

AEROSPACE STANDARD

SAE AS7003

REV.
C

Issued 1990-07
Revised 2006-02

Superseding AS7003B

(R) Nadcap Program Requirements

FOREWORD

Evolving from an original concept developed in a Government/Industry "Equal Partner" conference, the following key elements were highlighted for a successful program: (1) a certification or accreditation/certification system that includes informational feedback; (2) a verification system that incorporates audit reviews; (3) sponsorship by widely recognized private sector organizations with government participation; and (4) a time frame that provides for harmonious transition from the various programs and systems in use at that time.

In September 1987, the first meeting of an ad hoc committee was held to define the framework to develop a qualification/accreditation/certification program that would truly meet industry needs. This committee is now recognized as Nadcap.

Over more than a decade, Nadcap has grown to serve the needs of the Aerospace Industry, growing in the scope of manufacturing and special processes subject to accreditation/certification as well as the geographical span which is served by this program. The Nadcap program has been shaped to serve the International Aerospace Industry in three sectors: Americas, Europe, and Asia.

The current Nadcap mission is to provide international, unbiased, independent manufacturing process and product assessments and certification services for the purpose of adding value, reducing total cost, and facilitating relationships between primes and suppliers.

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1. SCOPE:

- 1.1 This Aerospace Standard (AS) documents the requirements for implementing Nadcap industry consensus-based accreditation/certification programs.
- 1.2 Under these programs a supplier accredited product, process, or service is authorized by Nadcap to use the program's mark (a mark of conformity) and a certification to indicate that the accredited product, process, or service is in compliance with applicable standards, audit criteria, and/or specifications.
- 1.3 The procedures in this document are based on ISO/IEC Guides for third-party certification, registration, and accreditation/certification programs where these guides do not violate country laws. The adoption of these guides allows International harmonization of requirements for certification, registration, and accreditation.
- 1.4 Covered within this document and referenced documents are the operations of the Nadcap Management Council with its committees and task groups, Nadcap staff and field personnel, procedures for conducting audits, awarding accreditation, and continuing surveillance of suppliers. Supported recognized consensus standards and/or audit criteria define requirements for supplier compliance to Nadcap requirements for each individual product, process, or service to be accredited.

2. REFERENCES:

2.1 Applicable Documents:

The following publications form a part of this standard to the extent specified herein. The latest issue of all publications shall apply.

- 2.1.1 PRI Publication: Available from PRI, 161 Thorn Hill Road, Warrendale, PA 15086.

Nadcap Operating Procedures

- 2.1.2 ISO/IEC Guide 2, "Standardization and related activities - General Vocabulary"

- 2.1.3 ISO/IEC Guide 27, "Guidelines for corrective action to be taken by a certification body in the event of misuse of its mark of conformity"

2.2 Definitions:

The definitions used in accreditation/certification program are those from ISO/IEC Guide 2, "General terms and their definitions concerning standardization and related activities."

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- 2.2.1 For use within Nadcap, the following additions or exceptions shall apply:
- 2.2.1.1 ACCREDITATION/CERTIFICATION: Formal recognition that a producer is competent to furnish a specified product, process, or service.
 - 2.2.1.2 AUDIT CRITERIA: An established set of questions or conditions which are used to assess an organization for accreditation/certification to a set of requirements.
 - 2.2.1.3 DELEGATION: The granting of authority for decisions or actions to another person, body, party or organization. The original party holding authority retains responsibility for the decision or action.
 - 2.2.1.4 FAILURE: Demonstrated and continuing nonconformance to established standards for accreditation/certification unmitigated by demonstration of corrective action.
 - 2.2.1.5 OVERSIGHT: Established criteria for monitoring delegation to assure compliance with objectives.
 - 2.2.1.6 PRODUCER: The manufacturer, distributor, supplier, or other organization providing the product, process, or service that is responsible for assuring conformity with all requirements of the referenced standards or specifications or audit criteria and is authorized to use the mark or certificate of conformity.
 - 2.2.1.7 SPECIFICATION: A concise statement of requirements to be satisfied by a product, process, or service indicating, whenever appropriate, the procedure by which it may be determined whether the requirements given are satisfied. Insofar as is practicable, the requirements of a specification are to be expressed in exact numerical terms describing applicable limits.
 - 2.2.1.8 STANDARD: A prescribed set of conditions and requirements, established by authority or agreement, for continuous application. A standard takes the form of a document containing a set of conditions to be fulfilled, or an object of comparison.
 - 2.2.1.9 WITHDRAWAL OF ACCREDITATION/CERTIFICATION: Accreditation/certification is withdrawn prior to the specified expiration date.
 - 2.2.1.10 WITHHOLDING OF ACCREDITATION/CERTIFICATION: Following review of the audit report package, accreditation/certification is not granted for failure to satisfactorily conform to all Nadcap requirements.
 - 2.2.1.11 SURVEILLANCE: Close observation of a person, group or process by periodic or continual monitoring which may include the collection, collation, analysis, and dissemination of data.

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2.2.2 Additional relevant definitions from ISO/IEC Guide 2 are applicable, the most relevant being essentially quoted below.

2.2.2.1 **CERTIFICATE OF CONFORMITY:** Document issued under the rules of a certification system, indicating that adequate confidence is provided that a duly identified product, process, or service is in conformity with a specific standard or audit criteria or other normative document.

2.2.2.2 **CERTIFICATION OF CONFORMITY:** Action by a third party, demonstrating that adequate confidence is provided that a duly identified product, process, or service is in conformity with a specific standard or audit criteria or other normative document.

2.2.2.3 **CERTIFICATION SYSTEM:** System that has its own rules of procedure and management for carrying out certification of conformity.

NOTE: (1) Certification systems may be operated at, for example, national, regional, or international level.

(2) The central body that conducts and administers a certification system may decentralize its activities and rights to certify conformity.

2.2.2.4 **CERTIFICATION PROGRAM:** Certification system as related to specified products, processes, or services to which the same particular standards and rules, and the same procedure, apply.

NOTE: The term "certification scheme" is used in some countries to cover the same concept as "certification program".

2.2.2.5 **CERTIFICATION BODY:** Body that conducts certification of conformity.

NOTE: A certification body may operate its own testing and inspection activities or oversee these activities carried out on its behalf by other bodies.

2.2.2.6 **CONFORMITY:** Fulfillment by a product, process, or service of all requirements specified.

2.2.2.7 **INDUSTRY CONSENSUS ACCREDITATION:** An other party audit to consensus standards reviewed and approved by the second party (i.e., Nadcap).

2.2.2.8 **INSPECTION BODY (FOR CERTIFICATION):** Body that performs inspection services on behalf of a certification body.

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- 2.2.2.9 INTERLABORATORY TEST COMPARISONS: Organization, performance, and evaluation of tests on the same or similar items or materials by two or more laboratories in accordance with predetermined conditions.
- 2.2.2.10 MARK OF CONFORMITY (FOR CERTIFICATION): Protected mark, applied or issued under the rules of a certification system, indicating that adequate confidence is provided that the relevant product, process, or service is in conformity with a specific standard or other normative document. Nadcap is a registered trademark.
- 2.2.2.11 (LABORATORY) PROFICIENCY TESTING: Determination of laboratory testing performance by means of inter-laboratory test comparisons.
- 2.2.2.12 TEST: Technical operation that consists of the determination of one or more characteristics of a given product, process, or service according to a specified procedure.
- 2.2.2.13 TEST METHOD: Specified technical procedure for performing a test.
- 2.2.2.14 TEST REPORT: Document that presents test results and other information relevant to a test.
- 2.2.2.15 TESTING LABORATORY: Laboratory that performs tests.
- NOTE: The term "testing laboratory" can be used in the sense of a legal entity, a technical entity or both.
- 2.2.2.16 THIRD PARTY: Person or body that is recognized as being independent of the parties involved, without direct industry management oversight as concerns the issue in question (i.e., ISO9001 Registrar).
- NOTE: Parties involved are usually supplier ("first party") and purchaser ("second party") interests.

3. Nadcap GENERAL PROGRAM DESCRIPTION:

- 3.1 Nadcap provides a basic uniform method for assessing and accrediting/certifying the capability of suppliers to meet specific program requirements.
- 3.2 Nadcap identifies suppliers who have demonstrated a capability of providing an identified process, product, or service of specified quality.

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- 3.2.1 Nadcap initially determines supplier capability through audits and information provided by suppliers. Continuing supplier capability is determined through efforts including continuing surveillance, periodic follow-up audits, proficiency evaluations, and evaluation of information received from suppliers, inputs from users concerning supplier's continuing performance, and supplier's information on generic and specific problems from data bases.
- 3.2.2 Nadcap maintains continuing awareness of supplier capability and proficiency. For some Nadcap commodities there is continuing surveillance through ongoing inspections or reviews of inspection and tests on supplier processes to assure compliance with the specified requirements.
- 3.3 Suppliers apply for accreditation/certification by completing an application with the necessary information and fees. Audit personnel are assigned and the audit is conducted using Nadcap approved audit criteria. The duration of the audit is a function of specific program requirements. The auditor's observations and recommendation are reviewed in accordance with Nadcap Operating Procedures. Upon demonstration of compliance with requirements, accreditation/certification is granted.
- 3.4 Nadcap accredited suppliers are included on the Nadcap Qualified Manufacturers List (QML) along with their qualified products, or processes, or services.
 - 3.4.1 The QML shall be available to subscribing users of the products, processes, and services through an international on-line network. This data management system provides complete information on pending and accredited suppliers with addresses, points of contact, commodities qualified to specification, and any limitations in available services; a list of suppliers by commodity by geographical area; scheduling of audits cross-referenced between auditor and supplier; advisories and electronic mail.
 - 3.4.2 Information on accreditation/certification status of suppliers shall be maintained current by Nadcap staff. Suppliers shall provide and maintain current information requested on ownership, organization, management, and key staff, location, equipment, procedures, etc.
 - 3.4.3 Nadcap accreditation/certification applies only to suppliers of products, processes, and services and not to certification of individual personnel or product. A product, process, or service provided by an accredited supplier may require certain qualification requirements. Such qualification may be witnessed by the Nadcap audit/inspection personnel.
- 3.5 Suppliers that do not agree with the results of the accreditation process may challenge the decision by means of the Nadcap appeals procedure.

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- 3.6 The Nadcap accreditation/certification process of supplier processes is administered with confidentiality as directed by the Nadcap Management Council.
- 3.7 Detailed requirements, audit criteria, and surveillance criteria are prepared by the appropriate task group(s) operating under the Nadcap Management Council.

4. ORGANIZATION OF NADCAP:

4.1 Nadcap Management Council (NMC):

The organization of Nadcap is illustrated in Figure 1.

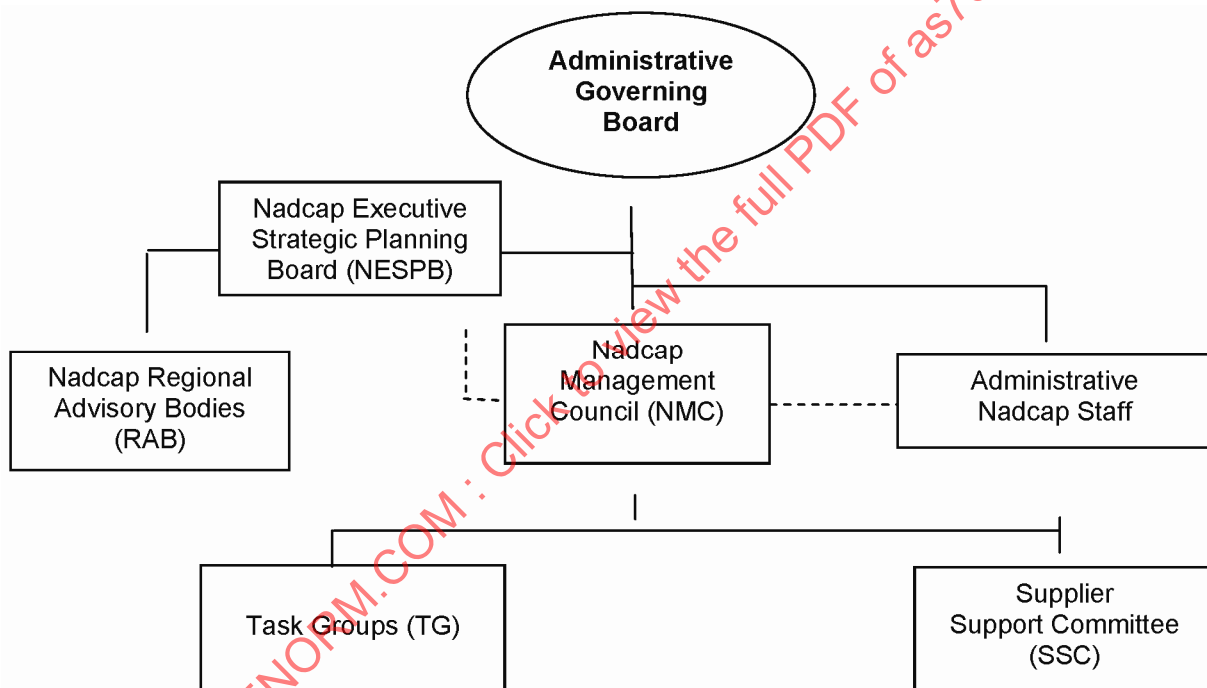


FIGURE 1 - Nadcap Organization

- 4.1.1 The Nadcap Management Council is the managing body of Nadcap. Membership and operations are in accordance with the most recent revision of the Nadcap Operating Procedures.

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- 4.1.2 The Nadcap Management Council (NMC) shall be responsible for:
- a. Oversight - Oversee the operation of Nadcap from a customer perspective and verify that Nadcap is achieving its objectives
 - b. Self-Governance - Appoint ad hoc audit teams to monitor Nadcap operations
 - c. Policy and Procedures - Establish and implement policy and procedures for the Nadcap process
 - d. Task Group Coordination & Development - Horizontal integration of task group activities to reduce variability of activities
 - e. Appeals - Rectify appeals of unresolved issues concerning accreditation/certification
 - f. Continual Improvement - Continually identify, develop and deploy improvement to the processes of Nadcap.
- 4.1.3 Nadcap accreditation/certification is granted by the NMC, although they delegate authority for the accreditation/certification decision to the Task Groups. There shall be established criteria for oversight of the accreditation/certification process.
- 4.2 Task Groups (TG):
- 4.2.1 The TG should be composed of personnel with expertise in the particular product, process, or service for which suppliers are to be accredited. A separate TG will be formed for each individual Nadcap commodity.
- 4.2.2 The TG shall operate in accordance with the most recent revision of the Nadcap Operating Procedures.
- 4.2.3 The TG shall have specific responsibilities for the accreditation/certification program including:
- a. Accreditation/Certification Process - Deploy the accreditation/certification process including the decision to accredit the supplier
 - b. Recommendations for Auditor Hiring and Training Needs - Interview and make recommendations on hiring and training
 - c. Audit Criteria Development - Prepare and maintain audit criteria.

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4.2.3 (Continued):

- d. Metrics - Develop and maintain metrics to measure the health of the TG activities and the suppliers of the TG.
- e. Continual Improvement - Continually identify, develop and deploy improvement to the processes of Nadcap internally, as approved by the task group.

4.2.4 TG may delegate authority for the accreditation/certification decision to the Nadcap staff. There shall be established criteria for delegation to Nadcap staff and oversight of delegated accreditation/certification decisions shall be maintained.

4.3 The Supplier Support Committee (SSC):

4.3.1 The Nadcap SSC has specific responsibility for the following:

- a. Representation - Represent the supplier community to the Nadcap process on non-technical issues which are systemic to the supplier base as a whole.
- b. Support - Provide a forum for suppliers to support the current Nadcap process in a proactive and continuous basis.
- c. Communication - Provide opportunities for suppliers to be appraised of recent developments in the Nadcap process and other matters of interest to the supplier community.
- d. Continual Improvement - Lead and encourage suppliers to participate in the Nadcap process by continually identifying, developing and recommending improvements to the processes of Nadcap to the NMC.

4.4 The Governing Board:

4.4.1 The Governing Board has oversight responsibility for Industry Managed programs designed to serve the mobility industry which includes the Nadcap program. The Governing Board has specific responsibility for the following:

- a. Fiduciary - Responsibility for the legal and long term viability of the organization.
- b. Planning - Long range strategic plans and objectives.
- c. Resources - Provide for appropriate resources for the development, maintenance and growth of new and existing programs

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4.5 The Nadcap Executive Strategic Planning Board (NESPb):

4.5.1 The NESPb has specific responsibility for the following:

- a. Resources - Support existing task groups by providing technical experts.
- b. Strategic Planning - Develop strategic plan and vision for the Nadcap process.
- c. Prime Contractor Involvement - Promote the use of Nadcap internally (quality, engineering & procurement) and among prime contractors.
- d. Support Launch of New Task Groups and/or Regional Advisory Bodies (RAB's) - Where appropriate provide resources to support new accreditation/certification programs.
- e. Affordability - Be the affordability advocate for all constituencies of the Nadcap process while assuring the quality and integrity of the Nadcap process.
- f. Continual Improvement - Continually encourage and assist Council to identify, and recommend improvements to the Nadcap process.

4.6 Nadcap Staff:

4.6.1 A Nadcap executive working with the NMC, TGs, and committees, and the necessary Nadcap staff, shall carry out the day-to-day operations. All Nadcap administrative operations shall be free from control by anyone having a direct commercial interest in any products, processes, or services for which suppliers are to be accredited.

4.6.2 The Nadcap staff shall be responsible for all administrative functions including:

- a. TG Coordination - Facilitate the normal and regular operations associated with the TG, NMC, and the SSC.
- b. Auditor Maintenance - Contract, schedule, and train auditors under the auspices of the TG.
- c. Succession Planning - Facilitate the staffing of positions on the NMC and TGs.
- d. Information management - Manage and coordinate all information transfer, electronic and paper, associated with the Nadcap process.

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4.6.2 (Continued):

- e. Internal Quality - Provide assurance through internal audits, metrics, and other methods that the staff processes are being conducted to the requirements contained herein.
- f. Continual Improvement - Support Nadcap, continually identify, develop, and deploy improvement to the processes of Nadcap.

4.7 Appeals Committee:

- 4.7.1 An ad hoc Appeals Committee shall be appointed and convened as necessary by the Nadcap Management Council to consider appeals of unresolved issues following a Task Group Panel conference. Each Appeals Committee shall be composed of individuals with expertise in assurance programs and in the product, process, or service in question.
- 4.7.2 The Appeals Committee shall hear and rule on complaints involving withholding or withdrawal of accreditation.
- 4.7.3 The Appeals Committee may recommend that a complaint be heard by the User members of the Nadcap Management Council.

4.8 Oversight Audit Committee:

- 4.8.1 An ad hoc Audit Committee shall be appointed by and report to the Nadcap Management Council. The Audit Committee shall be composed of individuals recognized for their expertise in accreditation/certification management.
- 4.8.2 The Audit Committee shall conduct periodic reviews of the entire accreditation/certification program, including Nadcap staff activities. Recommendations for improvement shall be made to the Nadcap Management Council.

5. Nadcap MEMBERSHIP:

5.1 General Requirements:

- 5.1.1 The Nadcap Management Council members from subscribing companies shall render policy guidance to the working panels and task groups. Membership of working panels and task groups consists of individuals chosen to enhance committee recognition.
- 5.1.2 Membership and appointment of officers shall be in accordance with the Nadcap Operating procedures.

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5.1.3 The Chairperson of each Nadcap body shall review the committee membership periodically for the purpose of retaining only those members that actively contribute to the effectiveness of Nadcap. Members who are absent without alternate representation from three consecutive committee meetings shall be dropped automatically unless the Chairperson determines that other circumstances warrant retention. Other indications of inactivity, such as failure to reply to a majority of the questionnaires and ballots circulated to the members, may also be considered cause for removing a person from membership status. The Chairperson shall communicate with each member removed from a committee, thanking them for services rendered to the committee and stating that they are being removed from committee membership in accordance with rules of Nadcap.

5.2 Membership of Nadcap Management Council:

5.2.1 All Nadcap Management Council members are appointed or confirmed by the Nadcap Management Council Chairperson in accordance with the Nadcap Operating Procedures. The Chairperson shall be assisted by the Nadcap Program Director in these appointments. Appointments and resignations from the Nadcap Management Council shall be noted in the meeting minutes.

5.2.2 The Chairperson of the Nadcap Management Council shall be appointed or reconfirmed annually by the Governing Board. The Nadcap Management Council Chairperson shall: work with Nadcap staff, the Nadcap Management Council, and Task Groups; review and act on recommendations made by the Governing Board, the Nadcap Executive Strategic Planning Board, and Nadcap members.

5.3 Membership of Task Groups and Supplier Support Committee (SSC):

5.3.1 Members of Nadcap Task Groups and SSC are appointed by the Task Group Chairperson in consultation with the Nadcap staff. These appointments shall be made in accordance with the Nadcap Operating Procedures and reflected in the meeting minutes.

5.3.2 Appointments of Task Group or SSC Chairpersons shall be made by the Nadcap Management Council Chairperson in accordance with the Nadcap Operating Procedures and in consultation with the Nadcap Program Director. These appointments shall be reflected in the meeting minutes of the Nadcap Management Council.

5.3.3 Appointments of Vice-Chairpersons and Secretaries shall be by the responsible Chairperson in consultation with the Nadcap staff. These appointments shall be reflected in the meeting minutes.

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5.4 Membership of the Nadcap Executive Strategic Planning Board (NESPb):

- 5.4.1 The Nadcap Executive Strategic Planning Board serves under the Governing Board and participation is by invitation of that Board and participation is at the will of that Board and by invitation of the chairperson of the NESPb.

6. DOCUMENTATION:

- 6.1 Industry consensus documents are prepared by the Nadcap Management Council to establish an accreditation/certification program for suppliers of a product, process, or service. The rules of the American National Standards Institute (ANSI) governing preparation of consensus standards shall apply.
- 6.2 Nadcap shall define the requirements for accreditation/certification in published documents. These documents may be published as standards or audit criteria (ACs). The standards may be published by recognized aerospace standards bodies, SAE, ASD, etc., as AS, EN, etc., standards after balloting to the standards bodies of requirements. Audit criteria (AC) shall be published as Nadcap audit criteria (AC) after balloting to the Nadcap Management Council. These audit criteria (AC), if applicable, shall be made available to the standard's bodies for review upon request.
- 6.3 All comments resulting from circulation to the standards body shall be resolved by the Task Group Chairperson or the document sponsor in accordance with the requirements herein and the Nadcap Operating Procedures..
- 6.4 Every effort shall be made to obtain the unanimous approval of all members. The document shall be considered approved by one of the following methods:
- Submitted on a letter ballot to the Nadcap Management Council, the document shall be considered approved 3 days following the closing date on the ballot provided that (1) at least one-half of all members receiving a ballot have responded and have not waived their vote and (2) approving ballots have been returned by at least three-quarters of the responding committee members. The number of waivers associated with a particular vote shall be subtracted from the total voting membership when applying the one-half voting response rule, with the limitation that the total voting membership may not be reduced by more than 20%. Dissenting votes must be resolved by NMC vote.
 - Submitted for final voice vote approval at a meeting of the Nadcap Management Council, the document shall be considered approved, provided the document has been circulated to all committee members at least two weeks prior to the meeting and provided verbal approval (or written approval by absentees) is received from at least three-quarters of the committee's total members entitled to and not waiving their vote.

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- 6.5 This procedure shall be followed by each Task Group prior to submitting the document to the Nadcap Management Council for consideration. If all dissenting views cannot be resolved by the Task Group or Sponsor, the dissenting views and related reasons, including those of liaison and consultant members, shall be submitted with the document for consideration by the Nadcap Management Council.
- 6.6 Dissenting views and supporting reasons relating to other than the technical content of the document shall be referred to the Nadcap staff for advice.
- 6.7 Each proposed Nadcap document submitted to Nadcap Management Council for final approval shall have available supporting information on file to the effect that reasonable efforts have been made to assure that:
1. All substantially concerned parties who are technically competent have had an opportunity to express their views, and these views have been given due consideration
 2. Due consideration has been given to the existence of other comparable standards having acceptance in the given field
 3. There is no unfair discrimination inherent in the proposed standard
 4. Assurance has been obtained from those concerned that the proposed standard, when properly used, shall provide a satisfactory level of technical quality in its subject area
 5. A consensus exists of those substantially concerned with the provisions of the proposed standard

7. MEETINGS:

7.1 Time:

Meetings are held at a minimum annually and are subject to call by the Chairperson. The Nadcap staff shall aid the Chairperson in avoiding conflicts of dates or locations.

7.2 Notices:

Meeting announcements shall be made available to all members in sufficient time for members to arrange attendance. When sent to committee members, these announcements constitute invitations to send technical representatives to the meeting if they so desire. In addition, the Nadcap staff shall, when requested by the Chairperson, send notices of the meeting to non-committee personnel who are invited to attend the meeting.

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7.3 Agenda:

The Chairperson shall issue a detailed agenda at least two weeks prior to the meeting. This agenda may be published by the Chairperson or by the Nadcap staff.

7.4 Voting:

Except with respect to the coordination and approval of documents, as covered herein, actions by the Nadcap Management Council or any of its subgroups shall be in accordance with the most recent revision of the Nadcap Operating Procedures.

7.5 Minutes:

The minutes of all meetings shall be prepared and issued promptly by a member of the Nadcap staff and shall be subject to confirmation, with corrections if necessary, by written vote or at the following meeting. Nadcap meeting minutes shall be available to all members of Nadcap Management Council, all individuals present at the meeting, and those who request copies through the Nadcap staff.

- 7.5.1 In the preparation of minutes, every effort shall be made to avoid significant omissions, errors, and ambiguity. In recording actions on documents, if possible, the reasons for committee action are also to be recorded. The following standard note shall be inserted below the title and date of each set of minutes:

"These minutes are not final until confirmed by the Nadcap Management Council in writing or by vote at a subsequent meeting. Information herein does not constitute a communication or recommendation from Nadcap Management Council and shall not be considered as such by any agency."

8. PERSONAL CODE OF ETHICS AND CONFLICT OF INTEREST:

- 8.1 Nadcap shall establish a process to communication and promote adherence to the requirements of this section that shall apply to all Nadcap staff, auditors, and members of Nadcap.
- 8.2 It is expected that all individuals involved with the Nadcap activity shall exhibit accepted professional standards of conduct and to uphold and advance the integrity of Nadcap.
- 8.3 Each individual acting for or in the name of Nadcap has an inherent responsibility to uphold their position of trust relative to public interest. It is expected that each individual exercise impartial professional judgment to assure confidence in the integrity of Nadcap by avoiding conflicts of interest in Nadcap related activities.

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- 8.4 When a competing interest has the potential to preclude or impair exercising one's independent professional judgment or unreasonably jeopardize the integrity of the Nadcap activity, that individual should voluntarily disassociate themselves from that particular activity, whether it be committee discussion, deliberations, and decision-making or an audit activity.
- 8.5 Any person associated with the Nadcap activity who believes that continued participation by any other person may jeopardize the integrity of Nadcap should bring the matter to the attention of the Nadcap Management Council.
- 8.6 All individuals associated with the Nadcap audit review process shall maintain proprietary or confidential information with which they become familiar as a result of their exposure to the supplier and/or reports during the accreditation/certification process appropriately. Information of this type shall not be shared with individuals or organizations having no right to this information.
- 8.7 All individuals associated with the Nadcap audit and review process shall avoid using undue influence or personal conversations to influence the audit results or the review process.

9. ADMINISTRATION AND OPERATION:

- 9.1 There shall be documentation defining the administration and operation of Nadcap. This documentation shall describe at a minimum the accreditation/certification process, the requirements for accreditation, pricing of accreditation, and the appeals process. This documentation shall be available upon request.
- 9.1.1 Nadcap shall not knowingly accredit any facility where the applicant and/or any of its principals:
 - a. Are presently debarred (or proposed), suspended, or declared ineligible for the award of contract by any Government Agency.
 - b. Have within a three year period preceding this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public contract or subcontract violation of governmental antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
 - c. Are presently under indictment for, or otherwise criminally or civilly charged by a governmental entity, with commission of any of the offenses above.

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- 9.1.2 Audits shall be scheduled and confirmed with consideration of involved parties and with sufficient notification for appropriate arrangements. Periodic unscheduled audits shall not be confirmed, but performed in coordination with Nadcap staff. Audits shall be conducted during normal business hours without disruption of normal supplier operations unless supplier agrees to an exception.
- 9.1.3 Audits shall utilize the audit criteria in effect at the time the audit was scheduled or 90 days prior to the beginning of the audit, whichever is less.
- 9.1.4 Audits shall be performed to technical requirements and criteria using only identified specific documents and the latest interpretations.
- 9.1.5 Auditing shall be conducted in a professional manner. Audit observers shall not participate in actual auditing.
- 9.1.6 Identified audit nonconformances and observations shall be documented and reviewed with the supplier before leaving the audit site.
- 9.1.7 Review of the audit package and accreditation/certification decisions shall be accomplished in accordance with Nadcap Operating Procedures.
- 9.1.8 Criteria shall be established defining causes and procedure for failure of a supplier.
- 9.2 Auditors shall conduct the audit in accordance with defined procedures.
 - 9.2.1 Auditors shall identify and document distractions and attempts to impair the effectiveness and efficiency of the audit and its observations.
 - 9.2.2 Auditors shall comply with the Nadcap Code of Ethics and Conflict of Interest requirements as set forth herein.
 - 9.2.3 Auditors are not permitted to provide consulting services prior to, during, or following an audit.
 - 9.2.4 Auditors shall be alert to identifying possible improvements in the Nadcap accreditation/certification systems relating to products, processes, or services under accreditation. The auditor shall document observations that result in recommendations to Nadcap Management Council for improving the accreditation/certification program.
 - 9.2.5 Information on accreditation/certification status shall be maintained up-to-date by Nadcap staff.
 - 9.2.6 There shall be defined criteria for failure of a supplier.