

<b>AEROSPACE STANDARD</b>	<b>9104/3</b>	<b>BD</b> (D10.4)
	Ballot Draft 30 September, 2019 Supersedes March 2007 Technically equivalent writings published in all IAQG sectors.	
<b>Requirements for Aviation, Space, and Defense Auditor Training, Development, Competence, and Authentication</b>		

### **RATIONALE**

This standard has been revised to align with the latest revisions of the International Aerospace Quality Group (IAQG) 9104/1 and 9104/2 standards, the International Organization for Standardization (ISO) / International Electrotechnical Commission (IEC) 17021-1 and 17021-3 standards, and to incorporate lessons learned from past activities, including feedback from interested parties.

### **FOREWORD**

Industry established the IAQG, with representatives from Aviation, Space, and Defense (ASD) companies in the Americas, Asia/Pacific, and Europe, to implement initiatives that make significant improvements in quality and reductions in cost throughout the value stream.

The IAQG developed a global scheme for the acceptance and recognition of audits performed by Certification Bodies (CBs), using the 9100-series standards and taking into account the schemes already in use or under development in the various IAQG sectors, including the application of a:

- 3rd party audit certification scheme with specific ASD requirements, under the guidance and oversight of the ASD industry; and
- harmonized approach for the purpose of improving the quality and process control throughout the entire supply chain.

Confidence and reliance in the audit process depends on the development and provision of auditor training, robust auditor authentication, and competence of those conducting the audits. Competence is based on the demonstration of personal attributes, and the ability to apply knowledge and skills gained through education, training, and experience.

This document has been prepared by the IAQG and standardizes the requirements for ASD Quality Management System (QMS) auditor training, development, competence, and authentication in support of certification to Aerospace Quality Management System

(AQMS) standards. This document supplements existing international standards for competency requirements.

In this standard, the following terms are used:

- “shall” indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission; and
- “can” indicates a possibility or capability.

Words “example” or “e.g.” indicate suggestions given for guidance. Information marked “NOTE” is for guidance in understanding or clarifying the associated requirement.

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## 1. SCOPE

This document defines the minimum requirements for auditors, CBs, Auditor Authentication Bodies (AABs), Training Provider Approval Bodies (TPABs), and Training Providers (TPs) who participate in the IAQG Industry Controlled Other Party (ICOP) scheme. The requirements in this standard supplement those defined within the 9104/1, 9104/2, ISO/IEC 17021-1, and ISO/IEC 17021-3 standards.

Data protection for the parties subject to this document and other relevant requirements of the ICOP scheme are managed via bi-lateral contracts between the joint controllers of the data.

## 2. REFERENCES

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments or resolutions) applies. When a conflict in requirements between this document and the referenced standards exist, the requirements of this document shall take precedence.

9100\*            Quality Management Systems – Requirements for Aviation, Space, and Defense Organizations

9104/1\*        Requirements for Aviation, Space, and Defense Quality Management System Certification Programs

9104/2\*        Requirements for Oversight of Aerospace Quality Management Systems Registration/Certification Programs

9110\*            Quality Management Systems – Requirements for Aviation Maintenance Organizations

9120\*            Quality Management Systems – Requirements for Aviation, Space, and Defense Distributors

\* As developed under the auspice of the IAQG and published by various standards bodies [e.g., AeroSpace and Defense Industries Association – Standardization (ASD-STAN), SAE International, European Committee for Standardization (CEN), Japanese Standards Association (JSA)/Society of Japanese Aerospace Companies (SJAC), Brazilian Association for Technical Norms (ABNT)].

ISO 9000        Quality management systems – Fundamentals and vocabulary

ISO 9001        Quality management systems – Requirements

ISO/IEC 17000    Conformity assessment – Vocabulary and general principles

ISO/IEC 17021-1    Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements

- ISO/IEC 17021-3 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 3: Competence requirements for auditing and certification of quality management systems
- ISO/IEC 17024 Conformity assessment – General requirements for bodies operating certification of persons

### 3. TERMS AND DEFINITIONS

Definitions for general terms can be found in ISO 9000, ISO/IEC 17000, 9104-series standards, and the IAQG International Dictionary (located on the IAQG website). An acronym log for this document is presented in Appendix A. For the purpose of this standard, the following definitions apply:

#### 3.1 Audit Experience

Experience gained and demonstrated by direct involvement in an audit as a team leader or team member conducting 2nd or 3rd QMS and AQMS party audits.

#### 3.2 Auditor Authentication

The process and output from confirming an auditor's competence has met or exceeded the minimum requirements for an auditor, as defined in this standard.

#### 3.3 Auditor Authentication Cycle

A period of three years from initial authentication or re-authentication.

#### 3.4 Auditor Performance Management

Activity undertaken to monitor individual 3<sup>rd</sup> party auditor performance and establish improvement programs, as required, to maintain auditor authentication, based on the results of performance information gathered.

#### 3.5 Authenticated Auditor (AA)

A person with the demonstrated competence (i.e., knowledge, skills, and personal attributes) to conduct an audit on ASD organizations that has been authenticated in accordance with the requirements of this standard.

#### 3.6 Authenticated Experienced Auditor (AEA)

A person with the demonstrated competence (i.e., knowledge, skills, and personal attributes) to lead an audit on ASD organizations that has been authenticated in accordance with the requirements of this standard, together with appropriate recognized work experience and demonstrated knowledge in the ASD industry.

### 3.7 Aviation, Space, and Defense (ASD) Lead Auditor Course

An interactive training course approved by a TPAB, that includes current 9100 standard requirements, the process approach as it applies to auditing an entire AQMS, and how to plan, conduct, report, follow-up, and close an AQMS audit.

### 3.8 Continual Professional Development (CPD)

The means by which professionals improve and broaden their knowledge and skills required to enhance individual capability. CPD includes relevant structured learning activities that focus on subjects and topics that are related to the audit profession, including emerging industry technologies and regulatory requirements.

### 3.9 Contractor

A person who undertakes work on behalf of an organization on a contract basis that is specified in a mutually binding agreement. This does not include individuals who provide expert advice professionally (i.e., consultancy).

### 3.10 International Aerospace Quality Group (IAQG) Sanctioned Requisites

Any activity mandated by the IAQG to support auditor authentication (e.g., training, assessment, evaluation).

### 3.11 Full System Audit

Direct involvement as a team leader or team member (as applicable) in a QMS (ISO 9001) or AQMS (9100, 9110, 9120) audit that covers all requirements of the respective standard, aligned to the certification scope of the audited organization.

### 3.12 Performance Improvement Plan (PIP)

The means to address performance improvement that includes a clear, structured set of actions and deliverables, together with timescales, in order to attain a specified level of performance.

### 3.13 Regulatory Aviation Maintenance Specific Training Course

An interactive training course (or a series of courses) approved by a civil/military aviation authority, conducted over a minimum two working days relating to aviation maintenance regulations.

### 3.14 Suspension

Temporary restriction(s) applied to authentication or approval activity due to the non-fulfillment of requirements.

### 3.15 Withdrawal

Cessation of authentication or approval due to the non-fulfilment of requirements.

## 4. AUDITOR AUTHENTICATION

### 4.1 General

4.1.1 Auditors seeking authentication shall meet the requirements defined within this standard and provide documented evidence of the required baseline training, audit experience, IAQG sanctioned requisites, work experience, industry knowledge, and CPD (as applicable) relative to the applicable AQMS standard to the AAB.

4.1.2 The following auditor grades have been established for each AQMS standard:

- a. Authenticated Auditor (AA); and
- b. Authenticated Experienced Auditor (AEA).

### 4.2 Auditor Authentication Requirements

4.2.1 Auditor authentication shall be undertaken in accordance with the applicable requirements relating to each authentication phase:

- a. Auditor initial authentication (see 5);
- b. Auditor re-authentication (see 6); or
- c. Auditor advancement (see 7).

4.2.2 Auditors shall only conduct audits for which they are authenticated (e.g., AA/AEA 9100 auditors cannot perform audits to 9110 or 9120).

4.2.3 Auditors can be authenticated for one or more grades and/or standards, but only for one grade (AA or AEA) per standard at the same time.

4.2.4 Auditors shall be authenticated to 9100, in order to be authenticated for other AQMS standards (i.e., 9110 and/or 9120).

NOTE: Where an auditor is already authenticated to 9100 and is seeking authentication to another AQMS standard, the work experience utilized for initial authentication may be used to demonstrate compliance to the requirements, provided the 9100 authentication is current.

4.2.5 Auditors shall disclose within their application to the AAB if they have had any previous applications or authentications rejected, suspended, or withdrawn; including the reason(s) why.

### 4.3 Auditor Work Experience

#### 4.3.1 Authenticated Auditor Work Experience

Work experience shall be full time as an employee or contractor in industries with similar scopes of applicability (e.g., automotive, nuclear, maritime, medical

devices, other high risk/safety critical industries), with direct involvement in engineering, design, manufacturing, quality, or process control.

#### 4.3.2 Authenticated Experienced Auditor Work Experience

Work experience shall be full time as an employee or contractor within the ASD industry with direct involvement in engineering, design, manufacturing, quality, or process control within any of the following organizations:

- a. Major Equipment Manufacturer/Integrator Organization – an organization that designs, produces, and delivers complete vehicles or systems for ASD applications (e.g., aircraft, ships, submarines, major weapon systems, launchers or spacecraft).
- b. Prime Organization – an organization that designs and/or produces a major assembly, major subassembly, or major component of an ASD end item (e.g., cabins, wings, fuselages, propulsion systems, control systems, health monitoring systems, ordnance management systems, radar systems, emergency or backup systems).
- c. ASD Regulatory Agency – a civil (e.g., National Aviation Authority [NAA]), military (e.g., Ministry of Defense [MoD]), or space organization (e.g., European Space Agency [ESA], National Aeronautics and Space Administration [NASA], Canadian Space Agency [CSA], Japan Aerospace Exploration Agency [JAXA], China National Space Administration [CNSA]).

#### 4.3.3 Authenticated Experienced Auditor Maintenance Work Experience

Work experience shall be full time as an employee or contractor within an aviation maintenance organization authorized by a civil or military aviation authority with direct involvement in overhaul, disassembling, inspection, testing, replacement, defect rectification, and the embodiment of a modification or repair.

#### 4.4 Aviation, Space, and Defense Industry Knowledge

##### 4.4.1 Industry knowledge shall include at a minimum, an understanding of the processes and controls for:

- a. advance product quality planning;
- b. change control;
- c. containment, cause analysis, and corrective action;
- d. configuration, identification, and traceability;
- e. critical items and key characteristics;
- f. design and development;

- g. external provider approval and control;
- h. foreign object damage/debris (FOD) prevention program;
- i. nonconforming material management;
- j. operational risk management;
- k. ASD regulatory requirements;
- l. prevention of counterfeit/unapproved parts;
- m. product safety;
- n. production part approval process;
- o. production processes and product verification/validation; and
- p. sampling inspection or testing.

4.4.2 In addition for 9110 authentication, this knowledge shall also include at a minimum, an understanding of the processes and controls for:

- a. aviation maintenance regulations;
- b. continued airworthiness management;
- c. development and/or maintenance of technical data;
- d. qualification and certification of persons;
- e. identification and control of serviceable/unserviceable articles or products;
- f. parts distribution and rotatable pools;
- g. prevention of suspected unapproved parts;
- h. installation of approved parts; and
- i. return to service processes.

## **5. AUDITOR INITIAL AUTHENTICATION**

- 5.1 The requirements for auditor initial authentication for each auditor grade shall be in accordance with Table 1.
- 5.2 To initiate the process, the auditor shall apply for authentication to their selected AAB for each relevant AQMS standard.

**TABLE 1 - AQMS AUDITOR INITIAL AUTHENTICATION REQUIREMENTS**

Element	Authenticated Auditor (AA)	Authenticated Experienced Auditor (AEA)	
Baseline Training	Evidence of passing a TPAB approved ASD Lead Auditor Course (see 3.7).		
Audit Experience (see 3.1)	Evidence within the past three years of: <ul style="list-style-type: none"> <li>a. a minimum of four 2nd party QMS/AQMS and/or 3rd party QMS full system audits (see 3.11) in a team member or team leader role;</li> <li>b. additional audits, if necessary, to demonstrate coverage of all requirements of the respective standard at least twice; and</li> <li>c. a minimum of 20 on-site audit days (excluding planning and report writing).</li> </ul>	Evidence within the past three years of: <ul style="list-style-type: none"> <li>a. a minimum of four 2nd party QMS/AQMS and/or 3rd party QMS full system audits (see 3.11) leading a team in a team leader role;</li> <li>b. additional audits, if necessary, to demonstrate coverage of all requirements of the respective standard at least twice; and</li> <li>c. a minimum of 20 on-site audit days (excluding planning and report writing).</li> </ul>	
IAQG Sanctioned Requisites (see 3.10)	Evidence of successful completion (including examination, as applicable) of any IAQG requisites.		
Auditor Work Experience (see 4.3)	Evidence of 2 years work experience within the past 10 years (see 4.3.1).	9100 9120	Evidence of four years ASD work experience (see 4.3.2) within the last 10 years.
		9110	9100 above, plus evidence of two years aviation maintenance work experience (see 4.3.3) within the last four years.
ASD Industry Knowledge (see 4.4)	Evidence not required.	9100 9120	Evidence of industry knowledge (see 4.4.1).
		9110	Evidence of industry knowledge (see 4.4.2).

## 6. AUDITOR RE-AUTHENTICATION

- 6.1 The requirements for auditor re-authentication for each auditor grade shall be in accordance with Table 2.
- 6.2 To initiate the process and prior to expiry, auditors shall apply for re-authentication in accordance with their selected AAB requirements, in order to maintain their authentication.
- 6.3 Auditors shall disclose within their application to the AAB (in relation to their previous authentication cycle):
- a. any PIPs raised (see 3.12), including their status; and
  - b. all CBs for whom they have conducted AQMS audits.

**TABLE 2 - AQMS AUDITOR RE-AUTHENTICATION REQUIREMENTS**

<b>Element</b>	<b>Authenticated Auditor (AA)</b>	<b>Authenticated Experienced Auditor (AEA)</b>
Audit Experience (see 3.1)	Evidence within the past three years of: <ol style="list-style-type: none"> <li>a minimum of four 2nd and/or 3rd party QMS/AQMS full system audits (see 3.11);</li> <li>additional audits, if necessary, to demonstrate coverage of all requirements of the respective standard at least twice; and</li> <li>a minimum of 20 on-site audit days (excluding planning and report writing).</li> </ol>	Evidence within the past three years of: <ol style="list-style-type: none"> <li>a minimum of four 2nd and/or 3rd party AQMS full system audits (see 3.11);</li> <li>additional audits, if necessary, to demonstrate coverage of all requirements of the respective standard at least twice; and</li> <li>a minimum of 20 on-site audit days (excluding planning and report writing).</li> </ol>
IAQG Sanctioned Requisites (see 3.10)	Evidence of successful completion (including passing an examination, as applicable) of any IAQG requisites.	
Auditor Work Experience (see 4.3)	Evidence not required.	
ASD Industry Knowledge (see 4.4)	Evidence not required.	
Continual Professional Development (CPD) (see 3.18)	Evidence of 40 hours within the auditor authentication cycle, with a minimum of 10 hours per year. NOTE: Each hour of structured learning activity is equivalent to one CPD hour.	
Auditor Performance Management (see 3.4)	Evidence of any PIPs raised (see 6.3.a) and any other reported performance issues or concerns over the auditor authentication cycle (see 9.4).	

## **7. AUDITOR ADVANCEMENT**

- 7.1 The requirements for auditor advancement from AA to AEA shall be in accordance with Table 3.
- 7.2 Successful advancements shall not change or extend the applicants existing re-authentication cycle.
- 7.3 To initiate the process, the AA shall apply for authentication as an AEA to their selected AAB for each relevant AQMS standard.
- 7.4 Auditors shall disclose within their application to the AAB (in the previous three years):
- any PIPs raised (see 3.12), including their status; and

- b. all CBs for whom they have conducted AQMS audits.

**TABLE 3 - AQMS AUDITOR ADVANCEMENT REQUIREMENTS**

Element	Authenticated Auditor (AA) to Authenticated Experienced Auditor (AEA)
Audit Experience (see 3.1)	For advancement to 9100, evidence of: a. at least one full auditor authentication cycle as an AA conducting 3rd party AQMS audits; b. a minimum of 30 on-site 3 <sup>rd</sup> party AQMS audit days (excluding planning and report writing), in each of any three consecutive years; and c. a minimum of four 3 <sup>rd</sup> party QMS audits leading a team, in a team leader role.
	For advancement to 9120, evidence of: a. 9100 AEA authentication; b. a minimum of five on-site 3 <sup>rd</sup> party 9120 audit days (excluding planning and report writing), in each of any three consecutive years.
	For advancement to 9110, evidence of: a. 9100 AEA authentication; b. passing a regulatory aviation maintenance specific training course (see 3.13); c. a minimum of five on-site 3 <sup>rd</sup> party 9110 audit days (excluding planning and report writing), in each of any three consecutive years; and d. direct involvement in one complete 3 <sup>rd</sup> party 9110 audit, witnessed by a 9110 AEA (authenticated in accordance with 9110 Table 1 work experience).
IAQG Sanctioned Requisites (see 3.10)	Evidence of successful completion (including passing an examination, as applicable) of any IAQG requisites.
Auditor Work Experience (see 4.3)	Evidence not required.
ASD Industry Knowledge (see 4.4)	Evidence of industry knowledge (see 4.4.1 and/or 4.4.2, as applicable).
Auditor Performance Management (see 3.4)	Evidence of any PIPs raised (see 7.4.a), and any other reported performance issues or concerns in the previous three years (see 9.4).

## 8. AUDITOR PERFORMANCE MONITORING AND MANAGEMENT

### 8.1 General

- 8.1.1 3<sup>rd</sup> party auditor performance shall be monitored and improvement programs established (as required), based on the results of performance information gathered.

NOTE: Organizations may utilize the auditor performance monitoring and management requirements defined in this standard for their 2<sup>nd</sup> party auditors.

## 8.2 Auditor Performance Criteria and Parameters

8.2.1 Performance monitoring shall address, at a minimum, the following mandatory criteria:

- a. nonconformities per audit day;
- b. upheld complaints;
- c. upheld client nonconformity appeals; and
- d. oversight/witness findings.

8.2.2 The IAQG shall establish, document, and communicate performance parameters (thresholds), for each of the mandatory criteria (see 8.2.1).

NOTE: IAQG performance parameters may be adjusted periodically in support of driving continual improvement.

8.2.3 The IAQG may also identify additional criteria and associated performance parameters to be monitored.

## 8.3 Auditor Requirements

8.3.1 Auditors shall notify all of their employing or contracting CB(s) before undertaking any audit activity on their behalf when:

- a. they are subject to an open PIP (see 3.12); or
- b. a CB terminates a contract due to performance issues.

8.3.2 An auditor shall not seek to advance between grades, apply for authentication to additional AQMS standards, or transfer to another AAB if they are subject to an open PIP.

## 8.4 Certification Body Requirements

### 8.4.1 General

8.4.1.1 CBs shall implement a process to monitor individual auditor performance.

8.4.1.2 The CB shall share information relating to the monitoring and reporting of the auditors' AQMS audit activity and performance with relevant interested parties in accordance with this standard and other ICOP scheme requirements; subject to compliance with applicable law, in particular relating to the protection of personal data and confidentiality of information.

8.4.1.3 CBs and/or auditors shall provide performance assessment data, when requested by the AAB or IAQG, in support of oversight activity or specific investigations.

## 8.4.2 Auditor Performance Assessment

8.4.2.1 For each employed and/or contracted auditor, each CB shall at a minimum (in accordance with Table 4):

- a. undertake performance assessment against the mandatory and any additional performance criteria (see 8.2); and
- b. conduct an on-site AQMS witness audit to confirm that an auditor has the ability to apply knowledge and skills to achieve intended results, ensuring:
  - the witness auditor is an authenticated AEA for the AQMS standard being witnessed, or alternatively a competent CB person with suitable knowledge and experience approved by the Sector Management Structure (SMS);
  - the witness auditor is not part of the appointed audit team and witnesses only one auditor per audit;
  - the witness audit is undertaken over a minimum of two on-site working days; and
  - the witness audit covers the entire audit, including the production and/or service provision.

NOTE: Additional performance monitoring criteria can be established by the CB.

**TABLE 4 - AUDITOR PERFORMANCE MONITORING ACTIVITY**

Auditor	Performance Assessment	Witness Audit
New to the CB	Every 12 months	First AQMS audit.
Existing		<ol style="list-style-type: none"> <li>a. Every three years; or</li> <li>b. Up to a maximum of six years, based on risk assessment results (see 8.4.2.2).</li> </ol>

8.4.2.2 The CB may introduce a risk-based process to vary the frequency of witness audits for auditors who meet performance expectations.

8.4.2.3 The risk-based process shall consider, at a minimum, the following:

- a. mandatory and any additional performance criteria (see 8.2);
- b. results of internal witness audits;
- c. review of audit documentation; and
- d. AQMS audit frequency.

### 8.4.3 Auditor Performance Management

- 8.4.3.1 When individual auditor performance does not meet defined performance thresholds, including notification of an open PIP (see 8.3.1 a), the CB shall investigate and, as applicable:
- a. take no further action, where no performance issue is identified;
  - b. establish a PIP (see 3.12); or
  - c. terminate the contract for AQMS audits.
- 8.4.3.2 The CB shall determine if the validity of previously delivered audits has been adversely affected and take appropriate action, as necessary.
- 8.4.3.3 The PIP shall be managed by the CB and include clear improvement actions, timescales, and required outcomes.
- 8.4.3.4 The CB shall notify the auditor's AAB in writing and provide supporting information to justify their decision within ten working days when:
- a. the auditor does not engage with the PIP;
  - b. planned improvements have not been achieved; or
  - c. the CB terminates a contract due to performance issues.
- 8.4.3.5 In cases where an employed or contract auditor leaves the CB prior to the performance review and performance issues are identified, the CB shall notify the AAB.
- ### 8.4.4 Retained Documented Information
- 8.4.4.1 The CB shall retain documented information that includes:
- a. established and communicated performance criteria and parameters;
  - b. performance assessments, witness audits, investigations, and outcomes;
  - c. the implementation and outcomes of PIPs;
  - d. notifications to AABs; and
  - e. actions taken to determine the validity of previously delivered audits when a performance issue has been identified.

## 9. REQUIREMENTS FOR AUDITOR AUTHENTICATION BODIES

### 9.1 General

- 9.1.1 AABs shall be approved and entered into the Online Aerospace Supplier Information System (OASIS) database by their SMS.
- 9.1.2 The AAB shall share information relating to the monitoring and reporting of the auditors' AQMS audit activity and performance with relevant interested parties in accordance with this standard and other ICOP scheme requirements; subject to compliance with applicable law, in particular relating to the protection of personal data and confidentiality of information.
- 9.1.3 The AAB shall retain documented information to support auditor authentication decisions and performance management (as applicable), for a minimum of two complete auditor authentication cycles.
- 9.1.4 The AAB shall have a person(s) with ASD industry knowledge of sufficient depth to support AQMS auditor authentication requirements. The person(s) making the authentication decision shall be approved by the SMS.
- 9.1.5 The AAB shall not subcontract and/or license another organization to undertake auditor authentication on its behalf.

### 9.2 Operational Requirements

- 9.2.1 The AAB shall cooperate with applicable IAQG sectors to give assurance that AQMS auditors continue to perform in a manner consistent with the requirements contained herein and other applicable ICOP scheme process documentation.
- 9.2.2 The AAB shall maintain documented information to control at a minimum, the following:
  - a. application review;
  - b. decisions, including notification of results;
  - c. performance investigations;
  - d. granting, maintaining, suspending, and withdrawing authentication;
  - e. retained documented information;
  - f. complaints and appeals;
  - g. confidentiality;
  - h. impartiality, including the decision-making process;
  - i. maintenance of OASIS database records and information;

- j. internal performance evaluation, including process effectiveness measures;
- k. right of access to periodic oversight by relevant interested parties; and
- l. management review.

NOTE: ISO/IEC 17024 may be used for guidance.

### 9.3 Auditor Application Review and Authentication

- 9.3.1 The AAB shall review auditor applications against all relevant requirements specified in this standard.
- 9.3.2 The decision to grant or reject authentication, re-authentication, or transfer and to suspend or withdraw authentication, shall be made by the AAB on the basis of information and objective evidence gathered to support the decision.
- 9.3.3 If the supplied objective evidence does not satisfy the requirements, then the AAB shall (as applicable):
  - a. request further objective evidence from the applicant;
  - b. request further information from the applicants employer(s); and/or
  - c. interview the applicant to seek clarification and evidence to substantiate their application.
- 9.3.4 The person(s) that make the decision to grant, maintain, advance, suspend, or withdraw auditor authentication shall not have any real or perceived conflict of interest which can compromise the impartiality of the decision.
- 9.3.5 The AAB shall advise the applicant of the authentication decision and update the auditor's OASIS database record within five working days of the authentication decision.
- 9.3.6 AABs shall ensure that auditor authentication is only awarded through one AAB, at any time, for all applicable AQMS standards.
- 9.3.7 Auditor authentication shall be valid for a period of three years (i.e., authentication cycle).

### 9.4 Auditor Performance

- 9.4.1 The AAB shall have a process to receive, review, communicate, and determine actions to be taken in response to identified auditor performance issues.
- 9.4.2 The AAB shall notify the SMS(s) upon notification of an identified auditor performance issue in writing within five working days.
- 9.4.3 The AAB shall engage with the relevant parties and the auditor to complete the performance review investigation within 20 working days and may request:

- a. further information from the originator;
- b. an extract of relevant information from the OASIS database; or
- c. performance assessment data and other relevant information from all employing CBs.

9.4.4 Following review, the AAB shall decide upon the course of action:

- a. continued auditor authentication;
- b. suspension of the auditor's authentication (see 9.6); or
- c. withdrawal of the auditor's authentication (see 9.7)

9.4.5 The AAB shall notify the auditor, employing CB(s), and SMS(s) of its decision in writing within five working days.

## 9.5 Auditor Suspension and Withdrawal

9.5.1 Following investigation by the AAB, auditor authentication(s) can be suspended and/or withdrawn under, but not limited to, the following circumstances:

- a. the auditor is not fulfilling the related requirements;
- b. the application for auditor authentication(s) contains false information;
- c. a performance issue associated with the conduct of AQMS audits;
- d. proven falsification of audit documentation or reports, audit findings, or audit conclusions;
- e. the auditor has brought the IAQG and/or ICOP scheme into disrepute, including unethical behavior;
- f. the auditor failed to inform an AAB of a previous rejection, suspension, or withdrawal from another AAB;
- g. action or lack of action that has resulted in aviation safety concerns requiring Original Equipment Manufacturer (OEM) or regulatory authority action, independent of the audit process; and
- h. failure to disclose an ongoing PIP or CB contract termination due to performance issues, to relevant interested parties (see 8.3.1).

9.5.2 Following the suspension or withdrawal decision, the AAB shall within five working days:

- a. notify the auditor in writing of the following:
  - justification for the decision;

- instruction to cease all 3rd party AQMS audit activities; and
  - the right to appeal the decision.
- b. inform the respective SMS(s) and CB(s) in writing;
- c. update the auditor authentication information in the OASIS database.
- 9.5.3 Re-instatement of the authentication(s) shall be granted by the AAB, following successful resolution of either a suspension or an appeal, in accordance with the AABs defined process.
- 9.5.4 In the event of a decision to suspend the authentication(s) of an auditor, the AAB shall:
- a. require the auditor to address the issues identified; and
  - b. verify that the corrective action undertaken has been effective.
- NOTE: Verification can include an on-site witness assessment undertaken by an assessor deemed competent by the AAB, and who does not have any real or perceived conflict of interest.
- 9.5.5 In the event of a decision to withdraw the authentication(s) of an auditor, the AAB shall impose a mandatory period of withdrawal of not less than 12 months duration, from the date of the decision to withdraw, during which time the auditor shall not reapply for authentication in any IAQG sector.
- NOTE: The 12 month duration may be extended up to and including a permanent withdrawal based on the severity of the evidence, taking into account any local or national law or regulation.
- 9.5.6 If an auditor has had authentication withdrawn, any subsequent application shall be treated as an initial application.
- 9.6 Transfer of Auditor Authentication
- 9.6.1 Where an auditor authenticated with one AAB applies to move their authentication(s) to another AAB to continue their existing auditor authentication(s), the following shall apply:
- a. auditor authentication with a new AAB shall only take place at re-authentication, provided that the application is made prior to expiry of their authentication;
  - b. all auditor authentications, regardless of expiry dates, held with the existing AAB shall be moved at the same time to the new AAB and expiration dates remain the same;

- c. the new AAB shall request and the existing AAB shall provide, the auditor authentication records from all previous authentication decisions;
  - d. the new AAB shall ensure the authenticated auditor's OASIS database record reflects current validity (i.e., not suspended, withdrawn, or expired) for both the AQMS standard and the grade (i.e., AA or AEA) of authentication for each authentication;
  - e. the new AAB shall verify with the existing AAB that the auditor is not subject to an ongoing performance issue; and
  - f. the new AAB shall ensure that all requirements for re-authentication(s) are fulfilled.
- 9.6.2 Upon successful transfer, the new AAB shall update the OASIS database of the authentication decision and inform the previous AAB in writing, within five working days.
- 9.6.3 Upon notification from the new AAB, the previous AAB shall ensure the OASIS database is updated to withdraw the previous applicable authentication(s).
- 9.6.4 Where the application is determined to be unsuccessful, the new AAB shall advise both the auditor and their existing AAB in writing that they have been rejected and provide the reason(s) for the rejection. The auditor shall be permitted to continue their re-authentication with their existing AAB; however, if the auditor's authentication status has expired in this period, then the auditor application shall be treated as an initial application by the AAB.
- 9.7 Auditor Authentication Body Withdrawal
- 9.7.1 In the event of withdrawal of an AAB by an SMS, an auditor's existing authentication shall remain eligible for transfer to another approved AAB for a maximum of six months after the withdrawal of the AAB or until the auditor authentication expiration, whichever is less.
- 9.7.2 The new AAB shall:
- a. request all auditor records (i.e., two auditor authentication cycles, as applicable) from the previous AAB;
  - b. validate the existing auditor authentication(s) and update the OASIS database accordingly within five working days of the validation decision with no change in expiration dates from current authentication(s); and
  - c. advise the relevant SMS and IAQG in the event where the applicable records are not available from the withdrawn AAB.

NOTE: In such instances, a decision shall be agreed upon with the relevant SMS and IAQG with regard to the authentication status for the applicable auditor(s).

- 9.7.2 Following confirmation from the new AAB, all auditor authentication(s) made by the previous AAB shall be withdrawn in the OASIS database.

## **10. REQUIREMENTS FOR TRAINING PROVIDER APPROVAL BODIES**

### 10.1 General

- 10.1.1 The TPAB shall cooperate with applicable IAQG sectors to give assurance that TPs continue to perform in a manner consistent with the requirements defined in this standard and the ICOP scheme.
- 10.1.2 The TPAB shall share information relating to the monitoring and reporting of the TPs activity and performance with relevant interested parties in accordance with this standard and other ICOP scheme requirements; subject to compliance with applicable law, in particular relating to the protection of personal data and confidentiality of information.
- 10.1.3 The TPAB shall have a person(s) with ASD industry knowledge of sufficient depth to support both TP and training course(s) evaluation and approval. The person(s) making the approval decision shall be approved by the SMS.
- 10.1.4 The TPAB shall review and manage changes to a TP structure and/or training requirements (see 11.4), and provide a response to the TP in writing to reflect the outcome.
- 10.1.5 The TPAB shall undertake an annual review of the conformance of the TP and any associated partner organizations (as applicable) to the requirements defined within this standard, including a review of TP competence and instructor performance.
- 10.1.6 The TPAB shall retain documented information relating to the application review, approval decision of the TP and associated training course(s), and required annual reviews.

### 10.2 Approval of Training Providers

- 10.2.1 The TPAB shall grant, maintain, extend, suspend, and withdraw approval of TPs, as defined in this standard.
- 10.2.2 Those who make the decision to approve, maintain, extend, suspend, or withdraw approval of TPs shall not have any real or perceived conflict of interest which can compromise the impartiality of the decision.
- 10.2.3 The TPAB shall review each TP application against the operational requirements defined in this standard (see 11.2).
- 10.2.4 Upon approval of the TP, the TPAB shall make a request to upload the appropriate data into the OASIS database within five working days of the approval decision and notify the TP in writing.

10.2.5 If the review determines the TP does not meet the requirements defined in this standard, the TPAB shall notify the TP of the reason(s) for the disapproval in writing.

### 10.3 Approval of Training Courses and Assessments

10.3.1 The TPAB shall review each training course/assessment against the defined requirements (see 12.1) and grant, maintain, suspend, and withdraw approval (as applicable).

10.3.2 Upon approval of the training course/assessment, the TPAB shall make a request to upload the appropriate data into the OASIS database within five working days of the approval decision and notify the TP in writing.

10.3.3 If the review determines the training material or assessment does not meet the requirements, the TPAB shall notify the TP of the reason(s) for the disapproval in writing.

### 10.4 Operational Requirements

10.4.1 The TPAB shall maintain documented information to address, at a minimum, the following requirements:

- a. application review;
- b. decisions, including notification of results;
- c. granting, maintaining, suspending, and withdrawing TP approval;
- d. review, approval, and withdrawal of training courses, including SMS concurrence (where required);
- e. management of changes to TPs and/or training courses (see 11.4);
- f. retained documented information;
- g. complaints and appeals;
- h. confidentiality;
- i. impartiality, including the decision-making process;
- j. maintenance of OASIS database records and information;
- k. internal performance evaluation, including process effectiveness measures;
- l. right of access to periodic oversight by relevant interested parties; and
- m. management review.

### 10.5 Training Provider Suspension or Withdrawal

- 10.5.1 Following investigation by the TPAB, TP approval can be suspended or withdrawn under, but not limited to, the following circumstances:
- a. non-payment of fees;
  - b. nonconformity that can result in serious or sustained failure of the TP or training course to satisfy the requirements of this standard or the TPAB;
  - c. the TP failure to inform the TPAB of a previous rejection, suspension, or withdrawal from another TPAB; and
  - d. at the TP's request.
- 10.5.2 The decision for suspension and/or withdrawal of a TP or removal of training course approval shall be made by the TPAB and supported by objective evidence.
- 10.5.3 Following the suspension or withdrawal decision, or the removal of training course approval, the TPAB shall:
- a. notify the TP in writing of the following within five working days:
    - justification of the decision; and
    - the right to appeal the decision.
  - b. determine the relevance of the reason(s) for suspension/withdrawal and the impact this can have on all AQMS course approvals held by the TP; and
  - c. update the TP or training course information (as applicable) in the OASIS database within five working days.
- 10.5.4 Re-instatement of the approval shall be granted by the TPAB, following successful resolution of either a suspension or an appeal, in accordance with the TPAB's defined process.
- 10.5.5 In the event of a decision to suspend the approval of a TP, the TPAB shall:
- a. require the TP to address the issues identified; and
  - b. verify that the corrective action undertaken has been effective.
- NOTE: Verification can include an on-site witness assessment undertaken by an assessor deemed competent by the TPAB, and who does not have any real or perceived conflict of interest.
- 10.5.6 In the event of a decision to withdraw the approval of a TP, the TPAB shall impose a mandatory period of withdrawal of not less than 12 months duration from the date of the decision to withdraw, during which time the TP shall not reapply for approval in any IAQG sector.

NOTE: The 12 month duration may be extended up to and including a permanent withdrawal based on the severity of the evidence, taking into account any local or national law or regulation.

## 10.6 Training Provider Approval Body Withdrawal

- 10.6.1 In the event of withdrawal of a TPAB by an SMS, a TP's existing approval shall remain valid and eligible for transfer to another approved TPAB for a maximum of six months after the withdrawal of the TPAB.
- 10.6.2 The accepting TPAB shall have the responsibility to obtain, review, and validate conformance of the required approval decision records, prior to making their approval decision.

## 11. REQUIREMENTS FOR TRAINING PROVIDERS

### 11.1 General

- 11.1.1 TPs and associated partner organizations (e.g., affiliates, franchisees, subsidiaries) shall be approved by the TPAB and entered into the OASIS database.
- 11.1.2 The TP shall not subcontract and/or license another organization to deliver training courses on its behalf.
- 11.1.3 The TP shall ensure that all promotional materials meet the requirements of the TPAB (see 13.1).
- 11.1.4 The TP shall share information relating to the monitoring and reporting of trainer/participant training activity and performance in accordance with this standard and other ICOP scheme requirements; subject to compliance with applicable law, in particular relating to the protection of personal data and confidentiality of information.
- 11.1.5 TPs shall disclose within their application, if they have had any previous TP applications rejected, or approvals suspended or withdrawn.

### 11.2 Operational Requirements

- 11.2.1 The TP shall maintain documented information to address, at a minimum, the following requirements:
  - a. implementation and maintenance of training courses;
  - b. control of course delivery, including delivery in languages other than the original;
  - c. complaints and appeals;
  - d. retained documented information;

- e. confidentiality;
- f. internal performance evaluation, including process effectiveness measures;
- g. right of access to periodic oversight by relevant interested parties;
- h. course publicity and advertising;
- i. instructor training and periodic evaluation of performance and competence;
- j. presentation of the course;
- k. operation and conduct of the examination and re-examination, as applicable;
- l. issuance and withdrawal of certificates, as appropriate;
- m. evaluation of participants, including definition of pass and fail criteria, as applicable;
- n. security, including the integrity of course content and examination material; and
- o. management review.

### 11.3 Retained Documented Information

11.3.1 The TP shall retain documented information that demonstrates conformity to the requirements of this standard for a minimum of ten years, including the following:

- a. participant records for each course, including trend analysis of results, as applicable;
- b. records of assessments, pass/fail decisions, and course certificates; and
- c. each course presentation, course presentation re-takes, or examination re-takes shall include (as applicable):
  - venue and dates of presentation;
  - names of instruction team members, assessors, and proctors, including substitutes, trainee instructors, and observers;
  - identification of the revision level for the course documentation and examination paper;
  - names of all participants who attended the course;
  - graded examination papers and continual evaluation records;

- names of all participants who have taken a re-examination and the associated results;
- the unique identification number of each certificate of successful completion and the name of the participant to whom it was issued; and
- all complaints and appeals, including any escalation and their associated resolution or outcome.

11.3.2 This documented information shall be made available to the relevant TPAB, SMS, or IAQG for review and confirmation of conformance to requirements. Documented information shall be maintained in a language acceptable to the relevant TPAB.

11.3.3 If the TP goes out of business, all of the relevant auditor training records shall be made available to the TPAB free of charge.

#### 11.4 Training Provider Changes

11.4.1 The TP shall notify the TPAB of any change of address, or any significant changes in organization structure or provision of services.

11.4.2 When changes to ICOP scheme documentation are published, the TP shall review and incorporate (as applicable) any changes to training courses and/or training materials and their delivery.

11.4.3 Technical changes to training course(s) shall be submitted by the TP to the TPAB for consideration and approval, including the following:

- a. details of the change and its location within the course material;
- b. reason(s) and rationale for the change or variance;
- c. modified training plan and revised course outline;
- d. assessment of the impact on the learning process; and
- e. perceived impact to previous participants, as applicable.

## 12. REQUIREMENTS FOR TRAINING COURSES AND ASSESSMENTS

12.1 Where the need for AQMS/industry specific training course(s) and/or assessment(s) is identified, the requirements shall be specified by the IAQG and shall, at a minimum, include the following:

- a. course content and duration;
- b. learning objectives;
- c. instructor competency and qualification;

- d. criteria for examination and/or assessment;
- e. acceptance criteria of the course and/or assessment material; and
- f. course/assessment approval requirements.

### **13. USE OF MARKS AND LOGOS**

- 13.1 Where an organization (e.g., CB, AAB, TPAB, TP) mentioned herein chooses to use the IAQG mark or logo, the organization shall obtain written authorization from the IAQG.

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PREPARED BY THE INTERNATIONAL AEROSPACE QUALITY GROUP (IAQG)

## APPENDIX A – ACRONYM LOG

AA	Authenticated Auditor
AAB	Auditor Authentication Body
ABNT	Brazilian Association for Technical Norms
AEA	Authenticated Experienced Auditor
AQMS	Aerospace Quality Management System
ASD	Aviation, Space, and Defense
ASD-STAN	AeroSpace and Defense Industries Association - Standardization
CB	Certification Body
CEN	European Committee for Standardization
CNSA	China National Space Administration
CPD	Continual Professional Development
CSA	Canadian Space Agency
ESA	European Space Agency
FOD	Foreign Object Damage/Debris
IAQG	International Aerospace Quality Group
ICOP	Industry Controlled Other Party
IEC	International Electrotechnical Commission
ISO	International Organization for Standardization
JAXA	Japan Aerospace Exploration Agency
JSA	Japanese Standards Association
MoD	Ministry of Defense
NAIA	National Aerospace Industry Association
NASA	National Aeronautics and Space Administration
OASIS	Online Aerospace Supplier Information System
OEM	Original Equipment Manufacturer

PIP	Performance Improvement Plan
QMS	Quality Management System
SJAC	Society of Japanese Aerospace Companies
SMS	Sector Management Structure
TP	Training Provider
TPAB	Training Provider Approval Body

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