



AEROSPACE STANDARD

AS9018™

Issued

2021-10

Aerospace – Customer Identified Major Quality Management System
Nonconformity Other Party Collaborative Corrective Action Process

RATIONALE

This standard establishes an independent other party evaluation of the corrective action associated with customer identified major Quality Management System (QMS) nonconformities. There is inconsistency in the industry on how customer identified major QMS nonconformities are evaluated by Certification Bodies (CBs) during audit activities. This standard identifies a method to improve communication between the customer, CB, and Certified Organization (CO), and improve corrective action and audit planning processes.

FOREWORD

This standard establishes requirements for verification of the corrective action process of a customer identified major QMS nonconformity for an Industry Controlled Other Party (ICOP) Aviation, Space, and Defense (ASD) CO. The CO interacts with the CB for review of the root cause analysis and corrective action plan, and Verification and Validation (V&V) of the implemented corrective action. These requirements are built on the principle that the CB who certifies the organization's QMS as being in conformance with an Aerospace Quality Management System (AQMS) standard (i.e., AS9100, AS9110, AS9120) must be aware of major QMS issues in order to adjust surveillance and recertification audit activities, as needed. The CO, in cooperation with the CB, verifies the corrective action and continued validity of the AQMS certification.

From this point forward, "Customer Identified Major QMS Nonconformity Other Party Collaborative Corrective Action Process" will be identified as the "Collaboration Process."

In this standard, the following terms are used:

- "Shall" indicates a requirement;
- "Should" indicates a recommendation;
- "May" indicates a permission;
- "Can" indicates a possibility or capability;
- "Days" are calendar days, unless otherwise specified;
- "E.g." indicate suggestions given for guidance; and
- Information marked "NOTE" is for guidance in understanding or clarifying the associated requirement.

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Documents

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1. SCOPE

This standard is applicable to AQMS COs listed in the Online Aerospace Supplier Information System (OASIS) database. This standard is intended for the management and resolution of AQMS CO's major QMS nonconformities. This standard is not intended to address QMS nonconformities classified as minor or nonconformities related to the products or services provided by the CO.

2. REFERENCES

The following publications form a part of this document to the extent specified herein. The latest issue of SAE publications shall apply. The applicable issue of other publications shall be the issue in effect on the date of the purchase order. In the event of conflict between the text of this document and references cited herein, the text of this document takes precedence. Nothing in this document, however, supersedes applicable laws and regulations unless a specific exemption has been obtained.

2.1 SAE Publications

Available from SAE International, 400 Commonwealth Drive, Warrendale, PA 15096-0001, Tel: 877-606-7323 (inside USA and Canada) or +1 724-776-4970 (outside USA), www.sae.org.

ARP9136	Aerospace Series – Root Cause Analysis and Problem Solving (9S Methodology)
AS9100	Quality Management Systems – Requirements for Aviation, Space, and Defense Organizations
AS9101	Quality Management Systems – Audit Requirements for Aviation, Space, and Defense Organizations
AS9104/1	Requirements for Certification of Aviation, Space, and Defense Quality Management Systems
AS9110	Quality Management Systems – Requirements for Aviation Maintenance Organizations
AS9120	Quality Management Systems – Requirements for Aviation, Space, and Defense Distributors
AS9145	Aerospace Series – Requirements for Advanced Product Quality Planning and Production Part Approval Process
AS13000	Problem Solving Requirements for Suppliers

2.2 IAF Publications

Copies of these documents are available online from the International Accreditation Forum (IAF) at www.iaf.nu.

IAF MD 4	IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes
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2.3 ISO Publications

Copies of these documents are available online at <http://webstore.ansi.org/>.

ISO 9000	Quality management systems – Fundamentals and vocabulary
ISO 9001	Quality management systems – Requirements
ISO/IEC 17000	Conformity assessment – Vocabulary and general principles

3. TERMS AND DEFINITIONS

Definitions for general terms can be found in ISO 9000, ISO/IEC 17000, and the International Aerospace Quality Group (IAQG) International Dictionary (located on the IAQG website <http://www.iaqg.org>). An acronym log for this standard is presented in Appendix A. For the purposes of this standard, the following definitions apply:

3.1 Aerospace Quality Management System (AQMS)

A QMS based upon ISO 9001 that includes additional ASD requirements, as established in the AS9100-series standards (i.e., AS9100, AS9110, AS9120).

3.2 Collaboration

The process of achieving agreement from the customer, CO, and CB.

3.3 Customer

Organization, legal entity, or person that receives a product or service (e.g., consumer, client, end-user, retailer, beneficiary, purchaser) [reference AS9145].

As specifically related to nonconforming outputs, the customer is the organization that receives an article or service via contract, and additionally has the authority to establish product, service, and process requirements.

NOTE: The customer can also be a representative that has been delegated authority by the customer (e.g., customer representative).

3.4 Customer Identified Quality Management System (QMS) Major Nonconformity Recurrence

A QMS nonconformity identified, against the same (common source) requirement where previously implemented and verified corrective action(s) failed to prevent a (common cause) recurrence within six months from the validation date.

NOTE 1: Common source is a requirement, process, output, or responsibility.

NOTE 2: Common cause includes training, procedural, or behavior.

NOTE 3: See the scope statement within this standard to clarify QMS nonconformities versus product and service nonconformities.

4. PRINCIPLES

4.1 The customer and CO should agree when it is appropriate to utilize this process. When the customer imposes this document via contract, the customer needs to clearly define the exit criteria during the collaboration meeting.

4.2 The customer and CO can agree to revert to the customer nonconformity management processes with notification and justification provided to all parties.

4.3 The customer's responsibilities include providing information about the nature and context of the major nonconformity(ies), and other relevant and supporting technical and programmatic information to the CO and CB.

NOTE: This process utilizes sensitive and proprietary information. Contractual and regulatory requirements should be followed when sharing this information.

4.4 Customers entering into this agreement are accepting CB management of the corrective action of a major QMS nonconformity. The customer should not duplicate the corrective action reporting process.

4.5 This standard may be utilized by any AQMS CO within the IAQG managed certification scheme.

NOTE: All requirements within AS9104/1 are applicable to this standard (e.g., escalation, feedback, oversight).

4.6 The CO is responsible for the coordination, collaboration, and implementation of the corrective action process.

- 4.7 A QMS nonconformity should be identified and managed separately from a product or service-related nonconformity due to their differences. During analysis of a product or service nonconformity, a QMS nonconformity may be identified. The opposite is also applicable, when the analysis of a QMS nonconformity identifies potential product or service nonconforming output.
- 4.8 Nonconformities discovered prior to corrective action plan implementation, including the customer validation period and/or other specified period (time limitation), are to be included within the associated collaboration effort and should not trigger a new event.
- 4.9 The requirements of this standard may be assessed by the accreditation body for conformance during normal assessment processes.
- 4.10 The Americas Aerospace Quality Group (AAQG) Registration Management Committee (RMC) may utilize data generated by this process to support CB oversight.
- 4.11 Utilization of technologies that support remote communication, collaboration, management, review, and approval is encouraged wherever possible.

5. GENERAL REQUIREMENTS

- 5.1 The AS9101 definition for the term major nonconformity shall be used throughout this standard, including its application (see 4.7).
- 5.2 OASIS database feedback shall be used to facilitate communication between all parties. Timely and ongoing communication and feedback is required.
- 5.3 All parties shall ensure that only summary information is entered in the OASIS database and on AS9018 Form 1 (see Appendix B).
- 5.4 The OASIS database shall not contain detailed information regarding the customer identified major QMS nonconformity and corrective action information. The IAQG policy for handling proprietary or sensitive data shall be followed when entering data into the OASIS database.
- 5.5 The CO shall document detailed information and manage the customer identified major QMS nonconformity in their corrective action system.
- 5.6 The CB shall document detailed information and manage the review and acceptance of the customer identified major QMS nonconformity in their system.
- 5.7 The CB shall not use the AS9101 Form 4, "Nonconformity Report (NCR)," for documenting a customer-identified nonconformity.
- 5.8 The customer has the option to utilize OASIS database feedback to notify the CB when the collaboration process is not used. The awareness feedback from the customer to the CB shall be in accordance with AS9104/1.
- 5.9 A transfer between CBs shall trigger a collaboration meeting between the new CB, CO, and customer when open collaboration process items exist. The CO shall generate a new OASIS database feedback item to the new CB (referencing the old OASIS database feedback number) and the original OASIS database feedback item shall be closed. All associated documentation shall be provided to the new CB.
- 5.10 Special audits shall be conducted in accordance with AS9101, when deemed necessary, during the CB collaboration.

6. PREREQUISITE REQUIREMENTS

- 6.1 The customer utilizing this process shall gather objective evidence to support the classification of the major QMS nonconformity.