



<b>AEROSPACE RECOMMENDED PRACTICE</b>	<b>ARP9114™</b>	<b>REV. B</b>
	Issued 2005-09 Revised 2021-09  Technically equivalent writings published in all IAQG sectors.  Superseding ARP9114A	
<b>Direct Ship Guidance for Aerospace Companies</b>		

### RATIONALE

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.

### FOREWORD

To assure customer satisfaction, the aviation, space, and defense industry organizations must 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. 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 defense 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. APPLICABLE DOCUMENTS

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

### 2.1 European Aviation Regulations

Available from European Aviation Safety Agency, Postfach 10 12 53, D-50452 Cologne, Germany, Tel: +49-221-8999-000, [www.easa.eu.int](http://www.easa.eu.int).

Commission Regulation (EC) No 748/2012 Annex I (also called Part 21)

European Union Aviation Safety Agency (EASA) Annex I to Executive Director (ED) Decision 2012/020R [also called Acceptable Means of Compliance (AMC) and Guidance Material (GM) to Part 21]

### 2.2 Federal Aviation Administration Publications

Available from Federal Aviation Administration, 800 Independence Avenue, SW, Washington, DC 20591, Tel: 866-835-5322, [www.faa.gov](http://www.faa.gov).

14 CFR Part 21, "Certification Procedures for Products and Articles"

FAA Order 8130.21, "Procedures for Completion and Use of the Authorized Release Certificate, FAA Form 8130-3, Airworthiness Approval Tag"

FAA Advisory Circular (AC) 20-62, "Eligibility, Quality, and Identification of Aeronautical Replacement Parts"

FAA AC 21-29, "Detecting and Reporting Suspected Unapproved Parts"

FAA AC 21-43, "Production Under 14 CFR Part 21, Subparts F, G, K, and O"

### 2.3 SAE Publications

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

AS9100 Quality Management Systems - Requirements for Aviation, Space, and Defense Organizations

## 2.4 ISO Publications

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

ISO 9000:2015            Quality management systems – Fundamentals and vocabulary

## 3. TERMS AND DEFINITIONS

An acronym log for this document is presented in Appendix A. Definitions for general terms other than those defined in this document can be found in ISO 9000 and the IAQG International Dictionary (located on the IAQG website). For the purpose of this document, the following terms and definitions apply:

### 3.1 Approved Manufacturer [also known as Production Approval Holder (PAH)]

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

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

### 3.4 Delegated Inspection

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

NOTE: Delegation of inspection authority can be documented in paper or electronic format.

### 3.5 Direct Ship Authorization

The 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. 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

A 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

An aircraft, aircraft engine, or propeller.

### 3.8 Standard Part

A part manufactured in compliance with an established government or industry-accepted specification that contains design, manufacturing, and uniform identification requirements. The specification must include all information necessary to produce and conform the part, and must be published so that any person/organization may manufacture the part.

### 3.9 Statement of Conformity (SOC)

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

NOTE: Where a SOC is required, the issuance of a Certificate of Conformity (COC) is acceptable.

### 3.10 Supplier

The 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.

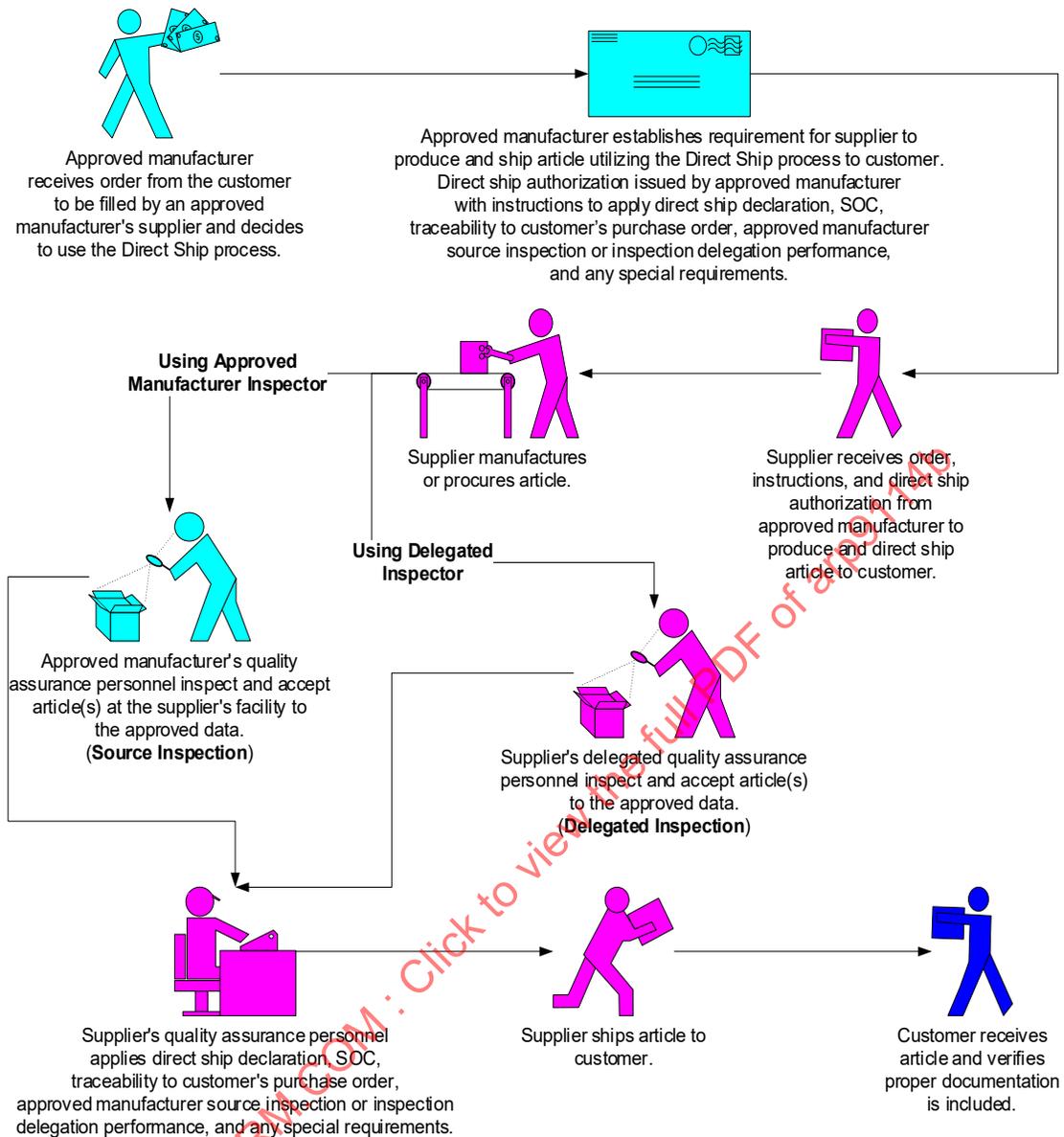
### 4.2 Approved Manufacturer

#### 4.2.1 Procedures

An approved manufacturer that intends to issue direct ship authorization to a supplier must 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:

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

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**Figure 1 - Direct ship flow**

#### 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.

NOTE: Steps 4.2.4.e through 4.2.4.h can be recorded on the SOC/COC or submitted as separate documents.

#### 4.2.5 Special Considerations for Foreign Customers

An approved manufacturer must 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.
- c. Provide a signed or stamped SOC/COC certifying that the article conforms to approved data with the shipment.
- d. 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, also 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.

- e. Show traceability with the shipment to the customer purchase request.
- f. When shipment is to a customer located in a foreign country, ensure the requirements of the importing country have been met prior to shipment.

NOTE: Steps 4.3.2.b through 4.3.2.e can be recorded on the SOC/COC or submitted as separate documents.