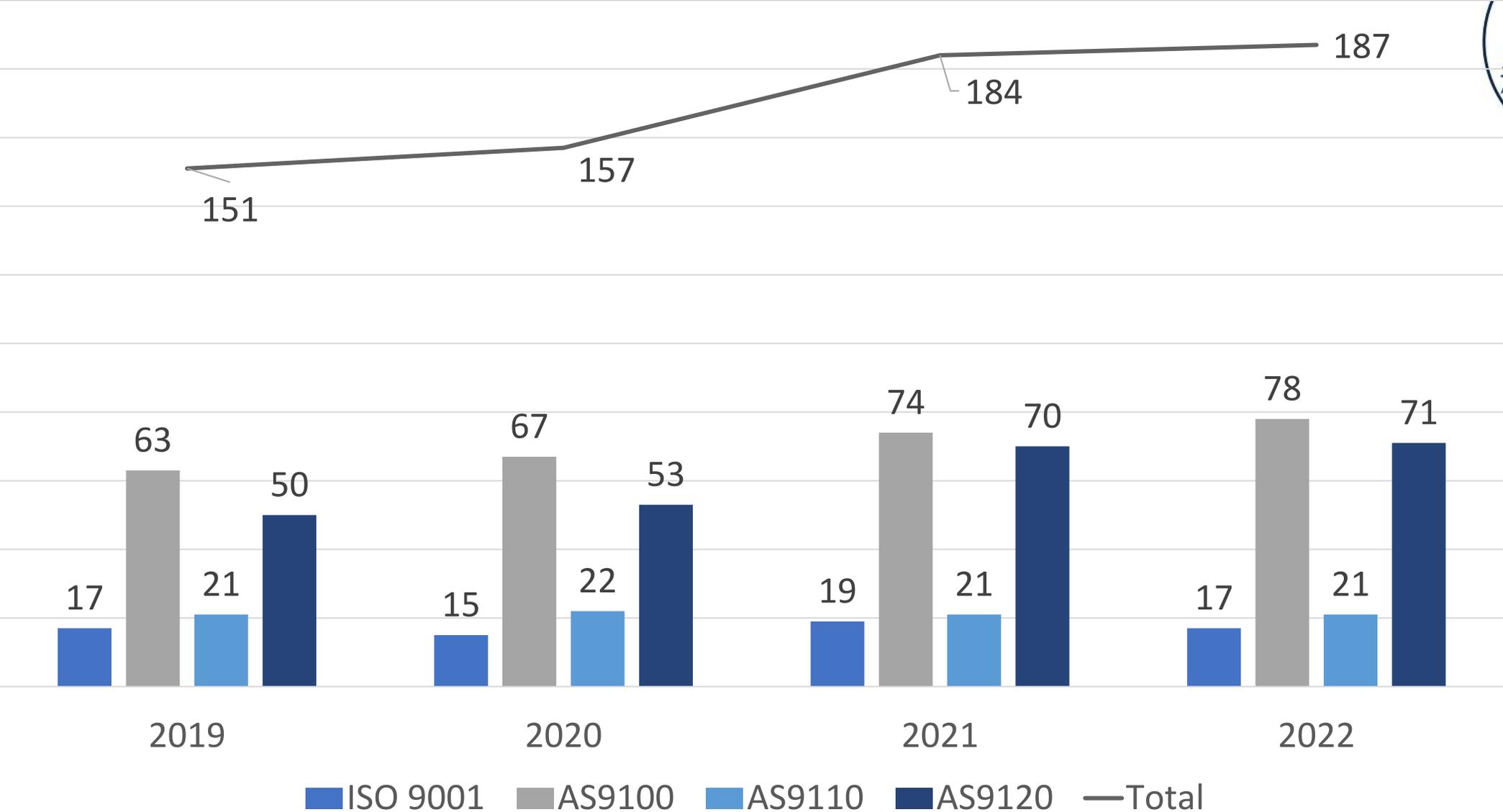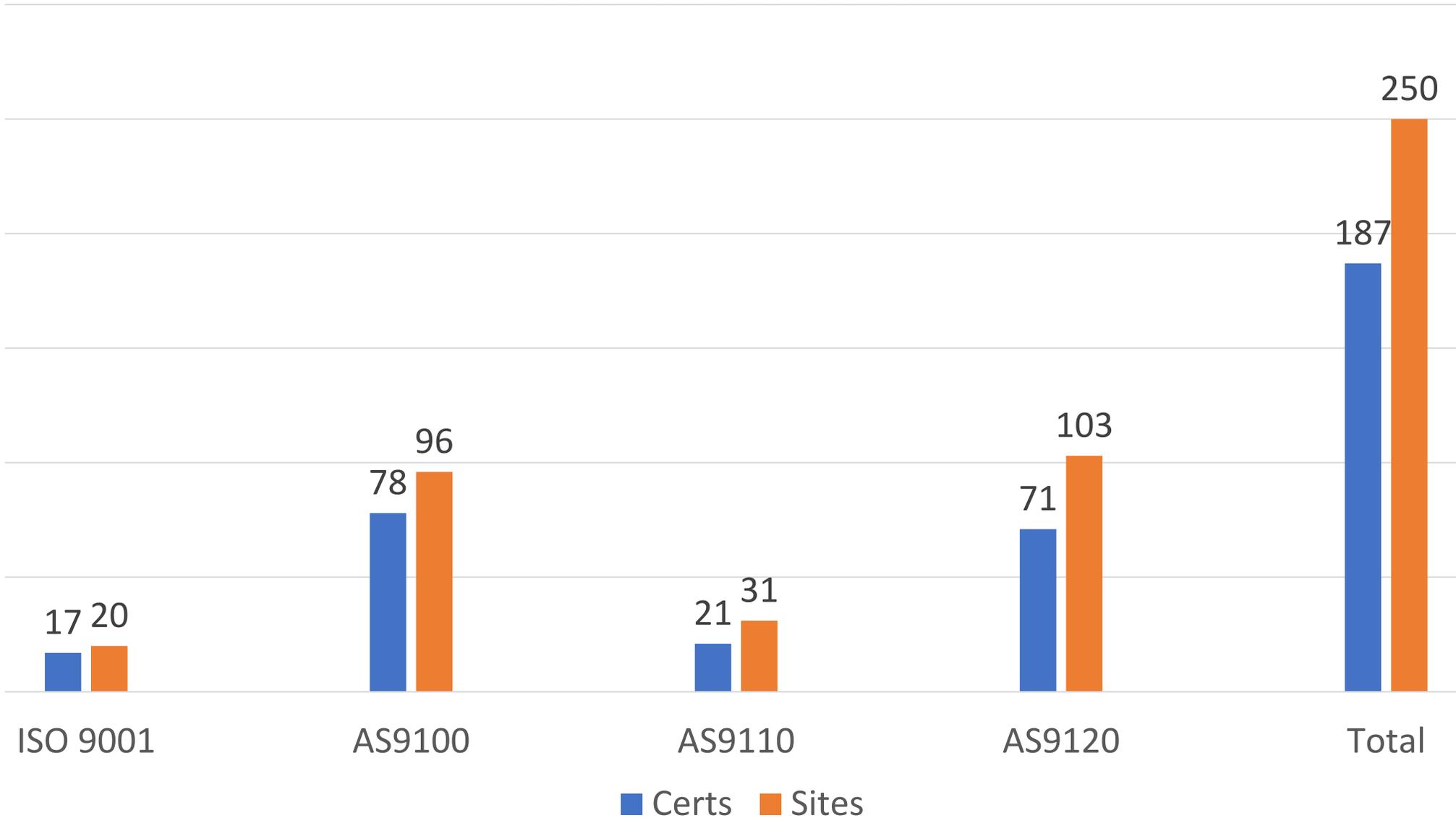
ISO/AS Update Continued

ASACB recently completed is re-accreditation audit through ANSI National Accreditation Board (ANAB). The audit outcome was very positive with one minor non-conformance issued under the Aerospace sector scheme and one request for information. The following chart shows office audit outcomes over the last 5-years with considerable improvement of our quality system within the three-years.

2017	2018	2019	2020	2021	2022
6 NCRs total	6 NCRs total	15 NCRs total	2 NCRs total	6 NCRs total	1 NCR total
5 AS Minors	6 AS Minors	1 AS Major	1 AS Minors	1 AS Major	1 AS Minor
1 ISO Minor		12 AS Minors	1 ISO Minor	1 ISO Major	1 RFI
		2 ISO Minors	1 RFI	4 AS Minors	
				1 RFI	

Clients by ISO/AS Standards

Legend: ISO 9001 ▪ AS9100 ▪ AS9110 ▪ AS9120 — Total

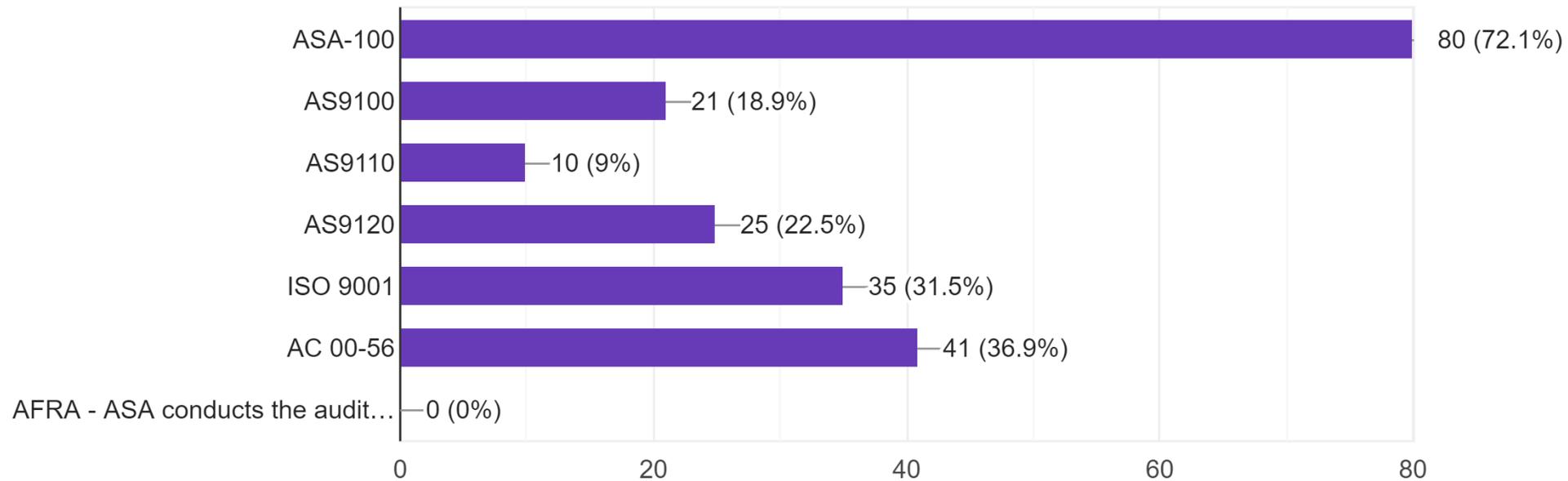| Year	ISO 9001	AS9100	AS9110	AS9120	Total
2019	17	63	21	50	151
2020	15	67	22	53	157
2021	19	74	21	70	184
2022	17	78	21	71	187

Certifications vs Sites

Survey Results from ASA accredited or certified organizations

1. Please select your current certifications / accreditations with ASA / ASACB.
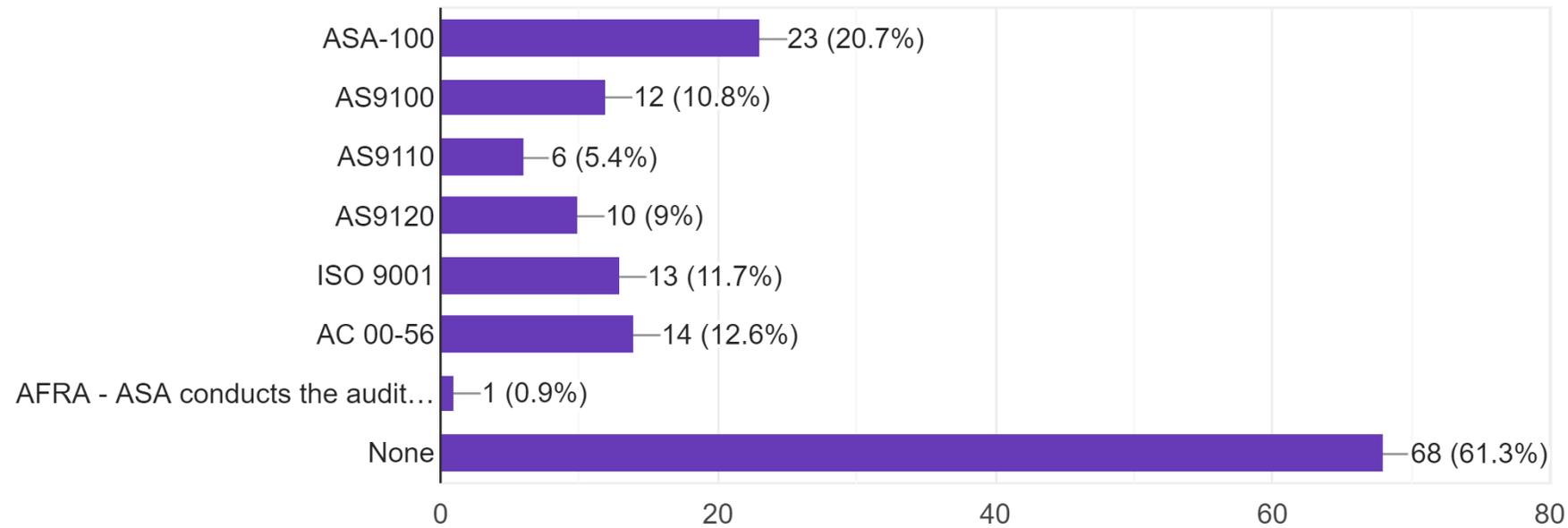
111 responses

Certification	Responses
ASA-100	80 (72.1%)
AS9100	21 (18.9%)
AS9110	10 (9%)
AS9120	25 (22.5%)
ISO 9001	35 (31.5%)
AC 00-56	41 (36.9%)
AFRA - ASA conducts the audit…	0 (0%)

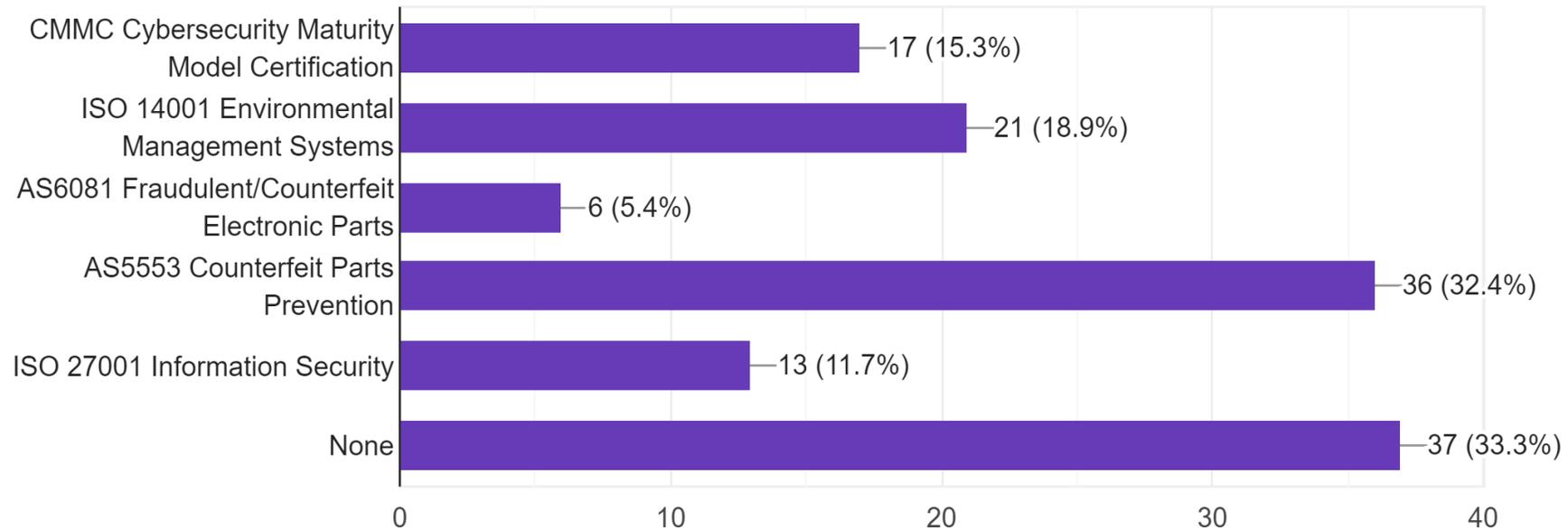## 2. Please select possible future certifications / accreditations needs.

111 responses

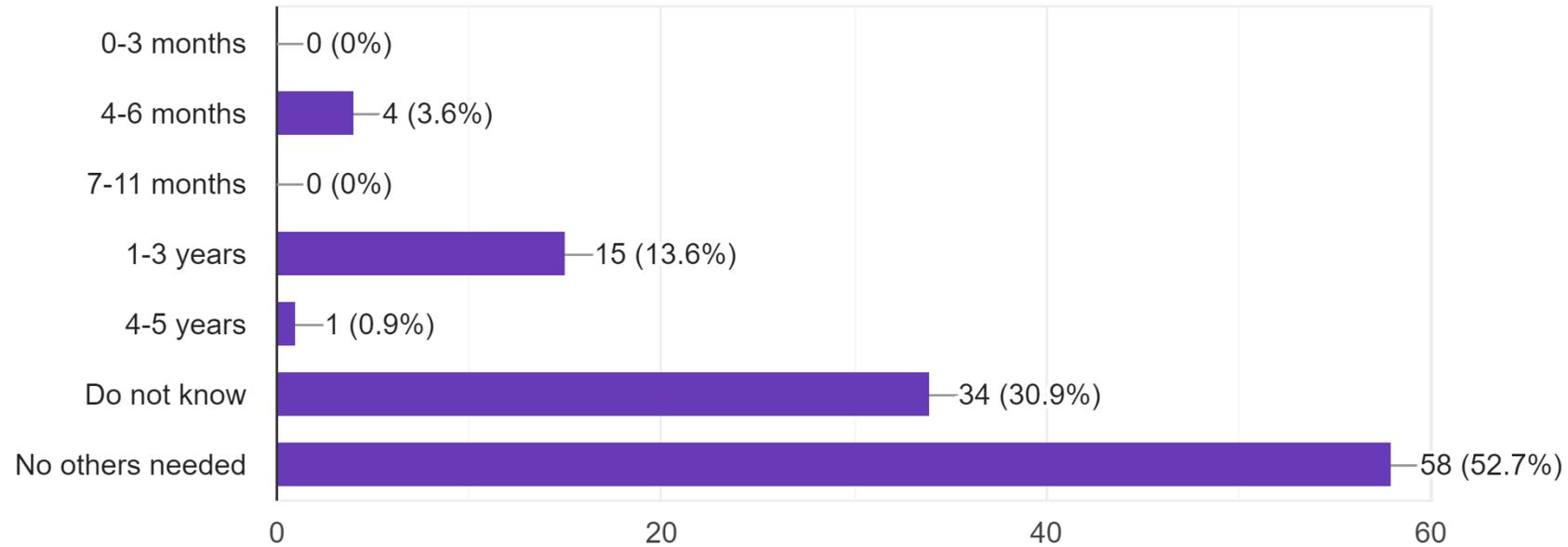4. What other certifications / accreditations would you like ASA to offer?

111 responses

5. When do you expect to need the certifications/accreditations listed in number 4 above.

110 responses

Category	Value
0-3 months	0 (0%)
4-6 months	4 (3.6%)
7-11 months	0 (0%)
1-3 years	15 (13.6%)
4-5 years	1 (0.9%)
Do not know	34 (30.9%)
No others needed	58 (52.7%)

Thank you!
Questions?
sam@aviationsuppliers.org

Controlling Functions Contracted to a Third Party

Controlling Functions Contracted to a Third Party

ASA is seeing a shift in how accredited distributors are utilizing Third Party organizations and remote facilities and personnel.

Pre-covid distributors were utilizing third party organizations mainly for warehousing and logistics management of their product. In the past 18 months ASA has seen an expansion of services utilized through third party organizations beyond the typical supplied services of warehousing and logistic management. This is true for utilization of remote home offices and personnel. These expanded services identified during audits include,

- Procurement
- Sales
- Receiving inspection (Third Party Organization only)

Sometimes, ASA is not being informed of these expanded contracted services until discovered during an audit. The audit outcomes are showing evidence of less control in the process and product in the following areas.

Controlling Functions Contracted to a Third Party continued

The audit outcomes are showing evidence of less control in the process and product in the following areas.

- Not following defined process or procedures of the accredited organization

- No records of training on file for personnel of the third party at the accredited organizations site

- No clear evidence of the accredited organization flowing down expectations and requirements to the third party and its personnel

- No self-audits being performed of the third-party facility

- Third-party facility is not an approved supplier

When the organization delegates any part of its quality system function to another organization it is the requirement that the process and product will be managed under the accepted quality system that is accredited to ASA-100.

Subset is the Use of 3PLs

- Roy did a blog post on Use of 3PLs
  - Things to consider and tips
- Definition
- Requirement Element in 1E
- Section on 3PLs in the standard

ASA-100 Overview

Recommendation for revision of ASA-100.

Revision to address 3PL

II. Definitions

3PL: *3rd Party Logistics. A 3PL performs logistics processes on behalf of manufacturers, distributors, Operators, and/or MROs. Material is being inventoried by a company who specializes in warehousing and logistics.*

Section 1.Quality System and Quality Manual

E. 17) a description of the role the 3PL plays (if applicable)

Section 16. Use of 3PLs

A. The distributor shall describe its use of the 3PLs including those operations which the 3PL is performing on behalf of the distributor for the purpose of fulfilling the requirements of ASA-100. The description shall include the name and address of the 3PL.

ASA-100 Overview

It has been determined that ASA-100 does not currently address this issue in enough detail. We are starting to prepare these details and will then convene a working group. This working group will be comprised of existing Quality Committee members who are active and in good standing.

This group will be tasked with defining, what processes of an accredited quality system may be contracted to a third party, expectations and updates to the ASA-100 standard.

A workshop is set for June 6 during the first workshop session. This will be the beginning effort to address this issue. This workshop is not for developing the proposed language but rather to discuss the framework for changes to ASA-100.

If you are interested in participating in this working group, are a current and an active Quality Committee member please contact Michele Dickstein, michele@aviationsuppliers.org or Sam O'Connor, sam@aviationsuppliers.org.

Thank you!

Questions?

sam@aviationsuppliers.org