Quality Committee Summer Meeting

Orlando, FL

June 4, 2023

ASA's policy on auditing of external warehouse that is under the QMS control of Client, and Client is requesting that the external warehouse not be included in the ASA-100 certification.

- The organization being certified must inform ASA if an external warehouse exists during the initial audit application process or if established after becoming certified. This will allow ASA to determine if it needs to be added or not to the certification.
- An organization may request to not include an external warehouse under its certification. ASA will require the following.
    - Justification for this exclusion request that ASA must approve.
    - An organization must clearly state on its company website any sites not covered under its ASA-100 certification. They can't make the statement the ASA-100 certificate defines it.

Certification by Country

United States - 384	Jordan - 3
China/Hong - 35	Estonia - 1
United Kingdom - 29	Indonesia - 1
Singapore - 20	Iraq – 1
United Arab Emirates - 10	Israel – 1
Ireland - 6	Luxembourg - 1
Canada - 6	Malaysia - 1
Netherlands - 5	Nigeria - 1
Australia - 5	Panama - 1
France – 5	Poland - 1
Germany - 4	South Africa - 1
Switzerland - 4	Sweden – 1
Lithuania - 3	Thailand - 1
Denmark - 3	Turkey - 1

Certification total worldwide - 564	**New Certifications since 2022 Conference - 47**

ASA-100 Audit Statistics

	2022	2023 (Thru 4/24/2023)
Number of Audits by Unique Tracking ID	460	141
Number of Audits with Findings	257	104
Number of NCRs Written	959	396
% Audits with Findings	56%	74%
Avg NCRs / Audit	2.1	2.8

TOP 5 : NCRs by ASA-100 Element – Same 5 Elements for both Years

ASA-100 Clause	2022 # NCRs	2022 % NCRs	2023 # NCRs	2023 % NCRs
1. Quality System and Quality Manual	151	16%	60	14%
2. Self-Audit/Evaluation & Accreditation Programs	91	9%	46	11%
4. Training and Authorized Personnel	167	17%	57	`13%
5. Procurement	143	15%	64	15%
8. Material Control	94	10%	50	11%
11. Shipping	89	9%	41	9%

TOP 6 : 2022 / YTD 2023 NCRs by ASA-100 Element

ASA-100 Element	2022	YTD 2023	Types of Findings
1. Quality System and Quality Manual	115 22 16	18 23 10	Not all elements Addressed/Not Current Incorrect Form Revisions/Forms Not referenced in Manual Distribution of Manual/Docu6ents not readily available
2. Self-Audit/Evaluation & Accreditation Programs	44 26 8 7	18 17 6 5	Not performed Annually/Not performed prior to initial audit Missing OE or Entries into Checklist/Same OE listed on Multiple SA Checklists No follow-up on SA Finding No CAR Created if required by QM Incorrect form Used
4. Training and Authorized Personnel	42 50 20 7	15 15 11 6	Issues with SUP or CFP Training No Roster or Roster not Current Missing Training records to show required training was completed Training Form not completed correctly or missing required information
5. Procurement	30 15 36 38 26	16 15 10 7 6	Issues with ASL No Quality History or no QAMFORM8 Issues with Trace, or Listed Condition Issues with T&Cs or Flowdown of required NIS Issues with Approval Criteria, One Time Purchase Approval OE
8. Material Control	32 37 11 26	14 14 7 5	ESD Process Inventory Accuracy and Part ID/Cond Tag – ATA-300 Requirement, Unkempt, Metal to Metal Scrap Records 2Segregation Issues / Serviceable/Unserviceable/Nonconforming
11. Shipping	13 13 26 21 10	7 3 12 10 3	ATA Spec 300 – Not available/Lack of Awareness/Not Followed EX: use of Peanuts Shipping Inspection -Guideline Not Available/Followed , not all elements included Shipping Documentation – Missing Tag, Not Stamped, PN/SN incorrect, Mat' l Cert, Signed Copy not Scanned ATA-106 – Not Stamped/Signed, Missing Information, Block 13 not completed correctly Drop Shipment Paperwork

TOP 5 : 2022 NCRs by ASA-100 Element

ASA-100 Element	2022
1. Quality System and Quality Manual	115 – Not all elements Addressed/Not Current 22 – Incorrect Form Revisions/Forms Not referenced in Manual 16 – Distribution of Manual/Docu6ents not readily available
2. Self-Audit/Evaluation & Accreditation Programs	44 – Not performed Annually/Not performed prior to initial audt 36 – Missing OE or Entries into Checklist/Same OE listed on Multiple SA Checklists 8 – No follow-up on SA Finding No CAR Created if required by QM 7 – Incorrect form Used
4. Training and Authorized Personnel	42 – Issues with SUP or CFP Training 50 – No Roster or Roster not Current 20 – Missing Training records to show required training was completed 7 – Training Form not completed correctly or missing required information
5. Procurement	30 – Issues with ASL 15 – No Quality History or no QAMFORM8 36 – Issues with Trace, or Listed Condition 38 – Issues with T&Cs or Flowdown of required NIS 26 – Issues with Approval Criteria, One Time Purchase Approval OE
8. Material Control	32 – ESD Process 37 – Inventory Accuracy and Part identification/Cond Tag – Following ATA-300 Requirement, Unkempt, Metal to Metal 11 – Scrap Records26 – Segregation Issues / Serviceable/Unserviceable/Nonconforming

ASA-100 Update and Timeline for Release

Definition – New Concept

Delegated Quality Provider (“DQP”): A party other than the Distributor that performs a function that is part of the Distributor’s Quality System. DQPs are part of the Distributor’s Quality System; therefore, they need to be managed by the Distributor as part of the Quality System. DQPs are also subject to auditing under the AC 00-56 program. A DQP is a Supplier to the Distributor, but Suppliers need not be DQPs.

DEFINITION – NEW, BASED ON FAA DEFINITION BUT TAILORED TO DISTRIBUTION

Supplier: A person at any tier in the supply chain who provides a product, article, or service that is used or consumed in the distribution of a product or article. For the purpose of this standard, this includes Delegated Quality Providers.

DEFINITION – ADDED YELLOW HIGHLIGHT FOR CLARIFICATION

Drop Shipment: A Drop Shipment occurs when a distributor causes an article to be shipped from the distributor's supplier to the distributor's customer. A Drop Shipment is not inherently a delegation of a quality system function, so long as the distributor ensures the transaction meets the requirements of the distributor's quality system.

DEFINITION – COMMON LEGAL DEFINITION

Person: An individual, firm, partnership, corporation, company, association, joint-stock association, or governmental entity. It includes a trustee, receiver, assignee, or similar representative of any of them.

ADDED NEW SECTION 1. E 17)

1.Quality System and Quality Manual

E. For distributors, the quality control manual shall include, but not be limited to a detailed description of:

17) the system for controlling Delegated Quality Provider(s) who perform Quality System functions on behalf of the Distributor, if applicable.

New 5A and Delete Current 5C

5. Procurement

A. The distributor's quality system shall:

1) Maintain a list or database of approved suppliers.

2) Maintain a quality history on each approved supplier and describe the process for reviewing that information to determine if any action shall be taken.

3) Describe the criteria for supplier approval.

4) Describe the process for supplier approval.

5) Identify if the supplier is a Delegated Quality Provider and describe each of the distributor's accredited functions that have been delegated to that Delegated Quality Provider

~~C. The distributor shall maintain a list of its approved suppliers and a quality history for each approved supplier. The distributor shall describe the criteria for supplier approval.~~

Section 6E – REMOVED AT PRIOR MEETING

6. Receiving Inspection

~~E. A distributor of new standard parts purchased from 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 inspections used to make this verification.~~

NEW SECTION 16.
Delegating Quality System Functions to Delegated Quality Providers

16. Delegating Quality System Functions to Delegated Quality Providers

A distributor may delegate a quality system function that is required under ASA-100 or under AC 00-56 to a Delegated Quality Provider, if and only if each of the following requirements are met:

A. The quality system shall include a written process describing how the distributor communicates the distributor's quality system requirements to the Delegated Quality Provider

B. The quality system shall include a written process describing how the distributor confirms that the Delegated Quality Provider is following the distributor's quality system requirements.

1. This process must include a mechanism providing the Distributor, ASA, and regulatory authorities the right of access to applicable areas of facilities and to applicable records received by and/or created by the Delegated Quality Provider as an agent of the Distributor.

NEW SECTION 16.
Delegating Quality System Functions to Delegated Quality Providers

16. Delegating Quality System Functions to Delegated Quality Providers

C. The distributor's internal audit procedure and records shall demonstrate that the distributor has followed the written processes as they apply to the Delegated Quality Provider.

D. The initial contracting of a quality system function to a Delegated Quality Provider, or a change in the way a quality system function is contracted to a Delegated Quality Provider, is considered a significant change to the Distributor's quality system and requires the Distributor to notify ASA prior to implementing the significant change (in some cases, this may trigger a special audit).

- 1. If a quality system urgent need requires the immediate removal of a contracted function from a Delegated Quality Provider, then this may be accomplished prior to notification of ASA; however, notification must be accomplished promptly, and the function may not be once again contracted to a Delegated Quality Provider except in accordance with the other subparagraphs of this section 16

Timeline for Release

- Rev 5.1 will be released September 1, 2023
- New clients – All audits done to Rev 5.1 starting November 1, 2023
- Existing client – All audits done to Rev 5.1 by March 31, 2024
- Companies not scheduled for an audit will need to submit compliance documents to ASA by June 30, 2024

Timeline for Release

- Draft of 5.1 will be online in July
- Online live and recorded training will be offered
- Updated self-audit, QM template, test
- ASA will have additional in-house resources to assist with review of manual changes and questions

ASACB UPDATE

REVISION TO AS9120

The AS9120 rewrite team had a goal to have the draft revision available by July/August 2023.

- This team met every six weeks beginning in August 2022.
- The flow down of AS9100 requirements were removed and made more distribution centric.
- The IAQG is now viewing the AS9120 standard with equal weighting as 9100 and 9110.
- The team has 100% of the draft written and is performing a final review before submitting to the IAQG for review and comment before its release.

The release timeline for the new revision was originally set for end of 2023. This has been pushed back to fourth quarter 2024 / first quarter 2025 as a direct result to update ISO 9001. The ISO updates will need to be incorporated into the AS standards.

EXPANSION OF ACCREDITED PROGRAMS

The applications for expansion of ASACB's accreditation with ANSI National Accreditation Board (ANAB) were filed on May 31, 2023.

- ISO 14001 – Environmental Management Systems
- ISO 27001 – Information Security Management Systems

ASACB is in the process of interviewing several auditors for both new programs. As with the AS standard there is a specific set of experience and acumen required to be a auditor under both new programs.

ASACB has several certified organizations that are seeing flow down of these standards by their customer. We have existing clients already agreeing to be our expansion audits for us to secure the accreditation approvals.

QMS CERTIFICATION BY STANDARD

ISO 9001	AS9100	AS9110	AS9120	TOTAL
26	84	23	80	213

QMS CERTIFIED LOCATIONS

ISO 9001	AS9100	AS9110	AS9120	TOTAL
38	97	32	124	291

Certification by Country

United States - 168	Canada - 2
United Kingdom - 14	Jordan - 2
United Arab Emirates - 6	Netherlands - 1
Singapore - 3	Germany - 1
China - 3	Turkey - 1
Ireland - 2	Hong Kong - 1
Switzerland - 2	Serbia - 1
Denmark - 2	Malaysia - 1
France - 2	Spain - 1

Certification total worldwide -

TOP CLAUSES BY ASACB FOR NCR ISSUANCE

CLAUSE	SECTOR	GLOBAL	ASACB
8.4.3 Information for External Providers	6.5%	5.4%	10.8%
10.2.1 Nonconformity and Corrective Action	4.8%	4.7%	9.3%
7.2 Competence	45%	44.0%	9.0%
8.4.1.1 General Procurement	6.3%	5.8%	8.1%
7.5.3.2 Control of Documented Information	4.5%	4.3%	8.0%

TOP CLAUSES BY SECTOR FOR NCR ISSUANCE

CLAUSE	SECTOR	GLOBAL	ASACB
8.4.3 Information for External Providers	6.5%	5.4%	10.8%
8.4.1.1 General Procurement	6.3%	5.8%	8.1%
7.1.5.2 Measurement Traceability	5.9%	5.3%	5.2%
8.4.1 Control of Externally Provided Processes, Products, and Services	5.0%	4.4%	2.7%
10.2.1 Nonconformity and Corrective Action	4.8%	4.7%	9.3%

TOP CLAUSES GLOBALLY FOR NCR ISSUANCE

CLAUSE	SECTOR	GLOBAL	ASACB
8.4.1.1 General Procurement	6.5%	5.8%	8.1%
8.4.3 Information for External Providers	6.5%	5.4%	10.8%
7.1.5.2 Measurement Traceability	5.9%	5.3%	5.2%
10.2.1 Nonconformity and Corrective Action	4.8%	4.7%	9.3%
7.2 Competence	45%	44%	9.0%

Questions?
and
Thank You!