

International Aerospace Quality Group (IAQG) Other Party Management Team (OPMT)
Supplemental Rule 003 – Rules for 9100/9110/9120:2016 and 9101:2016 Transition
Dated: December 2015 Review Draft v3

Purpose:

This Supplemental Rule is established to provide requirements for all stakeholders to facilitate the transition to the 9100/9110/9120:2016 Aerospace Quality Management Systems (AQMS) standards, including use of the updated 9101:2016 (AS9101F) standard. This supplemental rule supports the October 2015 IAQG General Assembly's approved end date for transition to the 2016 versions of AQMS Standards (i.e. 9100/9110/9120).

Scope:

This supplemental rule applies to the following stakeholders:

- Sector Management Structures (SMS)
- Other Party (OP) Assessors
- Accreditation Bodies (ABs)
- Auditor Authentication Bodies (AABs)
- Authenticated Aerospace Auditors including Aerospace Auditors (AAs) and Aerospace Experienced Auditors (AEAs)
- Training Provider Authentication Bodies (TPABs)
- Training Providers (TPs)
- Certification Bodies (CBs)
- Organizations seeking certification to the 9100/9110/9120:2016 AQMS standards

1. General Rules:

- a. The IAQG endorses the transition timescales established by the International Accreditation Forum (IAF). All AQMS certifications shall conform to the 2016 editions by September 14, 2018.
- b. All stakeholders shall ensure conformance to the published timeline and this Supplemental Rule for 9100/9110/9120:2016 transitions.
- c. New applicants shall follow established requirements to become accredited, certified, approved or authenticated as applicable and then, as required, follow this Supplemental Rule for transition.

Stakeholder Rules:

2. Sector Management Structure (SMS)

- a. SMS's shall report the progress of transition.
- b. Each SMS shall work with the approved AB's and conduct a risk and mitigation analysis by April 1, 2017, for any CB that has not transitioned to ISO 17021-1.

3. Other Party (OP) Assessors

- a. OP Assessors shall ensure they undertake any IAQG OPMT mandated OP Assessor training related to this transition prior to undertaking any oversight to the 2016 standards.



4. Accreditation Bodies (AB)

- a. AB's shall provide documented information to their accredited CB's operating in the ICOP scheme regarding the requirements for change of scope of accreditation for AQMS certification to the 2016 editions. This shall include AB readiness to conduct CB assessments in sufficient time to allow CB's and certificated clients to achieve the dates established by this SR 003.
- b. AB's shall manage the accreditation status of CB's so that:
 - i. The ISO17021-1:2015 transition timeline set by the International Accreditation Forum (IAF) as documented in IAF Informative Document (ID) 11 is achieved i.e. by June 15, 2017.
 - ii. The ISO 9001:2015 transition timeline as documented in IAF ID 9 is achieved.
 - iii. The 9104-001 accreditation of CB's is updated to include certification of clients to the 2016 version of AQMS standards including use the 9101:2016 standard by June 15, 2017. The update of 9104-001 accreditation is dependent on the accredited CB also achieving accreditation to ISO 17021-1:2015 for the granting of ISO 9001:2015 certification.
 - iv. AB's shall take appropriate action in the event that any of the transition timelines are not met.
- c. Each AB shall work with their approving SMS to conduct a risk and mitigation analysis by April 1, 2017 for any CB that has not transitioned to ISO 17021-1.
- d. AB Assessors shall not undertake assessment activity of CB's for AQMS certifications to the 2016 versions until they have been trained in the applicable 9100/9110/9120:2016 standards and 9101:2016 standard.

5. Authenticated AQMS Auditors (AEA and AA)

- a. All currently authenticated auditors are required to successfully complete IAQG sanctioned transition training for all AQMS standards for which the auditor is authenticated (i.e. 9100:2016, and/or 9110:2016, and/or 9120:2016). This sanctioned training shall also include any transition training associated with 9101:2016.
- b. Auditors shall provide evidence of successful completion of the required sanctioned transition training to the AAB responsible for their existing authentication.
- c. Auditors shall obtain authentication for the 9100/9110/9120:2016 AQMS Standards prior to conducting any 9100/9110/9120:2016 certification audits.
- d. Auditors not authenticated for the 9100/9110/9120:2016 AQMS Standards as described above shall not perform AQMS certification audits as of June 1, 2017.

6. Auditor Authentication Bodies (AAB)

- a. The AAB shall update the status of authenticated AQMS auditors in the OASIS database with the appropriate version of the standard (e.g., 9100:2016) upon acceptance of evidence from authenticated auditors that demonstrates successful completion of all applicable IAQG OPMT sanctioned transition training.
- b. An AQMS Auditor's authentication expiration date shall remain the same.



7. Training Provider Authentication Bodies (TPAB)

- a. TPAB's shall continue to manage the approval status of approved TP's and training courses in accordance with published requirements.

8. Training Providers (TP)

- a. TP's shall maintain their current approval status and the approval status of approved training courses in accordance with published requirements.

9. Certification Bodies (CBs)

- a. CB's in the ICOP scheme shall ensure conformance to the following:
 - i. The ISO 17021-1:2015 transition timeline set by the International Accreditation Forum (IAF) as documented in IAF Informative Document (ID) 11 i.e. by June 15, 2017 is achieved.
 - ii. The ISO 9001:2015 transition timeline as documented in IAF ID 9 is achieved.
 - iii. Scope of 9104-001 accreditation is updated to include certification of clients to the 2016 version of AQMS standards including use the 9101:2016 standard by June 15, 2017.
- b. Communication of dates for ISO 17021-1 transition readiness including change of the 9104-001 accredited scope for the 9100:2016 series shall be advised by the CB's to their accrediting AB via OASIS feedback by September 1, 2016
- c. CB's shall provide documented information to their certificated clients regarding the requirements for transition and the transition audit process, as per the requirements of 9104-001, 9101 and this SR003 by September 1, 2016.
- d. CB's shall ensure that their auditors and decision-making personnel are aware of the requirements contained within this Supplemental Rule.
- e. CB's shall obtain documented evidence of the clients' agreement to transition to the applicable 2016 edition of the applicable AQMS standard(s) by January 1, 2017. The documented agreement shall be used as part of an application review to determine the likely timescale for certification, required competence of the audit team and certification decision-making resources. The documentation shall be used to determine on-site and off-site audit duration. The application review, audit duration calculations and justification to undertake the audit shall be documented.
- f. No audits shall be conducted to the previous versions of the AQMS standards after June 15, 2017.
- g. Each CB shall conduct a risk and mitigation analysis by September 15, 2017, for any client that has not transitioned to the 2016 editions of the AQMS standards.
- h. CB's shall not conduct audits to the 2016 editions of the AQMS standards until their scope of accreditation for 9104-001 has been updated in OASIS.
- i. No audits shall be conducted to the previous versions of the AQMS standards after June 15, 2017.
- j. The CB shall calculate on site audit duration as follows:
 - i. The on-site audit duration for the transition to the 2016 edition of the applicable AQMS shall be the audit duration determined from 9104-001 requirements for the applicable audit and shall increase on-site audit duration for factors such as



- risk, complexity and variety of the activities undertaken by the certificated organisation and to ensure a full and effective audit of all of the requirements of the applicable AQMS standard(s).
- ii. Where a special audit is used for transition the on-site audit duration shall be at the surveillance audit duration with the additional audit duration as required above.
 - iii. The audit duration calculation including all additional on-site audit duration shall be documented and shall include the associated on-site audit duration justification.
 - iv. The documented and justified on-site audit duration shall be included in the AuditCalc report entered or uploaded into the OASIS database.
- k. The transition audit shall be accomplished in accordance with 9104-001 and 9101:2016 requirements.
 - l.
 - m. The decision to issue certification to the 2016 editions of the AQMS standards during surveillance or special audit shall be treated as a re-issue decision for the purposes of the issue, re-issue and expiry dates on certification documents and for OASIS data entry. The 3-year certification cycle shall be maintained.
 - n. An organization shall not receive a new three-year certification period if they were not subject to a recertification.
 - o. A certification document shall not contain mixed or non-aligned editions of standards e.g. ISO 9001:2015 and AS9100C (technically equivalent to EN 9100:2009 or JISQ 9100:2009)
 - p. Where a certification is issued or re-issued to an AQMS standard that is prior to the 2016 editions the certification expiry date shall not exceed September 14, 2018. The certification cycle shall be re-established (i.e. 3 years less one day from the issue date associated with the previous recertification decision) upon completion of transition.
 - q. CB's shall not transfer a client and conduct a transition audit at the same time. The transfer process and certification decision to the previous version of the AQMS standard must be completed prior to the transition audit.
 - r. CB's shall not make a transition certification decision after September 14, 2018.
 - s. CB's shall ensure that certification data is uploaded to the OASIS database within 30 days of the certification decision.

10. Organisations seeking certification to the 2016 editions of AQMS Standards

- a. By January 1, 2017 AQMS certified organizations shall communicate with their CB to establish a commitment date for 9100/9110/9120:2016 AQMS standard transition readiness.
- b. AQMS certifications that have not completed transition to the 9100/9110/9120:2016 AQMS standard by 14 September 2018, including the transitioned AQMS certificate uploaded and published into the OASIS database are:
 - i. No longer valid and shall have a certification status of "expired".
 - ii. Will no longer be eligible for transition and an initial certification audit will be required to establish conformance with the 2016 editions of the AQMS standards