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Description of the revision	**Updating of reference documents and online resources (AIMM, new TÜV Italia website), OASIS fee structure and ACCREDIA RT-18 rev.04 transposition (§1, §3, §9.3.3, §10.2)**

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1. Purpose

The purpose of this document is to supplement the RGSG for the Certification of Management Systems (RGSG) of TÜV Italia s.r.l. (hereafter TÜV) regarding the provision of audit and certification services for the Aerospace Scheme (EN 91xx standards version 2018), for Industrial Organisations providing services/products in the AS&D sectors, namely:
- general/civil/military AVIATION;
- DEFENCE;
- SPACE

or which, even if active in other sectors, intend aligning their own Quality Management System to the requirements of an EN 9100 series standard.

The integrated content of the two documents aims to:

- meet the requirements contained in supporting regulations, issued under IAQG coordination within the Industry Controlled Other Party (ICOP) scheme, whose requirements are contained in EN 9104-001, EN 9104-002, EN 9104-003;
- be the technical contractual reference that regulates the relationship between TÜV and client organisations in relation to the issue, maintenance, renewal, modification, suspension and withdrawal of the certification of Aerospace Quality Management Systems (AQMS) according to one or more standards of the EN 9100 series.

Both rules are available on the TÜV website (https://www.tuvsud.com/it-it/termini-e-condizioni/documenti-contrattuali).

The ICOP Scheme, owned by the aviation, defence and space manufacturers (OEMs) which form the association IAQG, aims to:
- ensure the implementation, management and operation, based on standard, repeatable criteria in the 3 global Sectors (Europe, America, Asia), of Aerospace Quality Management Systems along the sector supply chain that comply with system requirements but are also effective in meeting OEM expectations and delivering products that meet these expectations;
- guarantee the validity of the certification issued by the CBs accredited to the scheme, through uniform, repeatable, effective and efficient control methods and measurement criteria.
- reduce, also with a view to minimising costs, the need for OEMs to conduct AQMS audits in the industrial organisations that are part of their supply chain.

The RGSG of TÜV (RGSG) apply to general aspects.
In the event of any conflict or deviation between these Rules and the RGSG, these Rules shall prevail.

2. Field of application

These rules apply to quality management system certification activities according to the Aerospace Schema (ICOP), carried out under ACCREDIA-CBMC accreditation, and any certification activities carried out during the accreditation stage.

3. Reference documents

Besides UNI CEI EN ISO/IEC 17021-1:2015 "Requirements for bodies providing audit and certification of management systems - Part 1: Requirements" and the documents referenced in the general rules, the contents and criteria defined in the following documents (indicated with the status available in Europe at the time of publication of these rules) also apply:

3.1 Applicable IAQG standards (Binding documents)

EN ISO/IEC 17021-1:2015	Conformity assessment -- Requirements for bodies providing audit and certification of management systems -- Part 1: Requirements
EN 9104-001:2013	Quality management systems - Part 001: Requirements for Aviation, Space, and Defence Quality Management System Certification Programs
EN 9104-002:2016	Quality management systems - Part 002: Requirements for Oversight of Aerospace Quality Management System Registration/Certification Programs
EN 9104-003:2010	Quality management systems - Part 003: Requirements for Aerospace Quality Management System (AQMS) Auditor Training and Qualification
EN 9101:2018	Quality Management Systems - Audit Requirements for Aviation, Space, and Defence

	Organisations
EN 9100:2018	Quality Management Systems - Requirements for Aviation, Space and Defense Organisations
EN 9110:2018	Quality Management Systems – Requirements for Aviation Maintenance Organisations
EN 9120:2018	Quality Management Systems – Requirements for Aviation, Space and Defense Distributors
EN 9115:2018	Quality Management Systems - Requirements for Aviation, Space and Defence Organisations - Deliverable Software (Supplement to EN 9100)

3.2 Supporting IAQG standards (Reference documents, in the version available on ASD-STAN)

EN 9102	Aerospace First Article Inspection Requirement
EN 9103	Variation Management of Key Characteristics
EN 9107	Direct Delivery Authorisation Guidance for Aerospace Companies
EN 9114	Direct Ship Guidance for Aerospace Companies
EN 9116	Notice of Change (NOC) Requirements
EN 9117	Delegated Product Release Verification
EN 9131	Quality Management Systems — Aerospace — Nonconformance Documentation
EN 9132	Data Matrix Quality Requirements for Parts Marking
EN 9133	Qualification Procedure for Aerospace Standard Products
EN 9136	Root Cause Analysis and Problem Solving (9S Methodology)
EN 9138	Statistical Product Acceptance Requirements
EN 9145	Requirements for Advanced Product Quality Planning and Production Part Approval Process
EN 9146	Foreign Object Damage (FOD) Prevention Program - Requirements for Aviation, Space, and Defence Organisations
EN 9147	Management of Unsalvageable Items
EN 9162	Aerospace Operator Self-Verification Programs

3.3 External regulations (Binding documents)

ACCREDIA RT 18	Requirements for the accreditation of bodies certifying Quality Management Systems for companies in the Aerospace, Security and Defence sector
IAQG OPMT ICOP Resolutions Log	Resolutions Log at its last revision date
IAQG Procedure 105.6	Forms Management
IAF MD 1	IAF Mandatory Document for the Audit and Certification of a Management System Operated by a Multi-Site Organisation
IAF MD 2	IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems
IAF MD 3	IAF Mandatory Document for Advanced Surveillance and Recertification Procedures (ASRP)
IAF MD 4	IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes
IAF MD 5	Determination of Audit Time of Quality, Environmental, and Occupational Health & Safety Management Systems
IAF MD 11	IAF Mandatory Document for the Application of ISO/IEC 17021-1 for Audits of Integrated Management Systems

3.4 AIAD documents (Reference documents)

MOU	Memorandum of Understanding AIAD - ACCREDIA
AIAD/CBMC/001	Aerospace Certification Scheme - Operating Procedure
AIAD/AAB/001	Process for the Authentication of Aerospace Assessors and Aerospace Experienced Assessors

3.5 Online resources (Reference and operational documents)

OASIS	IAQG Online Aerospace Supplier Information System (https://www.iaqg.org/oasis/)
SCMH	IAQG Supply Chain Management Handbook (https://iaqg.org/tools/scmh/)
AIMM	IAQG Aerospace Improvement Maturity Model (https://iaqg.org/tools/aimm/)
Deployment support materials	IAQG Deployment Support Materials (https://iaqg.org/standards/deployment-support-materials/) che include anche le seguenti raccolte “vive” di pareri sulla conformità di situazioni specifiche: 9104-001 FAQ / 9101:2016 FAQ / 9100:2016 FAQ / 9110:2016

	FAQ / 9120:2016 FAQ
CSOC	IAQG Certification Structure Oversight Committee (https://iaqg.org/csoc-information-and-guidance-materials/) (FAQ unificate con FAQ 9104-001)

3.6 Internal Regulations (Binding Documents)

RGSG	RGSG for Management Systems
Guide to certification marks	Rules and procedures for referring to certification - Use of the certificate and mark(https://www.tuvsud.com/it-it/risorse/guida-ai-marchi-di-certificazione)

4. Definitions

For the terminology concerning the certification of a Quality Management System for the Aerospace and Defence sector, the following definitions apply, which supplement/modify those given in UNI EN ISO 9000, ISO/IEC 17000, EN 9101 and EN 9104-001; EN 9104-002, EN 9104-003.
Some of the definitions listed below are highlighted in **bold** as they are the full English version in the standards. This decision was made in the absence of corresponding official translations and in order not to improperly alter the meaning and significance.
(Organisations are recommended to use the terminology used in the latest edition of the referenced standards).

Airworthiness: the condition of the absence of any design attribute that might jeopardise the safety of an aircraft in an undefined flight envelope.

Aerospace Experienced Auditor (AEA): an authenticated auditor who, in terms of experience and competence, meets the most stringent requirements of EN 9104-003.

Aerospace Auditor (AA): an authenticated auditor who, in terms of experience and competence, meets less stringent requirements of EN 9104-003.

Anomaly: a finding at a site that is part of an Organisation operating at several sites.

Audit Duration Calculator (ADC): IT tool made available by IAQG in OASIS to self-validate the sizing of audits against the requirements of EN 9104-001 and the certification structure.

Integrated audit: an integrated audit is when a client has integrated the adoption of the requirements of two or more management system standards in a single management system and is audited for several standards.

Auditor or Assessor with aerospace experience: an assessor who has fulfilled the requirements of EN 9104-003.

Authentication: the process whereby the profile (in terms of training, aerospace work experience, audit experience) of a candidate is assessed to determine whether the candidate is suitable to act as an assessor for the Aerospace Scheme.

Central function: organisation location/activity that controls the 'common' quality management system for the organisation under a single AQMS standard certificate.

Certification Body Management Committee (CBMC): committee set up by the Italian Aeronautics, Space and Defence Industry in cooperation with AIAD (Federazione Aziende Italiane per l'Aerospazio, la Difesa e la Sicurezza - Italian Federation of Aerospace, Defence and Security Companies), to manage the application of the ICOP certification scheme and pursue its aims. The CBMC was set up in cooperation with ACCREDIA on the basis of a Memorandum of Understanding signed with AIAD.

Certification Structure: a term utilized to describe how the certification activities o fan aviation, space, and defence organisation will be structured and managed by the contracted CB. The defined structure will assist CBs with the development of a robust and conforming audit programme, and provide industry with visibility of the structure within the OASIS database. These structures are defined below; further description is provided in Appendix B.

a) **Single Site – An organisation having one location. The organisation may be operating under one large building or several buildings at that location. The organisation may have one or multiple products or product families flowing through one or multiple processes.**
b) **Multiple Site – An organisation having an identified central function (the central office, but not necessarily the headquarters of the organisation) at which certain activities are planned controlled, or managed and a network of sites at which such activities are fully or partially carried out. With the exception of the central office the processes**

within each of the sites are substantially the same and are operated to the same methods and procedures (see IAF MD 1, "Multi-site organisation" definition and eligibility requirements).

c) **Campus: An organisation having an identified central function (the central office, but not necessarily the head quarters of the organisation) at which certain activities are planned, controlled, or managed; and that has a decentralized, sequential, linked product realization process. For the purposes of this standard, it is referred to as a value stream where the outputs from one site are an input to another site, which ultimately results in the final product or service.**

d) **Several sites – An organisation having an identified central function (the central office, but not necessarily the headquarters of the organisation) at which certain activities are planned, controlled, or managed and a network of sites, that do not meet the criteria for either a multiple site or a campus organisation.**

e) **Complex: An organisation having an identified central function (the central office, but not necessarily the headquarters of the organisation) at which certain activities are planned, controlled, or managed and a network of locations that are any combination of multiple site, campus, several sites, or more than one campus.**

Combined Audit (for EN 91xx): an audit of an organisation's management system(s) against two or more AQMS standards conducted at the same time.

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.

Counterfeit part: An unauthorized copy, imitation, substitute, or modified part (e. g., material, part, component), which is knowingly misrepresented as a specified genuine part of an original or authorized manufacturer.

Critical items: Those items (e.g., functions, parts, software, characteristics, processes) having significant effect on the product realization and use of the product; including safety, performance, form, fit, function, producibility, service life, etc.; that require specific actions to ensure they are adequately managed. Examples of critical items include safety critical items, fracture critical items, mission critical items, key characteristics, etc. [NOTE: Special requirements and critical items are new terms and, along with key characteristics, are interrelated. Special requirements are identified when determining and reviewing requirements related to the product (see 7.2.1 and 7.2.2). Special requirements can require the identification of critical items. Design output (see 7.3.3) can include identification of critical items that require specific actions to ensure they are adequately managed. Some critical items will be further classified as key characteristics because their variation needs to be controlled.]

Feedback Loop - Established criteria for the management of OASIS feedback (including poor client performance) and the requirement for out of sequence surveillance based on negative feedback. This is a process foreseen by the aerospace scheme (IAQG/ICOP) which activates a notification loop between a Client organisation and a Supplier organisation, both certified according to the aerospace scheme, of a possible nonconformity status found on receipt of a product. The notification body is also included in the stakeholder notification process and the feedback event is also recorded in OASIS for the purpose of monitoring the timing and effectiveness of the Supplier's responses.

International Aerospace Quality Group (IAQG): A body of leading aerospace manufacturers. This group is established to develop common requirements for use by the aerospace, space and defence industry for quality improvement.

Key characteristic: An attribute or feature whose variation has a significant effect on product fit, form, function, performance, service life or producibility, that requires specific actions for the purpose of controlling variation.

Key Performance Indicator (KPI): Measures associated with goals or targets showing how well an organisation is achieving its' objectives or critical success factors for a particular project. KPIs are used to objectively define a quantifiable and measurable indication of the organisation's progress towards achieving its goals.

Nonconformity: The definitions of Nonconformity (Major Nonconformity and Minor Nonconformity) are given in EN 9101:2018, section 3.3 (major) and 3.4 (minor) linking them to the relevant definitions of ISO/IEC 17021-1:2015:

Major Nonconformity: Nonconformity ("failure to meet a requirement") that affects the ability of the management system to achieve the expected results. [ISO/IEC 17021-1:2015, section 3.12]
In addition, a major nonconformity can be one or more of the following situations:

- **a nonconformity where the effect is judged to be detrimental to the integrity of the product or service;**
- **the absence of or total breakdown of a system to meet a EN 9100-series standard requirement, a customer QMS requirement, or documented information defined by the organisation;**
- **any nonconformity that can result in the probable delivery of nonconforming product or service; and**
- **a condition that can result in the failure or reduce the usability of the product or service and its intended purpose.**

Minor Nonconformity: Nonconformity ("failure to meet a requirement") that does not affect the ability of the management system to achieve the expected results. [ISO/IEC 17021-1:2015, section 3.12]
In addition a minor nonconformity can be a single system failure or lapse in conformity to meet a EN 9100-series standard requirement, customer QMS requirement, or documented information defined by the organisation.

Nonconformity Report (NCR): A document stating results and providing objective evidence of nonconformity against audit criteria, including the following information: containment, correction, root cause, corrective action implementation, and closure.

Opportunity for Improvement (OFI): opportunity for improving the performance of the AQMS.

Online Aerospace Supplier Information System (OASIS): Web-based IAQG database containing information on participating IAQG member companies, National Aerospace Industry Associations (NAIA), National Accreditation Bodies (NAB), accredited CBs, authenticated Aerospace Experience Auditors (AEAs), Aerospace Auditors (AAs) certified suppliers, certificates, and audit results.

Process Effectiveness Assessment Report (PEAR): A document stating process evaluation results; providing evidence of conformity to requirements and process effectiveness.

Aerospace product: aircraft, helicopter, guided missile, spacecraft, other products designed to travel in the air, in or out of ground effect, or to travel outside the influence of the earth's atmosphere, major components of these products such as engines or major sub-assemblies or parts, components, equipment and materials contained therein.

Product safety: The state in which a product is able to perform to its designed or intended purpose without causing unacceptable risk of harm to persons or damage to property.

Findings: the findings obtained by TÜV during the audits conducted on the organisation and formalised in the relevant audit reports. Findings are classified as:
- Nonconformities (major or minor);
- Opportunity For Improvement (OFI)

Risk: An undesirable situation or circumstance that has both a likelihood of occurring and a potentially negative consequence.

Site: a permanent location where an organisation carries out work or service.

Special process: process for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement.

Special Requirements: Those requirements identified by the customer, or determined by the organisation, which have high risks to being achieved, thus requiring their inclusion in the risk management process. Factors used in the determination of special requirements include product or process complexity, past experience and product or process maturity. Examples of special requirements include performance requirements imposed by the customer that are at the limit of the industry's capability, or requirements determined by the organisation to be at the limit of its technical or process capabilities. [See note under "Critical items"]

Value Stream: an end-to-end business process which delivers a product or service to a customer. The process steps may use and produce intermediate goods, services, and information to achieve the end product or service.

5. Responsibilities

The fundamental responsibilities connected with the certification of quality systems according to the Aerospace scheme, aimed at guaranteeing over time the validity and integrity of the certification issued, lie with the director of the Business Assurance Division (MDBA), as far as the operational performance of activities is concerned, and with the Approval Committee (qualified for the AS&D sector) as far as the approval of certification is concerned.
Confirmation of certification following surveillance ("LAR" activity) is normally carried out by a person from the Approval Committee (qualified for the AS&D sector).
Operational responsibilities are detailed in the following sections.

6. Approval Committee

For the purpose of approving certification proposals according to one or more of the EN 9100 series standards, one or more people with appropriate levels of knowledge and aerospace experience, as foreseen by regulations supporting the scheme, with the right to exercise veto power over certification decisions taken by TÜV and who have not taken part in the audit activities, participate in the activities of the Approval Committee (qualified for the AS&D sector).

7. Qualification of staff and appointment of the Audit Team

The Audit Teams are composed of auditors authenticated by the CBMC per specific standard (EN 9100, EN 9110, EN 9120) according to EN 9104-003 and registered in the OASIS database; they are also qualified in accordance with TÜV procedures.
The designation of the audit team takes into account the criteria established by EN 9104-001 and EN 9104-003 in terms of the applicability of the authentications held, as well as the specific skills of the team members (IAF product sectors, with particular regard to IAF sector 21, supported by experience in the technical, production and/or quality fields, gained in companies in the Aerospace and Defence Sector and/or in Defence Administration).
The Lead Auditor is always an AEA and cannot be re-appointed Lead Auditor for the same Organisation for more than two consecutive full three-year periods.

8. Contractual Phase

The Organisation requesting to receive a quote for certification according to one or more standards of the EN 9100 Series is required to provide the elements requested by TÜV through its questionnaires, in order to correctly size quote. This information includes:

- the percentage of turnover related to AS&D activities compared to the organisation's total turnover;
- the number of people employed in AS&D activities (full time, part time, temporary) and percentage of the total workforce;
- main AS&D customers;
- Certification structure
- problems of restricting access to activities, programmes, areas or sites and their reasons

TÜV and the Organisation agree in advance on the applicable certification structure.
Together with the request for certification, the Organisation shall produce a copy of a recent Chamber of Commerce certificate, demonstrating consistency between the scope for which certification is requested, the location of operating sites and the activities carried out there. The contractual agreement covers the Organisation's sites included in the scope of certification.

Any limitations on access to information that the Organisation is normally required to provide during audits shall be clarified in the pre-contractual phase. In particular, any agreement on access to "Classified" and/or Confidential documentation in general, including any limitations, shall be defined and recorded. Any restrictions on access to the audit site for representatives of ACCREDIA, the Aerospace Industry or other ICOP stakeholders who are to witness audit TÜV's work shall also be clarified in the pre-contractual phase.
Processes, programmes or activities which, due to the above limitations, cannot be directly or indirectly verified in sufficient depth to assess compliance will not be included in the definition of the Certification Scope: if non-verifiable aspects are necessary for the conformity assessment of the AQMS, certification cannot be granted.
TÜV will ensure that all limitations are communicated to ACCREDIA/CBMC in good time so that, in particular if witness audits are planned, the necessary arrangements can be made.

The audit duration (definition of man-days/auditor-days) is in accordance with the criteria set by EN 9104-001 and is validated prior to the audit, together with the certification structure, through the Organisation Audit Duration Calculator (ADC) software tool made available by IAQG in OASIS. The minimum requirements of IAF MD 5 are met: if there is a conflict between this document and EN 9104-001, the latter shall prevail.
The calculation of the audit duration includes an on-site audit time plus an additional time for the drafting of the audit report (on-site or off-site) and any other justified increments (including any additional time for the verification of activities that are not included in the scope of EN 91xx but in that of the related ISO 9001 certification). Increases may be related to structural aspects of the Organisation (risk factors related to specific products, processes, technologies, regulations, clients) or objective difficulties that can be expected to be encountered in activities in the certification field (complex logistics); need for translators or interpreters).
No reduction of the audit duration is allowed apart from reductions contemplated for the identified certification structure.

The quote describes the service offered and information about the activities, including the criteria for programming, planning and conducting the audit in accordance with EN 9101.
The quote also indicates the costs of the fee to subscribe to the OASIS database (mandatory for the ICOP scheme).

In the event of takeover (Takeover / Transfer Audit) of a certificate issued by another Certification Body, TÜV will collaborate with the latter through the OASIS feedback process, to ascertain that there are no obstructing conditions (e.g. suspensions, open nonconformities, disputes with authorities), and will then confirm the successful outcome of the takeover. If there are conditions that prevent takeover, they cannot be remedied by starting an initial certification process. For each takeover, in order to determine the audit team, TÜV collects in advance, either through OASIS or through the Organisation that requested the transfer, data on the composition of the audit teams in the previous three years and, if there are elements of doubt, it carries out a risk analysis, also considering information on the possible involvement of TÜV auditors as consultants at the Organisation that requested the transfer.

In the case of certification according to EN 9100, the scope may include any maintenance/repair activities (on aircraft, engines or major sub-assemblies or parts, components, equipment and materials contained therein) performed in the field of civil aeronautics only if the activity is performed on products directly produced by the Organisation itself. If the activity is carried out on third party products, it will come under EN 9110. This limitation does not apply if the activity is carried out on products relating to Air Force equipment and in any case subject to the mandatory airworthiness requirements of that Authority.

9. Audit activities

9.1 Criteria for audit activities

Certification activities are carried out according to the following criteria:
- when planning the activities, the members of the audit team are selected/identified in accordance with §7 above; the planning, in addition to referring to the first assessment, also covers the three-year period of validity of the certification when issued to the Organisation;
- the audit plan is developed according to a 'process measurement logic' approach. This approach considers all the requirements applicable to the organisation's AQMS in line with the mandatory Standards and Regulations for the sector in question and in relation to their ultimate purpose: airworthiness of civil, commercial, military, space or defence systems/equipment/parts;
- The audit team verifies the Organisation's processes at a level of depth and detail sufficient to assess whether the organisation is able to achieve the planned results and expected performance levels, including the objectives defined by its Clients.
- For EN 9100 (and EN 9120, as far as applicable) the AQMS assessment includes, in addition to the aspects directly related to ISO 9001:2015:
    - verification of the effectiveness in meeting the requirements set by its clients in terms of OTD (On Time Delivery), On Conformity, On Quality, as well as those set by the referenced standard;
    - the validity of the links between processes (effectiveness of mapping);
    - analysis of the effective handling of complaints and feedback when raised by the market or recorded in the IAQG OASIS database;
    - the analysis of the set of performance measures and requirements considered by the organisation being evaluated; among these are:
        - effective monitoring of the competences of the resources employed and of "Awareness", taking due account of "Human factors";
        - the valid determination of "Special Requirements", "Critical Items" and "Key Characteristics" and the prevention of "Counterfeit parts";
        - the effective approach to 'Project Management', 'Risk Management', 'Configuration Management' and 'Product Safety' throughout the product life cycle;
        - the effective management of "Work Transfers" (Outsourcing);
        - the effectiveness of the criteria followed in determining the processes, their mapping and the measures adopted in relation to the performance achieved. The resulting assessments are recorded.
- For EN 9110, the AQMS assessment also includes specific aspects such as:

- the assessment of “Awareness” and the impact of the “Human Factor” on requirements for the education and training of resources:
- the assessment of "Product safety" and "Safety management" aspects in relation to the aeronautical product maintained and the suitability of the "Safety Objectives" contained in the policy, including the prevention of "Counterfeit parts" and "Suspected unapproved parts";
- aspects relating to the effective management and handling of technical data and related files:
  - Return to Service;
  - flight test, functional checks prior to flight,
  - weight and balance,
  - wing walking
  - aircraft marshalling techniques.
- Aspects relating to the criteria followed by the organisation for Repair/Revision activities, according to current EASA regulations part 145, FAR 145/147 (Federal Aviation Regulations), EASA part M, EMAR 145, including “Continuing Airworthiness management” if applicable.

9.2 Conducting audit activities on-site

The assessment activities for the purpose of certification include the performance of:

- **Stage 1** (assessment of System documentation and general readiness of the Organisation).
  At this stage, critical aspects may be identified which, if not corrected, could result in Stage 2 Nonconformities.
- **Stage 2** (Comprehensive assessment according to the applicable standard, for the issue of initial certification).
  Major or Minor Nonconformities (NC) and Opportunities for Improvement (OFI) may be issued at this stage. NCs shall be handled according to the requirements of EN 9104-001 and EN 9101 (see § 10.3 of these Rules for details) before the file can be distributed to the Approval Committee for certification.
  Certification according to EN 91xx cannot be issued as long as there are open NCs.
- **Surveillance Audits** (normally annual, with the aim of confirming the validity of the Organisation's certification, verifying Continual Improvement and any changes to the Quality Management System).
  During surveillance audits, which are normally conducted annually, it is possible to audit just a part of the system, provided that the entire system (processes and related applicable regulatory requirements) is covered during the three-year certification period.
  However, the procurement process shall be reviewed annually.
  For the management of NC detected during a Surveillance audit, see § 10.3 of these Rules.
- **Renewal Audit (Recertification)** (Comprehensive assessment in accordance with the applicable standard, in the light of the results obtained by the AQMS in the past three years, with a view to issuing a new certificate with a three-year validity in continuity with the previous one).
  This is normally planned about three months in advance of the expiry date of the certificate, in order to have sufficient time to allow for adequate management of any NC detected and the decision of the TÜV Approval Committee, since:
  - certification cannot be renewed until all NCs detected have been closed, and
  - in order for there to be complete continuity in the validity of the certification, the decision by the TÜV Approval Committee must be made by the time the certification expires: extensions of the validity of the certificate beyond the expiry date are not possible; however, renewal audits commenced before the expiry date of the certificate may be completed and the renewal resolution and publication in OASIS may be made after the expiry of the certificate, within 6 months of that date, but the certificate will not be valid during the period between the expiry of the previous three-year period and the date of resolution of the renewed certificate (of which the expiry date will be three years after the expiry date of the previous certificate)

  For the management of NC detected during a Surveillance audit, see § 10.3 of these Rules.
- **Special Audit**: this type of audit is conducted in accordance with ISO/IEC 17021-1 and EN 9101.
  It may take place at any time during the certification process, as a result of one of the following possible situations:
  a) In response to a client of the Organisation and another interested party, following serious and documented issues that have arisen, e.g. major complaints ("short notice audits");
  b) If the Organisation requests to extend the scope, change the number of sites, change the certification structure;
  c) In case of the transfer of certification from another Certification Body (take over).

  The Organisation shall provide TÜV with all the necessary information and, by mutual agreement, the audit will be agreed and coordinated before the on-site audit.

In the case of multisite Organisations:

- all locations mentioned in the certificate shall be covered and in any case the Central Function shall always be included in each audit.
- at the end of the audit at one of the sites intermediate to the site covered by the final report, the audit team evaluates and formalises the findings according to the criteria in EN 9104-001.
- The decision of initial certification or recertification can only be taken after a positive outcome of the verification of all requirements of the standard being certified and positive assessments of all the planned sites, including the Central Function.

Remote audit activities, using ICT (Information and Communication Technologies), may be conducted in compliance with IAF MD4 to optimise the provision of audits, without having a negative impact on the integrity of the certification/assessment process, ensuring the security and confidentiality of information and also supporting personnel safety and sustainability policies. The use of ICT to optimise the provision of audits does not affect their determination. It is not possible to conduct a Remote Audit for more than 30% of the total time.

9.3 Documentation of assessment activities

9.3.1 Audit plan

TÜV communicates the planning of each audit to the Organisation using OASIS database functionalities.
The Organisation shall collaborate with TÜV, using the OASIS database to report, prior to each audit, whether or not the data related to its AQMS (sites, employees, scope, processes) are up to date: if data have changed, TÜV will check whether the audit duration stipulated in the contract is compatible with that calculated on the basis of the new data and, if not, may issue a technical and economic supplement for the current contract.

9.3.2 Audit report

Evidence of audit activities is collected by the Audit Team and reported by the Lead Auditor in the Audit documentation in accordance with EN 9101 on the forms prepared by IAQG and available for compilation through the OASIS database.
At the end of the audit, if there are any findings, the audit team classifies them and fills in the corresponding fields of the NCR forms, according to the corresponding definitions of Major Nonconformity, Minor Nonconformity and Opportunity For Improvement.
At the final meeting, the Lead Auditor issues the Organisation with at least the NCR and PEAR forms relating to the findings recorded on the NCRs. The remaining documentation may be issued to the Organisation at the final meeting or at a later date, in any case within 14 days from the end of the audit.

9.3.3 Certificate

On successful completion of the process, a certificate is issued with a validity of 3 (three) years minus one day, starting from the date of approval of the file by the Approval Committee (e.g. the certificate issued on 19-11-2020 will have ISSUE DATE 19-11-2020 and EXPIRY DATE 18-11-2023. If there is a reissue of the certificate during the three-year period, the relevant resolution date will be indicated as the REISSUE DATE. With the next renewal, the certificate, regardless of the date of resolution, will be linked to the previous one with ISSUE DATE 19-11-2023 and EXPIRY DATE 18-11-2026. The same dates will be entered in OASIS).
The certificate will not indicate the registered office of the Organisation if this office does not host operational activities related to EN 91xx certification and may therefore generate doubt about the number of sites included in the certification and the applicable certification structure.
Together with the EN 91xx certificate, the Organisation is given the "Oktagon Mark" certification mark for the applicable standard, to be used exclusively according to the rules of the "Guide to Certification Marks" available at TÜV's website(https://www.tuvsud.com/it-it/risorse/guida-ai-marchi-di-certificazione).

In the case of AQMS certification, TÜV also provides for the "default" issue of a separate ISO 9001 certificate for the scope and sectors corresponding to those recognised for the EN 91xx scheme. The separate issue of EN 91xx and ISO 9001 certificates means that "mixed" certificates with contradictory references to standards cannot be issued.
The above does not exclude certification activities in accordance with ISO 9001 referring to a broader Scope. This situation shall be clarified by the Organisation as early as in the quote preparation stages, so that TÜV can assess whether more time is needed in addition to the time calculated according to EN 9104-001 and whether resources with additional specific skills should be involved.
In cases of the certification of Management Systems to multiple schemes, TÜV allows audits to be conducted at different times, when agreed between the parties.

Except in special cases, multiple certification awarded as a result of integrated or combined audits is phased in on the date of approval of tEN 91xx certification.

For the ICOP scheme, only an audit conducted for two or more EN 9100 series standards is considered integrated and a reduction in the audit time of secondary standards is applicable. For all other combined audits, no reduction of the audit time calculated for EN 91xx is allowed.

10. Obligations

IAQG has launched a campaign to raise awareness of the requirements for restricted information and data (e.g. due to import/export laws and regulations such as ITAR/EAR). Audit documents uploaded to OASIS shall not include restricted information and data in any way. In this respect, the cooperation of all parties involved in the ICOP Scheme is requested. TÜV can appropriately conceal this information on the documents to be uploaded to OASIS, maintaining a link with the original document in the archive.

10.1 Obligations of the Certification Body

One of the specific obligations of the scheme is for TÜV to transfer the results of the audit to the OASIS database, including the following information:

- Name of the Certification Body, contact person, telephone number, fax number and/or e-mail address
- Name of the Organisation, addresses and locations involved in the assessment
- Name of the person in charge of the organisation appointed "Supplier Administrator"
- Certificates issued
- Purpose of the activities assessed
- Type of assessment carried out
- Date of the assessment, sites assessed and auditors involved
- No. of Major/Minor Nonconformities (with indication of the requirement specifying whether they are key requirements or not)
- Summary of the assessment of follow-up audits conducted.

The transfer to OASIS shall take place within 30 (thirty) days from the date of a positive decision for initial assessments, renewals and extensions and 90 (ninety) days from the date of closure of the visit for surveillance audits.
TÜV will only deliver the EN 91xx certificate to the Organisation once it has been published in the OASIS database.

The TÜV Lead Auditor must verify during the audits that the Organisation maintains the role of "Administrator" of the OASIS database. If the Organisation fails to comply with this obligation, the possibility of delaying the issue/reissue of certificates or suspending them, as appropriate, will be considered.

If the audit plan includes special processes, the audit team shall verify the validation of these processes and assess how they are monitored, measured and controlled.

In assessing the Organisation's processes, the audit team shall issue a Nonconformity regarding the relevant EN 91xx requirement:
- when a process is not achieving the planned results and appropriate actions have not been implemented;
- when the planned activities of a process are not carried out, in whole or in part.

TÜV does not keep records related to the operation of the ICOP Scheme outside accredited premises, where representatives of ACCREDIA, the Aerospace Industry or other interested parties of the ICOP Scheme are allowed access to view them.

In order to continuously ensure the validity and integrity of the certification issued, TÜV has set up an Impartiality Committee that includes a member for the AS&D sector with work experience in the Aerospace Industry (e.g. in production/maintenance or with Civil or Military Authorities or the Trade Association).

TÜV adopts the revisions of the mandatory IAF documents (MD series) mentioned in EN 9104-001 and of the ISO/IEC, according to the procedures and times for adoption indicated by the IAF.

10.2 Obligations for the Organisation

A condition for starting a certification process is that the Organisation has had in place, for at least six months, a documented Aerospace Quality Management System conforming to the aerospace requirements specified in the standard against which the AQMS is to be assessed.

The operational logics of the AQMS considered include the effective control of competences, also through the performance of a periodical differential analysis between the expected competence requirements and those actually possessed by Human Resources.

In order for TÜV to issue the certificate and upload it to OASIS database together with the audit results, the Organisation shall provide evidence of payment of the invoices relating to the audit performed.

If specified in the quote, the Organisation shall pay the fee for mandatory registration in the OASIS database on the basis of the invoice issued by TÜV. According to IAQG rules, the fee is due during the initial certification stage (validity: three-year), renewal (validity: three years) and takeover (validity: until the expiry of the certificate). An additional fee is due if certification is extended to one or more sites during any audit.

The Organisation, at the time of the initial audit, shall appoint the necessary persons to manage the OASIS database, including an “Administrator” and a “Supplier Representative”, to manage its contact information in the database, external access to audit results and feedback from the OASIS database.

The Organisation shall make copies of the Audit Report and associated records available to its current or potential clients upon request, unless there are grounds for confidentiality or conflict of interest (e.g. competitiveness). The Organisation may decide whether to provide access to these documents through OASIS or directly to the client on request.

The Organisation is required to allow designated representatives of ACCREDIA and of the Aerospace Industry Representatives or other interested parties of the ICOP scheme access to the audit site in order to verify TÜV's performance according to the requirements of EN 9104-002. Opposition to such access implies withdrawal of the certificate. Any obstacles to such access (e.g. Organisation with sites in foreign countries with entry restrictions) shall be resolved in the pre-contractual phase. If obstructive aspects emerge after the certificate has been issued and these aspects, even after assessment by ACCREDIA/CBMC, cannot be resolved, the Organisation shall transfer the certification to another Certification Body accredited by an Accreditation Body which does not have access problems, otherwise the certificate shall be withdrawn.

The role of the company's Quality Management System consultants, if present during the assessment activities, shall be limited to that of observer.

10.3 Obligations in the Management of Nonconformities identified in Audits

In the presence of Nonconformities recorded following the audit, the Organisation, in line with the criteria in EN 9101, shall formulate and communicate to the TÜV Lead Auditor, through the functions of the OASIS database, the measures it intends adopting according to the methods described below:

a) Where the nature of the NC requires immediate containment action, the Organisation shall determine and communicate to TÜV the specific containment actions, including correction within 7 calendar days of the end of the audit and shall reach an agreement with the Audit Team on the effectiveness of the action taken within 14 calendar days (also from the date of the end of the audit);
b) The Organisation shall analyse and communicate to TÜV, using the NCR form, the root cause analysis and the specific correction and corrective action to eliminate the causes of the NC identified, within a defined time;
c) The Audit Team shall agree with the Organisation on actions and corrective action plans within a maximum of 30 (thirty) calendar days from the date of completion of the audit;
d) The Organisation shall provide the Lead Auditor with evidence of completion of the planned actions within the agreed timeframe;
e) The Lead Auditor verifies the evidence provided by the Organisation and, if considered satisfactory, confirms that the actions have been completed and compiles the NCR forms, documents the details of evidence supporting the closure of the NC. Otherwise, it requests the Organisation to make appropriate additions.
f) During the subsequent audit, the audit team hall verify the effectiveness of the corrective actions implemented to close the Nonconformities, if necessary adding additional audit time to the 8 hours of the audit day.

Although any containment action and related corrective actions may be reviewed during the audit itself, the assessment and closure of corrective action plans and associated corrective actions related to detected NC shall **NOT** be carried out during the audit in which the NC are identified.
Closure by the Lead Auditor of the NC shall take place within and no later than **60** calendar days from the last day of the audit for the assessed Organisation site.
Major NCs usually require closure at the organisation's premises (on-site).
Minor NCs can normally be closed on a document basis (off-site), if this does not prejudice a proper assessment by the Lead Auditor.
The Lead Auditor may decide whether to perform the closure audit on-site or off-site.
If the Lead Auditor decides to perform an off-site closure of Major NCs, at the end of the audit and in any case before the report distribution, this decision shall be notified to TÜV. TÜV will evaluate the reasons and issues acceptance or requests on-site closure if the supporting reasons are not considered adequate.
The Lead Auditor, together with audit documentation, shall give a copy of this acceptance to the Approval Committee.
TÜV also ensures that any Nonconformities which have a direct impact on the Organisation's clients, as applicable, are managed in such a way that containment and permanent actions are notified by the Organisation to these clients.
For surveillance audits, the Lead Auditor is required to inform the Organisation if any Nonconformities identified may affect the certification in progress. If the existence of Nonconformities leads to the suspension of the certificate, an appropriate course of action shall be agreed between the Organisation and TÜV involving the Lead Auditor and, more generally, the audit team.

The Organisation is free to take action over OFI, with independently defined actions and timing; however, if it decides not to take action, it shall demonstrate that it has considered this and justify its choice.

Note: The measures that the Organisation intends taking with regard to the NC detected should be identified on the basis of a "cause - effect" approach (e.g.: analysis of causes - use of risk analysis tools and instruments, check lists, Pareto diagrams, tables for assessing Severity, Probability and Detectability levels, cause-effect diagrams) in order to ensure greater effectiveness in determining and implementing Corrective Actions.

10.4 Obligations in the de-certification process
In cases envisaged by the RGSG, or because the Organisation does not demonstrate that it has re-established full conformity of the AQMS within 60 days of the issue of a Nonconformity, TÜV may start the process of suspension or withdrawal of certification. Withdrawal of certification can only take effect following a decision by the TÜV Approval Committee.
Once a measure is effective, TÜV updates the OASIS database accordingly within 14 calendar days.