Perry Johnson Registrars, Inc. Aerospace Program

Overview of AS9104-1

January 30, 2013

Presented By:

Shannon Craddock

Programs & Accreditations Manager

- What is AS9104-1?

- What is Supplemental Rule (SR) - 002?

- What do certified organizations need to know?

What is AS9104-1?

- AS9104-1 contains *Requirements for Aviation, Space, and Defense Quality Management System Certification Programs.*

- It was issued in January 2012 and supersedes AS9104 Rev. A.

What is AS9104-1?

- Document contains requirements for:
  - Accreditation Bodies, such as ANAB
  - Certification Bodies, such as PJR
  - Certified Organizations – this means YOU!
  - OASIS
  - Audits and Reporting
  - AQMS Auditors
  - And others…

What is SR-002?

- Issued by the International Aerospace Quality Group (IAQG) Other Party Management Team (OPMT), Supplemental Rule 002 is *Rules for 9104-1: 2012 Transition.*

- This supplemental rule applies to the following stakeholders:

  – Accreditation bodies

  – Certification bodies

  – AQMS Standard Certificated Organizations – and, yes, this still means you!

  – And others…

Where can I find these documents?

- AS9104-1 can be purchased from www.sae.org for $66 US for non-Members.

- SR-002 can be downloaded for free from the OASIS main page.

- These documents directly impact AQMS certified organizations. Shame on you for not purchasing/accessing these documents and learning how the requirements impact you!

What does an AQMS Certificated Organization Need to Know?

- ## From Section 6, Requirements for Certification Bodies

  - 6.7i: "The CB shall ensure that their clients have established an OASIS database administrator for the purposes of managing the organization's contact information within the database, users within the organization, external access to organization audit results in the database and OASIS database feedback… The CB shall verify at all surveillance and recertification audits that the certified organization's current administrator is identified. The CB may suspend the client's certificate, during the certification cycle, or delay issuance of the recertification should the client fail to maintain their OASIS database administrator."

- From Section 6, Requirements for Certification Bodies

  - 6.7j: "… if the CB determines that a short notice audit is necessary, this audit shall be completed within 90 calendar days from receipt of the complaint…"

What does an AQMS Certificated Organization Need to Know?

- From Section 6, Requirements for Certification Bodies

  - 6.11: "Prior to contracting for and conducting AQMS standard audits, CBs shall ensure that classified material or export control requirements, related to CB auditor access, are disclosed to their aviation, space and defense clients and included in the service contract and audit planning activities…"

  - 6.11: "The scope of certification shall not include processes that were not audited to sufficient depth to verify client (organization) conformance. Where processes are not audited and are excluded from the potential scope of certification, any such exclusion shall be limited to those processes that are permissible exclusions within the AQMS standard and that are effectively documented by the client. The CB shall not certify the client's quality management system, where the process exclusions don not represent permissible exclusions."

What does an AQMS Certificated Organization Need to Know?

- From Section 6, Requirements for Certification Bodies
  - 6.12: "CBs shall not allow requests for AQMS auditor changes/substitutions without substantiated evidence of improper activity or contract violations. Conformance to rules concerning export controls, auditor nationalities, and confidentiality/conflict of interest challenges shall be an exception to this requirement…"

What does an AQMS Certificated Organization Need to Know?

- ## From Section 8, Requirements for Audits and Reporting
  - 8.1.1a: "CBs shall assess the client's certification structure, site locations and value streams."
    - PJR sent a survey to all certified organizations. This should have been returned.
    - Certification scheme include single sites, campus schemes, multiple sites, several sites and complex schemes. See Appendix B of AS9104-1.
      - You must be aware of customer-specific requirements that prohibit you from being classified as a certain scheme.
    - Your responses to this survey will help determine your classification and resulting audit time.

What does an AQMS Certificated Organization Need to Know?

- From Section 8, Requirements for Audits and Reporting
  - 8.2: "Requirements are established by this standard for minimum audit duration… based upon the size of the organization being audited. For aviation, space and defense organizations, the required audit duration from Table 2 shall be increased, as appropriate, taking into account the complexity of the quality management system, and the number and/or variety of activities."
  - 8.2a: "… audit duration calculations shall round up to the nearest half day;"
  - 8.2b: "Stage 2 audit activities shall never be less than one audit day per site for single site, multiple site and several site certification structures;"

What does an AQMS Certificated Organization Need to Know?

- From Section 8, Requirements for Audits and Reporting
  - 8.2e NOTE: "It should be noted that attempts to reduce the audit duration, below the minimum days defined in Table 2, shall result in certification data being blocked from entry into the OASIS database."
  - 8.2.1: "The minimum duration for initial, surveillance and recertification audits are shown in Table 2. No reductions... are allowed, except as specifically defined in this standard for the individual certification structures. Increases to the required audit duration are expected for areas with identified risk, complexity or increased scope."

What does an AQMS Certificated Organization Need to Know?

- ## From Section 8, Requirements for Audits and Reporting
  - 8.2.2c: "Table 2 audit time does not include time for non-audit activities (e.g. travel, meals, extended break times).
  - 8.2.2d: "Table 2 is for on-site audit time only. Table 2 does not include auditor time used for planning, report writing, and/or completion of the associated AS9101 standard forms… CB's will provide for additional auditor time needed to complete the 9101 forms."
    - Before the auditor leaves your site, you should have any nonconformities (Appendix B) and PEARs (Appendix C) related to nonconformities.

What does an AQMS Certificated Organization Need to Know?

- From Section 8, Requirements for Audits and Reporting
    - 8.2.2e: "Audit durations shall be calculated in audit days on the basis of eight hours per day. The audit duration cannot be reduced by programming longer hours per workday (e.g. five audit days of eight hours cannot be executed as four audit days of ten hours). Reductions may be required to comply with local legislation will be satisfied by adding days to ensure that the audit duration requirements are met."
    - 8.2.2f: "Auditing of the entire AQMS standard on all shifts is required for initial and recertification audits. For surveillance audits, the planning shall include coverage of multiple shifts, when the audit plan activities occur across multiple shifts."

Home

Previous

Next

Help

- From Section 8, Requirements for Audits and Reporting

  – 8.3.8: "The same audit team leader shall be limited to a maximum of two consecutive certification cycles at the client (organization). Rotation of supporting AQMS auditors after each certification cycle is recommended."

    - This is retroactive.

    - Change-out needs to occur at recertification.

What does an AQMS Certificated Organization Need to Know?

- From Section 8, Transfer of Certificates
  - 8.8b: "No certificate transfer between CBs shall occur, when the CB controlling the existing certificate has nonconformities documented that are awaiting corrective action closure and acceptance, unless the current CB has ceased its activities or is unable to close the corrective actions."

  - 8.8c: "Transfer of existing certificates expiring within the next 12 months shall require a Stage 1 and Stage 2 audit."

  - 8.8d: "The accepting CB shall ensure that, prior to certificate issuance, a special audit (on-site) is carried out by an AEA to confirm the validity of the certification being transferred."

Questions or Comments?

Thank you for your time!