



International Aerospace Quality Group (IAQG) Other Party Management Team (OPMT)
Supplemental Rule 002 – Rules for 9104-1:2012 Transition
Original issue date: January 20th, 2012. Revised: May 24th, 2012

Purpose:

To provide supplemental rules for all stakeholders to facilitate the transition from the existing 9104 standard to the new 9104-1 standard, 'Requirements for Aviation, Space, and Defence Quality Management System Certification Programs'. This Supplemental Rule supports and implements the October 2011 IAQG Council's approved timeline for transition to 9104-1 (see Appendix A).

Scope:

This Supplemental Rule applies to the following stakeholders:

- IAQG Other Party Management Team (OPMT)
- Sector Management Structure (SMS) including Certification Body Management Committees (CBMCs)
- Accreditation Bodies (ABs)
- Certification Bodies (CBs)
- Auditor Authentication Bodies (AABs)
- Training Provider Approval Bodies (TPABs)
- AQMS Standard Certificated Organizations

General Rules:

1. All stakeholders shall ensure conformance to the IAQG Council's timeline for transition to 9104-1. The IAQG OPMT, SMS, ABs and CBs shall implement risk mitigation activities to accelerate completion of transition in advance of all target dates in the timeline.
2. All stakeholders shall ensure conformance to existing 9104 series standards including the current IAQG OPMT resolution log while transitioning to the 9104-1 requirements.
3. 9100, 9110 and 9120:2009 transition is not dependent or linked to 9104-1 transition. Once a CB has completed 9104-1 transition and is accredited, the requirements of 9104-1 and this Supplemental Rule shall apply regardless of 9100, 9110 or 9120:2009 transition status.
4. Online Aerospace Supplier Information System (OASIS) will be updated to support 9104-1 implementation.
5. The IAQG OPMT will maintain a Frequently Asked Questions (FAQ) log for reference information on 9104-1 and associated stakeholder's transition. The FAQ log is part of the deployment support materials for 9104-1 and is located on the IAQG website Requirements page:
<http://www.sae.org/iaqg/organization/requirements.htm>



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Stakeholder Rules:

1. IAQG OPMT shall:

- 1.1. Establish the Certification Structure Oversight Committee to oversee the development and implementation of certification structures in accordance with 9104-1 by February 17th, 2012.
- 1.2. Update applicable documentation including the IAQG OPMT Resolution Log to implement the requirements of 9104-1 as they apply to the IAQG OPMT by February 17th, 2012.
- 1.3. Report the 9104-1 transition status to the IAQG Strategy Working Group (SWG) using the Transition Reporting Matrix in Appendix B.
- 1.4. Develop, manage and implement a project plan to facilitate OASIS implementation of 9104-1 requirements. The plan shall be established by January 15th, 2012. The plan shall ensure the ability of CBs to input new certification structures and associated data by February 2nd, 2012.
- 1.5. OASIS user guidance shall be revised and made available in concurrence with any changes implemented in the OASIS database.
- 1.6. Establish and provide updated 9104-2 appendices to support the ongoing assessment of conformance to 9104-1. IAQG OPMT approved appendices shall be made available for use during 9104-1 oversight assessments.
- 1.7. Co-ordinate with the IAQG Requirements Strategy Stream to cancel and withdraw the 9104 standard.
- 1.8. Communicate the 9104-1 implementation responsibilities to each SMS.

2. Sector Management Structure (SMS), including applicable Certification Body Management Committees (CBMCs) shall:

- 2.1. Develop and maintain a documented risk mitigation plan by February 17th, 2012 to enable the accelerated implementation of this Supplemental Rule until all entities are approved / accredited as applicable and shows conformance ahead of the Appendix A timeline.
- 2.2. Update documentation, including applicable procedures, to implement the applicable requirements of 9104-1 in accordance with the established risk mitigation plan.
- 2.3. Complete the appropriate sections of the Transition Reporting Matrix (see Appendix B) and update and report when requested by the IAQG OPMT.
- 2.4. Ensure that all OP Assessors are trained on this Supplemental Rule and the 9104-1 requirements prior to conducting any 9104-1 oversight activity under 9104-2 requirements. Upon completion of this training, each OP Assessor shall complete a new 9104-2 Appendix I “Industry Controlled Other Party (ICOP) Declaration Form”.
- 2.5. Approve each AB to the 9104-1 requirements. Approval will be accomplished by assuring each AB has updated their management system to address the requirements of 9104-1, this Supplemental Rule and associated risk mitigation plans for implementation.



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- 2.6. Approve each AAB and TPAB to the 9104-1 requirements. Approval will be accomplished by assuring each AAB and TPAB has updated their management system to address the requirements of 9104-1 and this Supplemental Rule.
- 2.7. Validate and update the AB, AAB and TPAB records in the OASIS database to document the approval of the AB, AAB and TPAB to 9104-1.
- 2.8. Ensure that oversight of the AB, AAB and TPAB is conducted to the applicable 9104 standard(s) at the time of the oversight assessment. Where practicable the oversight of all entities should be scheduled after approval to 9104-1.
- 2.9. Ensure any sector specific standard(s) or documentation that references 9104 are updated or withdrawn, as applicable..
- 2.10. Initiate the process for removal of approval of any AB, AAB or TPAB where the entity has not been approved to 9104-1 requirements by January 1st, 2013
- 2.11. Communication of the 9104-1 implementation responsibilities to each AB, AAB and TPAB approved within the sector
- 2.12. Undertake a decision to suspend the 9104 approval of the AB, AAB, TPAB where:
 - a) Fails to address conformance to any applicable section of this Supplemental Rule.
 - b) Does not provide the SMS with a projected date for application.
 - c) Adjusts their projected application date to a later date without prior justification and SMS concurrence.
 - d) Fails to provide the documentation by the projected application date.
 - e) Does not provide the SMS with requested information to support assessment and/or decision-making in a timely manner.

3. Accreditation Bodies (ABs) shall:

- 3.1. Develop, implement and maintain a documented risk mitigation plan to enable the accelerated implementation of this Supplemental Rule. The plan shall include:
 - a) Resource needs
 - b) Revision of the AB's documentation to implement the applicable requirements of 9104-1
 - c) Development and management of the application, assessment and accreditation process for the transition of participating CBs to 9104-1.
 - d) Management and reporting of the appropriate sections of the Transition Reporting Matrix (see Appendix B) when requested by the SMS.
 - e) Projected dates for completion and when supporting evidence is to be submitted to the SMS for review and approval.
- 3.2. Report their risk mitigation plan to the SMS in accordance with the SMS risk mitigation plan.
- 3.3. Provide a completed Transition Reporting Matrix (Appendix B), which includes projected application, assessment and accreditation dates from all transitioning CBs, to the SMS, in accordance with the SMS risk mitigation plan and thereafter upon request from the SMS.
- 3.4. Ensure that all AB Assessors are trained on this Supplemental Rule and the 9104-1 requirements prior to conducting CB 9104-1 accreditation assessment activity.



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- 3.5. Be approved by the SMS for 9104-1 prior to assessment and accreditation of CBs to 9104-1 requirements.
- 3.6. Undertake the assessment and decision making processes to determine accreditation for each CB to 9104-1.
- 3.7. Validate and update the CB record in the OASIS database following accreditation to 9104-1.
- 3.8. Undertake a decision to suspend the 9104 accreditation of the CBs where the CB:
 - a) Fails to address conformance to any applicable section of this Supplemental Rule.
 - b) Does not provide the AB with a projected date for application.
 - c) Adjusts their projected application date to a later date without prior justification and AB concurrence.
 - d) Fails to provide the application by the projected application date.
 - e) Does not provide the AB with requested information to support accreditation assessment and decision-making in a timely manner.
- 3.9. Make a decision to withdraw all 9104 accreditations of CBs on July 1st, 2013.
- 3.10. Plan and conduct the annual surveillance and reassessment of each CB in accordance with the criteria of 9104-1 section 5.3.3, including Table 1 and section 5.3.4 from January 1st, 2013.
- 3.11. Any new applications from CBs for accreditation for the certification of AQMS standards received after the original issue date of this Supplemental Rule shall be processed in accordance with 9104-1 requirements. Where the AB has an existing application in process before the original issue date of this Supplemental Rule the AB shall agree with the applicant CB the most effective choice for accreditation i.e. accredit against 9104-1 requirements or continue against 9104 and agree a transition plan within the timeframe of this Supplemental Rule.
- 3.12. Communication of the AB's requirements for the application, assessment and accreditation of each CB to 9104-1.

Note: AB assessment of CBs transitioning to 9104-1 may be on-site or limited to an off-site documentation review. Accreditation for new CB applicants shall follow the requirements of 9104-1 section 5 in its entirety.

4. Certification Bodies (CBs) shall:

- 4.1. Develop, implement and maintain a documented risk mitigation plan to enable the accelerated implementation of this Supplemental Rule. The plan shall include:
 - a) Resource needs
 - b) Revision of the CB's management system to implement the applicable requirements of 9104-1
 - c) Projected dates for application for accreditation to 9104-1.
 - d) Review and analysis of all existing client AQMS certification activities and arrangements, including certification structures, to support conformance to 9104-1 requirements.
 - e) Provision for updating of client AQMS certification contracts as necessary.



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- f) Communication of the 9104-1 responsibilities and requirements for certification structures for certificated organizations to clients.
- g) Communication of the 9104-1 responsibilities and requirements to all employed or contracted AQMS Auditors.
- 4.2. Report their risk mitigation plan to the AB and SMS in accordance with the SMS risk mitigation plan.
- 4.3. Complete and submit an application to the AB that includes all required evidence to support AB assessment and CB accreditation to 9104-1.
- 4.4. Ensure that all relevant CB personnel are trained on this Supplemental Rule and the applicable 9104-1 requirements.
- 4.5. Ensure that decision-makers have demonstrated competence per 9104-1 section 6.7
- 4.6. Be accredited by the applicable AB for 9104-1 prior to audit and certification of organizations to the applicable AQMS in accordance 9104-1 requirements.
- 4.7. Undertake 9104-1 Certification Structure analysis for each client that shall include the following:
 - a) Documenting the rationale, justification, audit duration calculations, audit program, including sampling (for 9120 multiple site only) or reduced surveillance plan (for multiple site only).
 - b) Providing information to the IAQG OPMT Certification Structure Oversight Committee relating to the proposed activities and arrangements for any client that is to be certificated as a 'Complex' certification structure.
 - c) Obtaining approval of all 'Complex' certifications structures from IAQG OPMT Certification Structure Oversight Committee prior to the next on-site audit (i.e. Stage 2, surveillance or recertification audit) of the client in conformance with 9104-1.
- 4.8. Manage existing client audit schedules as outlined below:
 - a) If accredited to 9104-1 in 2012, CBs shall manage their annual audit cycle with their existing clients, to follow the requirements of 9104 or 9104-1, but shall fully comply with all applicable 9104-1 requirements by January 1, 2013.
 - b) If accredited to 9104-1 in 2013, CBs shall manage their annual audit cycle with their clients but shall fully comply with all applicable 9104-1 requirements once accredited to 9104-1 regardless of the annual audit cycle date of clients.
- 4.9. Make a certification decision in accordance with 9104-1 section 8.4.b and Appendix B after completion of the next client surveillance or recertification audit(s) conducted in conformance with 9104-1 that also considers the following:
 - a) Where the certification decision is made for a client that implemented 9104-1 requirements during the current annual audit cycle, the CB shall validate as part of the decision-making process that the audit duration, coverage of sites and certification structure are in conformance with 9104-1 requirements.
 - b) A certificated organization shall not receive a new three-year certification period if they were not subject to a recertification.
- 4.10. Ensure all AQMS certificates reflect conformance to 9104-1 in accordance with the published IAQG sector standard following the certification decision.



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- 4.11. Validate and update the client record in the OASIS database in accordance with 9104-1 requirements following the certificate issuance.
- 4.12. Substitute SR-001 section 7.k.(1) and 7.k.(2) with the following, when 9104-1 requirements have been implemented during the current annual audit cycle and the organization is transitioning to 9100, 9110 or 9120:2009:
 - a) The minimum on-site audit days for all 9100/9110/9120:2009 transition audits shall be as follows:
 1. Transition during surveillance audit using 50% of initial audit day requirements from Table 2 of 9104-1.
 2. Transition during recertification audit using 80% of initial audit day requirements from Table 2 of 9104-1.

Note: The CB may apply ASRP and / or CAAT providing all 9104-1 requirements have been met.

5. Auditor Authentication Bodies (AABs) shall:

- 5.1. Establish, document, implement, and maintain a quality management system that is capable of supporting and demonstrating the consistent achievement of the 9104-series standards by January 1st, 2013
- 5.2. Advise the SMS of conformance to the 9104 series of standards requirements upon implementation.

6. Training Provider Approval Bodies (TPABs) shall:

- 6.1. Establish, document, implement, and maintain a quality management system that is capable of supporting and demonstrating the consistent achievement of the 9104-series standards by January 1st, 2013
- 6.2. Advise the SMS of conformance to the 9104 series of standards requirements upon implementation.

7. AQMS Standard Certificated Organizations shall:

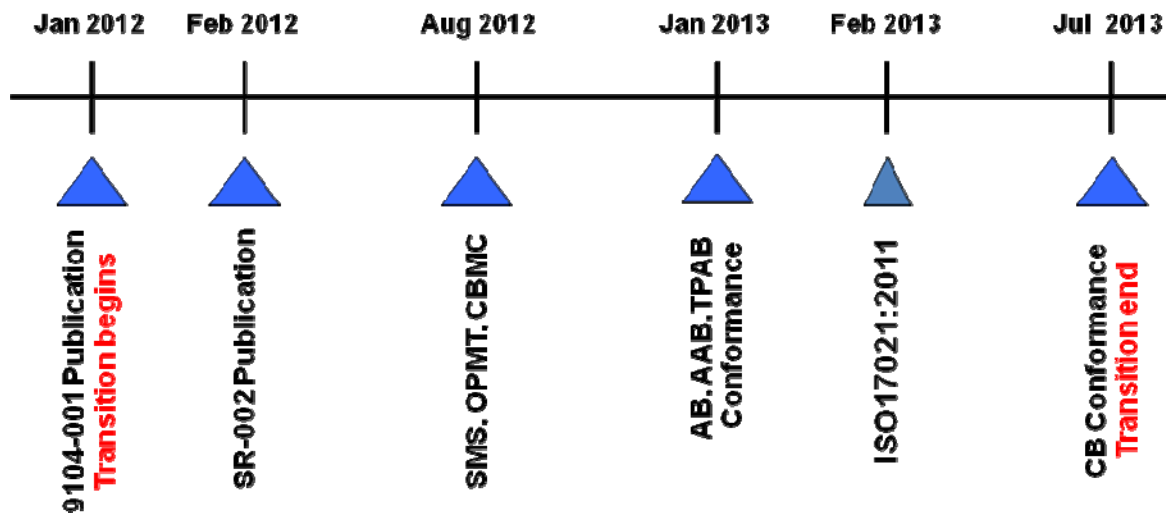
- 7.1. Work with their CB to determine an appropriate certification structure.
- 7.2. Ensure that the selected certification structure does not conflict with customer, regulatory or other requirements.



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Appendix A:

The 9104-1 Transition Timeline agreed by the IAQG Council in October 2011:



Appendix B:

The IAQG OPMT 9104-1:2012 Transition Reporting Matrix:



9104-1 Transition
Matrix.xlsx

Sheet 1: SMS Approval Matrix:

| 9104-1 Transition Matrix | | | | | | | |
|---------------------------------|---------------------------------|-----------------|---|--|---|--|--------------------|
| Date of Report: | | | | | | | |
| Stakeholder: | | SMS | | | | | |
| Representative: | | SMS Chair | | | | | |
| Transition Status: | | | | | | | |
| AB / AAB / TPAB Name | AB / AAB / TPAB Contact Person: | E-mail Address: | Risk Mitigation Plan Receipt Date: (By AB only) (dd/mm/yyyy) | CB Transition Matrix Receipt Date: (dd/mm/yyyy) | Projected Readiness Date for Approval by SMS: (dd/mm/yyyy) | Actual Approval Date: (dd/mm/yy) | Status / Comments: |
| | | | | | | | |
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Sheet 2: AB Client Matrix:

| 9104-1 Transition Matrix | | | | | | | | |
|---|--------------------|-----------------|--|---|--|---|---|--------------------|
| Date of Report: | | | | | | | | |
| Stakeholder: AB | | | | | | | | |
| Representative: AB Focal | | | | | | | | |
| Notes: All participating CBs are to be listed in the matrix below. This is to be provided to the SMS by the AB no later than March 10th, 2013 and thereafter upon request. The CBs projected dates cannot be earlier than the date of approval of the AB by the SMS | | | | | | | | |
| Transition Status: | | | | | | | | |
| CB Name: | CB Contact Person: | E-mail Address: | CB Risk Mitigation Plan Receipt Date: (dd/mm/yyyy) | Projected Application Date (dd/mm/yyyy) | Projected assessment start date (dd/mm/yyyy) | Projected 9104-1 accreditation dates (dd/mm/yyyy) | Actual 9104-1 accreditation date (dd/mm/yyyy) | Status / Comments: |
| | | | | | | | | |
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End of Supplemental Rule 002