

# 9104-001 Frequently Asked Questions (FAQ) Log

Revision: 25 November 2013



Applicable to 9104-001:

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FAQ Number	9104-001 Clause and Question	Answer	Applicability	
			9104-001	CSOC
1	<p><b>9104-001 clause 5.2.c and clause 6.4.</b></p> <p>What does "continuing" mean in both of these clauses? Does "continuing" mean the person is currently working? Are both full time and part time persons allowed from an organization related to aviation, space, or defense industry? If "continuing" allows for a retired person, what is the criteria for "continuing" ?</p>	<p>Continuing means full time employment with no break in service in either the private (e.g. IAQG Member) or public (e.g. Government, Military) aviation, space and defense sector.</p> <p>It should be recognized that this is an advisory position (in accordance with ISO 17011, clause 4.3.2 for ABs and ISO 17021, clause 6.2.1 for CBs).</p> <p>The intent is to have a person that is actively employed in the aviation, space or defense industry on a full time basis. This full time employment should demonstrate the person's active engagement, involvement and continued awareness of activities in the Aviation, Space and Defense sector.</p>	X	
2	<p><b>9104-001 clause 8.3.3.</b></p> <p>In this clause what does "the entire audit" mean? Is it required that an AEA is required to participate at the on-site audit at each site during scheduled audit? For example, when one AEA and one AA perform audit at site "A" on the first day, and only the AA performs the audit at site "A" on the 2nd day, would this case satisfy with the requirement of clause 8.3.3? Does "the entire audit" mean that the AEA will participate all times during audit at each site?</p>	<p>The entire audit is from opening meeting until closing meeting and includes any associated preparation and report writing. This may also include several locations and sites for various certification structures (e.g. several site or Campus).</p> <p>The intent of the requirement is to have the AEA audit team leader actively involved in the entire audit and an AEA at each site during the audit. There should be no case (like the example given) where an AA will audit independently with no AEA on site.</p> <p>Also, please see 9104-001, clause 8.3.2 for further clarification.</p> <p>This issue is also addressed in 9104-001 FAQs, Question Number 17.</p>	X	
3	<p><b>9104-001 clause 8.3.8.</b></p> <p>In this clause of the requirement "The same auditor shall be limited to no more than two certification cycles...." Is this retroactive?</p> <p>For example: An auditor has been auditing a client for the last six years and has just conducted the re-certification audit in 2012. Does the auditor have to give up this client to another auditor? Or, can the auditor be the lead auditor for this client for this certification cycle and the next certification cycle?</p>	<p>Yes, it is retroactive.</p> <p>Since you just conducted the recertification audit, you must give up this client as the AEA audit team leader at the next recertification audit.</p> <p>No, you cannot be the audit team leader for the next certification cycle.</p> <p>We encourage rotation of the audit team leader in this scenario but the requirement is linked to certification cycles. The requirement is retroactive and is linked to the next recertification audit activity.</p> <p>Please refer to IAQG OPMT Resolution number 96 for further clarification.</p>	X	

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22	<p><b>9104-001 clauses 8.2.1.5, 13.5 and IAQG OPMT Procedure 204</b></p> <p>Within a complex certification structure, is the mixing of sub-categories within the sub-structures allowed e.g. may a several sites reduction be applied to a multiple site or campus sub-structure, or multiple site sampling be applied to more than one campus?</p>	<p>No. The mixing or co-mingling of sub-categories including the on-site audit duration calculation or site sampling is not permissible. The intent is that each sub-structure established within a complex structure uses the requirements only for that identified sub-structure including the on-site audit duration calculation e.g. a multiple site sub-structure would use the on site audit calculation methodology from 9104-001 clause 8.2.1.2 or a campus sub-structure would use the calculation methodology from 9104-001 clause 8.2.1.3. Similarly the site sampling requirements are to apply to each sub-structure e.g. all sites within a campus sub-structure must be visited every year.</p>	X	X
23	<p><b>9104-001 clauses 8.2.1.5, 13.5 and IAQG OPMT Procedure 204</b></p> <p>How should a CB provide evidence of compliance to the eligibility criteria for the overall complex structure and the sub-structures within the complex certification structure?</p>	<p>9104-001 clause 8.1 sets out the eligibility criteria for all certification structures in two parts; a general description of eligibility criteria for all certification structures at 8.1.1 and in addition eligibility criteria for each certification structure type at 8.1.2. This also points at 9104-001 Appendix B that has a detailed description of the eligibility criteria in the second row of the table beneath the header row.</p> <p>Whilst it is not appropriate for the CSOC to describe how a CB provides evidence of compliance to the eligibility criteria for the overall complex structure and the sub-structures within the complex certification structure, the CSOC can advise that the voting members are looking for evidence of the evaluation and determination of the overall complex certification structure and each of the sub-structures within the complex structure. Part of evaluation is the demonstration that all the applicable eligibility criteria have been met. It is only through the detailed analysis and development of such a record that it can be demonstrated that a client really fits a particular certification structure. The CSOC is looking to see that the applicant CB and the client have achieved that understanding and can demonstrate the fit of the correct certification structure.</p> <p>As part of 9104-001 clause 8.1.3, it is a requirement for all CB's to maintain evidence of the review and determination of certification structures for all clients. The CSOC expects that CB's have a process in place to satisfy this as part of the accreditation to achieve compliance with this requirement.</p>	X	X
24	<p><b>9104-001 clause 5.3.8</b></p> <p>If a CB applies to the IAQG 9104-001 IDR and / or SDR's for a clarification of 9104-001 requirement as a result of a nonconformity being raised does the 90 calendar day period before the suspension process is started by the AB continue?</p>	<p>Where a CB co-ordinates with an AB and applies to the IAQG 9104-001 IDR and / or SDR's for a clarification of 9104-001 using the OASIS feedback process the calendar days from the submission of the request through OASIS to the date of receipt of an answer do not contribute to the 90 calendar day period before suspension (i.e. the 'clock' shall stop). Once an answer is provided the 'clock' continues. A repeated clarification on the same issue will not stop the 90 calendar day period elapsing.</p>	X	