



Heads Up

Issue: 350

Date: 2016/10/24

To: ANAB-Accredited and Applicant CBs and MS Accreditation Assessors

From: Dale Gordon, Accreditation Manager, AS&D

Re: Update on AQMS Standards Transition

This heads up is an update to HU 345 on the AQMS transition. The IAQG OPMT issued the final Supplemental Rule (SR) 003 dated 12 October 2016, which will be posted on the OASIS website.

As a result of publication of SR 003, CBs are required to submit certain reports to the AB. ANAB will track and subsequently share this reporting with the AAQG RMC. Required data and information should be submitted to ANAB via dgordon@anab.org. CBs also must adhere to very aggressive deadlines shown here.

| Action Item | Date |
|---|-------------|
| 1. Each CB shall be fully transitioned for ISO 9001:2015 per IAF ID 9 and ANAB Accreditation Rule 20. | Complete |
| 2. Each CB shall have a scope of accreditation that includes AS9104-1:2012 shown in OASIS. | Complete |
| 3. Each CB shall notify ANAB of the date of its readiness for ISO/IEC 17021-1 and AQMS 2016 standards transition. | 2016/12/01 |
| 4. Each CB shall provide documented information to all AQMS clients about requirements for AQMS transition per SR 003. | 2016/12/01 |
| 5. Each CB shall have submitted an AQMS transition application to ANAB. | 2017/01/15 |
| 6. Each CB shall have documented evidence from each of the CB's client of the intent to transition per the requirements of SR 003. | 2017/03/01 |
| 7. Each CB should be fully transitioned to ISO/IEC 17021-1. | 2017/03/01* |
| 8. Each CB shall not start or schedule any audits to the current revision of the AQMS standards (AS9100C, AS9110B, AS9120A).* | 2017/06/16 |
| 9. Each CB is to provide a documented risk mitigation plan for clients not yet transitioned to the revised AQMS standards. | 2017/12/01 |
| 10. Each CB shall have a documented agreement for each AQMS client for the increased audit duration regarding the transition audit. | As required |

*Revised from HU 345



International Aerospace Quality Group (IAQG) Other Party Management Team (OPMT)
Supplemental Rule 003 – Rules for 9100/9110/9120:2016 and 9101:2016 Transition
Dated: October 12, 2016

Purpose:

This Supplemental Rule, also referred to as SR 003, 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 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. 9100/9110/9120:2016).

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 Approval 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 ISO 9001 QMS certifications shall conform to the 2015 editions by September 15, 2018 (Refer to IAF ID 9:2015).
- b. All stakeholders shall ensure conformance to the published timeline (see Appendix A) 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 by March 1, 2017 to ISO/IEC 17021-1:2015.

3. Other Party (OP) Assessors

- a. OP Assessors shall ensure they obtain knowledge of the standards and documents within this supplemental rule.



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 by November 1, 2016. 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 SR003.
- b. AB's shall monitor the accreditation status of CB's so that:
 - i. The ISO/IEC 17021-1:2015 transition timeline set by the International Accreditation Forum (IAF) as documented in IAF Informative Document (ID) 11:2015 is achieved i.e. by June 15, 2017.
 - ii. The ISO 9001:2015 transition timeline as documented in IAF ID 9:2015 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/IEC 17021-1:2015 for the granting of ISO 9001:2015 certification due to the incorporation of these requirements within 9101:2016.
 - iv. In the event that any of the transition timelines are not met appropriate action shall be taken by the applicable AB.
 - v. AB's shall update OASIS database within 30 days of the completion of the CB transition.
- 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 by March 1, 2017 to ISO/IEC 17021-1:2015.
- 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. 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(s) shall remain the same.

6. 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 as applicable). 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 upon completion of the transition training.
- c. Auditors shall obtain AAB authentication for the 9100/9110/9120:2016 AQMS Standards prior to conducting any 9100/9110/9120:2016 audits.



7. Training Provider Approval Bodies (TPAB)

- a. TPAB's shall continue to manage the approval status of approved TP's and training courses in accordance with published requirements.
- b. Courses that require SMS approval per the current edition of 9104-003 shall be updated and resubmitted for SMS approval.

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.
- b. Courses that require SMS approval per the current edition of 9104-003 shall be updated and resubmitted for TPAB and SMS approval.
- c. TP's shall not deliver SMS approved training that includes previous versions of the AQMS standards after June 15, 2017.

9. Certification Bodies (CBs)

- a. CB's in the ICOP scheme shall ensure conformance to the following:
 - i. The ISO/IEC 17021-1:2015 transition timeline set by the International Accreditation Forum (IAF) as documented in IAF Informative Document (ID) 11:2015 i.e. by June 15, 2017 is achieved.
 - ii. The ISO 9001:2015 transition timeline as documented in IAF ID 9:2015 is achieved.
 - iii. Scope of 9104-001 accreditation is updated to include certification of clients to the 2016 version of AQMS standards including the 9101:2016 standard by June 15, 2017.
- b. Communication of dates for ISO/IEC 17021-1:2015 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 December 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 this SR-003 by December 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' intention to transition to the applicable 9100/9110/9120:2016 AQMS edition of the applicable AQMS standard(s) by March 1, 2017.
- f. The CB shall use the documented intention as part of an application review to determine the proposed 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.
- g. No initial, surveillance or recertification audits shall be started to the previous versions of the AQMS standards after June 15, 2017.
 - i. After June 15, 2017 special audits for transfer, extension to scope, in response to complaints or for the resolution of nonconformities may occur to the applicable version(s) of the AQMS standards

- h. Each CB shall conduct a risk and mitigation analysis by December 1, 2017, for any client that has not transitioned to the 2016 editions of the AQMS standards to ensure the transition deadline is met.
- i. 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.
- j. The CB shall establish a transition audit duration calculation process and shall maintain documented information for each certified organization
- k. For each certified organization, the CB shall calculate the on-site audit duration as follows:
 - i. The on-site audit duration for the transition to the 2016 edition of the applicable AQMS standard shall be determined from 9104-001 requirements (reference clause 8.2.1.a) for the applicable audit. In addition, the following shall apply:
 - 1. The CB shall further increase the on-site audit duration to effectively audit the changes to the certified organization's QMS that occurred to support conformance to the revised AQMS standard(s).
 - 2. The audit duration shall be tailored to each individual certified organization.
 - 3. A zero addition for transition on-site audit duration is not permitted.
 - 4. The round up required by 9104-001 clause 8.2.a) shall only occur once, after all other calculations are complete.
 - 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. In advance of the start of the audit the CB shall:
 - 1. Communicate the documented on-site audit duration to the client
 - 2. Obtain client concurrence to the on-site audit duration
 - 3. Retain the on-site audit duration and client concurrence as documented information.
 - v. The documented and justified on-site audit duration shall be included in the AuditCalc report or uploaded as a pdf addition to the AuditCalc Report and entered into the OASIS database.
- l. The CB shall ensure an effective process based transition audit of the revised AQMS requirements is completed in accordance with 9104-001 and 9101:2016 requirements
- m. The certification 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. The 3-year certification cycle shall be maintained.
- n. The CB shall not provide an organization with a new three-year certification cycle unless a recertification audit has occurred.
- 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 document is issued or re-issued to an AQMS standard that is prior to the 2016 editions, the CB shall follow one of the following options;
 - i. The certification expiry date on the certification document and in the OASIS database shall not exceed September 15, 2018.
 - ii. The Certification document shall contain a clear statement that the certification will not be valid after September 15, 2018.

- 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 start of the transition audit. A certificate may be issued to a previous version of the AQMS standard upon successful completion of the required special audit to complete the client transfer to the new CB.
- r. CB's shall not make a transition certification decision after September 15, 2018.
- s. CB's shall ensure that certification data is uploaded to the OASIS database within 30 days of the certification decision.

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

- a. By March 1, 2017 AQMS certified organizations shall communicate with their CB to establish an intended 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 September 15, 2018 are no longer valid. The certification will no longer be eligible for transition and an initial certification audit will be required.

Appendix A: Timeline for 9100/9110/9120:2016 Transitions

| 9100/9110/9120:2016 Transition Timeline Summary | |
|---|---|
| Major Target Dates | Activities |
| September 2015 | ISO 9001:2015 Standard published and a 36 Month Certified Client ISO transition begins |
| October 2015 | IAQG General Assembly approval of ICOP 9100/9110/9120:2016 Transition Plan |
| September 2016 | 9100 standard published in Americas and Asia Pacific sectors |
| October 2016 | 9100 standard published in Europe Publication of Supplemental Rule (SR003) |
| November 2016 | 9101 and 9120 published in all 3 sectors Mandated Aerospace Auditor "transition" training for 9100 available in agreed IAQG languages. |
| December 2016 | 9110 published in all 3 sectors OASIS Next Generation project phase 1 complete. Database available for entry of transition audit results. |
| January 2017 | Mandated Aerospace Auditor "transition" training for 9110 and 9120 modules available in agreed IAQG languages. |
| June 2017 | All future audits must be to the 9100/9110/9120:2016 standard using 9101:2016 audit process. |
| September 2018 | Transition complete. All 9100/9110/9120:2009 certificates are no longer valid. |

This AQMS transition timeline revision is based upon change in key dependencies completion dates