A Subsidiary of
ASTM INTERNATIONAL

November 22, 2019

TO SEI NOCSAE PARTICIPANTS:

SEI Certification Bulletin #25
NOCSAE QC/QA Protocol Requirements

As you are aware, SEI recently issued the November 2019 Certification Program Manual (CPM) Revision where updates were made to the SEI NOCSAE certification program quality audit procedures. As many of you know, the NOCSAE QC/QA requirement has proven to be challenging for most SEI NOCSAE participants and has on some occasions delayed the issuance of initial certifications. To help with this issue, the SEI team has taken initiative and made great strides to improve our processes and rectify these challenges associated with the NOCSAE QC/QA requirements.

Initially, when the SEI NOCSAE certification program launched, the required NOCSAE QC/QA protocols for each participant were reviewed and approved by the SEI auditors. However, there was an absence of data available for analysis. The SEI auditors communicated to participants that the initial QC/QA protocol plans were accepted and SEI would reassess the QC/QA protocol plan implementations during future surveillance quality audits when an adequate amount of data was available. During the surveillance quality audits, it became apparent that there were disconnects between what the participant QC/QA protocol plan stated versus what was actually occurring at the manufacturing location. Below is a list of the type(s) of surveillance quality audit observations that led SEI to re-evaluate the SEI NOCSAE certification program audit process to make improvements:

- It became difficult to ascertain whether the participant or the supplier location took ownership of the quality control component
- Participants and/or suppliers were changing the QC/QA protocol plans and moving to reduced sample sizes without appropriate justification nor an adequate amount of data to support the reduction
- Manufacturing locations began struggling to simultaneously implement QC/QA protocols while working with multiple SEI participants

Through these observations, SEI determined that beginning January 1, 2020, SEI will **1) review and approve participant QC/QA plans prior to any quality audit, initial or surveillance, being performed**, and 2) utilize separate Quality Audit Forms specific for the SEI NOCSAE certification program. With these changes, it is SEI's goal to effectively determine if the participant has control of their QC/QA plan, and the supplier is correctly implementing the plan.

For your convenience and review, we have attached to this bulletin, the November 2018 CPM Section 13.B NOCSAE Audit Checklist (NEW!) and CPM Program Section 30 which includes the Remote HQ Audit Report Checklist (Revised), Remote Supplier Audit Report Checklist (Revised), and Form 30.10 B QC QA Review Checklist (NEW!).

SEI CPM Section 30.10 B states:

The SEI participant shall submit their initial QC/QA Protocol/Plan for each product model type being submitted for certification prior to any initial audits being conducted at the headquarters and manufacturing location(s). SEI will review the QC/QA Protocol, using the QC/QA Protocol Review Checklist (see Section 30E QC/QA Protocol Checklist), to determine if the plan meets the NOCSAE QC/QA requirements as specified in NOCSAE ND 001 Standard Drop Impact Test Method and Equipment for Protective Headgear/Equipment and NOCSAE ND 011 Manufacturers Procedural Guide for the Control of Quality and Sample Selection for Testing to NOCSAE Standards. ***A fee will be associated with this pre-approval process****, see Section 30.10 E: Quality Audit Fees.*

Revised QC/QA Protocol/Plan(s) shall be submitted to SEI for approval. Fees may be incurred if excess hours are needed for the review.

SEI's auditor may reassess the QC/QA Protocol/Plan(s) during each audit. Under the SEI Certification Program, the participant retains complete control over the quality and integrity of its products, which includes administering a QC/QA protocol.

SEI CPM Section 30.10 E Quality Audit Fees:

Audit Type	**Fee**
QC/QA Protocol Review	$200, excess hours may be billed and will be determined based on SEI auditor daily rate*
**See CPM Section 7: Participation Fees for specific auditor fees.*	
A 10% surcharge will be added to all quality audit fees. (NOTE: A 10% surcharge fee will not be added to the QC/QA Protocol Review)	

This bulletin serves as a general notification of the changes made to the SEI NOCSAE quality audit procedures. Kate McDonald, SEI's Manager of Finance and Quality Audits, will be contacting each SEI NOCSAE participant starting in the first quarter of 2020 with details for collecting the QC/QA Protocol/Plan for review and approval and an estimated quality audit schedule of the headquarters location and manufacturing location(s).

We hope that you will find these changes to be positive and to help move everyone through the certification process more efficiently. If you have any questions or concerns, please do not hesitate to reach out to either myself or Kate McDonald.

Sincerely,

Tricia Hock
Director, Certification Operations

Kate McDonald
Manager of Finance and Quality Audits

cc: SEI Staff, SEI Quality Auditors, SEI Approved Laboratories
NOCSAE
SFIA

13B NOCSAE Audit Checklist (For Information Purposes Only – Refer to Section 11.10 for actual requirement and its applicability. NOTE: Terminology in parentheses are ISO 9001:2015 equivalent terminology and have been added for reference purposes only for those participants transitioning from ISO 9001:2008 to ISO 9001:2015.)

SEI Certification Program Manual Section 11.10 Reference & Heading		Checked / Comments	(A or OBS or NC or NA or NE)
A	Quality Policy (Policy) - documented - objectives included - all personnel aware - readily available		
B	Organization Chart (Organizational roles, responsibilities and authorities) - all depts. covered - controlled document		
C	Quality Manager (Leadership Team) - shall be specified or position w/ quality responsibility specified - defined responsibilities and authority		
D.1	Quality Manual (Documented Information) - controlled document - available - staff aware - distribution		
D.2	QMS Procedures (Documented information) - available procedures defined - controlled documents - referenced in manual		
D.3	Quality Planning (Quality objectives and planning to achieve them. Planning of changes) - general system described - specific plan available for all SEI certified product groups		

SEI Certification Program Manual Section 11.10 Reference & Heading		Checked / Comments	(A or OBS or NC or NA or NE)
E.1	Design Control and Verification (Design and Development) - design input - design output - reviews - verification - test records - drawings / specification Available -NOCSAE: Product Lifecycle (design changes)		
E.2	Design Changes (Design and development changes) - record of change - testing - authorization of changes - SEI notification		
F	Document Control (Documented information) - approval and issue - distribution - identification of changes - retention of superseded documents - identification of controlled / uncontrolled documents. - control of external documents - SEI program manual available		
G.1	Supplier Control (Control of externally provided products and services) - selection criteria - re-evaluation - supplier audits (critical components)		
G.2	Purchasing Information (Control of externally provided products and services) - data clear on orders - order approval - certification specified		
H	Infrastructure (Infrastructure) - buildings and workspace - process equipment - services		

SEI Certification Program Manual Section 11.10 Reference & Heading		Checked / Comments	(A or OBS or NC or NA or NE)
I	Traceability (Identification and traceability) - identification / raw materials to delivered product - batch / lot identification - finished product traceable to inspection / test records		
J	Process Control (Control of production and service provision) - work instructions / procedures - reference samples - equipment maintenance - process monitoring / measuring - calibration of equipment - product preservation throughout the process - special processes / validation		
K	Preservation of Product (Preservation) - handling - storage - packing - protection - special conditions - delivery		
L	Inspection and Testing (Release of product and services) - methods - equipment - raw materials - production / process control - finished product - testing at specified regular intervals to confirm continued compliance with the reference standard(s) - MANDATORY - lot / batch testing		

SEI Certification Program Manual Section 11.10 Reference & Heading		Checked / Comments	(A or OBS or NC or NA or NE)
M.	Calibration (Monitoring and measuring resources) - equipment listed - equipment identification - calibration status - methods and records - calibration intervals - traceable to national standards - pass / fail criteria specified - tolerances - actions if equipment is found to be out of calibration		
N	Nonconforming Product (Control of nonconforming process outputs) - raw material to finished product - identification - segregation, if possible - review - disposal / rework - notification	`	
O.1	Corrective Action (Nonconformity and corrective action) - complaints, nonconforming reports, audit findings, inspection / test results. - investigation and analysis - identification of any required actions - implementation and effectiveness of agreed actions		
O.2	Preventative Action (Actions to address risks and opportunities) - identification of sources of information - analysis of data - initiation of preventive actions - monitoring / review of action to determine effectiveness		

SEI Certification Program Manual Section 11.10 Reference & Heading		Checked / Comments	(A or OBS or NC or NA or NE)
P	Quality Records (Documented Information) - clear identification - easily retrieved - storage conditions - disposal -NOCSAE: Record Keeping shall be maintained as required in NOCSAE document ND001 Section 14.		
Q	Internal Audits (Internal audit) - program / schedule - independence - training - reports - timely corrective actions - effectiveness of actions - product audits - conformance with product standard		
R	Training (Resources – People) - induction - identification of training needs - qualification / competency - periodic review of training - records		
S	Distribution (Control of production and service provision) - product release authorization - adequate packaging - storage - shipment / delivery methods		
T	Product Recall (Control of nonconforming process outputs) - SEI approved procedure - controlled document - changes submitted to SEI - recall system used since previous audit		

SEI Certification Program Manual Section 11.10 Reference & Heading		Checked / Comments	(A or OBS or NC or NA or NE)
U	Use of the SEI Logo* - logo seen on product - logo seen on labels / information / packaging - applied correctly - only applied to certified product - NOCSAE: The NOCSAE logo and SEI mark shall meet the requirements as specified in NOCSAE document ND001 Section 9 and SEI CPM Section 17		
V	Must meet applicable QC/QA Protocols as specified in NOCSAE document ND001 and SEI CPM Section 30.9.		
V.1	QC/QA Protocol/ Plan -Has the participant developed a plan for each product category? -Has the participant communicated and given instruction of the plan for each product category to each manufacturing location? (Auditor shall review each plan.) -Are the procedures documented? -Who controls the creation/editing of plan? -Who controls execution of plan? -Who reviews and approves the test data analysis results? -Does the participant have control? -Which participant contact reviews/approves the QC/QA final report?		
V.2	Preapproval of QC/QA Protocol/Plan -Was the QC/QA plan(s) submitted to SEI for preapproval? -What was the outcome?		

SEI Certification Program Manual Section 11.10 Reference & Heading		Checked / Comments	(A or OBS or NC or NA or NE)
V.3	Methodology of QC/QA Protocol/Plan -Does the methodology identify which method is used and why? (Lot batch acceptance AQL / Statistical process control (SPC) / other) -Does the data support the method chosen?		
V.4	Sample Size Determination -What is the rationale for sample size determination? -Have there been any changes to sample size and why? -Has SEI approved revised QC/QA Protocol/Plan due to change in sample size?		
V.5a	Acceptable Quality Limit (AQL): -Does normal inspection apply? -Is a standardized plan applied? (ISO, ANSI, or MIL-STD) -What is the sampling size according to plan (AQL attribute or variable?) -If there is rule switching to deviation from the standard what is the justification? -Is there process control being applied on key manufacturing processes (if applicable) -Has there been sampling reduction and how is it justifiable (refer to ND011, section 4.6)?		
V.5.b	Statistical Process Control (SPC): -Was the method applied correctly? -Are they using a Process Capability Index (Cpk) or a Process Performance Index (Ppk) method? -Is Cpk or Ppk meeting the requirements? -Can the lot size be justified? -Do the samples selected represent the production (in time-ordered sequence etc.)?		

SEI Certification Program Manual Section 11.10 Reference & Heading		Checked / Comments	(A or OBS or NC or NA or NE)
V.6	NOCSAE Equipment Levels -Does the QC/QA Protocol/Plan meet equipment level requirements (I, II, or III)?		
V.7	Testing and Data Analysis -Where is the testing taking place? -Were all tests required by NOCSAE product standard adequately covered? -Include evidence of supporting documentation (i.e.: test data sheets, test reports, etc). -Auditor shall review the test data and test reports for validity (i.e.: fraudulent data). -What was the outcome of the QC/QA data analysis?		
V.8	QC/QA Testing Failures and Corrective Actions -Is there a secondary sampling plan in place in the event of testing failures (tighten sampling, additional sampling)? -If test failures occurred was the secondary plan executed? -What corrective actions were implemented as a result of the testing failures? -What product containment actions were put in place as a result of the testing failures? -If the QC/QA Protocol/Plan was revised as a result of the testing failures, was SEI notified?		
V.9	Revisions -Any changes to the QC/QA Protocol/Plan since last audit? -Has the revised plan been sent to SEI for review and approval? -What was the outcome of the review?		

SEI Certification Program Manual Section 11.10 Reference & Heading		Checked / Comments	(A or OBS or NC or NA or NE)
V.10	Production -What are the current year's dates of production and production/lot/batch size? -Include with audit report evidence of supporting documentation (i.e.: purchase orders with model information, order quantity, etc)		
Samples selected* - samples selected as specified			
SEI Certification Letter(s)* - letter(s) available - certified models covered (incl. Private labeled models)			

*=Surveillance

Safety Equipment Institute

SEI Certification Program Manual

Section 30: NOCSAE Athletic Equipment Program

30.0 NOCSAE Athletic Equipment Standards

Baseball/Softball

- **ND022-18** Baseball/Softball Batter's Helmets
- **ND024-18** Baseball/Softball Catcher's Helmets with Faceguard
- **ND027-18** Baseballs
- **ND029-18** Baseball/Softball Fielder's Headgear
- **ND072-18** Baseball/Softball Batter's Helmet Mounted Face Protector
- **ND200-18** Chest Protectors for Commotio Cordis

Football

- **ND002-13** Football Helmets
- **ND002-17** Football Helmets
- **ND019-10** Football Players Hand Coverings
- **ND087-18** Football Faceguards

Hockey

- **ND030-11** Hockey Helmets
- **ND035-11** Hockey Face Protectors

Lacrosse

- **ND041-15** Lacrosse Helmets with Faceguards
- **ND045-17** Lacrosse Face Protectors
- **ND049-19** Lacrosse Balls
- **ND200-18** Chest Protectors for Commotio Cordis

Polo

- **ND050-11** Polo Helmets
- **ND055-11** Helmet Mounted Polo Eye Protection

Soccer

- **ND090-06** Soccer Shin Guards

Field Hockey

- **ND061-14** Field Hockey Headgear
- **ND069-14** Field Hockey Balls

Hardware

- **ND015-15** Hardware Corrosion Characteristics

30.1 Certification Submittal Package

The existence of an executed, valid license agreement with NOCSAE is prerequisite to SEI issuing certification. A Certification Submittal Package shall include an SEI Certification Submittal form (*see Section 30A: SEI Certification Submittal Form*) and a Components & Materials Description Checklist form (*see Section 30B: General Components & Materials Description Checklist*) for each product model, variant or accessory being submitted. Completion of the submittal package serves four primary purposes:

1. The submittal package provides SEI and the SEI Quality Assurance Auditor with a description of new, modified or existing products to be selected for annual certification.

2. The information provided by the manufacturer in the submittal package confirms to SEI the product design and components.

3. Receipt of the submittal package by the testing laboratory, from SEI, serves as the laboratory's authorization to begin testing the product(s) and allows laboratory personnel to verify that the correct product samples have been received.

4. The return of a signed copy of the submittal form from the testing laboratory provides SEI with a record of the date testing was completed on the product model.

Over the life of the product, subsequent submittal packages shall document that the product model submitted for certification testing is identical to samples **previously** tested, except where Class I model changes have been tested and documented through the submission of additional SEI submittal packages or documented Class II changes have been made. It is therefore necessary that each submittal to SEI include sufficient product description information, which is achieved by a complete components and materials listing to uniquely and unambiguously identify the product model in question (see Section 14: Product Changes).

SEI Certification Submittal Form

Each submittal must be identified on the submittal form as either (1) initial certification, (2) annual certification, (3) Class I change, or (4) Class II change. Finished product manufacturing facilities (assembly) located at a different address (i.e. suppliers or company-owned factories) shall be identified in Section 3 of the submittal form. The SEI Certification Submittal Form shall be signed by the authorized manufacturer representative within the participating company having the authority to authorize expenditures for testing.

Components & Materials Description List

The product description information may be (a) listed on the Component and Materials Description Checklist form, (b) provided as a separate listing by the manufacturer (i.e. Bill of Materials), or (b) appropriate engineering drawings/ specification sheets. Use of Section 30B: General Components and Materials Description Checklist form is recommended. The following information is to be included on each Components & Materials Description Checklist. Brief examples are provided for guidance.

A. Description of Major Components

All major components and materials shall be identified and described. Where possible, include brand name and part number, supplier name and location.

B. Primary Materials

Materials used in the construction of major components shall be identified. Identification shall include trade names, if applicable. All changes shall be reported to SEI for evaluation and possible action.

C. Manufacturing Locations

All locations in which the product model is manufactured or assembled must be identified on the SEI Certification Submittal Form. If major components are manufactured by another company and purchased by the SEI participants, the name and address of the manufacturing facility and contact name shall be identified on the Components & Materials Description Checklist.

D. Specification Sheets or Technical Bills of Materials

Product specification sheets or technical bills of materials (BOM) may be included with the SEI Certification Submittal Form in addition to the Components & Materials description checklist to fulfill some or all other requirements noted above. In the case of annual recertification, the appropriate documents (i.e., submittal form and components and materials listing or BOM) shall be prepared prior to the sample selection audit and available to the auditor during the audit for reference and confirmation of product.

E. Confidentiality

All product information received by SEI staff, the SEI Quality Assurance Auditor, or the SEI testing laboratory shall be considered confidential and shall not be released to any third party without written authorization to do so (with the exceptions noted in *Section 30F: SEI Manufacturer's Agreement: NOCSAE Athletic Equipment Certification Program* for response to a subpoena, court order or other compulsory process).

30.2 NOCSAE Athletic Equipment Program Codes

SEI utilizes SEI Reference Numbers internally to identify each SEI participant and their unique models and variants. The first set of three letters indicates which standard the model/variant is being certified to. The second set of three letters indicates the SEI participant's identification. The numbers are used chronologically to indicate each model being certified.

eg: BBH ABC 01 (ABC = Participant name)

SEI Reference Program Code	Standard Description	Product Type	Standard
BBH	Standard Performance Specification for Newly Manufactured Baseball/Softball Batter's Helmets	NOCSAE: Baseball/Softball Batter's Helmets	ND022
BCH	Standard Performance Specification for Newly Manufactured Baseball/Softball Catcher's Helmets with Faceguards	NOCSAE: Baseball/Softball Catcher's Helmets with Faceguard	ND024
BSB	Standard Performance Specification for Newly Manufactured Baseballs	NOCSAE: Baseballs	ND027
BFH	Standard Performance Specification for Newly Manufactured Baseball/Softball Fielder's Headgear	NOCSAE: Baseball/Softball Fielder's Headgear	ND029
BFG	Standard Performance Specification for Newly Manufactured Baseball/Softball Batter's Helmet Mounted Face Protector	NOCSAE: Baseball/Softball Batter's Helmet Mounted Face Protector	ND072
FH	Standard Performance Specification for Newly Manufactured Football Helmets	NOCSAE: Football Helmet	ND002
FBG	Standard Test Method and Performance Specification for Newly Manufactured Football Players Hand Coverings	NOCSAE: Football Players Hand Coverings	ND019
FFM	Standard Method of Impact Test and Performance Requirements for Football Faceguards	NOCSAE: Football Faceguards (Masks)	ND087
HH	Standard Performance Specification for Newly Manufactured Hockey Helmets	NOCSAE: Hockey Helmets	ND030
HFG	Standard Performance Specification for Newly Manufactured Hockey Face Protectors	NOCSAE: Hockey Face Protectors	ND035
LXH	Standard Performance Specification for Newly Manufactured Lacrosse Helmets with Faceguard	NOCSAE: Lacrosse Helmets with Faceguards	ND041

SEI Reference Program Code	Standard Description	Product Type	Standard
LXG	Standard Performance Specification for Newly Manufactured Lacrosse Face Protectors	NOCSAE: Lacrosse Face Protectors	ND045
LXB	Standard Performance Specification for Newly Manufactured Lacrosse Balls	NOCSAE: Lacrosse Balls	ND049
PH	Standard Performance Specification for Newly Manufactured Polo Helmets	NOCSAE: Polo Helmets	ND050
PEP	Standard Performance Specification for Helmet Mounted Polo Eye Protection	NOCSAE: Polo Helmet with Mounted Eye Protection	ND055
SG	Standard Test Method and Performance Specification for Newly Manufactured Soccer Shin Guards	NOCSAE: Soccer Shin Guards	ND090
FHH	Standard Performance Specification for Newly Manufactured Field Hockey Headgear	NOCSAE: Field Hockey Headgear	ND061
FHB	Standard Performance Specification for Newly Manufactured Field Hockey Balls	NOCSAE: Field Hockey Balls	ND069
HDW	Standard Test Method and Specification Used in Evaluating the Corrosion Characteristics and Effects on Metallic Hardware Disassembly	NOCSAE: Hardware Corrosion Characteristics	ND015
CPB / CPL	Standard Test Method and Performance Specification Used in Evaluating the Performance Characteristics of Chest Protectors for Commotio Cordis	NOCSAE: Chest Protectors for Commotio Cordis	ND200

30.3 Definition of a "Model" per SEI

"Model" is the collective term used to identify a group of protective devices of the same basic design and components from a single applicant produced by the same manufacturing and quality assurance procedures that are covered by the same certification. Any characteristic that affects the device's performance under the limits of the current certification standards constitutes a different model. For purposes of the SEI Certification Program, the above definition of the term "model" uses performance characteristics as the basic criteria.

30.4 NOCSAE Athletic Helmets with or without Faceguards

A. Definition of Model

Characteristics that should affect the model's ability to meet the performance requirements of the certification standard:

1. Basic raw material of:
    a. Shell
    b. Padding or energy absorbing system
    c. Retention system
    d. Chin strap or neck strap, if applicable
    e. Face protector or faceguard, if applicable
    f. Visor, if applicable
2. Mechanism for attaching accessories to the shell (i.e.: component parts)
3. Manufacturing change for any critical component (e.g., basic mold change, injection molding, sheet stock, fabrication
4. Basic design
5. Size
6. Labels and Markings

Characteristics that should not affect the model's ability to meet the performance requirements of the certification standard:

1. Same genetic material from different source of supply
2. Paint and/or graphics

Examples of Major Components

1. Shell
2. Padding or energy absorbing system
3. Chin strap or neck strap, if applicable
4. Face protector or faceguard, if applicable
5. Labels and Markings

30.5 NOCSAE Football Players Hand Coverings

A. Definition of Model

Characteristics that should affect the model's ability to meet the performance requirements of the certification standard:

1. Glove (or Hand Pad) material, composition and/or thickness that will affect substrate performance (Note: ND019 defines a hand pad as a covering for the hand that does not have full coverage of the hand.)
2. Glove material
3. Glove design

4. Glove seam construction technique or design
5. Webbing
6. Labels and Markings

Characteristics that should not affect the model's ability to meet the performance requirements of the certification standard:

1. Basic design alternations not affecting glove circumference and length
2. Color changes that do not result in an effect on substrate performance

B. Examples of Major Components

1. Outer glove material
2. Glove Palm material
3. Webbing
4. Labels and Markings

30.6 NOCSAE Soccer Shin Guards

A. Definition of Model

Characteristics that should affect the model's ability to meet the performance requirements of the certification standard:

1. Primary protective component (hard shell) of the shin guard material composition and/or thickness
2. Shin guard padding materials
3. Shin guard retention materials
4. Primary protective component of the shin guard material composition and/or thickness
5. Shin Guard construction technique or design
6. Shin Guard sizing where it could affect extent of protective coverage
7. Labels and Markings

Characteristics that should not affect the model's ability to meet the performance requirements of the certification standard:

1. Basic design alternations not affecting shin guard extent of protective coverage
2. Color changes that do not affect shin guard primary protective component performance

B. Examples of Major Components

1. Primary protective shin guard component (hard shell) material, if applicable
2. Shin guard padding material

30.7 NOCSAE Athletic Balls

A. Definition of Model

Characteristics that should affect the model's ability to meet the performance requirements of the certification standard:

1. Ball material (outer covering and/or inner core) composition
2. Ball construction technique or design
3. Labels and Markings

Characteristics that should not affect the model's ability to meet the performance requirements of the certification standard:

1. Basic design alterations not affecting ball's performance requirements
2. Color changes that do not affect performance requirements

B. Examples of Major Components

1. Outer covering material
2. Inner core material
3. Labels and Markings

30.8 NOCSAE Chest Protectors for Commotio Cordis

A. Definition of Model

Characteristics that should affect the model's ability to meet the performance requirements of the certification standard and therefore require a new model designation:

1. Change in outer fabric (except color) when the fabric is a supporting 'structure'
2. Change in energy managing materials or dimensions
3. Change in closure type or material
4. Point-loading add-ons (studs, etc.)
5. Labels and markings

Characteristics that should not affect the model's ability to meet the performance requirements of the certification standard and therefore would not require a new model designation:

1. Change in color
2. Ornamental additions such as pockets or decorative stitching (Potential 'point loading' add-ons, like studs, would be a Class I change).

B. Examples of Major Components

1. Impact foam
2. Fabric shell
3. Closures and zippers
4. Labels and markings

30.9 NOCSAE QC/QA Protocols

A. NOCSAE ND001 *Standard Drop Impact Test Method and Equipment for Protective Headgear/Equipment* specifies manufacturers to have a testing program that includes ongoing QC/QA protocols.

NOCSAE ND011 *Manufacturers Procedural Guide for the Control of Quality and Sample Selection for Testing to NOCSAE Standards* provides basic principles and benchmarks that can be used to evaluate QC/QA practices for sampling and product assessment for the purpose of determining compliance to NOCSAE standards.

B. NOCSAE QC/QA Protocols (per ND001)

Level 3 Equipment/Gear: A class of protective equipment/gear for which a functional failure presents a risk of grave and irreversible injury or death. Manufacturers shall demonstrate a process capability of at least three standard deviations in cases where statistical control can be documented and four standard deviations in cases where control either cannot be established or cannot be documented. This requirement can be demonstrated for example with a capability analysis as described in Section 5.3 of NOCSAE DOC ND 011. When manufacturers rely on Acceptance Sampling procedures, an Acceptable Quality Level (AQL) equal to or more demanding than 0.65 shall be used. Individual performance requirements may exempt a particular requirement from Level 3 and assign a lower level of compliance. Any facial contact requirement in the ocular area of the head form shall be considered Level 3. Level 3 protective equipment/gear shall be considered an ISO 17067 Scheme Type 5 certification.

Level 2 Equipment/Gear: A class of protective equipment/gear for which a functional failure presents a risk of serious injury, but not grave and irreversible injury or death. Manufacturers shall demonstrate a process capability of at least 1.5 standard deviations in cases where statistical control can be documented and 2 standard deviations in cases where control either cannot be established or cannot be documented. This requirement can be demonstrated for example with a capability analysis as described in Section 5.3 of NOCSAE DOC ND 011. When manufacturers rely on Acceptance Sampling procedures, an Acceptable Quality Level (AQL) equal to or more demanding than 2.5 shall be used. Individual performance requirements may specify a different level of compliance for specific criteria. Any facial contact requirement NOT in the ocular area of the head form shall be considered Level 2. Level 2 protective equipment/gear shall be considered an ISO 17067 Scheme Type 5 certification.

Level 1 Equipment/Gear: A class of equipment/gear for which safety is not the primary function, and where non-conformance to the applicable standard presents no risk of personal injury. Manufacturers shall demonstrate a process capability of at least 1.5 standard deviations in cases where statistical control can be documented and 2 standard deviations in cases where control either cannot be established or cannot be documented. This requirement can be demonstrated for example with a capability analysis as described in Section 5.3 of NOCSAE DOC ND 011. When manufacturers rely on Acceptance Sampling procedures, an Acceptable Quality Level (AQL) equal to or more demanding than 2.5 shall be used. Individual performance requirements may specify a different level of compliance for specific criteria. Level 1 protective equipment/gear shall be considered an ISO 17067 Scheme Type 2 certification.

NOCSAE QA/QC Protocols

ND022: Baseball / Softball Batter's Helmets						
	Labels	**Impact Attenuation - Baseballs**	**Impact Attenuation - Softballs**			
Level 3	X	X	X			
ND024: Baseball / Softball Catcher's Helmets with Faceguard						
	Labels	**Impact Attenuation Tests - Drop Test**	**Softball Projectile Impact Tests**	**Baseball Projectile Impact Tests**	**Faceguard Softball Projectile Impact Tests**	**Faceguard Baseball Projectile Impact Tests**
Level 3	X	X	X	X	X ocular areas	X ocular areas
Level 2					X non ocular areas and mechanical failure	X non ocular areas and mechanical failure
ND027: Youth Baseballs						
	Labels	**Ball Mass**	**Ball Circumference**	**Ball Compression**	**Ball COR**	
Level 3	X	X	X	X	X	
ND029: Baseball / Softball Fielder's Headgear						
	Labels	**Impact Attenuation - Headgear (baseball)**	**Impact Attenuation - Headgear (softball)**	**Face Protector Impact (baseball)**	**Face Protector Impact (softball)**	
Level 3	X	X	X	X ocular areas	X ocular areas	
Level 2				X non ocular areas and mechanical failure	X non ocular areas and mechanical	

ND072: Baseball / Softball Batter's Helmet Mounted Face Protector						
	Labels	**Impact Attenuation (baseball)**	**Impact Attenuation (softball)**			
Level 3	X	X ocular areas	X ocular areas			
Level 2		X non ocular areas and mechanical failure	X non ocular areas and mechanical failure			
ND002: Football Helmets						
	Labels	**Impact Attenuation**				
Level 3	X	X				
Level 2		X low level impacts at 300 SI threshold				
ND019: Football Hand Coverings						
	Labels	**Hand Covering Peel Adhesion Test**	**Hand Covering with Add-On Peel Adhesion Test (OPTIONAL)**	**Hand Covering Friction Test**	**Hand Covering with Add-On Friction Test (OPTIONAL)**	
Level 1	X	X	X	X	X	

ND087: Football Faceguards						
	Labels	**Impact Attenuation**				
Level 3	X	X ocular areas				
Level 2		X non ocular areas and mechanical failure				

ND030: Hockey Helmets						
	Labels	**Retention Testing**	**Helmet Stability Testing**	**Impact Attenuation - Helmet Drop Tests**	**Impact Attenuation - Helmet Projectile Tests**	
Level 3	X	X	X	X	X	
Level 2				X low level impacts at 300 SI threshold		

ND035: Hockey Face Protectors						
	Labels	**Faceguard Projectile Test**	**Faceguard Penetration Test**			
Level 3	X	X ocular areas	X ocular areas			
Level 2		X non ocular areas and mechanical failure	X non ocular areas and mechanical failure			

ND041: Lacrosse Helmets with Faceguards						
	Labels	**Helmet Stability / Retention Testing (Chin cup)**	**Impact Attenuation-Drop Test**			
Level 3	X	X	X			
Level 2			X low level impacts at 300 SI threshold			

ND045: Lacrosse Face Protectors						
	Labels	**Faceguards Projectile Tests**	**Faceguard Penetration Test**			
Level 3	X	X ocular areas	X ocular areas			
Level 2		X non-ocular areas and mechanical failure	X non-ocular areas and mechanical failure			

ND049: Lacrosse Balls						
	Labels	**Ball Mass**	**Ball Circumference**	**Ball Compression**	**Ball COR**	
Level 2	X	X	X	X	X	

ND050: Polo Helmets						
	Labels	**Retention Testing (Neck Strap)**	**Helmet Stability Testing**	**Impact Attenuation Tests**		
Level 3	X	X	X	X		
Level 2				X low level impacts at 300 SI threshold		

ND055: Helmet Mounted Polo Eye Protection						
	Labels	**Eye Protector Testing - Impact Testing**				
Level 3	X	X ocular areas				
Level 2		X non ocular areas and mechanical failure				
ND090: Soccer Shin Guards						
	Labels	**Extent of Protective Coverage**	**Impact Test Method**	**Retention Test**		
Level 2	X	X	X	X		
ND061: Field Hockey Headgear						
	Labels	**Impact Attenuation**	**Faceguard Projectile Tests**			
Level 3	X	X	X ocular areas			
Level 2			X non ocular areas			
ND069: Field Hockey Balls						
	Labels	**Ball Mass**	**Ball Circumference**	**Ball Compression**	**Ball COR**	
Level 3	X	X	X	X	X	
ND200: Chest Protectors for Commotio Cordis						
	Labels	**Impact Attenuation**				
Level 2	X	X				

30.10 Audit Procedures

A. Quality Audit Procedures

The quality audit procedures are applicable to conducting Quality Audits of a Quality Management System performed by an SEI Quality Auditor in accordance with the requirements of the SEI Certification Program (*see CPM Section 11 Quality Assurance and CPM Section 12 Audit Procedures*), that include initial total system audits and on-site and remote surveillance audits. The Audit Checklist (*see CPM Section 13B (NOCSAE Audit Checklist*) shall be used for the initial total system audit and any annual on-site surveillance audit. The NOCSAE Headquarters Remote Audit Checklist (*See Section 30C NOCSAE Athletic Equipment Headquarters Remote Audit Checklist*) shall be used for annual remote surveillance audits where approved. For a new Participant using an existing supplier, where an onsite audit has been conducted within the last year, the NOCSAE Supplier Remote Audit Checklist (*See Section 30D NOCSAE Athletic Equipment Supplier Remote Audit Checklist*) shall be used.

B. Pre-Approval of QC/QA Protocol

The SEI participant shall submit their initial QC/QA Protocol/Plan for each product model type being submitted for certification prior to any initial audits being conducted at the headquarters and manufacturing location(s). SEI will review the QC/QA Protocol, using the QC/QA Protocol Review Checklist (*see Section 30E QC/QA Protocol Checklist*), to determine if the plan meets the NOCSAE QC/QA requirements as specified in NOCSAE ND 001 *Standard Drop Impact Test Method and Equipment for Protective Headgear/Equipment* and NOCSAE ND 011 *Manufacturers Procedural Guide for the Control of Quality and Sample Selection for Testing to NOCSAE Standards*. A fee will be associated with this pre-approval process, see Section 30.10 E: Quality Audit Fees below.

Revised QC/QA Protocol/Plan(s) shall be submitted to SEI for approval. Fees may be incurred if excess hours are needed for the review.

SEI's auditor may reassess the QC/QA Protocol/Plan(s) during each audit. Under the SEI Certification Program, the participant retains complete control over the quality and integrity of its products, which includes administering a QC/QA protocol.

C. SEI NOCSAE Quality Audit Procedures

NOCSAE standards address the frequency of onsite and remote audits for QC/QA Equipment/Gear Level 1, 2 and Level 3 categorized products.

Participants whose products fall into Equipment/Gear Level 1, shall undergo a remote audit upon initial participation in the certification program and annually thereafter. However, an onsite surveillance audit may be conducted in the event the remote audit is unsatisfactory or there are multiple testing non-compliances during annual certification testing.

Participants with products designated as Levels 2 and 3 shall be subjected to an initial onsite quality audit. Upon certification, annual surveillance audits shall be required with an onsite audit at least every

three years. Audits in years two and three following an onsite audit may be accomplished by remote surveillance audits if all of the following is true:

1. There were no NOCSAE critical noncompliances during certification testing.
2. There were no major noncompliances during an onsite and/or remote audit.
3. There were no new Equipment/Gear Levels 2 and/or 3 products submitted for certification to a standard that was not covered during the onsite quality audit. (e.g. An onsite audit would be required if the initial and annual audits only covered football helmets and subsequently a manufacturer submitted baseball helmets for certification)
4. The product/equipment being certified has at least three years of QA/QC data available for review through an annual remote audit.

If any of the above criteria are not met, remote surveillance audits shall not be permitted.

D. Remote Quality Audit Procedures

The Remote Audit will take place off-site and will require participants to submit their Quality Manual, QC/QA Protocol/Plans and any supporting documentation to the SEI auditor. It is possible the SEI auditor may need to request additional supporting documentation in order to adequately perform the Remote Audit. The SEI Auditors will be using the SEI Remote Audit Checklist (*See Section 30C NOCSAE Athletic Equipment Remote Audit Checklist or See Section 30D NOCSAE Athletic Equipment Supplier Remote Audit Checklist*) to conduct the document review. At the conclusion of the review, the SEI auditor will provide SEI and the participant with an audit report.

E. Quality Audit Fees

Audit Type	Fee
NOCSAE On-Site Audit	To be determined based on SEI auditor fees for time and travel*
NOCSAE Remote Audit	To be determined based on SEI auditor daily rate*
QC/QA Protocol Review	$200, excess hours may be billed and will be determined based on SEI auditor daily rate*
**See CPM Section 7: Participation Fees for specific auditor fees.*	
A 10% surcharge will be added to all quality audit fees.	

30.11 Certification Testing

A. Sample Retention Policy

The testing laboratories shall maintain a sample retention policy. At a minimum, the sample retention policy shall include wording that requires the lab to keep at least one sample of each model tested for initial, class I or annual certification until the next testing cycle.

B. Annual Certification Testing

Upon completion of initial testing, certification testing shall be conducted on an annual basis. NOCSAE product models shall be tested annually if there has been production of that product model since it's last certification date and the product model inventory has been in the participant's control. Product model inventory that is maintained at a contract manufacturing location is not considered to be in the participant's control.

30.12 Application & Annual Certification Fees

Testing shall be performed annually. When an initial submittal package is submitted to SEI, the Application Fees and Annual Participation Fees (*See Section 7: Annual Participation Fees*) are due. Upon completion of initial testing, Annual Model Certification Fees are due. The following is a schedule of application fees & annual model certification fees that apply to the NOCSAE Program:

Model Type	Submittal Type	Application Fee	Annual Model Certification Fees
Base Model	Initial	$250	$300
	Class I Change	$75	N/A
	Class II Change	$75	N/A
Variant Model	Initial	$125	$130
	Class I Change	$75	N/A
	Class II Change	$75	N/A
Accessory Model*	Initial	$125	$130
	Class I Change	$75	N/A
	Class II Change	$75	N/A
**For the NOCSAE program face protectors, faceguards, eye protection, and hardware will be considered accessory models.*			

30.13 Laboratory Testing Fees/ Attributes & Variables

SEI currently has approved four (4) laboratories that may conduct testing to the NOCSAE athletic equipment standards. The schedule of rates can be found on the SEI website and can be used to estimate the total cost of testing for all the models that are to be certified. A pre-existing laboratory quantity discount agreement may be honored.

30A. SEI NOCSAE Certification Submittal Form

1307 Dolley Madison Blvd, Suite 3A, McLean, VA 22101
Phone: (703) 442-5732 Fax: (703) 442-5756 Email: info@SEInet.org

Date: 10.13.17

Submittal Date:		**SEI Ref. No.:**	

SEI Participant:			**Legal Status (Inc., LLC, etc.)**		
Street Address:					
City/State/Zip:					
Tel:		**Fax:**		**Email:**	
				Web:	

If model is manufactured at different location(s) than stated in Section (2), list all manufacturing name, location and contact (for quality audit purposes, please provide information for the actual manufacturer and NOT a trading company for the manufacturer):

Type of Submittal: (select one)

Initial:		Product has not previously been tested by SEI.*
Annual:		Product is currently certified by SEI, is being submitted for annual recertification **and** no changes have been made to product since last test date. *
Standard Rev/Annual:		Product is currently certified by SEI. Standard has been revised and this will also serve as an annual recertification.*
Class I:		Product is currently SEI certified **and** a change in materials, construction, manufacturing location, etc. has been made to the product. *
Class II:		Product is currently SEI certified **and** the proposed change is believed to not affect the product's form, fit or function.

Category of Product: (select one)

Basic model:		Protective device of the same basic design and components, produced by the same manufacturing location. *
Variant:		Variation of basic model distinguished by a single component (i.e., lens shades, suspension systems, reverse headbands, closures, etc.)*
Accessory:		Product that is for use with a specific SEI certified model, designed in such a manner to be removable from model without affecting the performance of that model in accordance with the applicable standard. *

** Definitions are not all inclusive and do not apply to all SEI product certifications. Refer to the SEI Certification Program Manual for additional detailed information and descriptions.*

Standard Testing To:	
Type of Product:	
Model Number(s):	
Brand Name:	

Product Description. Briefly describe below. Attach applicable Components & Materials Description Checklist, and if applicable, test plan matrix/configurations, Bill of Materials, product literature)

Helmet Positioning Index (HPI) and Suggested Test Headform. Specify either the nose gauge positioning or specify the measurement (mm) from the front rim of the helmet, downward vertically, to the basic plane on the front meridian plane of the test headform. (ND001 Section 20). Please also indicate which test headform should be used for each size helmet model.

Headgear Reconditioning: Specify if the headgear product will be reconditioned. If not, the proper label requirements described in NOCSAE ND01, Section 9.5 must be met and will be evaluated by the laboratory.

Test Samples will be shipped to which SEI Approved Laboratory:			Chesapeake / ICS / Intertek / SIRC
Test samples shall be:	Returned to manufacturer*		
	Return to mfg location (listed above, item C)		
	Return to Other Location (Specify: _____)		
	If fail, return to manufacturer*		
	Destroyed by laboratory		
**Please include a shipping account number where samples are to be returned to the manufacturer. Additional shipping and hangling charges may incur for larger shipments.*			

We request certification or continuation of certification of the above model to the referenced standard in accordance with the program established by the Safety Equipment Institute. We certify that the unit(s) of the above model, as submitted for testing and certification, represents the product(s) that will be offered for sale. Samples of this product are being sent to the laboratory. Please complete all nine (9) sections of the SEI certification submittal form and include any necessary attachments. Incomplete submittal paperwork may lead to delays in the processing and performance testing.

Authorized Manufacturer Representative:		**Signature:**	

30B. NOCSAE Athletic Equipment Components & Materials Description Checklist

Upon completion of this checklist, submit it along with the SEI Certification Submittal Form.

Please refer to the "Examples of Major Components" for suggested product components for which a description is required. Any additional component found in the product shall also be described.

1. SEI Reference Number:	

2. Manufacturer (SEI Participant):	

3. Model Series/Brand Name (one model per checklist):	

4. Standard:	

5. Certification Submittal Type (Select one):	Initial	Annual	Change: Class 1: Testing required Class 2: No testing expected to be required

For all initial and annual submittals, all sections shall be completed.
For changes, complete all sections; mark in **BOLD** that which has been changed.

6. List all assembly locations, sub-assembly & final product (use separate sheet if needed):

7. List all Model Numbers	**Description (i.e. color, size, type) List all applicable consumer sizes**	**To be completed for helmet models only**	
		Suggested test Headform (to be confirmed by test lab)	**HPI (Helmet Positioning Index)* If no HPI is provided, we will use the manufacturer's fitting instructions, per ND001, Section 20.**

*Helmet Positioning Index - Specify either the nose gauge positioning or specify the measurement (mm) from the front rim of the helmet, downward vertically, to the basic plane on the front meridian plane of the test headform. (ND001 Section 20). If no HPI is provided, we will use the manufacturer's fitting instructions, per ND001, Section 20.

8. Do all sizes of this model use identical components, materials, suppliers:		**YES**	**NO**
If no, then complete a separate Components & Materials Description Checklist for those sizes			

9. COMPONENT	**Material Type, Trade Name, Part Number, Grade, Weight, Dimensions, Density, Bead, Color, etc.**	**SOURCE(S) OF SUPPLY (provide complete address, contact info for all source(s)**

The above information regarding the model is correct to the best of my knowledge. If this model is being submitted for annual testing, I confirm that no known changes that could affect the models ability to meet the performance requirements of the applicable standard have taken place since the last SEI annual test series, which have not been communicated to SEI.

Signed By:		Name:	
Company:		Date:	

30C. NOCSAE Athletic Equipment
Headquarters (no manufacturing) Remote Audit Checklist

COMPANY NAME: **COMPANY CONTACT:**		
AUDITOR NAME: **DATE:**		
COMPANY CONTINUES TO MEET SEI QUALITY REQUIREMENTS: YES/NO		
SEI Certification Program Manual Section 11.10 **Reference & Heading Suggested for Review for NOCSAE Athletic Equipment Remote Audit**		**(A or OBS or NC or NA or NE)**
Quality Manual controlled document		
Design Control and Verification provide evidence, NOCSAE: Product Lifecycle (design changes)		
Design Changes provide evidence, including SEI notification		
Document Control provide evidence, SEI program manual available		
Supplier Control provide evidence of selection criteria, re-evaluation, supplier audits		
Traceability provide evidence of raw materials to delivered products, batch/lot identification, finished product traceability to inspection, test records		
Process Controls provide evidence (e.g. procedures and/or work instructions)		
Preservation of Product provide evidence of handling, storage, packing, protection, special conditions, delivery		
Inspection and Testing provide example(s) of test records as required by NOCSAE ND 001 and ND 011		
Nonconforming Products provide evidence of handling nonconforming products		
Corrective Action provide evidence and an example		
Preventative Action provide evidence and an example		
Quality Records provide evidence, NOCSAE: Record keeping shall be maintained as required in NOCSAE ND001, Section 14		
Internal Audit provide example and provide current QC/QA procedure complying with NOCSAE ND 001 and NOCSAE ND 011		
Distribution provide evidence of product release authorization, storage, adequate packaging, shipment		
Product Recall provide evidence (refer to CPM Section 18)		
Use of the SEI Logo Provide evidence demonstrating how the SEI logo will be terminated upon receipt of catastrophic noncompliance (refer to SEI CPM Section 15, NOCSAE ND 001)		

QC/QA Protocol Requirements Must meet applicable QC/QA Protocols as specified in NOCSAE document ND001 and SEI CPM Section 30.9. Has an Auditor Completed Form 30.10 B: QC/QA Protocol Review Checklist? If, no then audit items listed below.		
V: NOCSAE: Must meet applicable QC/QA Protocols as specified in NOCSAE document ND001 and SEI CPM Section 30.9.		
V.1: QC/QA Protocol/Plan -Has the participant developed a plan for each product category? -Has the participant communicated and given instruction of the plan for each product category to each manufacturing location? (Auditor shall review each plan.) -Are the procedures documented? -Who controls the creation/editing of plan? -Who controls execution of plan? -Who reviews and approves the test data analysis results? -Does the participant have control? -Which participant contact reviews/approves the QC/QA final report?		
V.2: Pre-approval -Was the QC/QA plan(s) submitted to SEI for preapproval? -What was the outcome?		
V.3: Methodology of QC/QA Protocol/Plan -Does the methodology identify which method is used and why? (Lot batch acceptance AQL /Statistical process control (SPC) / other) -Does the data support the method chosen?		
V.4: Sample Size Determination -What is the rationale for sample size determination? -Have there been any changes to sample size and why? -Has SEI approved revised QC/QA Protocol/Plan due to change in sample size?		
V.5.a: Acceptable Quality Limit (AQL): -Does normal inspection apply? -Is a standardized plan applied? (ISO, ANSI, or MIL-STD) -What is the sampling size according to plan (AQL attribute or variable?) -If there is rule switching to deviation from the standard what is the justification? -Is there process control being applied on key manufacturing processes (if applicable) -Has there been sampling reduction and how is it justifiable (refer to ND011, section 4.6)?		
V.5.b: Statistical Process Control (SPC): -Was the method applied correctly? -Are they using a Process Capability Index (Cpk) or a Process Performance Index (Ppk) method? -Is Cpk or Ppk meeting the requirements? -Can the lot size be justified? -Have the samples selected represent the production (in time-ordered sequence etc.)?		
V.6: NOCSAE Equipment Levels -Does the QC/QA Protocol/Plan meet equipment level requirements (I, II, or III)?		

V.7: Testing and Data Analysis -Where is the testing taking place? -Were all tests required by NOCSAE product standard adequately covered? -Include evidence of supporting documentation (ie: test data sheets, test reports, etc). -Auditor shall review the test data and test reports for validity (ie: fraudulent data). -What was the outcome of the QC/QA data analysis?		
V.8: QC/QA Testing Failures and Corrective Actions -Is there a secondary sampling plan in place in the event of testing failures (tighten sampling, additional sampling)? -If test failures occurred was the secondary plan executed? -What corrective actions were implemented as a result of the testing failures? -What product containment actions were put in place as a result of the testing failures? -If the QC/QA Protocol/Plan was revised as a result of the testing failures, was SEI notified?		
V.9: Revisions -Any changes to the QC/QA Protocol/Plan since last audit? -Has the revised plan been sent to SEI for review and approval? -What was the outcome of the review?		
V.10: Production -What are the current year's dates of production and production/lot/batch size? -Include with audit report evidence of supporting documentation (ie: purchase orders with model information, order quantity, etc)		

30D. NOCSAE Athletic Equipment
Supplier Remote Audit Checklist
(Interim Verification Audit for New Participant or Product Category at an Existing Supplier)

COMPANY NAME:		
AUDITOR NAME:		
COMPANY CONTINUES TO MEET SEI QUALITY REQUIREMENTS: YES/NO		
SEI Certification Program Manual Section 11.10 Reference & Heading Suggested for Review for NOCSAE Athletic Equipment Remote Audit		**(A or OBS or NC or NA or NE)**
Quality Manual controlled document		
Design Control and Verification provide evidence, NOCSAE: Product Lifecycle (design changes)		
Design Changes provide evidence, including SEI notification		
Traceability provide evidence of raw materials to delivered products, batch/lot identification, finished product traceability to inspection, test records		
Process Controls provide evidence (e.g. procedures and/or work instructions)		
Preservation of Product provide evidence of handling, storage, packing, protection, special conditions, delivery		
Inspection and Testing provide example(s) of test records as required by NOCSAE ND 001 and ND 011		
Quality Records provide evidence, NOCSAE: Record keeping shall be maintained as required in NOCSAE ND001, Section 14		
Use of the SEI Logo		
Provide evidence demonstrating how the SEI logo will be terminated upon receipt of catastrophic noncompliance (refer to SEI CPM Section 15, NOCSAE ND 001)		
QC/QA Protocol Requirements Must meet applicable QC/QA Protocols as specified in NOCSAE document ND001 and SEI CPM Section 30.9.		
Has an Auditor Completed Form 30.10 B: QC/QA Protocol Review Checklist? If, no then audit items listed below.		
V: NOCSAE: Must meet applicable QC/QA Protocols as specified in NOCSAE document ND001 and SEI CPM Section 30.9.		
V.1: QC/QA Protocol/Plan -Has the participant developed a plan for each product category? -Has the participant communicated and given instruction of the plan for each product category to each manufacturing location? (Auditor shall review each plan.) -Are the procedures documented? -Who controls the creation/editing of plan? -Who controls execution of plan? -Who reviews and approves the test data analysis results? -Does the participant have control? -Which participant contact reviews/approves the QC/QA final report? Preapproval of QC/QA Protocol/Plan		
V.2: Pre-approval -Was the QC/QA plan(s) submitted to SEI for preapproval? -What was the outcome?		

V.3: Methodology of QC/QA Protocol/Plan -Does the methodology identify which method is used and why? (Lot batch acceptance AQL /Statistical process control (SPC) / other) -Does the data support the method chosen?		
V.4: Sample Size Determination -What is the rationale for sample size determination? -Have there been any changes to sample size and why? -Has SEI approved revised QC/QA Protocol/Plan due to change in sample size?		
V.5.a: Acceptable Quality Limit (AQL): -Does normal inspection apply? -Is a standardized plan applied? (ISO, ANSI, or MIL-STD) -What is the sampling size according to plan (AQL attribute or variable?) -If there is rule switching to deviation from the standard what is the justification? -Is there process control being applied on key manufacturing processes (if applicable) -Has there been sampling reduction and how is it justifiable (refer to ND011, section 4.6)?		
V.5.b: Statistical Process Control (SPC): -Was the method applied correctly? -Are they using a Process Capability Index (Cpk) or a Process Performance Index (Ppk) method? -Is Cpk or Ppk meeting the requirements? -Can the lot size be justified? -Have the samples selected represent the production (in time-ordered sequence etc.)?		
V.6: NOCSAE Equipment Levels -Does the QC/QA Protocol/Plan meet equipment level requirements (I, II, or III)?		
V.7: Testing and Data Analysis -Where is the testing taking place? -Were all tests required by NOCSAE product standard adequately covered? -Include evidence of supporting documentation (ie: test data sheets, test reports, etc). -Auditor shall review the test data and test reports for validity (ie: fraudulent data). -What was the outcome of the QC/QA data analysis?		
V.8: QC/QA Testing Failures and Corrective Actions -Is there a secondary sampling plan in place in the event of testing failures (tighten sampling, additional sampling)? -If test failures occurred was the secondary plan executed? -What corrective actions were implemented as a result of the testing failures? -What product containment actions were put in place as a result of the testing failures? -If the QC/QA Protocol/Plan was revised as a result of the testing failures, was SEI notified?		
V.9: Revisions -Any changes to the QC/QA Protocol/Plan since last audit? -Has the revised plan been sent to SEI for review and approval? -What was the outcome of the review?		
V.10: Production -What are the current year's dates of production and production/lot/batch size? -Include with audit report evidence of supporting documentation (ie: purchase orders with model information, order quantity, etc)		

30E. NOCSAE Athletic Equipment QC/QA Protocol Review Checklist		
COMPANY NAME:		
COMPANY CONTACT NAME:		
PRODUCT TYPES COVERED:		
AUDITOR NAME:		
DATE:		
MEETS NOCSAE REQUIREMENTS (YES/NO):		
Section 30E shall be used to assess the QC/QA Protocol/Plan(s) for pre-approval of initial product certifications, reassessment during annual surveillance audits or major nonconformity investigations, and assessment of revised QC/QA Protocol/Plan(s)		
QC/QA Protocol Requirements	**Notes**	**A/OBS/NC/ NA/NE**
V: NOCSAE: Must meet applicable QC/QA Protocols as specified in NOCSAE document ND001 and SEI CPM Section 30.9.		
V.1: QC/QA Protocol/Plan -Has the participant developed a plan for each product category? -Has the participant communicated and given instruction of the plan for each product category to each manufacturing location? (Auditor shall review each plan.) -Are the procedures documented? -Who controls the creation/editing of plan? -Who controls execution of plan? -Who reviews and approves the test data analysis results? -Does the participant have control? -Which participant contact reviews/approves the QC/QA final report? Preapproval of QC/QA Protocol/Plan		
V.2: Pre-approval *(applies if plan is being reassessed)* -Was the QC/QA plan(s) submitted to SEI for preapproval? -What was the outcome?		
V.3: Methodology of QC/QA Protocol/Plan -Does the methodology identify which method is used and why? (Lot batch acceptance AQL /Statistical process control (SPC) / other) -Does the data support the method chosen?		
V.4: Sample Size Determination -What is the rationale for sample size determination? -Have there been any changes to sample size and why? -Has SEI approved revised QC/QA Protocol/Plan due to change in sample size?		
V.5.a: Acceptable Quality Limit (AQL): -Does normal inspection apply? -Is a standardized plan applied? (ISO, ANSI, or MIL-STD) -What is the sampling size according to plan (AQL attribute or variable?) -If there is rule switching to deviation from the standard what is the justification? -Is there process control being applied on key manufacturing processes (if applicable) -Has there been sampling reduction and how is it justifiable (refer to ND011, section 4.6)?		
V.5.b: Statistical Process Control (SPC): -Was the method applied correctly? -Are they using a Process Capability Index (Cpk) or a Process Performance Index (Ppk) method? -Is Cpk or Ppk meeting the requirements? -Can the lot size be justified? -Have the samples selected represent the production (in time-ordered sequence etc.)?		

V.6: NOCSAE Equipment Levels -Does the QC/QA Protocol/Plan meet equipment level requirements (I, II, or III)?		
V.7: Testing and Data Analysis -Where is the testing taking place? -Were all tests required by NOCSAE product standard adequately covered? -Include evidence of supporting documentation (i.e.: test data sheets, test reports, etc.). -Auditor shall review the test data and test reports for validity (i.e.: fraudulent data). -What was the outcome of the QC/QA data analysis?		
V.8: QC/QA Testing Failures and Corrective Actions -Is there a secondary sampling plan in place in the event of testing failures (tighten sampling, additional sampling)? -If test failures occurred was the secondary plan executed? -What corrective actions were implemented as a result of the testing failures? -What product containment actions were put in place as a result of the testing failures? -If the QC/QA Protocol/Plan was revised as a result of the testing failures, was SEI notified?		
V.9: Revisions *(applies if plan is being reassessed)* -Any changes to the QC/QA Protocol/Plan since last audit? -Has the revised plan been sent to SEI for review and approval? -What was the outcome of the review?		
V.10: Production *(applies if plan is being reassessed)* -What are the current year's dates of production and production/lot/batch size? -Include with audit report evidence of supporting documentation (i.e.: purchase orders with model information, order quantity, etc.)		