ACCREDITATION RULE 29

SUBJECT: Accreditation Program for the Aerospace ICOP Program—AS9100, AS9110, and AS9120

APPLIES TO: ANAB Accredited and Applicant Certification Bodies for AS9100, AS9110, and AS9120

PREFACE

This Accreditation Rule is to inform certification bodies (CBs) of ANAB requirements for accreditation to certify organizations for the International Aerospace Quality Group’s ICOP program for AS9100, AS9110, and AS9120. The requirements of ANAB Accreditation Rule 20, Accreditation Program for Quality Management Systems, apply unless otherwise noted.

Definitions

AA – aerospace auditor

AAQG – Americas Aerospace Quality Group

AEA – aerospace experienced auditor

AQMS – aerospace quality management system

AQMS NCR – Any minor and major nonconformance issued during an AQMS assessment or during an ISO/IEC 17021-1 assessment to AQMS requirements or other requirements referring to AS evidence.

IAF – International Accreditation Forum

IAQG – International Aerospace Quality Group

ICOP – industry controlled other party

MLA – multilateral recognition arrangement

OASIS – On-Line Aerospace Supplier Information System

OEM – original equipment manufacturer

RMC – Registration Management Committee

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)

   1.1. AS9101 Quality Management Systems Audit Requirements for Aviation, Space, and Defense Organizations

   1.2. AS9104/1 Requirements for Aviation, Space, and Defense Quality Management System Certification Programs

   1.3. AS9104/2 Requirements for Oversight of Aerospace Quality Management System Registration/Certification Programs

   1.4. AS9104/3 Requirements for Aerospace Auditor Competency and Training Courses

   1.5. AS9100 Quality Management Systems—Requirements for Aviation, Space, and Defense Organizations

   1.6. AS9110 Quality Management Systems—Requirements for Aviation Maintenance Organizations

   1.7. AS9120 Quality Management Systems—Requirements for Aviation, Space and Defense Distributors
1.8. IAQG OPMT ICOP Resolutions Log as applicable

1.9. IAQG OPMT Supplemental Rules as applicable

1.10. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems

1.11. MA 5000, ANAB Management Systems Accreditation Manual, ANAB Accreditation Rule 11, ANAB Accreditation Rule 20, and other applicable ANAB Accreditation Rules

1.12. IAF Mandatory Documents as applicable

2. Prerequisites

2.1. Per AS9104/1 (and approved IAQG OPMT ICOP resolutions), an applicant CB initially shall be accredited to ISO/IEC 17021-1 and applicable IAF mandatory documents. The CB shall maintain accreditation for ISO 9001 certification by an IAF MLA signatory accreditation body for at least one year prior to submitting an application for accreditation to ANAB.

2.2. The CB shall acquire and maintain accreditation by ANAB for ISO 9001 and conform to applicable requirements of AR 20, except as modified herein, as condition of applying for accreditation by ANAB for AS9100, AS9110, or AS9120.

2.3. The CB shall apply for AS9100 prior to or concurrently with application for AS9110 or AS9120, and shall maintain accreditation for AS9100 to be accredited for AS9110 or AS9120.

2.4. An application for AQMS accreditation will not be accepted by ANAB if the CB’s application or accreditation for AS9100, AS9110, or AS9120 was suspended or withdrawn by an ICOP-recognized AB (including ANAB) within the preceding 12 months. If the CB’s application or accreditation has been suspended or withdrawn by an ICOP recognized AB, the CB shall demonstrate correction and corrective action and provide objective evidence of conformance to the requirements that were cited in connection with the suspension or withdrawal.

2.5. When ANAB receives an application from a CB based in a region covered by another accreditation body (AB) in the ICOP scheme, ANAB shall recommend the CB seek accreditation through the AB in the appropriate region. When ANAB accepts as an applicant for accreditation a CB based in a region covered by another AB in the ICOP scheme, ANAB shall notify that AB.

2.6. The CB shall ensure that there are enforceable arrangements for “rights of access” by ABs and other interested parties. If restrictions are identified with respect to this access (e.g., matters of citizenship, proprietary processes) they shall be fully communicated to ABs and other interested parties prior to contracting with the client.

2.7. The CB shall ensure that client organizations are informed of the consequences of not providing access where access limitations cannot be resolved (loss of certification) and work to resolve any issues (e.g., limit the scope of certification, better understand the specific limitation(s), remove a site from the certification) with respect to access limitations.

2.8. The CB shall identify a single lead office location with overall responsibility for implementation of the AQMS scheme requirements. A person or persons employed by or directly contracted by that CB lead office shall be formally identified by the CB and shall be responsible for the design, development, and maintenance of the aforementioned implementation.

2.9. The CB shall ensure that all activities relating to implementation of its AQMS certification program, including the initial qualification and performance monitoring of AQMS auditors, application review, assignment of audit teams, review of reports, certification decisions, and issue of certification documents, are conducted and controlled by a competent person or persons employed or directly contracted (i.e., through a written agreement) by the CB lead office. The CB shall not outsource any of these activities to an outside organization or deploy them to other offices and shall not use critical locations, as defined by IAF.

2.10. The CB shall ensure that all data from any AQMS audit activity that the CB enters in the OASIS database shall be made available to ANAB as requested.
3. Application Process

3.1. Applicant CBs can obtain applications for informational use at [www.anab.org](http://www.anab.org).

3.2. The application process outlined at [www.anab.org](http://www.anab.org) must be completed via ANAB’s Enterprise Quality Manager (EQM) database when the CB is ready to apply for accreditation.

3.3. The application fee includes the cost of one assessor day for the off-site documentation review.

4. Initial Assessments for Accreditation

4.1. For each AS9100, AS9110, and AS9120 accreditation, a trained competent ANAB accreditation assessor shall conduct a full documentation review.

4.2. After the documents are found acceptable, ANAB shall conduct an on-site office assessment and required witnessed audits.

4.2.1. For AS9110 an office assessment is not required. For AS9120 neither an office assessment nor a witnessed audit is required.

4.2.2. Office assessments may be combined in a single assessment when the CB applies for multiple AQMS accreditations.

4.2.3. ANAB shall witness the CB conducting a two-stage audit per AR 20 for AS9100 or AS9110.

4.2.3.1. The ANAB assessment team shall be competent in the appropriate AQMS. Because of the level of expertise needed, ANAB may use technical experts during AS9110 witnessed audits. ANAB will invoice the CB for the fees and expenses of the technical expert.

4.3. All NCRs (minor and major) issued during the initial AQMS accreditation process shall be closed within 90 calendar days or ANAB shall terminate the CB’s application.

4.3.1. Any NCR issued during the AS9110 or AS9120 initial accreditation process that relates to the CB’s accredited AQMS program shall be addressed in accordance with AS9104/1.

4.4. Following voluntary or involuntary withdrawal of the CB’s application for AS9100, AS9110, and/or AS9120, the CB shall wait 12 months to re-apply for accreditation.

4.5. The ANAB Management System Accreditation Council makes the accreditation decision in accordance with MA 5000; however, the decision detail is provided to the AAQG RMC for recognition.

5. Surveillance Assessments

5.1. ANAB shall conduct an annual office assessment and annually witness a CB team conducting at least one AQMS audit.

5.1.1. The office assessment shall be conducted at the AQMS lead office (per AS9104/1). When possible, the office assessment shall be conducted concurrently with assessments for other ANAB accreditation programs for which the CB is accredited.

5.1.2. Per AS9104/1, the number of required annual witnessed audits is based on the number of client sites indicated as certified by the CB in OASIS. ANAB shall structure the witness program taking into consideration the number of certifications for each standard, types of audits, and frequency with which auditors have been witnessed. ANAB shall calculate in the current year the number of witnessed audits for the next calendar year and communicate the plan to the CB.

5.2. Per AS9104/1, all AQMS NCRs (major and minor) shall be closed within 90 calendar days but ANAB requires (per MA 5000) that all major NCRs shall be closed within 60 days.

5.3. ANAB follows the corrective action process in MA 5000 with the following exception: For minor AQMS NCRs, the CB shall provide evidence of implementation of specified corrective action no later than 75 days from the issuance of the NCR to allow ANAB adequate time to review the
evidence and determine acceptability. If the CB does not provide evidence of implementation within 75 days or the evidence provided is not acceptable, ANAB will initiate the suspension process, which includes providing a recommendation for suspension to the CB. If the NCR remains open, ANAB will schedule a suspension hearing to occur on or around 90 days from the issuance of the NCR.

5.4. If ANAB determines a short-notice assessment is required in response to a complaint or identified NCR, the assessment shall be completed within 90 days from the posting of the complaint or NCR.

6. Re-accreditation Assessments

6.1. ANAB shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

7. Complaints

7.1. The CB shall process complaints, OASIS feedback, NCRs, and other issues and concerns generated by OEMs or other customers through the CB’s internal compliant and NCR processes.

7.2. When feedback or a complaint is substantiated, the CB is required to conduct documented correction, cause analysis, and corrective action.

7.3. The CB shall review and respond to all AQMS-related complaints, including those posted to the OASIS database, within 30 days of being received or posted.

7.4 When ANAB determines OASIS feedback or a complaint about a CB is valid but cannot be resolved by ANAB, ANAB shall refer the complaint to the AAQG RMC for resolution.

8. Appeals

8.1. ANAB will notify the chair of the AAQG RMC upon receipt of an appeal of any ANAB action or decision by a CB accredited for AS9100, AS9110, or AS9120. At the time ANAB is forming a panel to hear an appeal, ANAB shall inform the chair of the AAQG RMC, who may appoint an individual to participate as a non-voting member of the ANAB appeal panel.

8.2. If the CB appeals an ANAB-issued AQMS NCR, the timing of the corrective action process will not change. The NCR will not be placed on hold pending the appeal panel decision. If the appeal panel upholds the ANAB-issued AQMS NCR and the CB does not meet the corrective action timing specified above, ANAB will initiate the suspension process.

9. Suspension or Withdrawal of Accreditation

9.1. ANAB Accreditation Rule 11 applies. In addition, per AS9104/1, 5.3.7.c, reasons that AQMS accreditation may be suspended include but are not limited to the following:

9.1.1. All required annual assessments of the CB are not conducted.

9.1.2. The CB is not correctly applying the AS9101 definitions of nonconformity.

9.1.3. The CB has not taken verifiable correction and corrective action to eliminate the cause(s) of a nonconformity.

9.2. Per AS9104/1, 5.3.7.a, suspension or withdrawal of any AQMS accreditation will result in suspension or withdrawal of all AQMS accreditations. The CB shall be notified of the reason in writing and upon suspension or withdrawal of a CB’s AQMS accreditation, within five business days ANAB shall inform the chair of the AAQG RMC and shall update OASIS within 10 days to indicate the suspension or withdrawal status.

9.2.1. If the CB’s ISO 9001 accreditation is suspended or withdrawn, the CB’s accreditation for all AQMS standards shall also be suspended or withdrawn.

9.2.2. If the CB’s AQMS accreditation is withdrawn, ANAB shall notify all other IAQG recognized ABs of the withdrawal and reasons for it within five business days. Certificates issued by the CB prior to withdrawal will be eligible for transfer for a
maximum of six months or until the certificates expire (whichever occurs first) provided IAF MD2 requirements are met.

9.3. The CB shall notify all its AQMS clients and applicants of its suspended status and any consequences that may have an impact on clients within 15 calendar days of suspension.

9.4. While suspended, the CB shall continue to conduct surveillance and recertification audits required to maintain certification of its AQMS clients. The CB shall not conduct any stage 1 initial certification audits or certification scope extensions or accept any transfers. The CB shall obtain agreement from ANAB for the conditions and controls for the issuance of any client certification or recertification and shall provide to ANAB and/or the RMC on request a documented list of any certifications and re-certifications issued during suspension.

9.5. The period of suspension shall be no longer than six months and ANAB shall notify the RMC after three months for the RMC’s review.

9.6. If the CB’s accreditation for AS9100, AS9110, or AS9120 was suspended or withdrawn by an ICOP-recognized AB (including ANAB), the CB must wait 12 months to apply for any AQMS standard; the CB shall demonstrate correction and corrective action and shall provide objective evidence of conformance with the requirements cited in connection with the suspension or withdrawal.

10. ANAB shall maintain the CB’s contact information and accreditation status and dates in OASIS.

11. Advanced Surveillance and Reassessment Process (ASRP) and Information and Communication Technology (ICT) Auditing Techniques

11.1. IAQG through its ICOP process has approved the use of the IAF ASRP and ICT auditing techniques.

11.1.1. ASRP for AQMS standards shall follow the applicable ANAB Accreditation Rules, IAF MD 3, and IAQG ICOP rules in AS9104/1.

11.1.2. The use of ICT auditing techniques is allowed but not mandatory for AQMS audits within the ICOP scheme. When they are used, the CB shall ensure conformance to the requirements of IAF MD 4 and AS9104/1. AB approval prior to use of ICT is not required. The use of ICT by the CB shall not reduce the audit duration requirements by more than 30%. The audit plan and the document information for CB audit duration must clearly indicate the use of ICT when applied.

12. AQMS Certificates Issued by CBs

12.1. The CB shall enter in OASIS the organization’s official address per AS9104/1 when a single site has more than one building associated with it. Because the AS9104/1 definition differs from ISO/IEC 17021-1, all addresses or identified locations within the definition of a single site per AS9104/1 shall be shown in the certification document scope or certificate annex or some documented method to determine the formal locations identified within the scope of the certificate.