

AQAP-160
(Edition 1)

NATO Integrated Quality Requirements for Software throughout the Life Cycle

AQAP-160 Edition 1

(July 2001)

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NORTH ATLANTIC TREATY ORGANIZATION
MILITARY AGENCY FOR STANDARDIZATION (MAS)
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3. It is permissible to distribute copies of this publication to Contractors and Suppliers and such distribution is encouraged.

(Signed) Jan H ERIKSEN
Rear Admiral, NONA
Chairman MAS

Record of Changes

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Chapter 1

General

1.1 Purpose

- 1.1.1 This publication contains the requirements for a software quality (management) system. A compliant software quality (management) system needs to be established, documented, applied, maintained, assessed and improved, and/or evaluated, in accordance with requirements contained in the subsequent chapters. These requirements should provide confidence in the supplier's capability to deliver a software product or service that conforms to customer requirements.
- 1.1.2 This publication establishes also a common framework for software life cycle processes, with well-defined terminology that can be referenced by industry.
- 1.1.3 This publication is designed to be tailored for an individual organization, project or application within a project. When tailored, this publication specifies the requirements to manage the quality of the software life cycle processes and their resulting products and services.

1.2 Applicability

This publication is primarily intended for use in a two-party contract. When referenced in a contract, this publication shall apply to the supply (and related acquisition, development, production and deployment, operation and maintenance) of the software embedded in a system, a stand-alone software product and/or a software service.

Note: Software includes the software portion of the firmware.

- 1.2.2 This publication may be used internally by an organization for the supply (and related acquisition, development, production and deployment, operation and maintenance) of the software embedded in a system, a stand-alone software product and/or a software service.
- 1.2.3 For the supply (and related acquisition, development, production and deployment, operation and maintenance) of other system components (e.g. hardware), this publication has to be used in conjunction with other appropriate standards (e.g. AQAP-110).
- 1.2.4 If any inconsistencies exist between the contract requirements and this publication, the contract requirements shall prevail.

1.3 Compliance with this Publication

- 1.3.1 Compliance with this Publication is defined as the fulfillment of the requirements of Chapter 2, Chapter 6, and the performance of all the processes, activities, and tasks selected from Chapter 3 and 4 of this Publication in accordance with the Tailoring Process (Chapter 5).

1.3.1.1 Organizational compliance

Compliance at the organizational level is defined as the fulfillment of the requirements of Chapter 2, Chapter 6, and the performance of all the processes, activities, and tasks selected for the specific organization, from Chapter 3 and 4 of this Publication in accordance with the principles of the Tailoring Process (Chapter 5).

1.3.1.2 Project compliance

Compliance at the project level is defined as the fulfillment of the requirements of Chapter 2, Chapter 6, and the performance of all the processes, activities, and tasks selected for the specific project, from Chapter 3 and 4 of this Publication in accordance with the Tailoring Process (Chapter 5).

1.3.1.3 Application compliance

Compliance at the application level within the project is defined as the performance of all the processes, activities, and tasks selected, for the specific application inside the project, from Chapter 3 and 4 of this Publication in accordance with the Tailoring Process (Chapter 5).

1.3.2 Compliance with this Publication shall be documented in accordance with Annex B.

1.4 Tailoring this Publication

1.4.1 The tailoring process is defined in Chapter 5.

1.4.2 When tailoring this document for use in a contract, the degree of tailoring should be consistent with the characteristics of the product and project, and the perceived risks.

1.4.3 Tailoring can be performed at the application level, the project level, or the organizational level.

1.4.3.1 Tailoring this Publication at the application and project levels is to be in accordance with the requirements of Chapter 5.

1.4.3.2 When tailoring this Publication at the organization level, it can be performed by applying the principles of Chapter 5 from an organizational point of view.

1.4.4 Chapters 3 and 4 of this Publication contain a set of processes, activities, and tasks designed to be tailored. The tailoring process is the partial or full deletion, or downgrade, of processes, activities, and tasks.

Note: Addition of processes, activities, and tasks may be provided.

1.5 Structure of AQAP-160 Edition 1

1.5.1 AQAP-160 Edition 1: model

1.5.1.1 Figure 1 describes the model of AQAP-160 Edition 1.



Figure 1

1.5.1.2 The AQAP-160 Edition 1 model is composed of:

- a. Process-related requirements: a set of requirements for the primary and supporting processes based on ISO/IEC 12207, supplemented with those ISO 9001:1994/ISO 9001:2000 requirements, not explicitly covered by ISO/IEC 12207 .
- b. The quality system requirements: organizational requirements that are imposed on the supplier. The quality system requirements are based on ISO 9001:1994/ISO 9001:2000 and linked to the primary and supporting processes (process-related requirements).
- c. The NATO-specific requirements: specific requirements due to the fact that the acquisition is performed in a NATO environment.

1.5.2 AQAP-160 Edition 1: composition scheme of the requirements

1.5.2.1 A typical requirement in AQAP-160 Edition 1 is composed as follows:

- a. A title.
- b. A subparagraph that contains a reference or references to the applicable ISO-requirement(s) (a 'plug-in' of an ISO-requirement). All lower level subparagraphs of the plugged-in ISO requirements shall apply, unless otherwise indicated.

Note: The ISO-requirements can originate from ISO/IEC 12207 or ISO 9001:1994/ISO 9001:2000

- c. Each plugged-in ISO-requirement may possibly have a supplement or supplements. The supplements are grouped under the plugged-in ISO-requirement. A supplement can have one of the following natures:

- (1) "Change": a change to some of the words, to a sentence and/or to a paragraph in the plugged-in ISO-requirement(s).
- (2) "Delete": a deletion of some words, of a sentence and/or of a paragraph of the plugged-in ISO-requirement(s).
- (3) "Add": an addition of some words, of a sentence and/or of a paragraph to the plugged-in ISO-requirement(s). The addition can be of the following types:
 - (a) An addition of a supplemental requirement.
 - (b) A link between the ISO quality-world (ISO 9001:1994/ISO 9001:2000) and the ISO/IEC engineering-world (ISO/IEC 12207).

1.5.2.2 There is no hierarchical relation between the requirements listed under a title of a typical AQAP-160 Edition 1 requirement. The use of the paragraphs is only a matter of labeling.

1.5.2.3 Cross-reference-tables (Annex A)

- a. Annex A contains a cross-reference of those ISO requirements plugged-in from ISO 9001:1994 (Table A-1) or from ISO 9001:2000 (Table A-2), and those ISO/IEC requirements plugged-in from ISO/IEC 12207 (Table A-3) that are referenced by this publication.
- b. All plugged-in ISO-requirements outlined in tables A-1 or A-2 and A-3 apply in full unless otherwise noted.
- c. When a plugged-in ISO requirement refers to other paragraphs of the same ISO document (i.e. ISO 9001:1994/ISO 9001:2000 or ISO/IEC 12207) the Annex A cross-reference should be used to identify the corresponding requirements of this publication.
- d. Whenever the plugged-in ISO requirement refers to "this International Standard" (i.e. ISO 9001: 1994/ISO 9001:2000 or ISO/IEC 12207) it should be read as "this publication" (i.e. AQAP-160 Edition 1).

1.5.3 AQAP-160 Edition 1: layout

1.5.3.1 Chapter 2 contains the quality system requirements.

1.5.3.2 Chapter 3 and 4 contain respectively the primary and the supporting life cycle processes requirements.

1.5.3.3 Chapter 5 contains the requirements for tailoring this publication for a specific project or application within a project. The principles of Chapter 5 can also be used for tailoring this publication for an organization.

1.5.3.4 Chapter 6 contains the NATO-specific requirements.

1.6 Normative references

1.6.1 ISO/IEC 12207 Edition 1: 1995, Information technology – Software life cycle processes

1.6.2 ISO 9001: 2000: Quality management systems – Requirements

- 1.6.2.1 ISO 9001:1994 was superseded by ISO 9001:2000 at the end of the year 2000. Before the issuance of ISO 9001:2000, the certification of the Quality Management System of an organization must be done against ISO 9001:1994. This may cause an overlap of the two editions for a certain period, which obligates AQAP-160 Edition 1 to maintain its normative reference to ISO 9001:1994.
- 1.6.3 ISO 9000:2000: Quality management systems – Fundamentals and Vocabulary
- 1.6.3.1 ISO 8402 Edition 2 was superseded by ISO 9000:2000 at the end of the year 2000. Before the issuance of ISO 9001:2000, the certification of the Quality Management System of an organization must be done against ISO 9001:1994. This may cause an overlap of the two editions for a certain period, which obligates AQAP-160 Edition 1 to maintain its normative reference to ISO 8402.
- 1.6.3.2 For those organizations who are updating/modernizing their Quality Management System, the vocabulary of ISO 8402 can be substituted in accordance with ISO 9000:2000.
- 1.6.4 ISO 9001:1994 Edition 2: 1994, Quality systems – Model for quality assurance in design, development, production, installation and servicing
- 1.6.5 ISO 8402 Edition 2: 1994, Quality management and quality assurance: vocabulary
- 1.7 Informative references
- 1.7.1 ISO 9000-3 Edition 2: 1997, Guidelines for the application of ISO 9001: 1994 to the development, supply, installation and maintenance of computer software.
- 1.7.2 ISO/IEC 9126 Edition 1: 1991, Information technology – Software product evaluation – Quality characteristics and guidelines for use
- 1.7.3 ISO 10012-1 Edition 1992: Quality assurance requirements for measuring equipment – Part 1: Metrological Confirmation system of measuring equipment
- 1.7.4 AQAP-110 Edition 2: NATO Quality assurance requirements for design, development and production.
- 1.8 Informative references (Work In Progress)
- 1.8.1 ISO/IEC 9126 (Part 1-4): Information Technology – Software product quality
- 1.8.2 ISO/IEC 15939: Software Engineering - Software measurement process framework
- 1.8.3 ISO/IEC 15504 (Part 1-9): Information Technology - Software process assessment
- 1.8.4 ISO/IEC 14598 (Part 1-6): Information Technology – Software product evaluation
- 1.9 Definitions
- 1.9.1 Quality Assurance Representative (QAR) – The acquirer's authority designated in the contract or its authorised representative.
- 1.9.2 Off-the-shelf product – ISO/IEC 12207 definition shall apply.

Note: Off-the-shelf products may include reusable product, Government furnished product or commercially available product depending on its source.

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- 1.10 List of Acronyms
- 1.10.1 QAR – Quality Assurance Representative
- 1.10.2 GQA – Government Quality Assurance

Chapter 2

Quality system requirements

- 2.1 Management responsibility
- 2.1.1 Quality policy
 - 2.1.1.1 ISO 9001:2000 (5.3) requirement (Quality policy) shall apply,
 - 2.1.1.2 ISO 9001:2000 (5.4.1) requirement (Quality objectives) shall apply, or
ISO 9001:1994 (4.1.1) requirement (Quality policy) shall apply.
- 2.1.2 Organization
 - 2.1.2.1 Responsibility and authority
 - 2.1.2.1.1 ISO 9001:2000 (5.5.1) requirement (Responsibility and authority) shall apply,
 - 2.1.2.1.2 ISO 9001:2000 (6.2.1) requirement (General) shall apply, or
ISO 9001:1994 (4.1.2.1) requirement (Responsibility and authority) shall apply.
 - 2.1.2.2 Resources
 - 2.1.2.2.1 ISO 9001:2000 (5.1.e) requirement shall apply,
 - 2.1.2.2.2 ISO 9001:2000 (6.1) requirement (Provision of resources) shall apply, or
ISO 9001:1994 (4.1.2.2) requirement (Resources) shall apply.
 - 2.1.2.2.3 ISO 9001:2000 (6.2.2) requirement (Competence, awareness and training) shall apply, or
ISO 9001:1994 (4.18) requirement (Training) shall apply.
 - 2.1.2.2.4 ISO/IEC 12207 (7.2) requirement (Infrastructure Process) shall apply:

Note: ISO/IEC 12207 requirement 7.2 is seen in the context of an organizational-level infrastructure. AQAP-160 Edition 1 (4.10) requirement is the same requirement in the context of a project-level infrastructure.
 - 2.1.2.3 Management representative
 - 2.1.2.3.1 ISO 9001:2000 (5.5.2) requirement (Management representative) shall apply, or
ISO 9001:1994 (4.1.2.3) requirement (Management representative) shall apply.

 Add: "The Management representative shall have the necessary authority and organizational freedom to resolve matters pertaining to quality."
- 2.1.3 Management review
 - 2.1.3.1 ISO 9001:2000 (5.6) requirement (Management review) shall apply, or
ISO 9001:1994 (4.1.3) requirement (Management review) shall apply.

2.2 Quality system

2.2.1 General

2.2.1.1 ISO 9001:2000 (4.1) requirement (General requirements) shall apply,

2.2.1.2 ISO 9001:2000 (5.1) requirement (Management commitment) shall apply,

2.2.1.3 ISO 9001:2000 (5.4.1) requirement (Quality objectives) shall apply,

2.2.1.4 ISO 9001:2000 (4.2.2) requirement (Quality manual) shall apply, or
ISO 9001:1994 (4.2.1) requirement (General) shall apply:
Delete: NOTE 6.

2.2.2 Quality system procedures [Process Establishment]

2.2.2.1 ISO 9001:2000 (4.2) requirement (Documentation requirements) shall apply, or
ISO 9001:1994 (4.2.2) requirement (Quality system procedures) shall apply.

Add: "All organization-tailored primary and supporting processes (and associated activities and tasks) shall be based on ISO/IEC 12207 (see chapters 3 & 4 of this publication). The Quality system procedures shall implement these organization-tailored primary and supporting processes."

Note: AQAP-160 Edition 1. (2.2.2) requirement corresponds to ISO/IEC 12207 7.3.1 "Process establishment" of the Improvement Process.

2.2.3 Internal quality audits and Corrective Action [Process Assessment]

2.2.3.1 ISO 9001:2000 (8.2.2) requirement (Internal audit) shall apply:
Delete: NOTE,
or
ISO 9001:1994 (4.17) requirement (Internal quality audits) shall apply:
Delete: Note 21.

Add: "Internal quality audits shall also address process assessment of all organization-tailored primary and supporting processes (and associated activities and tasks) based on ISO/IEC 12207 (see chapters 3 & 4 of this publication)."

2.2.3.2 ISO 9001:2000 (8.5.2) requirement (Corrective action) shall apply, or
ISO 9001:1994 (4.14.2) requirement (Corrective action) shall apply.

Note: AQAP-160 Edition 1 (2.2.3) requirement corresponds to ISO/IEC 12207 7.3.2 "Process assessment" of the Improvement Process.

2.2.4 Preventive Action [Process Improvement]

2.2.4.1 ISO 9001:2000 (8.5.3) requirement (Preventive action) shall apply, or
ISO 9001:1994 (4.14.3) requirement (Preventive action) shall apply.2.2.4.2 ISO/IEC 12207 (7.3.3) requirement (Process improvement) shall apply:
Change: "Organization" into "Supplier".

Note: AQAP-160 Edition 1 (2.2.4) requirement corresponds to ISO/IEC 12207 7.3.3 "Process improvement" of the Improvement Process.

2.2.5 Control of quality records

- 2.2.5.1 ISO 9001:2000 (4.2.4) requirement shall (Control of records) apply, or
ISO 9001:1994 (4.16) requirement (Control of quality records) shall apply.

2.2.6 Quality system maintenance

- 2.2.6.1 ISO 9001:2000 (5.4.2) requirement (Quality management system planning) shall apply,

- 2.2.6.2 ISO 9001:2000 (7.1) requirement (Planning of product realization) shall apply, or
ISO 9001:1994 (4.2.3) requirement (Quality planning) shall apply.

2.2.7 Control of inspection, measuring and test equipment

- 2.2.7.1 ISO 9001:2000 (7.6) requirement (Control of monitoring and measuring devices) shall
apply:

Note: For further details, consult ISO 10012-1, or
ISO 9001:1994 (4.11) requirement (Control of inspection, measuring and test equipment)
shall apply:

Note: For further details, consult ISO 10012-1.

Chapter 3

Primary life cycle processes requirements

3.1 Supply process

ISO/IEC 12207 (5.2) requirement (Supply process) shall apply.

3.1.1 ISO/IEC 12207 (5.2.1) requirement (Initiation) shall apply.

3.1.2 ISO/IEC 12207 (5.2.2) requirement (Preparation of response) shall apply.

3.1.3 ISO/IEC 12207 (5.2.3) requirement (Contract) shall apply.

3.1.4 ISO/IEC 12207 (5.2.4) requirement (Planning) shall apply.

3.1.5 ISO/IEC 12207 (5.2.5) requirement (Execution and control) shall apply.

3.1.5.1 ISO/IEC 12207 (5.2.5.1) requirement shall apply.

3.1.5.2 ISO/IEC 12207 (5.2.5.2) requirement shall apply:

- a. Add: “d) Acquire the software product in accordance with the ‘Acquisition Process (to be invoked by the supplier)’ (AQAP-160 Edition 1 (3.2) requirement).

Note: The ‘Acquisition Process (to be invoked by the supplier)’ shall be used to control all products provided by other external (or internal) organizations to the supplier.”

- b. Add: “e) Produce and deploy the software product in accordance with Production and Deployment Process (AQAP-160 Edition 1.(3.4) requirement).”

3.1.5.3 ISO/IEC 12207 (5.2.5.3) requirement shall apply.

3.1.5.4 ISO/IEC 12207 (5.2.5.4) requirement shall apply:

Change: “Acquisition Process (5.1)” to “Acquisition Process (to be invoked by the supplier) (AQAP-160 Edition 1. (3.2) requirement).”

3.1.5.5 ISO/IEC 12207 (5.2.5.5) requirement shall apply.

3.1.5.6 ISO/IEC 12207 (5.2.5.6) requirement shall apply.

3.1.6 ISO/IEC 12207 (5.2.6) requirement (Review and evaluation) shall apply.

3.1.7 Contract review

3.1.7.1 ISO 9001:2000 (5.2) requirement (Customer focus) shall apply,

3.1.7.2 ISO 9001:2000 (7.2) requirement (Customer related processes) shall apply, or ISO 9001:1994 (4.3) requirement (Contract review) shall apply.

- 3.2 Acquisition process (to be invoked by the supplier)
 ISO/IEC 12207 (5.1) requirement (Acquisition process) shall apply.
 Change: "acquirer" into "supplier".
 Change: "supplier" into "subcontractor".
 Change: "will" into "shall".
- 3.2.1 ISO/IEC 12207 (5.1.1) requirement (Initiation) shall apply.
- 3.2.2 ISO/IEC 12207 (5.1.2) requirement (Request-for-proposal [-tender] preparation) shall apply.
- 3.2.3 ISO/IEC 12207 (5.1.3) requirement (Contract preparation and update) shall apply.
- 3.2.3.1 ISO/IEC 12207 (5.1.3.1) requirement shall apply.
- 3.2.3.2 ISO/IEC 12207 (5.1.3.2) requirement shall apply.
- 3.2.3.3 ISO/IEC 12207 (5.1.3.3) requirement shall apply.
- 3.2.3.4 ISO/IEC 12207 (5.1.3.4) requirement shall apply.
- 3.2.3.5 ISO/IEC 12207 (5.1.3.5) requirement shall apply:
 delete NOTE.
- 3.2.4 ISO/IEC 12207 (5.1.4) requirement (Supplier monitoring) shall apply.
- 3.2.5 ISO/IEC 12207 (5.1.5) requirement (Acceptance and completion) shall apply.
- 3.2.6 ISO 9001:2000 (7.4.1) requirement (Purchasing process) shall apply, or
 ISO 9001:1994 (4.6.2) requirement (Evaluation of subcontractors) shall apply.
- 3.2.7 ISO 9001:2000 (7.4.2) requirement (Purchasing information) shall apply, or
 ISO 9001:1994 (4.6.3) requirement (Purchasing data) shall apply.
- 3.2.8 ISO 9001:2000 (7.4.3) requirement (Verification of purchased product) shall apply, or
 ISO 9001:1994 (4.6.4.1) requirement (Supplier verification at subcontractor's premises)
 shall apply.
- 3.2.9 ISO 9001:2000 (7.4.3) requirement (Verification of purchased product) shall apply, or
 ISO 9001:1994 (4.6.4.2) requirement (Customer verification of subcontracted product)
 shall apply.
- 3.2.10 ISO 9001:2000 (7.5.4) requirement (Customer property) shall apply, or
 ISO 9001:1994 (4.7) requirement (Control of customer-supplied product) shall apply.
- 3.2.11 Receiving inspection and testing
- 3.2.11.1 ISO 9001:2000 (7.4.3) requirement (Verification of purchased product) shall apply,
- 3.2.11.2 ISO 9001:2000 (7.5.1) requirement (Control of production and service provision) shall
 apply,
- 3.2.11.3 ISO 9001:2000 (8.2.4) requirement (Monitoring and measuring of product) shall apply, or
 ISO 9001:1994 (4.10.2) requirement (Receiving inspection and testing) shall apply.

3.3 Development process

ISO/IEC 12207 (5.3) requirement (Development process) shall apply.

Delete: "12) Software installation;"

Delete: "13) Acceptance support;"

3.3.1 ISO/IEC 12207 (5.3.1) requirement (Process implementation) shall apply.

3.3.1.1 ISO/IEC 12207 (5.3.1.1) requirement shall apply.

3.3.1.2 ISO/IEC 12207 (5.3.1.2) requirement shall apply.

3.3.1.3 ISO/IEC 12207 (5.3.1.3) requirement shall apply.

3.3.1.4 ISO/IEC 12207 (5.3.1.4) requirement shall apply.

3.3.1.5 ISO/IEC 12207 (5.3.1.5) requirement shall apply:

Add: "Objective evidence shall exist, prior to the use of non-deliverable items in the Development process, that they will perform the required functions."

3.3.2 ISO/IEC 12207 (5.3.2) requirement (System requirements analysis) shall apply.

3.3.3 ISO/IEC 12207 (5.3.3) requirement (System architectural design) shall apply.

3.3.4 ISO/IEC 12207 (5.3.4) requirement (Software requirements analysis) shall apply.

3.3.4.1 ISO/IEC 12207 (5.3.4.1) requirement shall apply:

Change:"a) Functional and capability specifications, including performance, physical characteristics, environmental conditions, stress conditions, boundary conditions and out-of-limit conditions, under which the software item is to perform."

Add: "l) Specifications describing the prevention of undesired software behaviour (what the software should not do);"

Add: "m) Software behaviour in the event of a failure (e.g. graceful degradation, shutdown);"

Add: "n) Development constraints;"

Add: "o) Quality characteristics.

Note: See also AQAP-160 Edition 1 - 4.12 Measurement process.

3.3.4.2 ISO/IEC 12207 (5.3.4.2) requirement shall apply.

3.3.4.3 ISO/IEC 12207 (5.3.4.3) requirement shall apply.

3.3.5 ISO/IEC 12207 (5.3.5) requirement (Software architectural design) shall apply.

3.3.6 ISO/IEC 12207 (5.3.6) requirement (Software detailed design) shall apply.

3.3.7 ISO/IEC 12207 (5.3.7) requirement (Software coding and testing) shall apply.

3.3.8 ISO/IEC 12207 (5.3.8) requirement (Software integration) shall apply.

3.3.9 ISO/IEC 12207 (5.3.9) requirement (Software qualification testing) shall apply.

- 3.3.10 ISO/IEC 12207 (5.3.10) requirement (System integration) shall apply.
- 3.3.11 ISO/IEC 12207 (5.3.11) requirement (System qualification testing) shall apply.
- 3.3.12 System validation
 - 3.3.12.1 The system shall be validated against specific intended use.
 - 3.3.12.2 The validated system shall be evaluated considering the criteria below.
 - The results of the evaluation shall be documented.
 - (a) Test coverage of the specific intended use of the system;
 - (b) Conformance to expected validation results;
 - (c) Feasibility of operation and maintenance.
- 3.4 Production and Deployment process
 - 3.4.1 Process Implementation
 - 3.4.1.1 The producer shall develop, document and execute plans and procedures for the replication, the release, the delivery, the installation and the acceptance support of the software.
 - 3.4.1.2 The producer shall implement or establish a documented organizational interface with the Configuration Management process (AQAP-160 Edition 1. (4.2.) requirement).
 - 3.4.1.3 Whenever problems are encountered, they shall be recorded and entered into the Problem Resolution process (AQAP-160 Edition 1 (4.8) requirement). The producer shall provide feedback to the developer or other involved parties.
 - Note 1: The “supplier” of ISO 9001:1994 or the “organization” of ISO 9001:2000 is identical to the “producer” in AQAP-160 Edition 1.
 - Note 2: For guidance see ISO 9000-3 (4.9)-requirement.
 - 3.4.2 Replication
 - 3.4.2.1 ISO 9001:2000 (6.3) requirement (Infrastructure) shall apply,
 - 3.4.2.2 ISO 9001:2000 (6.4) requirement (Work environment) shall apply,
 - 3.4.2.3 ISO 9001:2000 (7.5.1) requirement (Control of production and service provision) shall apply,
 - 3.4.2.4 ISO 9001:2000 (7.5.2) requirement (Validation of processes for production and service provision) shall apply, or ISO 9001:1994 (4.9) requirement (Process control) shall apply.
 - 3.4.3 Release
 - 3.4.3.1 ISO 9001:2000 (6.3) requirement (Infrastructure) shall apply,
 - 3.4.3.2 ISO 9001:2000 (6.4) requirement (Work environment) shall apply,
 - 3.4.3.3 ISO 9001:2000 (7.5.1) requirement (Control of production and service provision) shall apply,
 - 3.4.3.4 ISO 9001:2000 (7.5.2) requirement (Validation of processes for production and service provision) shall apply, or ISO 9001:1994 (4.9) requirement (Process control) shall apply.

- 3.4.4 Delivery
 - 3.4.4.1 ISO 9001:2000 (7.5.1) requirement (Control of production and service provision) shall apply, or
ISO 9001:1994 (4.9) requirement (Process control) shall apply.
 - 3.4.4.2 ISO/IEC 12207 (5.2.7) requirement (Delivery and completion) shall apply.
- 3.4.5 Installation
 - 3.4.5.1 Process control
 - 3.4.5.1.1 ISO 9001:2000 (7.1) requirement (Planning of product realization) shall apply,
 - 3.4.5.1.2 ISO 9001:2000 (7.5.1) requirement (Control of production and service provision) shall apply,
 - 3.4.5.1.3 ISO 9001:2000 (7.5.2) requirement (Validation of processes for production and service provision) shall apply, or
ISO 9001:1994 (4.9) requirement (Process control) shall apply.
 - 3.4.5.2 Software installation
 - 3.4.5.2.1 ISO/IEC 12207 (5.3.12) requirement (Software installation) shall apply.
- 3.4.6 Acceptance Support
 - ISO/IEC 12207 (5.3.13) requirement (Software acceptance support) shall apply.
- 3.5 Operation process
 - ISO/IEC 12207 (5.4) requirement (Operation process) shall apply.
 - 3.5.1 ISO/IEC 12207 (5.4.1) requirement (Process Implementation) shall apply.
 - 3.5.2 ISO/IEC 12207 (5.4.2) requirement (Operational Testing) shall apply.
 - 3.5.3 ISO/IEC 12207 (5.4.3) requirement (System operation) shall apply.
 - 3.5.4 ISO/IEC 12207 (5.4.4) requirement (User support) shall apply.
- 3.6 Maintenance process
 - ISO/IEC 12207 (5.5) requirement (Maintenance process) shall apply.
 - 3.6.1 ISO/IEC 12207 (5.5.1) requirement (Process Implementation) shall apply.
 - 3.6.2 ISO/IEC 12207 (5.5.2) requirement (Problem and modification analysis) shall apply.
 - 3.6.3 ISO/IEC 12207 (5.5.3) requirement (Modification implementation) shall apply.
 - 3.6.4 ISO/IEC 12207 (5.5.4) requirement (Maintenance review/acceptance) shall apply.
 - 3.6.5 ISO/IEC 12207 (5.5.5) requirement (Migration) shall apply.
 - 3.6.6 ISO/IEC 12207 (5.5.6) requirement (Software retirement) shall apply.

Chapter 4

Supporting life cycle processes requirements

- 4.1 Documentation process
 - ISO/IEC 12207 (6.1) requirements (Documentation process) shall apply.
- 4.1.1 ISO/IEC 12207 (6.1.1) requirements (Process implementation) shall apply.
- 4.1.2 ISO/IEC 12207 (6.1.2) requirements (Design and development) shall apply.
- 4.1.3 ISO/IEC 12207 (6.1.3) requirements (Production) shall apply.
- 4.1.4 ISO/IEC 12207 (6.1.4) requirements (Maintenance) shall apply.
- 4.2 Configuration management process
 - ISO/IEC 12207 (6.2) requirement (Configuration management process) shall apply.
- 4.2.1 ISO/IEC 12207 (6.2.1) requirement (Process implementation) shall apply.
- 4.2.1.1 ISO/IEC 12207 (6.2.1.1) requirement shall apply:
 - Add: "The plan shall address configuration management of non-deliverable items and subcontracted items".
- 4.2.2 ISO/IEC 12207 (6.2.2) requirement (Configuration identification) shall apply.
- 4.2.3 ISO/IEC 12207 (6.2.3) requirement (Configuration control) shall apply.
- 4.2.4 ISO/IEC 12207 (6.2.4) requirement (Configuration status accounting) shall apply.
- 4.2.5 ISO/IEC 12207 (6.2.5) requirement (Configuration evaluation) shall apply.
- 4.2.6 ISO/IEC 12207 (6.2.6.) requirement (Release management and delivery) shall apply.
- 4.2.6.1 ISO/IEC 12207 (6.2.6.1) requirement shall apply:
 - Delete: second sentence.
- 4.2.7 Handling, storage, packaging, preservation and delivery
 - 4.2.7.1 ISO 9001:2000 (7.1) requirement (Planning of product realization) shall apply,
 - 4.2.7.2 ISO 9001:2000 (7.5.5) requirement (Preservation of product) shall apply, or ISO 9001:1994 (4.15) requirement (Handling, storage, packaging, preservation and delivery) shall apply.

4.3 Quality assurance process

ISO/IEC 12207 (6.3) requirement (Quality assurance process) shall apply.

4.3.1 ISO/IEC 12207 (6.3.1) requirement (Process implementation) shall apply.

4.3.1.1 ISO/IEC 12207 (6.3.1.1) requirement shall apply.

4.3.1.2 ISO/IEC 12207 (6.3.1.2) requirement shall apply.

4.3.1.3 ISO/IEC 12207 (6.3.1.3) requirement shall apply:

Add: "The Quality Plan shall be consistent with all other project-related plans.

Note: Annex C contains relevant information for an integrated approach to the Quality Plan."

4.3.1.4 ISO/IEC 12207 (6.3.1.4) requirement shall apply.

4.3.1.5 ISO/IEC 12207 (6.3.1.5) requirement shall apply.

4.3.1.6 ISO/IEC 12207 (6.3.1.6) requirement shall apply.

4.3.2 ISO/IEC 12207 (6.3.2) requirements (Product assurance) shall apply.

4.3.3 ISO/IEC 12207 (6.3.3) requirements (Process assurance) shall apply.

4.4 Verification process

ISO/IEC 12207 (6.4) requirement (Verification process) shall apply.

4.4.1 ISO/IEC 12207 (6.4.1) requirement (Process implementation) shall apply.

4.4.1.1 ISO/IEC 12207 (6.4.1.1) requirement shall apply.

4.4.1.2 ISO/IEC 12207 (6.4.1.2) requirement shall apply.

4.4.1.3 ISO/IEC 12207 (6.4.1.3) requirement shall apply.

4.4.1.4 ISO/IEC 12207 (6.4.1.4) requirement shall apply.

4.4.1.5 ISO/IEC 12207 (6.4.1.5) requirement shall apply.

4.4.1.6 ISO/IEC 12207 (6.4.1.6) requirement shall apply:

Change: "All problems and non-conformances shall be resolved and reverified in accordance with the Verification plan."

4.4.2 ISO/IEC 12207 (6.4.2) requirements (Verification) shall apply.

4.5 Validation process

ISO/IEC 12207 (6.5) requirement (Validation process) shall apply.

4.5.1 ISO/IEC 12207 (6.5.1) requirement (Process implementation) shall apply.

4.5.1.1 ISO/IEC 12207 (6.5.1.1) requirement shall apply.

4.5.1.2 ISO/IEC 12207 (6.5.1.2) requirement shall apply.

- 4.5.1.3 ISO/IEC 12207 (6.5.1.3) requirement shall apply.
- 4.5.1.4 ISO/IEC 12207 (6.5.1.4) requirement shall apply.
- 4.5.1.5 ISO/IEC 12207 (6.5.1.5) requirement shall apply:
Change: "All problems and non-conformances shall be resolved and revalidated in accordance with the Validation plan."
- 4.5.2 ISO/IEC 12207 (6.5.2) requirements (Validation) shall apply.
- 4.6 Joint review process
ISO/IEC 12207 (6.6) requirements (Joint review process) shall apply.
- 4.6.1 ISO/IEC 12207 (6.6.1) requirements (Process implementation) shall apply.
- 4.6.2 ISO/IEC 12207 (6.6.2) requirements (Project management reviews) shall apply.
- 4.6.3 ISO/IEC 12207 (6.6.3) requirements (Technical reviews) shall apply.
- 4.7 Audit process
ISO/IEC 12207 (6.7) requirements (Audit process) shall apply.
- 4.7.1 ISO/IEC 12207 (6.7.1) requirements (Process implementation) shall apply.
- 4.7.2 ISO/IEC 12207 (6.7.2) requirements (Audit) shall apply.
- 4.8 Problem resolution process
ISO/IEC 12207 (6.8) requirement (Problem resolution process) shall apply.
- 4.8.1 ISO/IEC 12207 (6.8.1) requirement (Process implementation) shall apply.
- 4.8.1.1 ISO/IEC 12207 (6.8.1.1) requirement shall apply:
Change: "A Problem Resolution process shall be established for handling all problems (including non-conformances as well as causes of potential non-conformances) detected in software products and activities.
Note: Non-conformances can have technical or managerial nature."
Add to d): "Unmodified parts that could be impacted by the corrective actions shall be analyzed whether they have been impacted and whether no additional problems have been introduced."
Add: "e) The practice of software patching after baseline shall be restricted and shall not be done without prior approval by the acquirer. All software patches shall be treated as software items under configuration management and shall be clearly identifiable as patches."
Add: "f) Control shall be provided for identification, documentation, evaluation, disposition, segregation and archiving of nonconforming product to prevent unintended use or installation.
Note: For guidance see ISO 9000-3 (4.13)."

4.8.2 ISO/IEC 12207 (6.8.2) requirements (Problem resolution) shall apply.

4.9 Management process

ISO/IEC 12207 (7.1) requirement (Management process) shall apply.

4.9.1 ISO/IEC 12207 (7.1.1) requirement (Initiation and scope definition) shall apply.

4.9.2 ISO/IEC 12207 (7.1.2) requirement (Planning) shall apply.

4.9.3 ISO/IEC 12207 (7.1.3) requirement (Execution and control) shall apply.

4.9.3.1 ISO/IEC 12207 (7.1.3.1) requirement shall apply:
Change: "plan" into "plans"

4.9.3.2 ISO/IEC 12207 (7.1.3.2) requirement shall apply.

4.9.3.3 ISO/IEC 12207 (7.1.3.3) requirement shall apply.

4.9.3.4 ISO/IEC 12207 (7.1.3.4) requirement shall apply.

4.9.4 ISO/IEC 12207 (7.1.4) requirement (Review and evaluation) shall apply.

4.9.5 ISO/IEC 12207 (7.1.5) requirement (Closure) shall apply.

4.10 Infrastructure Process

ISO/IEC 12207 (7.2) requirements (Infrastructure process) shall apply.

4.10.1 ISO/IEC 12207 (7.2.1) requirements (Process implementation) shall apply.

4.10.2 ISO/IEC 12207 (7.2.2) requirements (Establishment of the infrastructure) shall apply.

4.10.3 ISO/IEC 12207 (7.2.3) requirements (Maintenance of the infrastructure) shall apply.

Note: ISO/IEC 12207 requirement 7.2 is seen in the context of a project-level infrastructure. AQAP-160 Edition 1 (2.1.2.2) requirement is the same requirement in the context of an organizational-level infrastructure.

4.11 Training Process

ISO/IEC 12207 (7.4) requirements (Training process) shall apply.

4.11.1 ISO/IEC 12207 (7.4.1) requirements (Process implementation) shall apply.

4.11.2 ISO/IEC 12207 (7.4.2) requirements (Training material development) shall apply.

4.11.3 ISO/IEC 12207 (7.4.3) requirements (Training plan implementation) shall apply.

4.12 Measurement Process

The Measurement Process is a process for assessing the capability of software life cycle processes and for evaluating the quality of software products.

This process should be executed to a varying extent according to the maturity of the executing organization and according to the contract requirements for measurement.

This process should always be tailored for a project in accordance with the Tailoring Process in Chapter 5.

4.12.1 Process implementation

- 4.12.1.1 ISO 9001:2000 (8.1) requirement (General) shall apply, or
ISO 9001:1994 (4.20) requirement (Statistical techniques) shall apply.

- 4.12.1.2 A Measurement Process shall be implemented.

Note: For further details, consult ISO/IEC 15939 'Software Measurement Process'.

- 4.12.1.3 Measurement shall be based on ISO/IEC 12207 processes, activities, tasks and their possible associated life cycle data.

4.12.2 Process measurement

- 4.12.2.1 ISO 9001:2000 (8.2.3) requirement (Monitoring and measurement of processes) shall apply, or

a method for assessing the capability of software life cycle processes shall be defined and documented.

Note: (1) For further details, consult ISO/IEC 15504
(2) Assessment methods can include but are not limited to: SPICE, SEI's CMM, BOOTSTRAP, etc.

4.12.3 Product measurement

- 4.12.3.1 ISO 9001:2000 (8.2.4) requirement (Monitoring and measurement of product) shall apply, or Appropriate software product quality characteristics shall be defined.

Note: For further details, consult ISO/IEC 9126 and related ISO/IEC 14598.

- 4.12.3.2 A software product quality characteristics evaluation method should be defined, documented and implemented.

Chapter 5

Tailoring process requirements

5.1 Tailoring process

- 5.1.1 The requirements of Chapters 3 and 4 of this Publication shall be tailored, and the tailoring results shall be documented.
- 5.1.2 The provisions of Chapter 1, paragraph 1.4 shall apply
- 5.1.3 ISO/IEC 12207 (Annex A) requirement (Tailoring process) shall apply.
 - 5.1.3.1 ISO/IEC 12207 (Annex A.A1) requirement (Identifying project environment) shall apply.
 - 5.1.3.2 ISO/IEC 12207 (Annex A.A2) requirement (Soliciting inputs) shall apply.
 - 5.1.3.3 ISO/IEC 12207 (Annex A.A3) requirement (Selecting processes, activities, and tasks) shall apply.
 - 5.1.3.4 ISO/IEC 12207 (Annex A.A4) requirement (Documenting tailoring decisions and rationale) shall apply.
 - 5.1.3.4.1 ISO/IEC 12207 (AnnexA.A4.1) requirement shall apply:
Change: “All tailoring decisions shall be documented together with rationale for decisions in accordance with Annex B”.

Chapter 6

NATO-specific requirements

6.1 Assistance for Government Quality Assurance

- 6.1.1 The supplier shall provide the acquirer's authority designated in the contract or its authorized representative, herein referred to as the QAR with the accommodation and facilities required for proper accomplishment of GQA and shall provide any assistance required by the QAR for evaluation, verification, documentation or release of the product. The term QAR is to be read with the same meaning as the term 'acquirer'.
- 6.1.2 The QAR shall have the right of access to any area of the supplier's or subcontractor's facilities where any part of the contracted work is being performed. The QAR shall be afforded unrestricted opportunity to evaluate compliance with quality system procedures and to verify conformance of product with contract requirements. The supplier shall make available for reasonable use by the QAR the equipment necessary for all verification purposes. Supplier personnel shall be made available for operation of such equipment as required.
- 6.1.3 Government verification at subcontractor's facilities may be requested only by the QAR. When the QAR determines that government verification is required at subcontractor facilities the contractor shall provide for this in the purchasing document and forward copies with relevant technical data to the QAR on request.

6.2 Software quality management system (quality system)

- The quality system, as required in AQAP-160 Edition 1 (2.2) requirement, shall be effective and economical in accordance with the provisions of the contract. The quality system shall be acceptable to the QAR.
- 6.2.1 Objective evidence that the quality system is effective, and conforms to the requirements of AQAP-160 Edition 1 (2.2), shall be provided to the QAR on request.
 - 6.2.3 NATO-specific requirements, as stipulated in this chapter, shall be included in the quality audits, required in AQAP-160 Edition 1 (2.2.3) requirement.
 - 6.2.4 The supplier shall correct deficiencies promptly when detected during internal quality audits.

6.3 Products presented to the QAR

- 6.3.1 When required by the contract, the supplier shall submit the Quality Plan, which shall be acceptable to the QAR.
- 6.3.2 The supplier shall ensure that only conforming product is delivered.

6.4 Notification to the QAR

- 6.4.1 The QAR shall be notified of any major deficiencies and corrective actions required.
- 6.4.2 When the supplier establishes that a customer-supplied product is not compatible with the product to be designed, he shall immediately report to and negotiate with the acquirer the remedial actions to be taken. All records of this activity shall be available to the QAR.
- 6.4.3 The supplier shall promptly inform the acquirer and QAR of any problems that are detected relating to customer-supplied products not intended for incorporation into the deliverable product.
- 6.4.4 The supplier shall notify the QAR of non-conforming products received from a subcontractor that had been subject to GQA.

6.5 Availability of information to the QAR

Any quality records and contractual documents used in the execution of the contract are to be available to the QAR on request. These documents can include, but are not limited to:

- 6.5.1 Review results from management review, as required in AQAP-160 Edition 1 (2.1.3) requirement.
- 6.5.2 Internal quality audit results, as required in AQAP-160 Edition 1 (2.2.3) requirement.
- 6.5.3 All records resulting from subcontractor monitoring by the supplier, as required in AQAP-160 Edition 1 (3.2) requirement.
- 6.5.4 Objective evidence that the process assessment method is effective, as required in AQAP-160 Edition 1 (4.12.2.1) requirement.
- 6.5.5 Process assessment results, as required in AQAP-160 Edition 1 (4.12.2) requirement.
- 6.5.6 Objective evidence that the software quality characteristics evaluation method is effective, as required in AQAP-160 Edition 1 (4.12.3.1) requirement.
- 6.5.7 Software product quality characteristics evaluation results, as required in AQAP-160 Edition 1 (4.12.3.2) requirement.

Crossreference-tables (informative)

ANNEX A to
AQAP-160
(Edition 1)

ORIGINAL

ANNEX A to
AQAP-160
(Edition 1)

	ISO 9001:2000 REQUIREMENTS																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																
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Table A-3 : Relationship of AQAP-160 ed 1 requirements to ISO/IEC 12207 requirements

ANNEX A to
AQAP-160
(Edition 1)

	ISO/IEC 12207 REQUIREMENTS																																									
	5.1		5.2			5.3						5.4	5.5	6.1	6.2		6.3		6.4			6.5		6.6	6.7	6.8	7.1		7.2	7.3			7.4									
	5.1	5.1.3.5	5.2	5.2.5.2	5.2.5.4	5.2.7	5.3	5.3.1.5	5.3.4.1	5.3.4.3	5.3.12	5.3.13	5.4	5.5	6.1	6.2	6.2.1.1	6.2.6.1	6.3	6.3.1.3	6.3.4	6.4	6.4.1	6.4.1.6	6.5	6.5.1.5	6.6	6.7	6.8	6.8.1.1	7.1	7.1.3.1	7.2	7.3.1	7.3.2	7.3.3	7.3.3.1	7.4	Annex A	A.4.1		
AQAP 160 ed 1 REQUIREMENTS																																										
4.1 Documentation process															✓																											
4.2 Configuration management process																✓	M	M																								
4.3 Quality assurance process																			✓	M																						
4.4 Verification process																						✓		M																		
4.5 Validation process																									✓	M																
4.6 Joint review process																										✓																
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4.11 Training process																																								✓		
4.12 Measurement process																																										
4.12.1 Process implementation																																										
4.12.2 Process measurement																																										
4.12.3 Product measurement																																										
5.1 Tailoring process																																									✓	M
	NOTES:																																									
	✓ ISO/IEC 12207 Requirement shall apply (explicit)																																									
	I ISO/IEC 12207 Requirement shall apply (implicit)																																									
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Table A-3 : Relationship of AQAP-160 ed 1 requirements to ISO/IEC 12207 requirements

Documenting the tailoring (normative)

AQAP 160 ed. 1 Process	AQAP 160 ed.1 Activity Number	AC TIVITY/ TASK TAILORING							Task Tailoring Rationale	LIFE CYCLE DATA TAILORING								Data Item Tailoring Rationale
		AQAP 160 ed. 1 Activity Name	12207/ * = 9001: 2000/ ** = 9001: 1994 tasks	Task Tailoring						Life Cycle Data Item			Data Item Tailoring					
				N	E	P	F			Name	Category	Type	N	E	P	F		

Table B-1 : Documenting the tailoring

Relevant information for an integrated approach to the Quality Plan (informative)

- C.1 Purpose of this annex
 - C.1.1 This annex gives an overview of the elements that can be incorporated in the Quality Plan.
 - C.1.2 The basis for the Quality Plan is provided by the project- or application-tailored AQAP-160 Edition 1. AQAP-160 Edition 1 is a life cycle document which integrates all disciplines such as engineering, project management, quality management, etc., and mandates an integrated approach in the Quality Plan.
 - C.1.3 This annex is not meant to provide details on contents and/or format.
 - C.1.4 Nations, organizations, industry and/or individuals can use this annex as a basis for implementing, adjusting and improving their Quality Plan procedure/data item description/policy.
- C.2 Relevant information for the Quality Plan
 - C.2.1 AQAP-160 Edition 1 tailoring
 - C.2.1.1 Tailoring documentation of the AQAP-160 Edition 1 for the specific project and/or application
 - C.2.1.2 Quality system elements
 - a. Reference to the quality manual
 - b. Applicable quality system procedures
 - C.2.2 Project implementation data
 - C.2.2.1 How will the quality system procedures be implemented, executed and controlled for the specific project and/or application.
 - C.2.2.2 Who will be responsible for the implementation, execution and control of quality system procedures for the specific project and/or application.
 - C.2.2.3 When will the quality system procedures be implemented, executed and controlled for the specific project and/or application.
 - C.2.3 The relationship of the Quality Plan to other plans (general reference) such as Project Management Plan, System/software Development Plan, Configuration Management plan, etc.
 - C.2.4 Other aspects that can be addressed:
 - C.2.4.1 General project context;
 - C.2.4.2 Project scope;
 - C.2.4.3 Contract references.