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**Aeronavtika - Sistem vodenja kakovosti - Neposredna dobava - Navodilo za letalsko in vesoljsko industrijo**

Aerospace series - Quality systems - Direct Ship - Guidance for Aerospace Companies

Luft- und Raumfahrt - Qualitätsmanagement - Direkt Anlieferungen - Richtlinie für die Luft- und Raumfahrtindustrie

Série aérospatiale - Systèmes qualité - Expédition directe - Recommandations pour les compagnies aérospatiales

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**ICS:**

03.120.10	Vodenje in zagotavljanje kakovosti	Quality management and quality assurance
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EUROPEAN STANDARD  
NORME EUROPÉENNE  
EUROPÄISCHE NORM

**DRAFT**  
**prEN 9114**

December 2020

ICS

Will supersede EN 9114:2015

English Version

**Aerospace series - Quality systems - Direct Ship - Guidance  
for Aerospace Companies**

Série aérospatiale - Systèmes qualité - Expédition  
directe - Recommandations pour les compagnies  
aérospatiales

Luft- und Raumfahrt - Qualitätsmanagement - Direkt  
Anlieferungen - Richtlinie für die Luft- und  
Raumfahrtindustrie

This draft European Standard is submitted to CEN members for enquiry. It has been drawn up by the Technical Committee ASD-STAN.

If this draft becomes a European Standard, CEN members are bound to comply with the CEN/CENELEC Internal Regulations which stipulate the conditions for giving this European Standard the status of a national standard without any alteration.

This draft European Standard was established by CEN in three official versions (English, French, German). A version in any other language made by translation under the responsibility of a CEN member into its own language and notified to the CEN-CENELEC Management Centre has the same status as the official versions.

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Recipients of this draft are invited to submit, with their comments, notification of any relevant patent rights of which they are aware and to provide supporting documentation.

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EUROPEAN COMMITTEE FOR STANDARDIZATION  
COMITÉ EUROPÉEN DE NORMALISATION  
EUROPÄISCHES KOMITEE FÜR NORMUNG

**CEN-CENELEC Management Centre: Rue de la Science 23, B-1040 Brussels**

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## European foreword

This document (prEN 9114:2020) has been prepared by the Aerospace and Defence Industries Association of Europe — Standardization (ASD-STAN).

After enquiries and votes carried out in accordance with the rules of this Association, this document has received the approval of the National Associations and the Official Services of the member countries of ASD-STAN, prior to its presentation to CEN.

This document is currently submitted to the CEN Enquiry.

This document will supersede EN 9114:2015.

This document was revised to remove ambiguities with regard to how direct ship authority is documented and define the record retention requirements. A non-value-added figure was removed and the document was restructured for conciseness. All other changes made to the document were editorial in nature.

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## Introduction

To ensure customer satisfaction, the aviation, space, and defence industry organizations has to produce and continually improve safe, reliable products that meet or exceed customer and regulatory authority requirements. The globalization of the industry, and the resulting diversity of regional and national requirements and expectations, has complicated this objective. End product organizations face the challenge of assuring the quality of, and integrating, product purchased from suppliers throughout the world and at all levels within the supply chain. Industry suppliers and processors face the challenge of delivering product to multiple customers having varying quality expectations and requirements.

The aviation, space, and defence industry established the International Aerospace Quality Group (IAQG) for the purpose of achieving significant improvements in quality and safety, as well as reductions in cost, throughout the value stream. This organization includes representation from companies in the Americas, Asia/Pacific, and Europe.

This document standardizes requirements for the direct shipment of articles from a supplier of an approved manufacturer to a customer of an approved manufacturer. The establishment of common expectations, for use at all levels of the supply-chain by organizations, should result in improved quality and safety, and decreased costs, due to the elimination or reduction of organization-unique requirements and the resultant variation inherent in these multiple expectations. Regulatory terminology is used throughout this document in lieu of the industry 9100 quality management system standard terminology (e.g. use of the term supplier instead of external provider).

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# 1 Scope

## 1.1 General

This document is limited to the aerospace industry, where an approved manufacturer requests a supplier to ship an article against the approved manufacturer's quality system directly to a customer. The direct ship process is not required or applicable to standard parts or military parts. In this process, the approved manufacturer is responsible for assurance that the article conforms to type design information.

## 1.2 Purpose

This document provides guidance to approved manufacturers, their suppliers, and customers when an approved manufacturer requests a supplier to ship an article against the approved manufacturer's purchase document directly to a customer, commonly known as "Direct Ship".

# 2 Normative references

There are no normative references in this document.

# 3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <http://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>  
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## 3.1

### **approved manufacturer [also known as Production Approval Holder (PAH)]**

manufacturer that is responsible for the quality of an article and has obtained the right to use a design from the design approval holder (may be the same entity)

Note 1 to entry: This is the holder of a Production Certificate (PC), Parts Manufacturer Approval (PMA), Technical Standard Order (TSO) authorization, Production Organization Approval (POA), European Technical Standard Order (ETSO) authorization, or other production approval issued by any National Aviation Authority (NAA).

## 3.2

### **article**

material, part, component, assembly, or appliance which is listed by the approved manufacturer as eligible for installation in a type certificated product or included in the design data approved by the regulatory authority, not inclusive of standard parts

## 3.3

### **customer**

recipient of a direct ship article (e.g., owner/operator, repair station, distributor)

## 3.4

### **delegated inspection**

delegation of inspection authority to a supplier on behalf of the approved manufacturer

Note 1 to entry: Delegation of inspection authority can be documented in paper or electronic format.

### 3.5

#### **direct ship authorization**

written authorization granted by an approved manufacturer to a supplier to ship articles directly to a customer, without the articles being processed through the approved manufacturer's own facility

Note 1 to entry: The direct ship authorization may be limited in scope. Some examples of limitations include part number(s), time period, and customer(s).

### 3.6

#### **direct ship declaration**

written statement from the supplier that accompanies a direct ship article stating the article was produced under the terms of the approved manufacturer's production approval

### 3.7

#### **product**

aircraft, aircraft engine, or propeller

### 3.8

#### **standard part**

part manufactured in compliance with an established government or industry-accepted specification that contains design, manufacturing, and uniform identification requirements

Note 1 to entry: The specification has to include all information necessary to produce and conform the part, and has to be published so that any person/organization may manufacture the part.

### 3.9

#### **Statement of Conformance (SOC)**

evidence provided by the supplier certifying the article conforms to the appropriate specification(s) and approved data

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Note 1 to entry: Where a SOC is required, the issuance of a Certificate of Conformity (COC) is acceptable.

### 3.10

#### **supplier**

furnisher of articles or related services, at any tier, to an approved manufacturer

## **4 Direct ship requirements**

### **4.1 General**

The direct ship process involves an approved manufacturer, supplier, and customer. In a chronological flow, the customer requests an approved manufacturer to provide an article and delineates any special requirements. The approved manufacturer determines that the article is to be ordered, produced, and delivered from a supplier, and requests the supplier to ship the article directly to the customer. Contracts exist between the customer and the approved manufacturer, and between the approved manufacturer and the supplier (see Figure 1).

In some cases, the approved manufacturer allows the customer to buy directly from the supplier. In those cases, the supplier should obtain permission from the approved manufacturer for this arrangement.



## 4.2 Approved manufacturer

### 4.2.1 Procedures

An approved manufacturer that intends to issue direct ship authorization to a supplier shall have approved quality procedures that will compensate for the absence of inspections normally conducted at the approved manufacturer's facility. Compensating factors shall include onsite evaluations of the supplier and the inspection of the article as either:

- source inspection performed by the approved manufacturer; or
- inspection by the supplier under a delegated inspection authority from the approved manufacturer.

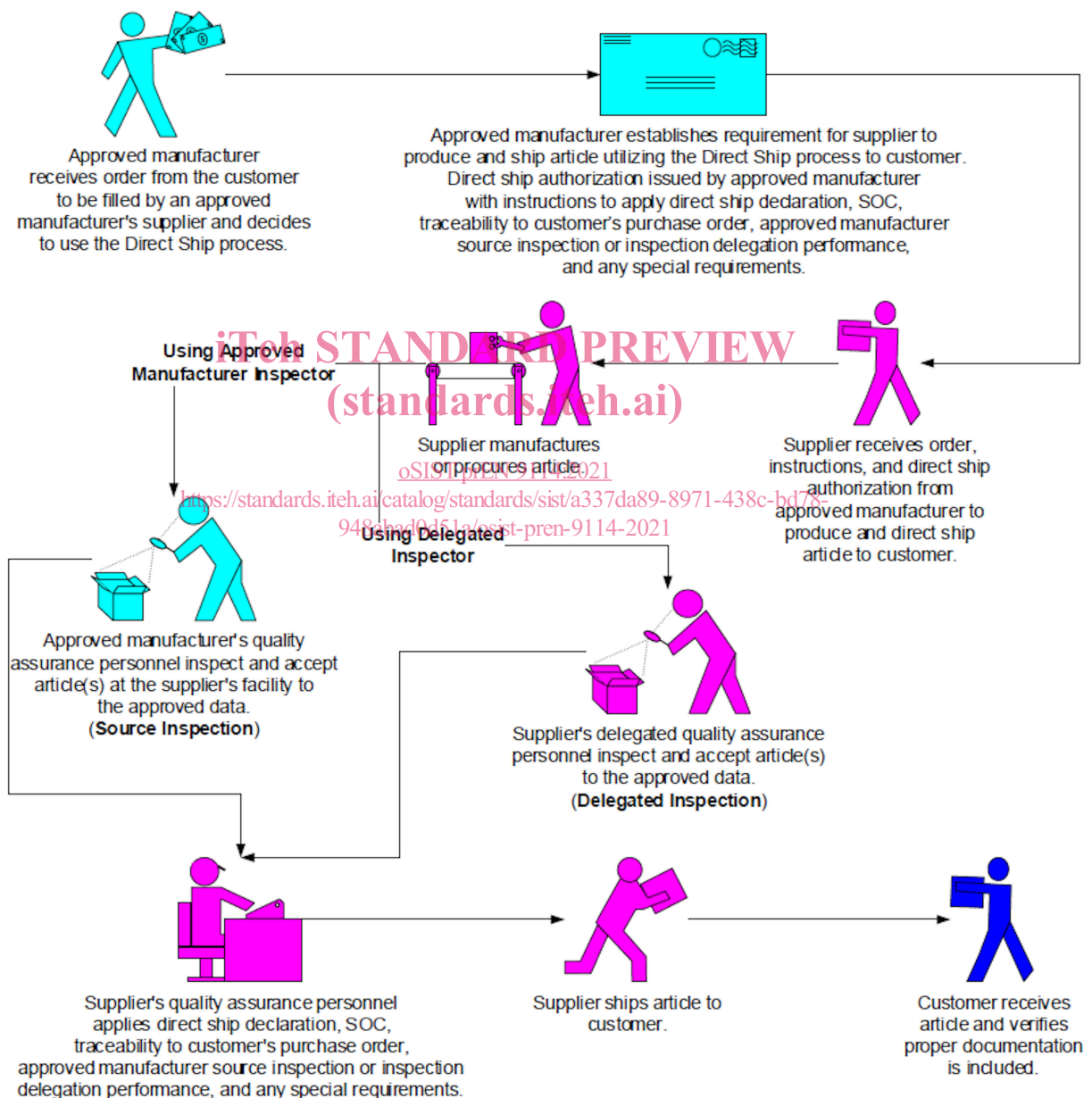


Figure 1 — Direct ship flow

**prEN 9114:2020 (E)****4.2.2 Direct ship authorization**

The approved manufacturer shall provide direct ship authorization to a supplier in the form of a letter, contract, purchase order, etc. This authorization may be documented in an electronic or paper format.

**4.2.3 Records**

The approved manufacturer shall issue and maintain records of direct ship authorization for as long as an agreement is in effect and make them available to regulatory authorities, upon request.

**4.2.4 Flow down of direct ship requirements to suppliers**

The approved manufacturer shall require the supplier to:

- a. Direct ship the article.
- b. Meet any special customer requirements accepted by the approved manufacturer.
- c. Maintain evidence of direct ship authorizations granted by the approved manufacturer.
- d. Maintain evidence of direct shipments made on behalf of the approved manufacturer.
- e. Provide with the shipment a signed direct ship declaration.
- f. Provide with the shipment a signed or stamped SOC/COC certifying that the article conforms to approved data.
- g. Provide with the shipment traceability to the customer purchase request.
- h. Provide evidence with the shipment that acceptance or inspection has been accomplished by the approved manufacturer or through a delegated inspection authority. When delegated inspection is used, provide with the shipment a statement that delegation of inspection authority has been granted by the approved manufacturer, and that the inspection was performed on behalf of the approved manufacturer.

**4.2.5 Special considerations for foreign customers**

An approved manufacturer shall ensure the requirements of the importing country will be met, prior to authorizing direct shipment to a customer located in a foreign country.

**4.3 Supplier****4.3.1 Records**

The supplier shall maintain the following records and make them available, upon request:

- a. Direct ship authorization by the approved manufacturer.
- b. Direct shipments made on the behalf of the approved manufacturer.

**4.3.2 Compliance**

The supplier shall adhere to all approved manufacturer flow down requirements, including:

- a. Direct ship the article.
- b. Provide a signed direct ship declaration with the shipment.