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Aerospace series — Quality management systems

Part 002: Requirements for Oversight of Aerospace Quality Management System Registration/Certification Programs

National foreword

This British Standard is the UK implementation of EN 9104-002:2016. It supersedes BS EN 9104-002:2008 which is withdrawn.

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Série aérospatiale - Systèmes de management de la
qualité - Partie 002: Exigences relatives à la
supervision des processus de certification des
Systèmes de Management de la qualité dans le
domaine aérospatial

Luft- und Raumfahrt - Qualitätsmanagementsysteme -
Teil 002: Anforderungen an Überwachung/Kontrolle
von Zertifizierungsverfahren für
Qualitätsmanagementsysteme der Luft- und Raumfahrt

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European foreword

This document (EN 9104-002:2016) has been prepared by the Aerospace and Defence Industries Association of Europe - Standardization (ASD-STAN).

After enquiries and votes carried out in accordance with the rules of this Association, this Standard has received the approval of the National Associations and the Official Services of the member countries of ASD, prior to its presentation to CEN.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by December 2016, and conflicting national standards shall be withdrawn at the latest by December 2016.

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According to the CEN-CENELEC Internal Regulations, the national standards organizations of the following countries are bound to implement this European Standard: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, Former Yugoslav Republic of Macedonia, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and the United Kingdom.

RATIONALE

After the initial publication of International Aerospace Quality Group (IAQG) standard EN 9104 in 2004, it became evident that a single standard containing all aspects of the Industry Controlled Other Party (ICOP) Aerospace Quality Management System (AQMS) was too complex. It was decided that the standard be broken into three sections:

- EN 9104-001 – Requirements for Aviation, Space, and Defence Quality Management System Certification Programs;
- EN 9104-002 – Requirements for Oversight of Aerospace Quality Management System Registration/Certification Programs; and
- EN 9104-003 – Requirements for Aerospace Auditor Competency and Training Courses.

This document is written to define a robust shared oversight process to ensure conformance to established aviation, space, and defence industry EN 9100-series accreditation/certification requirements. The purpose of this revision is to align with the respective EN 9104-001 and EN 9104-003 standards and incorporate lessons learned from past oversight activities.

FOREWORD

In December 1998, the aviation, space, and defence industry established the IAQG with the goal of achieving significant improvements in quality and reductions in cost throughout the value stream.

This document details the operating processes of the IAQG Other Party Management Team (OPMT) that monitors and reviews the Aerospace Supplier Quality System Accreditation/Certification Programs of each Sector Management Structure (SMS).

This document provides requirements for a shared oversight process based on the:

- establishment of oversight committees at the international and global sector levels;
- use of joint team assessments;
- use of qualified and approved IAQG member Other Party (OP) assessors;
- use of common assessment tools; and
- reporting of oversight results.

This document addresses the following activities:

- a) Establishment of standard oversight processes in all three global sectors (i.e., Europe, Asia Pacific, and the Americas). The management of these global sector schemes is referred to as SMS.
- b) Oversight of SMS, Certification Body Management Committees (CBMCs), Accreditation Bodies (ABs), Certification Bodies (CBs), Auditor Authentication Bodies (AABs), Training Provider Approval Bodies (TPABs), and training classes.

1 Scope

The requirements established in this document are applicable to the IAQG and associated sectors for managing oversight to established requirements contained in EN 9104-series standards (i.e., EN 9104-001, EN 9104-002, EN 9104-003). The requirements are applicable to IAQG working groups for oversight.

NOTE All required forms are depicted in Appendix A. These form exhibits are provided for reference only; the current versions of these forms are available on the IAQG website.

1.1 Purpose

The purpose of this standard is to document the ICOP oversight process and define a robust shared oversight process which provides objective evidence of conformance to established aerospace industry EN 9100-series standards (i.e., EN 9100, EN 9110, EN 9120) requirements and associated accreditation/certification.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

EN 9100 ¹⁾, *Quality Management Systems — Requirements for Aviation, Space and Defence Organizations*

EN 9101 ¹⁾, *Quality Management Systems — Audit Requirements for Aviation, Space, and Defence Organizations*

EN 9104-001 ¹⁾, *Aerospace series — Quality management systems — Part 001: Requirements for Aviation, Space, and Defence Quality Management System Certification Programs*

EN 9104-003 ¹⁾, *Aerospace series — Quality management systems — Part 003: Requirements for Aerospace Quality Management System (AQMS) — Auditor Training and Qualification*

EN 9110 ¹⁾, *Quality Management Systems — Requirements for Aviation Maintenance Organizations*

EN 9120 ¹⁾, *Quality Management Systems — Requirements for Aviation Space and Defence Distributors*

IAQG Operating Procedure 119, “IAQG Forms Management”

ISO 9000:2005, *Quality management systems — Fundamentals and vocabulary*

ISO/IEC 17000:2004, *Conformity assessment — Vocabulary and general principles*

ISO/IEC 17011:2004, *Conformity assessment — General requirements for accreditation bodies accrediting conformity assessment bodies*

¹⁾ As developed under the auspice of the IAQG and published by various standards bodies [e.g., AeroSpace and Defence 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/IEC 17021:2011, *Conformity assessment — Requirements for bodies providing audit and certification of management systems*

ISO 19011:2011, *Guidelines for auditing management systems*

IAF ID 4:2012, *IAF Informative Document — Market Surveillance Visits to Certified Organizations*

IAF MD 1:2007, *IAF Mandatory Document for the Certification of Multiple Sites Based on Sampling*

IAF MD 2:2007, *IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems*

IAF MD 3:2008, *IAF Mandatory Document for Advanced Surveillance and Recertification Procedures*

IAF MD 4:2008, *IAF Mandatory Document for the Use of Computer Assisted Auditing Techniques ("CAAT") for Accredited Certification of Management Systems*

IAF MD 5:2009, *IAF Mandatory Document for Duration of QMS and EMS Audits*

IAF MD 10:2013, *IAF Mandatory Document for Assessment of Certification Body Management of Competence in Accordance with ISO/IEC 17021:2011*

IAF MD 11:2013, *IAF Mandatory Document for the Application of ISO/IEC 17021 for Audits of Integrated Management Systems*

3 Terms and definitions

Definitions for general terms can be found in ISO 9000, ISO/IEC 17000, ISO 19011, EN 9104-001, and the IAQG International Dictionary (located on the IAQG website). An acronym log for this document is presented in Appendix B. For the purpose of this standard, the following definitions apply:

3.1

aerospace

the business of design, manufacture, maintenance, distribution, or support of aviation, space, and defence vehicles or engines, accessories, or component parts; and all ancillary and allied businesses, including vehicle maintenance and parts distribution operations

3.2

appeal

request by the provider of the object of conformity assessment to the conformity assessment body or AB for reconsideration by that body of a decision it has made relating to that object (see ISO/IEC 17000). An appeal can be lodged by any entity within the ICOP scheme.

3.3

assessment

a systematic process to assess the competence of an AB or a conformity assessment body (e.g., AB, CB, AAB, TPAB), based on the assessment criteria (see ISO/IEC 17011)

3.4

audit

a systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled

3.5

complaint

expression of dissatisfaction, other than appeal, by any person or organization to a conformity assessment body or AB, relating to the activities of that body, where a response is expected (see ISO/IEC 17000 and section 9 of this standard). A complaint can be lodged against any entity within the ICOP scheme.

3.6

containment

action to control and mitigate the impact of a nonconformity and protect the customer's operation (stop the problem from getting worse); includes correction, immediate corrective action, immediate communication, and verification that the nonconforming situation does not further degrade

3.7

Industry Controlled Other Party (ICOP)

the AQMS standard certification scheme, under IAQG and industry management, for the assessment and certification of organization quality management systems by other parties, in accordance with the requirements defined in the EN 9104-series standards

3.8

joint team assessment

an oversight assessment conducted in accordance with the requirements of this standard by a team of representatives, which may be comprised of AB assessors, OP assessors, and observers

3.9

nonconformity (also referred to as 'nonconformance')

the non-fulfilment of a [requirement](#) that is stated, generally implied, or obligatory (see EN 9101 standard for definitions of major and minor nonconformities)

3.10

office assessment

an on-site evaluation of an AB, AAB, or TPAB management office or CB lead office to the applicable requirements using the evaluation tools and methods contained in the EN 9104-series standards

3.11

Other Party (OP) assessor

a full-time employee (not a contractor or retired staff member) from either an IAQG member company or from an National Aerospace Industry Association (NAIA) member company [i.e., Aviation, Space, or Defence Original Equipment Manufacturer (OEM) or direct supplier to an OEM] that is actively participating in the ICOP oversight process, who has been qualified and approved in accordance with this standard, and conducts shared oversight assessment or supplementary IAQG member company oversight activity in accordance with this standard

3.12

shared oversight

the IAQG OPMT managed process that assures conformance and global harmonisation of the ICOP scheme across all IAQG sectors. Shared oversight includes assessments of approved, accredited, and authenticated stakeholders, as defined in the EN 9104-001 standard. Shared oversight prevents duplication of effort and allows IAQG member companies to share results.

3.13

supplemental oversight

additional oversight conducted by IAQG member companies in accordance with this standard, using qualified OP assessors. Supplemental oversight activity does not duplicate SMS or CBMC shared oversight activities. Supplemental oversight may be used to increase IAQG member company confidence in the ICOP scheme effectiveness. Supplemental oversight can also be used to address supply chain risk.

3.14

suspension

temporary invalidation of the statement of conformity for all or part of the specified scope of attestation (see ISO/IEC 17000)

3.15

witness assessment

an evaluation of an assessment or audit team's (e.g., AB, CB) conduct during an on-site assessment or audit to applicable criteria (i.e., requirements defined in AQMS standards and an assessment or audit team's procedures), using the evaluation tools and methods defined in this standard

4 General

4.1 ICOP oversight assessment requirements are contained within this standard. Aviation, space, and defence sector accreditation/certification and Training Provider (TP) approval/auditor authentication requirements are contained within the referenced published EN 9104-series standards.

4.2 The overall IAQG ICOP oversight process is depicted in the process model contained in Appendix C. This model includes the interrelationship between the processes and associated oversight activities.

4.3 The forms and check sheets used for conducting oversight assessments shall be controlled, updated, and maintained by the IAQG OPMT. They shall be made available to all stakeholders via the IAQG website.

4.4 The forms presented in this standard are for reference only; technically equivalent forms may be developed and utilized to support oversight activities.

5 Requirements for oversight and assessment personnel

5.1 General

5.1.1 OP assessors are responsible for ensuring they have the training, experience, and competence, as required by this standard, and they have been authorized by their employing company. They shall complete Form A, "Other Party (OP) Assessor Industry Controlled Other Party (ICOP) Declaration Form", to confirm fulfilment of the requirements and declare any potential conflicts of interest.

5.1.2 OP assessors shall be approved in accordance with this standard by their respective employers or SMS Oversight Chair. They shall verify continued support and provide objective evidence every three years, via submission of a completed declaration form (see Form A). This form shall be submitted to the respective SMS, which shall retain copies of all completed forms.

5.1.3 AB assessors shall be competent and qualified, as required by the EN 9104-001 standard. ABs shall ensure that AB assessors receive training as it relates to their roles and responsibilities described in this standard.

5.2 Other party assessor

5.2.1 OP assessor conducting oversight assessments shall have knowledge of the ICOP scheme [i.e., knowledge of all parts of the EN 9104-series standards requirements, knowledge of the relevant AQMS and ISO standards, applicable International Accreditation Forum (IAF) documents, and IAQG OPMT resolutions] sufficient to be able to effectively assess conformity.

5.2.2 OP assessors shall initially and in each three year period fulfil auditing, training, and work experience requirements as follows:

- a) Auditing experience: have conducted at least three AQMS audits (1st, 2nd, or 3rd party) or OP assessments for a minimum of nine assessment days within the last three years.
- b) Work experience: four years aviation, space, or defence industry experience within the prior 10 calendar years.

NOTE Work experience to include four years full time in the aviation, space, or defence industry directly involved in engineering, design, manufacturing, quality, or process control for an IAQG member company, OEM, or tier one supplier to an OEM and/or appropriate official civil, military, or space organization, such as National Aviation Authorities (NAAs), European Space Agency (ESA)/National Aeronautics and Space Administration (NASA), Ministry of Defence (MoD), Department of Defence (DoD).

- c) A minimum of 15 hours of continuing education related to changes in the aviation, space, and defence industry and the ICOP scheme within the last three years.
- d) Successful completion of any IAQG OPMT mandated OP assessor training courses.

NOTE The OPMT mandated courses should address the minimum requirements contained in 5.2.3.

5.2.3 OP assessor training shall include knowledge of the standards and documents referenced within this standard, including the following documentation:

- EN 9104-series standards (i.e., EN 9104-001, EN 9104-002, EN 9104-003);
- AQMS standards (i.e., EN 9100, EN 9110, EN 9120);
- EN 9101;

- ISO/IEC 17011;
- ISO/IEC 17021;
- IAF mandatory documents (i.e., IAF MD 1, IAF MD 2, IAF MD 3, IAF MD 4, IAF MD 5, IAF MD 10, IAF MD 11); and
- applicable IAQG sector SMS documents or procedures that apply.

5.3 Confidentiality and conflicts of interest

5.3.1 All IAQG OPMT, SMS, CBMC members, and OP assessors shall complete the appropriate declaration form (see Forms A and B) for confidentiality and conflicts of interest, prior to membership or assignment. The SMS shall retain copies of all completed forms.

5.3.2 These forms shall be provided to any assessed organization (e.g., AB, CB, AAB, TPAB, certified organization), upon request.

5.3.3 Auditors, that have an employment relationship with a CB, can be neither OP assessors nor voting members of any IAQG OPMT, SMS, or CBMC committees.

5.3.4 Certain data in the form of audit reports, nonconformities, checklists, or other company specific information, generated by the application of this standard, shall be handled as confidential (commonly referred to as proprietary or sensitive) between the parties generating, collecting, or using the data (see EN 9104-001 [section 19]).

5.3.5 OP assessors shall not disclose the assessed organization's performance data with the assessed organization's clients without written permission (e.g., AB performance to CB or CB performance to certified organization).

5.3.6 Conflicts of interest that shall prevent participation as an OP assessor in an oversight assessment activity shall include:

- a) Employment or engagement by a CB in any role, including participation in a CB's committee for safeguarding impartiality, for any oversight activity.
- b) Employment or engagement by an AB in any role, including participation in an AB's committee for safeguarding impartiality, for any AB oversight activity.
- c) Employment or engagement by an AB (i.e., technical advisor), during an industry shared oversight assessment.
- d) Employment or engagement in any role by an AAB, where the oversight activity is scheduled for an AAB, TPAB, or witnessing an auditor authenticated by the associated AAB.
- e) Auditor authentication or certification by an AAB, where the oversight activity is scheduled for the AAB that has authenticated or certificated the assigned OP assessor.
- f) Employment or engagement in any role by a TPAB, where the oversight activity is scheduled for a TPAB, TP, or AAB.
- g) Employment or engagement in any role by a TP, where the oversight activity is scheduled for a TPAB or TP.
- h) A contractual relationship between the OP assessor's company and the assessed CB organization, where the OP assessor is directly involved in the relationship (e.g., direct interface with CB sales and

audit personnel). The employment or engagement activity shall not have occurred within the last two years.

5.3.7 OP assessors shall declare any perceived potential or actual conflicts of interest, prior to acceptance of an oversight assignment. Potential conflicts of interest shall be recorded on the “Other Party (OP) Assessor Industry Controlled Other Party (ICOP) Declaration Form” (see Form A), as described in Section 10.

6 Responsibilities

6.1 General

6.1.1 The IAQG OPMT, each SMS or CBMC, and participating organizations shall ensure that all participants in oversight are aware of their roles and responsibilities.

6.1.2 All participants shall ensure that they have an agreed arrangement with their employing organization, prior to participation in oversight of the ICOP scheme. Such an arrangement shall provide participants with the appropriate authority and resources, including training, budget, and time, to allow effective participation.

6.1.3 Oversight assessment team members shall declare any conflicts of interest that may exist for a particular assessment assignment (e.g., OP assessor contracted by AB). Any such conflicts shall be reviewed and resolved between all affected parties, prior to any oversight activity taking place. An update of the completed “Other Party (OP) Assessor Industry Controlled Other Party (ICOP) Declaration Form” (see Form A) may be needed as a result of this activity.

6.2 Oversight assessment team leader

6.2.1 For joint team assessments (AB and OP assessor), a participating AB assessor shall be the oversight assessment team leader. For non-joint team assessments (assessment without an AB assessor), a participating OP assessor shall be the oversight assessment team leader.

6.2.2 Prior to the conduct of an oversight assessment, the oversight assessment team leader shall be identified and their role communicated to all affected parties.

6.2.3 The oversight assessment team leader shall ensure the oversight activity is accomplished in accordance with the requirements of this standard by:

- a) establishing and documenting assessment objectives;
- b) documenting and communicating an assessment plan for all assessments (except witness assessments) and communicating the plan to all affected parties;
- c) leading the assessment activity;
- d) conducting opening and closing meetings;
- e) documenting the assessment results, generation of assessment reports that include all required forms;
- f) deciding on the appropriate grading (major or minor, refer to EN 9101 – Terms and Definitions) of any nonconformity raised as a result of the assessment;
- g) deciding on appropriate conclusions for the assessment in line with the assessment objectives set and making related recommendations to the AB, SMS, or CBMC, as appropriate (e.g., follow-up assessments, approval, maintenance, suspension, withdrawal);

- h) containment, correction, and corrective action review and acceptance; and
- i) notification of closure of nonconformities to the assessed organization.

6.2.4 Additional responsibilities of the oversight assessment team leader include the following:

- a) Management and resolution of any identified conflicts of interest between all affected parties.
- b) Protection of confidential information obtained during the assessment.
- c) When issues cannot be resolved with the assessed organization or team members, the assessment team leader shall elevate complaints or issues to the AB, CBMC, SMS, or IAQG OPMT, as appropriate, in accordance with complaint resolution process defined in Section 9.

6.3 Other party assessor

6.3.1 OP assessors are responsible to ensure they have been authorised and approved by their respective IAQG member company or SMS Oversight Chair, and shall submit an “Other Party (OP) Assessor Industry Controlled Other Party (ICOP) Declaration Form” (see Form A) to the applicable SMS or CBMC, prior to conducting an assessment.

6.3.2 The OP assessor and their employing organization shall maintain records to support the qualification of OP assessors, in accordance with the requirements of this standard. Records supporting qualification and approval shall be made available to the respective SMS and/or CBMC, and the IAQG OPMT, upon request for the purposes of oversight.

6.3.3 OP assessors shall declare any potential or actual conflicts of interest (see 5.3), prior to acceptance of each oversight assignment.

6.3.4 Additional OP assessor responsibilities include the following:

- a) support the assessment team to meet the assessment objectives;
- b) accept and complete assessment assignments from the oversight assessment team leader;
- c) document the assessment results;
- d) generate applicable assessment reports, including all required forms; and
- e) elevate any complaints/issues to the AB, CBMC, SMS, or IAQG OPMT, if needed, in accordance with complaint resolution process defined in Section 9.

6.4 International aerospace quality group other party management team

6.4.1 The responsibility of the IAQG OPMT is to manage the EN 9104-series standards application on a global level, including monitoring that each SMS has implemented their sector schemes and is in conformance with EN 9104-series standards requirements. The IAQG OPMT shall appoint an Oversight Chair who shall declare any potential conflicts of interest, prior to acceptance of the assignment.

6.4.2 The IAQG OPMT Oversight Chair manages the IAQG OPMT oversight activities; these activities include the following:

- a) communication within the IAQG OPMT and between all global SMSs regarding oversight activities;

- b) completion of IAQG OPMT oversight for each sector's SMS and the Online Aerospace Supplier Information System (OASIS) database;
- c) reporting of oversight results to the IAQG OPMT;
- d) assisting with the development and/or updating of IAQG OPMT procedures and supporting documentation; and
- e) reporting potential ICOP scheme process improvement opportunities.

6.4.3 The IAQG OPMT shall assign a lead OP assessor that is responsible to assemble a team and schedule/conduct oversight assessments of the SMS or OASIS database, per the established frequencies defined in Section 7.

6.4.4 The IAQG OPMT shall establish a process to manage complaints (see Section 9).

6.4.5 The IAQG OPMT shall establish oversight metrics and communicate reporting expectations to each SMS.

6.4.6 The IAQG OPMT shall establish a Certification Structure Oversight Committee (CSOC) that will include, from each SMS, two IAQG member company representatives and one AB representative.

- a) The CSOC shall have the responsibility to review complex certification structure applications, certification structure complaints, and provide lessons learned to the OPMT.
- b) Additional responsibilities of the CSOC include:
 - documenting the application, review, disposition, and communication processes via an OPMT approved operating procedure;
 - communicating CSOC expectations to all ICOP approved ABs and CBs;
 - providing timely disposition of all complex structure review requests to the CB applicant and respective AB; and
 - maintaining metrics on CSOC performance and communicate lessons learned.

6.5 Sector management structure or certification body management committee

6.5.1 An SMS may be supported by a CBMC. A CBMC shall meet the requirements defined by the SMS and the applicable SMS requirements of this standard.

NOTE A CBMC is a committee established by a NAIA to manage the application of a national or geographic implementation of the ICOP scheme based on the EN 9104-series standards (e.g., Austria, France, Germany, Italy, Spain, Switzerland, United Kingdom).

6.5.2 The SMS is responsible for managing EN 9104-series standards application in their respective global sector (i.e., Asia Pacific, Americas, and Europe). These responsibilities include the following:

- a) conducting oversight of CBMCs, ABs, CBs, AABs, and TPABs in accordance with this standard and the EN 9104-001 standard, and the witness of training courses, when deemed necessary;
- b) complaint resolution or elevation to the IAQG OPMT, in accordance with complaint resolution process defined in Section 9;

- c) managing the SMS shared oversight schedule; and
- d) providing a mechanism for the periodic review and reporting of lessons learned.

6.5.3 Each SMS shall report oversight metrics as established by the IAQG OPMT.

6.5.4 The SMS and each CBMC shall appoint an Oversight Chair.

6.6 Sector management structure or certification body management committee oversight chair

6.6.1 The SMS or CBMC Oversight Chair shall declare any potential conflicts of interest, prior to acceptance of the assignment.

6.6.2 The SMS or CBMC Oversight Chair manages the oversight activities in their respective sector; these activities include the following:

- a) communication within the SMS or CBMC and between all global SMSs regarding oversight activities;
- b) management of SMS or CBMC shared oversight schedule;
- c) reporting of oversight results to the SMS;
- d) assisting with the development and/or updating of SMS or CBMC oversight procedures and supporting documentation;
- e) reporting potential ICOP scheme process improvement opportunities; and
- f) elevation of any complaints/issues to the SMS or IAQG OPMT, in accordance with complaint resolution process defined in Section 9.

6.6.3 When OP assessors are linked to trade association membership (e.g., NAIA member), the Oversight Chair shall review, accept, and document approval of OP assessors on the “Other Party (OP) Assessor Industry Controlled Other Party (ICOP) Declaration Form” (see Form A).

6.7 International aerospace quality group member company

6.7.1 Any IAQG member company wishing to recognize AQMS certification shall provide resources needed to support the ICOP scheme and conduct shared oversight.

6.7.2 IAQG member companies shall ensure that assigned representatives, who support IAQG ICOP scheme activities, have the necessary tools (e.g., published standards, computer, equipment) and resources to accomplish committed tasks.

6.7.3 IAQG member companies shall ensure that only qualified individuals are assigned as OP assessors to conduct oversight assessments or participate in joint team assessments supporting the ICOP scheme oversight process (see 5.2 for OP assessor qualification criteria).

7 Requirements for oversight assessments

7.1 Oversight frequency

7.1.1 The IAQG OPMT shall conduct an oversight assessment of each SMS at least once every two years.

NOTE This may be completed in association with the IAQG face-to-face meeting held in the assessed SMS's global sector.

7.1.2 The IAQG OPMT shall conduct oversight of the administration and functionality of the OASIS database at least once every two years.

7.1.3 An SMS may choose to conduct oversight of an approved TP training class at the frequency they deem necessary to mitigate risk.

7.1.4 The IAQG OPMT shall ensure that the required oversight assessments are conducted and completed by each SMS, as depicted in Table 1.

7.1.5 ABs shall conduct oversight assessments of their accredited CBs, based on the minimum frequencies established in the EN 9104-001 standard.

Table 1 — Oversight assessment frequency summary

Entity	Type of Assessment		Minimum Frequency
	Office	Witness	
SMS	X	N/A	Every two years
CBMC	X	N/A	Annually
AAB	X	N/A	Annually
TPAB	X	N/A	Annually
TP class	N/A	X	As deemed necessary
AB	X	X	Annually
CB	X	X	Annually ^a
OASIS	X	N/A	Every two years
^a The minimum frequency may be adjusted based on the output from an IAQG OPMT SMS approved risk-based oversight process (e.g., increased witness audits or reduced annual office assessments). At a minimum, each CB shall have at least one annual office or witness oversight assessment.			

7.2 Sector management structure risk-based oversight

7.2.1 An SMS or CBMC may choose to utilize a risk-based approach to shared oversight. This approach can be used to effectively utilize OP assessor resources, and determine the assessments to be conducted and the frequency of shared oversight.

7.2.2 This approach applies to SMS or CBMC shared oversight activities only; ABs may utilize this process to increase shared oversight levels.

7.2.3 If a risk-based approach is implemented by an SMS or CBMC, it may be applied to any entity subject to shared oversight. When an SMS or CBMC chooses to apply risk-based shared oversight, it shall be applied equally (e.g., all CBs in the sector).

7.2.4 If the SMS or CBMC decides to utilize a risk-based approach for shared oversight, the SMS shall develop and maintain a documented procedure, which defines the risk-based shared oversight process. The risk-based shared oversight process shall include, at a minimum, the following elements:

- number of nonconformities (major/minor) issued to the entity by the SMS, CBMC, and respective AB;
- number of complaints;
- suspension activity;
- OASIS metrics;
- OASIS feedback;
- number of accreditations, certificates, or approvals issued by the entity; and
- auditor competency metrics.

7.2.5 A documented procedure must be developed and clearly define the methodology for risk level identification, including the requirement to document the risk analysis and decisions made. This methodology shall include influence and performance as the key risk factors.

7.2.6 The risk-based shared oversight procedure shall be approved by the IAQG OPMT, prior to implementation.

7.3 Shared oversight program management

7.3.1 Each SMS and CBMC shall establish a shared oversight sub-team that is required to meet annually to review and develop a schedule for oversight activities identified in this standard.

7.3.2 The Oversight Chair shall establish and maintain the oversight schedule and ensure that only approved OP assessors are assigned to support oversight assessments.

7.3.3 Scheduling for shared oversight and assessment activities shall be based on the following:

- oversight requirements defined in this standard and the EN 9104-001 standard;
- stakeholder recommendations;
- complaints and past performance;
- data analysis, if applicable; and
- documented risk management process, if applicable.

7.3.4 The Oversight Chair has the responsibility to obtain translator support and request funding, when deemed necessary. Request for funding of translator services shall be submitted to the IAQG OPMT for approval, in advance of the assessment.

7.4 Shared oversight scheduling

7.4.1 All shared oversight assessments shall be scheduled with all affected parties, prior to conduct. Once the schedule has been established, any schedule changes shall be coordinated with all affected parties.

NOTE Whenever possible, OP assessors should team with ABs to conduct joint team assessments.

7.4.2 During scheduling any potential language issues shall be identified and addressed. For shared oversight activity (e.g., oversight of an SMS, AB, or CB), members of the oversight team shall be fluent in the language of the entity being assessed. If not, interpreters or translators shall be utilized to support the team in conducting an effective oversight assessment.

7.5 Shared oversight assessment planning

7.5.1 The assessment team leader shall coordinate with all members of the assessment team and assessed organization to ensure logistics, roles, and responsibilities are defined.

7.5.2 The assessment team leader has the responsibility to communicate an effective assessment plan to the team members and the assessed organization.

7.5.3 All security clearance issues [e.g., International Traffic in Arms Regulations (ITAR), Export Administration Regulations (EAR)], confidentiality, and potential conflicts of interest shall be addressed and resolved as part of the planning process.

7.5.4 Oversight team members shall review OASIS database information, prior to an oversight assessment, to gather data to assist in planning the oversight assessment.

7.5.5 The oversight assessment team leader shall request the certificated organization (CB client) to grant access to the tier two audit results (data) within the OASIS database to the assessment team leader, prior to the shared oversight event (reference EN 9104-001 Sections 6.7.g and 18). This access request shall be coordinated with the CB via the OASIS database feedback process.

7.6 Oversight of the online aerospace supplier information system database

7.6.1 The objective of an OASIS database oversight assessment is to verify:

- a) conformity to established requirements;
- b) response to user support requests;
- c) database operation, including performance and availability;
- d) functionality of the database; and
- e) system/database change management.

7.6.2 The OASIS database oversight assessment shall be accomplished and reported utilizing Form C, "Online Aerospace Supplier Information System (OASIS) Database Management Assessment Check Sheet", as described in Section 10. All nonconformities identified shall be recorded on Form D, "Oversight Nonconformity".

7.6.3 Oversight of the OASIS database will be conducted by the IAQG OPMT assigned OP assessor and supported by the IAQG OPMT OASIS database administrator.

7.7 Oversight of sector management structures and certification body management committees

7.7.1 The objective of a SMS or CBMC oversight assessment is to verify:

- a) conformity to established requirements; and
- b) effectiveness of the SMS or CBMC implementation of the ICOP scheme.

7.7.2 In preparation for an SMS or CBMC oversight assessment, the SMS or CBMC being assessed shall conduct a self-assessment using Form E, "Sector Management Structure (SMS) Assessment Check Sheet", or Form F, "Certification Body Management Committee (CBMC) Assessment Check Sheet", as described in [Section 10]. The completed check sheet shall be provided to the lead OP assessor, prior to the oversight assessment.

7.7.3 The SMS or CBMC oversight assessment shall be accomplished and reported utilizing the appropriate check sheet (see Form E or F), as described in Section 10. All nonconformities identified shall be recorded on Form D, "Oversight Nonconformity".

7.7.4 Oversight of the SMS or CBMC will be respectively conducted by an IAQG OPMT assigned lead OP assessor or the SMS appointed lead OP assessor and supported by the SMS or CBMC Oversight Chair.

7.8 Oversight of auditor authentication bodies

7.8.1 The objective of an AAB oversight assessment is to verify:

- a) conformity to EN 9104-series standard requirements;
- b) competency of personnel as defined in EN 9104-001 and EN 9104-003 standards;
- c) a representative sample (minimum of 1%) of AQMS auditor authentication files;
- d) effectiveness of the records management process; and
- e) effectiveness of the AQMS auditor authentication process.

7.8.2 The AAB assessment shall be accomplished and reported utilizing the "Auditor Authentication Body (AAB) Office Assessment Check Sheet" (see Form G), as described in Section 10. All nonconformities identified shall be recorded on Form D, "Oversight Nonconformity".

7.8.3 The AAB oversight assessment shall be conducted by an SMS or CBMC designated lead OP assessor and supported by the AAB management team.

7.9 Oversight of training provider approval bodies

7.9.1 The objective of a TPAB assessment is to verify:

- a) conformity to established EN 9104-series standards requirements;
- b) competency of personnel as defined in EN 9104-001 and EN 9104-003 standards;
- c) effectiveness of the records management process; and
- d) effectiveness of the TP and course approval process.

7.9.2 The TPAB assessment shall be accomplished and reported utilizing the “Training Provider Approval Body (TPAB) Assessment Check Sheet” (see Form H), as described in Section 10. All nonconformities identified shall be recorded on Form D, “Oversight Nonconformity”.

7.9.3 The TPAB oversight assessment shall be conducted by an SMS or CBMC designated lead OP assessor and supported by the TPAB management team.

7.10 Oversight of a training class

7.10.1 The objective of a training class oversight assessment is to verify:

- a) conformity to established EN 9104-003 standard requirements;
- b) conformance with the TP procedures and processes;
- c) demonstrated trainer competence;
- d) delivery of all aspects of the training course; and
- e) validation of TPAB approval.

7.10.2 The OP assessor shall not influence the training course; the role, when witnessing, is one of observation only. Feedback to the trainer(s) shall occur after the class has adjourned. The OP assessor and TPAB evaluator must ensure that confidentiality is maintained.

7.10.3 The TP course evaluation shall be accomplished and recorded utilizing the “Training Class Witness Assessment Check Sheet” (see Form I), as described in Section 10. All nonconformities identified shall be recorded on Form D, “Oversight Nonconformity”.

7.10.4 The training class oversight assessment shall be conducted by an SMS or CBMC designated lead OP assessor, and supported by a TPAB course evaluator and TP management team.

7.10.5 Oversight of a training class shall not be conducted, unless it is witnessed by the respective TPAB’s course evaluator.

7.11 Oversight of accreditation bodies

7.11.1 The objective of an AB oversight assessment (office or witness) is to verify:

- a) conformity to established requirements;
- b) competency of personnel that support the ICOP scheme and associated oversight process, including decision making personnel; and
- c) effectiveness of the accreditation process for AQMS certification.

7.11.2 The AB office assessment shall be accomplished and reported utilizing the “Accreditation Body (AB) Office Assessment Check Sheet” (see Form J), as described in Section 10. All nonconformities identified shall be recorded on Form D, “Oversight Nonconformity”.

7.11.3 The AB witness assessment shall be accomplished and reported utilizing the “Accreditation Body (AB) Witness Assessment Check Sheet” (see Form K), as described in Section 10. All nonconformities identified shall be recorded on Form D, “Oversight Nonconformity”.

7.11.4 The OP assessor shall not influence the AB or joint assessment team; the role, when witnessing, is one of observation only. Feedback to the AB lead assessor shall occur after the assessment has concluded. The OP assessor must ensure that confidentiality is maintained.

7.11.5 During AB witness assessments, the lead OP assessor shall witness the assessment from the opening meeting to closing meeting.

7.11.6 The AB witness assessment shall be performed while the AB is conducting an office assessment of an accredited CB.

7.11.7 The AB office or witness assessment shall be conducted by an SMS or CBMC designated lead OP assessor and supported by the AB. The same lead OP assessor shall not support a joint team assessment at the same time as an AB witness assessment.

7.12 Oversight of certification bodies

7.12.1 The objective of a CB office or witness assessment is to verify:

- a) conformity to established requirements;
- b) competency of the CB and CB’s personnel that support the ICOP scheme and associated certification processes; and
- c) effectiveness of the AQMS standard certification process.

7.12.2 The CB office assessment shall be accomplished and reported utilizing the “Certification Body (CB) Office Assessment Check Sheet” (see Form L), as described in Section 10. All nonconformities identified shall be recorded on Form D, “Oversight Nonconformity”.

7.12.3 The CB witness assessment shall be accomplished and reported utilizing the “Certification Body (CB) Witness Assessment Check Sheet” (see Form M), as described in Section 10. All nonconformities identified shall be recorded on Form D, “Oversight Nonconformity”.

7.12.4 The OP assessor shall not influence the CB audit team; the role, when witnessing, is one of observation only. Feedback to the CB audit team shall occur after the audit has concluded. The OP assessor must ensure that confidentiality is maintained.

7.12.5 During CB witness assessments, the OP assessor shall witness the audit from the opening meeting to closing meeting.

7.12.6 The CB witness assessment shall be performed while the CB is conducting an AQMS audit of a client. This activity shall not occur during special or short notice audits.

7.12.7 The witness assessment process shall include a review of the completed audit report utilizing the “EN 9101 Audit Report Review Assessment Check Sheet” (see Form N), as described in section 10. All nonconformities identified shall be recorded on Form D, “Oversight Nonconformity”.

NOTE The EN 9101 audit report review assessment process may be initiated, when deemed necessary, by the SMS, CBMC, IAQG members companies, or AB in support of oversight assessment activities (e.g., risk-based oversight, supplemental oversight).

7.12.8 The CB office or witness assessment shall be conducted by an SMS or CBMC designated OP assessor and supported by the CB.

7.13 International aerospace quality group member company supplemental oversight

7.13.1 IAQG member companies may conduct additional (supplemental) oversight, which is in addition to the minimum EN 9104-002 standard requirements and independent of the SMS shared oversight schedule.

7.13.2 Supplemental oversight conducted by IAQG member companies shall not duplicate SMS or CBMC activities.

7.13.3 IAQG member company supplemental oversight shall adhere to the following requirements:

- a) Only qualified OP assessors shall be assigned to conduct supplemental oversight assessments.
- b) The scheduling and coordinating of supplemental oversight shall occur in advance of assessments being conducted, including notification to the SMS or CBMC that recognized the entity being assessed.
- c) Nonconformities raised during the course of supplemental oversight by an IAQG member company shall be copied to the SMS or CBMC that recognized the entity being assessed. This may not include nonconformities raised against a certified organization's conformance.
- d) When supplemental oversight is performed outside of the IAQG member company's SMS, the associated data (i.e., IAQG member company's annual summary report for that sector) shall be provided to the SMS where the supplemental oversight was conducted.
- e) The oversight assessment tools and forms defined in this standard shall be used, as applicable.
- f) Any nonconformity identified shall be recorded on an "Oversight Nonconformity" (see Form D) and resolved in accordance with the oversight assessment nonconformities process defined in 7.15.
- g) IAQG member companies shall maintain records of supplemental oversight.
- h) On an annual basis, IAQG member companies shall summarize and report on supplemental oversight activities to the applicable SMS.
- i) Supplemental oversight may be accomplished by utilizing guidance provided in the IAF document, "Market Surveillance Visits to Certified Organizations" (see IAF ID 4).

NOTE This process may be used to improve the level of confidence in the conformity of the management system of the supplier and the effectiveness of the accredited certification process. This may be conducted in support of an IAQG member company's supply chain risk mitigation activities.

7.14 Reporting of oversight assessments

7.14.1 The appropriate EN 9104-002 standard forms shall be completed by the assessment team, upon completion of the oversight assessment. All Nonconformity Reports (NCRs) shall be issued to the assessed organization at the conclusion of the assessment (closing meeting) and the completed assessment forms shall be provided within two weeks of the closing meeting.

NOTE It is recognized that witness assessments of CBs require review of the completed EN 9101 audit report; this may delay issuance of the assessment forms.

7.14.2 During joint oversight assessments, any OP assessor's completed EN 9104-002 standard forms shall be provided to the AB lead assessor for incorporation into the AB report. This report shall be treated as part of the AB's assessment record to be maintained by the AB.

7.14.3 Any nonconformity identified, during the assessment, shall be recorded on Form D, "Oversight Nonconformity".

7.14.4 When oversight assessments are conducted jointly, nonconformities shall be provided to the oversight assessment team leader to be reviewed for inclusion into the assessment report.

7.14.5 During independent shared oversight assessments (i.e., not conducted jointly with the AB), the completed EN 9104-002 standard forms shall be provided to the SMS or CBMC Oversight Chair for analysis and record retention.

7.15 Oversight assessment nonconformities

7.15.1 The oversight assessment team leader shall ensure that all nonconformities identified, during an oversight assessment, are processed in accordance with the EN 9104-001 standard and have been contained; satisfactorily corrected with root cause analysis; and the corrective action has been implemented, reviewed, accepted, and verified within 90 calendar days of the date that the nonconformity was issued.

NOTE In order to satisfy this defined requirement, the corrective action plan should be submitted within 30 days of issuance of a NCR.

7.15.2 Open nonconformities that exceed 90 calendar days from date of issuance shall be processed as follows:

- a) For joint team assessments the AB shall initiate the process for suspension, as defined by the EN 9104-001 standard.
- b) For shared or supplemental oversight assessments, any open nonconformity shall be elevated to the appropriate entity (i.e., AB, CBMC, or SMS) for initiation of the suspension process, as defined by the EN 9104-001 standard.

8 Annual review of oversight assessment results

8.1 General

The IAQG OPMT, each global SMS and associated entities shall annually conduct a review and evaluation of their oversight activities to ensure their continued effectiveness and to identify potential ICOP process improvements.

8.2 Sector management structure review or certification body management committee review

The annual review shall include analysis and reporting of the following:

- a) Complaints (e.g., AB, CB, SMS, IAQG member company).
- b) Oversight activities conducted by the SMS or CBMC and associated results, which include:
 - office assessments of ABs;
 - office assessments of CBs;

- witness assessments of AB;
- witness assessments of CB;
- office assessments of AABs;
- office assessments of TPABs; and
- training course witness assessments.

c) IAQG member company supplemental oversight results.

NOTE Where CBMC annual reviews are held, the SMS is only required to consolidate the CBMC reviews into a single SMS report.

d) Each SMS or CBMC shall develop, document, and implement an annual performance review reporting process (e.g., report card process) for each entity subject to oversight within their sector.

8.3 Accreditation body review

8.3.1 Each AB shall report annually to the SMS or CBMC the following information in relationship to the ICOP scheme for each CB they have accredited:

- a) date of last CB office assessment and witness assessment, including classification (i.e., major, minor) and quantity of nonconformities identified; and
- b) any increase in AB assessments and available performance information (e.g., complaints, suspensions, improvement plans).

NOTE This information may be included in the annual CB performance review report noted in 8.2.d.

8.3.2 Each AB shall report annually to the SMS or CBMC the results of any IAF peer evaluations, IAQG member company, and regulatory authority assessments conducted for AB conformance to the EN 9104-series standards.

9 Complaint resolution process

9.1 Each entity in the ICOP scheme (i.e., IAQG member company, IAQG OPMT, SMS, CBMC, AB, CB, AAB, TPAB, TP) shall establish and maintain a complaint resolution process.

9.2 All complaints shall be sent by the complainant to the organization the complaint is against and handled directly between both parties.

NOTE Where available the OASIS feedback process is the preferred method for initial communication and disposition of complaints (e.g., AB or CB complaints).

9.3 The internal appeals/complaint processes of the parties involved are to be used before other actions are taken.

9.4 If any issues cannot be resolved between affected parties, then the matter shall be escalated to the next level of authority within the ICOP scheme (see Table 2).

Table 2 — Complaint resolution escalation examples

If complaint is against the:	Auditor or Assessor	IAQG Member Company	AB	CB	CBMC	SMS
The issue shall be elevated to:	Auditor's or Assessor's Organization (i.e., AB, CB, IAQG Member Company)	SMS or CBMC	SMS or CBMC	AB	SMS	IAQG OPMT

9.5 Complaints which cannot be resolved at the SMS or CBMC level shall be elevated to the IAQG OPMT. Complaints which cannot be resolved by the IAQG OPMT shall be elevated to the IAQG Executive Committee for final disposition.

9.6 All escalated complaints shall be summarized and reviewed by the respective SMS or CBMC on an annual basis. The SMS or CBMC shall report the results of this review to the IAQG OPMT.

10 Records

10.1 All forms and completed reports identified and required by this standard shall be considered an oversight record.

10.2 All oversight records (completed forms) shall be maintained for a minimum period of six years.

10.3 All forms required by this standard shall be controlled and maintained by the IAQG OPMT. The forms shall be made available and reside on the IAQG Forms Management website.

10.4 The IAQG OPMT shall ensure conformance with the IAQG established forms management system, as defined in IAQG Operating Procedure 119.

10.5 All EN 9104-002 standard forms shall be approved by the IAQG OPMT voting members, the EN 9104-002 standard International Document Representative (IDR), and the IAQG Requirements Strategy Stream Leader, in accordance with IAQG Operating Procedure 119, prior to placement on the IAQG forms website.

NOTE All required forms are contained in Appendix A; these form exhibits are provided for reference only.

10.6 The following forms shall be used, as described in this standard, to support oversight assessments:

a) Form A, "Other Party (OP) Assessor Industry Controlled Other Party (ICOP) Declaration Form".

This form is used to record and document qualification, confidentiality, and potential conflicts of interests for OP assessors.

b) Form B, "Confidentiality Agreement and Conflict of Interest Declaration for Committee Members and Observers".

This form is used to record and document confidentiality and potential conflicts of interests for ICOP scheme committee members and observers.

c) Form C, "Online Aerospace Supplier Information System (OASIS) Database Management Assessment Check Sheet".

This form is used to conduct and record the OASIS database oversight assessment activity.

d) Form D, "Oversight Nonconformity".

This form is used to document, classify, and manage the corrective action process associated with identified EN 9104-series standards nonconformities.

e) Form E, "Sector Management Structure (SMS) Assessment Check Sheet".

This form is used to conduct and record the SMS oversight assessment activity.

f) Form F, "Certification Body Management Committee (CBMC) Assessment Check Sheet".

This form is used to conduct and record the CBMC oversight assessment activity.

g) Form G, "Auditor Authentication Body (AAB) Office Assessment Check Sheet".

This form is used to conduct and record the AAB office oversight assessment activity.

h) Form H, "Training Provider Approval Body (TPAB) Assessment Check Sheet".

This form is used to conduct and record the TPAB oversight assessment activity.

i) Form I, "Training Class Witness Assessment Check Sheet".

This form is used to conduct and record the training class witness assessment activity.

j) Form J, "Accreditation Body (AB) Office Assessment Check Sheet".

This form is used to conduct and record the AB office oversight assessment activity.

k) Form K, "Accreditation Body (AB) Witness Assessment Check Sheet".

This form is used to conduct and record the AB witness assessment activity.

l) Form L, "Certification Body (CB) Office Assessment Check Sheet".

This form is used to conduct and record the CB office assessment activity.

m) Form M, "Certification Body (CB) Witness Assessment Check Sheet".

This form is used to conduct and record the CB witness assessment activity.

n) Form N, "EN 9101 Audit Report Review Assessment Check Sheet".

This form is used to conduct and record a EN 9101 audit report review.

11 Notes

The change bar (|) located in the left margin is for the convenience of the user in locating areas where technical revisions, not editorial changes, have been made to the previous issue of this document. An (R) symbol to the left of the document title indicates a complete revision of the document.

Appendix A

EN 9104-002 FORMS

FORM A	Other Party (OP) Assessor Industry Controlled Other Party (ICOP) Declaration Form
FORM B	Confidentiality Agreement and Conflict of Interest Declaration for Committee Members and Observers
FORM C	Online Aerospace Supplier Information System (OASIS) Database Management Assessment Check Sheet
FORM D	Oversight Nonconformity
FORM E	Sector Management Structure (SMS) Assessment Check Sheet
FORM F	Certification Body Management Committee (CBMC) Assessment Check Sheet
FORM G	Auditor Authentication Body (AAB) Office Assessment Check Sheet
FORM H	Training Provider Approval Body (TPAB) Assessment Check Sheet
FORM I	Training Class Witness Assessment Check Sheet
FORM J	Accreditation Body (AB) Office Assessment Check Sheet
FORM K	Accreditation Body (AB) Witness Assessment Check Sheet
FORM L	Certification Body (CB) Office Assessment Check Sheet
FORM M	Certification Body (CB) Witness Assessment Check Sheet
FORM N	EN 9101 Audit Report Review Assessment Check Sheet