1. The enclosed Standards-Related Document, AQAP-4107-SRD.2, Edition A, Version 1, AQAP SELECTION GUIDANCE, which has been approved in conjunction with AQAP-4107 by the nations in the Life Cycle Management Group, is promulgated herewith.

2. AQAP-4107-SRD.2, Edition A, Version 1, is effective upon receipt and replaces the content of section 1.3 of AQAP-2009, Edition 3, which has been cancelled.

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4. This publication shall be handled in accordance with C-M(2002)60.

Zoltán GULYÁS
Brigadier General, HUNAF
Director, NATO Standardization Office
CHAPTER 1 General

This publication contains the NATO guide for selecting an appropriate AQAP, where applicable. This publication is not a contractual document; therefore, its content has no legal or contractual status, nor does it supersede, add to or cancel any of the AQAP requirements.

CHAPTER 2 Purpose

This Publication aims to provide guidance to select the appropriate AQAP in contracts and tenders. This document aims to enhance the understanding of AQAPs, their relationship and applicability for different type of suppliers and deliveries (e.g. design, development, production, storage, distribution, agencies and other services), life cycle participants (e.g. supplier, developer, maintainer), disciplines (e.g. engineer, project manager, quality manager) and drivers for requirement tailoring (product and project needs).

CHAPTER 3 Applicability

This publication is primarily intended to provide guidance for which AQAP can be applied consciously during purchase of products and services intended for NATO or Partnership for Peace (PfP) Nation military or governmental use. This publication may also be used internally by a Supplier or a potential Supplier to help identify Quality Management expectations.

CHAPTER 4 AQAP Selection

If the Acquirer has the awareness and the knowledge of the complexity of the product, then the flowchart Fig.1 may be used to select the appropriate AQAP to be used in a contract.

If the Acquirer does not have the awareness and/or knowledge of the complexity of the product, then the questionnaire should be completed in order to identify the risk(s) and uncertainties.

A basis for Contract Quality Assurance Requirements can be find in Chapter 5.
<table>
<thead>
<tr>
<th>Questions</th>
<th>YES</th>
<th>MAYBE</th>
<th>UNKNOWN</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Should products rejected by the customer due to quality issues be destroyed/disposed in order to avoid non-legitimate or non-military sale and/or resale by the supplier to other customers?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>b) Is innovation (design, redesign and/or product configuration improvements) expected during the contract period?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>c) Will the product, services related to the product or application of software in the product be a source of risk relating to Health, Safety, Security or Operational Capability?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>d) Does software or services constitute a main delivery of the contract?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>e) Does the product/contract contain software that needs to be developed?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>f) Will any software produced or service-output be used for a long time? Will any software produced or service-output delivered constitute a foundation for further development where reliability-, maintainability- or serviceability performance affects the long term system life cycle cost?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>g) Will the acquisition contract involve the design and development of highly complex and comprehensively complicated and/or integrated products such as airplane, aero technical equipment, astronautic or defence systems where Configuration Management (CM) and Life Cycle Planning constitutes a significant part of the acquisition?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>h) Will the product configuration change during the product lifetime? (update, mid-life upgrade, modifications etc. Ref ACMP-2009)</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>i) Are all risks within the acceptable level for all known stakeholders? - Is there any remaining risk for mitigation? - Is there any risk outside the acceptable risk level/criteria?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>j) Is the product or service linked to an operational capability?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
As related to the above questions, if you have answered yes, maybe or unknown to the questions, then you will have risk in your programme or contract. Accordingly, unless you have an accepted concession from your National Quality Assurance Authority, Quality Department or according to national practices, you are unable to progress beyond this point without AQAP-requirements included in the contract requirements.

The risks identified must be included in the Acquisition/Project risk register and managed by the project if accepted.

<table>
<thead>
<tr>
<th>Questions</th>
<th>YES</th>
<th>MAYBE</th>
<th>UNKNOWN</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>k) Are risks linked to product or service realization?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>l) Are there any traceability or provenance requirements?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>m) Are there any complex traceability or CM requirement?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>n) To assure contract conformance, do you require specialized test and/or evaluation over and above the routine performance tests and inspections??</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
Selection Process

1. Design, production, Risk?
   - Yes: AQAP-2310
   - No: AQAP-2110

2. Supplier to comply with AS/EN9100?
   - Yes: AQAP-2110
   - No: AQAP-2131

3. Final Inspection or Test?
   - Yes: AQAP-2210
   - No: AQAP-2105

4. Developmental Software?
   - Yes: AQAP-2210
   - No: AQAP-2105

5. Standardized Quality Plan?
   - Yes: AQAP-2105
   - No: END

6. Provenance?
   - Yes: Request CoC
   - No: END

Risk Considerations

1. Does the contract:
   - Involve product Design & Development or,
   - Require the achievement / verification of production controls for the product / service.

2. Does the contract or applicable Regulations require the Supplier to comply with the QMS requirements of AS/EN9100 series?

3. Does the product require the Supplier to provide product assurance and/or conduct Final Inspection before delivery?

4. Selection of an AQAP-2310, -2110 or -2131 requires the inclusion of a CoC-form where a CoC is required.

5. Does the contract involve developmental software?

6. Does the contract require NATO QP and/or involve high risks, complex systems and/or complex supply chains that require assurance of the Suppliers management of risks related to quality?

7. Does the product require Product Conformity / traceability/ provenance?
   - Note: If a CoC is requested, then specific requirements must be defined into the contract. (i.e. for each Configuration Item.)

Figure 1
CHAPTER 5 Contract Quality Assurance Requirements

Suitable AQAP contract requirement alternatives are shown below.

Contract Quality Assurance Requirement Clauses:

A. If there are risks that can be lowered to an acceptable level by assessing the output with final inspections and tests then you can consider adding the following requirement as a clause in the contract:
   The Supplier shall comply with the requirements in AQAP-2131 - NATO Quality Assurance Requirements for Final Inspection.

B. If there are design and/or production risks then the following requirement can be added as a clause in the contract:
   The Supplier shall comply with the requirements in AQAP-2110 - NATO Quality Assurance Requirements for Design, Development and Production.

C. If there are design and/or production and software risks then the following two (2) requirements can be added as clauses in the contract:
   The Supplier shall comply with the requirements in AQAP-2110 - NATO Quality Assurance - Requirements for Design, Development and Production.

   The Supplier shall comply with the requirements in AQAP-2210 - NATO Supplementary Software Quality Assurance Requirement to AQAP-2110.

   The Supplier shall prepare, document, deliver and maintain a Software Project Quality Plan (SPQP) covering the scope of the contract in accordance with the requirements in AQAP-2210. The SPQP may form part on the Quality Plan (QP).

D. If there are design and/or production risks and regulations that require the supplier to comply with AS/EN 9100 or it is considered appropriate for the acquisition then the following requirement can be added as a clause in the contract:
   The Supplier shall comply with the requirements in AQAP-2310 - NATO Quality Management System Requirements for Aviation, Space and Defence Suppliers.

E. If there are design and/or production and software risks and regulations that require the supplier to comply with AS/EN 9100 or it is considered appropriate for the acquisition then the following 3 requirements can be added as clauses in the contract:
   The Supplier shall comply with the requirements in AQAP-2310 - NATO Quality Management System Requirements for Aviation, Space and Defence Suppliers.

   The Supplier shall comply with the requirements in AQAP-2210 - NATO Supplementary Software Quality Assurance Requirements.

   The Supplier shall prepare, document, deliver and maintain a Software Project Quality Plan (SPQP) covering the scope of the contract in accordance with the requirements in AQAP-2210. The SPQP may form part on the Quality Plan (QP).
The following requirement may be added in addition to option B, C, D and E as a clause in the contract if a Standardized NATO Quality Plan is requested:

The Supplier shall prepare, document, deliver and maintain a Quality Plan covering the scope of the contract in accordance with the requirements stated in AQAP-2105 - NATO Requirements for Quality Plans.

Note: The latest editions of AQAPs are available on NATO website/eLibrary.
CHAPTER 6  Considerations during tender using AQAP 2110/2310

The selection of the appropriate QA provisions/AQAPs is an important part of the acquisition process under the scope of STANAG 4107. Such actions are performed during the initial tender activities, and subsequently to the contract preparations (see AAP-48 para. 6.1.1. Acquisition Process).

The Supplier’s documented Scope of Quality Management System (QMS) needs to be evaluated in regard to the Scope of Contract. This evaluation should be performed as part of the Tender process, and further detailed/followed up during contract negotiations.

Note: ISO 9001:2015 no longer requires a Quality Manual as in ISO 9001:2008, but has further requirements in chapter 4.3 for determining the boundaries and applicability of the quality management system. In accordance with the standard, no organization can claim conformity to ISO 9001:2015 without an available and maintained Scope of QMS.

The following three texts could be added as requirements in the tender:

- The Bidder shall deliver the Scope of its Quality Management System (QMS).
- If the Bidder intends to bid based on the capability of sub-suppliers, all relevant Sub-suppliers Scope of QMS shall be delivered.
- The Bidder shall indicate whether their Scope of QMS covers the intended Scope of Contract.

When evaluating the requirements in the tender the Acquirer might consider to use the guidance given in AQAP-2020 PROJECT MANAGERS’ GUIDE TO QUALITY ASSURANCE INSIGHT, OVERSIGHT AND INTERVENTION IN THE ACQUISITION PROCESS chapter 4 SOLICITATION AND SUPPLIER SELECTION, and especially table 4-2 b. Decisions, Information Needs and Services – Supplier Selection.
AQAP-4107-SRD.2(A)(1)