



International Aerospace Quality Group (IAQG) Other Party Management Team (OPMT)  
Supplemental Rule 001 – Rules for 9100/9110/9120:2009 Transition  
Dated: 11 Jan 2010, Revised 18 May 2010, 20 Dec 2010, 5 April 2011, 03 May 2011,  
**04 Nov 2011**

**Purpose:**

Provide supplemental rules for all stakeholders to facilitate the transition to the 9100/9110/9120:2009 Aerospace Quality Management Systems (AQMS) standards, including use of the updated 9101:2009 (9101 Revision D). This supplemental rule supports the October 2009 IAQG Council's approved concepts and timeline for transition to the 2009 version of AQMS Standards (i.e., 9100/9110/9120) (See Exhibit A).

NOTE: 9104/1 is under rewrite at the time this Supplemental Rule is revised; therefore, 9104/1 will not be used. Once 9104/1 is published there will be a transition period determined with additional Supplemental Rules (as applicable).

**Scope:**

This supplemental rule applies to the following stakeholders:

- Sector Management Structure (SMS)
- Accreditation Bodies (ABs)
- Auditor Authentication Bodies (AABs)
- Authenticated Aerospace Auditors  
(NOTE: This includes Aerospace Auditors (AAs) and Aerospace Experienced Auditors (AEAs))
- Training Provider Authentication Bodies (TPABs)
- Training Providers (TPs)
- Certification Bodies (CBs)
- Organizations seeking certification to the 9100/9110/9120:2009 AQMS standards

**General Rules:**

1. All stakeholders shall ensure conformance to existing 9104 series standards including the current resolution log and the published timeline for 9100/9110/9120:2009 transition as they apply.
2. Online Aerospace Supplier Information System (OASIS) will be updated to support these supplemental rules. As part of this update OASIS will include the following:
  - i. Form Templates to support the 9100/9110/9120:2009 AQMS standard revisions and 9101:2009 (Rev D) revisions.
  - ii. On-site audit days (based on number of employees) will be recorded in OASIS before audit entry can be completed.
  - iii. Authentication of 9100/9110/9120:2009 requirements for aerospace auditors.

Training and guidance on OASIS changes will be made available to affected stakeholders.



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3. Definition of Major/Minor nonconformity is in accordance with 9101:2009 (Rev D).
4. Scoring data is not required for 9101:2009 (Rev D).

Note: The IAQG OPMT has established a Frequently Asked Questions (FAQ) log for reference information. The FAQ is located at:

<https://www.sae.org/iaqgdb/opmtfaq.xlsx>

### **Stakeholder Rules:**

1. Sector Management Structure (SMS)
  - a. The SMS shall monitor the progress of the ABs, AABs, and TPABs implementation of this supplemental rule.
  - b. Monitoring will include review of the ABs, AABs, and TPAB's documented implementation plan.
  - c. The SMS shall assure that all OP Assessors are trained on this supplemental rule SR 001 and the 9100/9110/9120:2009 standards prior to any oversight witness audits to the 2009 standards.
2. Accreditation Bodies (ABs)
  - a. By 01 June 2010, ABs shall publish an updated documented plan for their CBs to demonstrate conformance to this SR 001 for the CB's clients' transition to 9100/9110/9120:2009. This plan shall be provided to the CBs.
  - b. AB auditors shall successfully complete the 9100/9110/9120:2009 sanctioned training prior to conducting any 9100/9110/9120:2009 witness assessments.
  - c. The AB shall complete a review on each CB's transition process for their clients in accordance with this SR 001. Upon successful review, the AB shall confirm the transition of each CB to the relevant SMS (or National CBMC) and OASIS shall be updated in accordance with current SMS (or National CBMC) procedures to show the appropriate applicability of the 9100/9110/9120:2009 standards. Verification of the CB's transition process for their clients shall be completed no later than the next scheduled office assessment after the CB has been transitioned by their AB.
  - d. The AB shall ensure the CB has provided an initial 9100/9110/9120:2009 Certified Organization Transition Matrix (Appendix B) by 01 Dec 2011.
  - e. The AB shall make a decision to suspend the CB's AQMS accreditation if the CB has not provided a completed 9100/9110/9120:2009 Certified Organization Transition Matrix (all transition audits scheduled) (Appendix B) by 04 Jan 2012.



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- f. The AB shall make a decision to withdraw a CB's AQMS accreditation if the CB has not implemented this SR 001 for the 9100/9110/9120:2009 transition by 01 July 2011.
  - g. The AB shall maintain copies of completed Appendix B matrices, for their accredited CB's, and provide status upon request to the IAQG OPMT and their associated SMS (and CBMC).
3. Auditor Authentication Bodies (AABs)
- a. By 01 April 2010, AABs shall publish a documented plan for their authenticated auditor's transition. This plan shall be communicated with the auditors.
  - b. Once the AAB accepts the sanctioned training evidence, they shall enter the auditor into OASIS for the appropriate version of the standard (e.g., 9100:2009).
  - c. Auditor's authentication expiration date shall remain the same.
  - d. The AAB shall withdraw the auditor's authentication in OASIS if the auditor has not been authenticated for the 9100/9110/9120:2009 AQMS standards by 01 July 2012.
4. Authenticated Aerospace Auditor (AA & AEA)
- a. All currently authenticated auditors are required to take the 9100:2009 sanctioned training by a TPAB approved TP.
  - b. All currently authenticated auditors are required to take the sanctioned training for all other standards the auditor is authenticated to (i.e., 9110:2009 and/or 9120:2009).
  - c. Auditors must provide evidence of successful completion of the sanctioned training to the AAB that has their existing authentication.
  - d. Auditors must successfully complete the 9100/9110/9120:2009 sanctioned training prior to conducting any 9100/9110/9120:2009 audits.
- NOTE: Auditors not authenticated for the 9100/9110/9120:2009 AQMS Standards as described above will no longer be able to do AQMS audits as of 1 July 2011.
5. Training Provider Authentication Bodies (TPABs)
- a. By 01 March 2010, TPABs shall publish a documented plan for their TPs transition. This plan shall be communicated with the TPs.
  - b. Before approving a TP for the delivery of the AATT for 9100/9110:2009, TPABs shall validate that each TP to be approved has conformed with the requirements of 9104/3 and this SR 001 and has a minimum of two trainers trained in accordance with the requirements of this SR 001 and that any feedback provided to the TP from the sanctioned AeroSpace and Defense



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Evaluators (ASDE) i.e. train the trainer course has been successfully actioned to ensure the competence of those trainers.

- c. The TPAB shall make a decision to withdraw a TP's approval if the TP did not seek approval for use of the sanctioned training material by 01 July 2011.

6. Training Provider (TP)

- a. The TP shall obtain the IAQG 9100/9110:2009 sanctioned training material from Plexus, the IAQG sanctioned training developer. Note: the 9120:2009 training is online only and will only be provided by IAQG Training Administrator.
- b. The TP shall be approved by an SMS approved TPAB to provide the IAQG sanctioned training course.
- c. In addition to trainer requirements in 9104/3,
  - i. TP trainers for the 9100:2009 sanctioned training course shall successfully complete the IAQG 9100:2009 sanctioned training course and the Plexus provided IAQG sanctioned AeroSpace and Defense Evaluators (ASDE) train-the-trainer course.
  - ii. TP trainers for the 9110:2009 sanctioned training course shall successfully complete the IAQG 9100:2009 sanctioned training course, the IAQG 9110:2009 sanctioned training course and the Plexus provided IAQG sanctioned AeroSpace and Defense Evaluators ASDE train-the-trainer course.
- d. The TP shall address the feedback received from the sanctioned train the trainer course and take appropriate action to ensure the trainers are competent.
- e. A TP, who has not been approved to provide the IAQG sanctioned training course by 01 July 2011, shall have their current approval withdrawn.
- f. The Sanctioned Aerospace Auditor Transition Training shall only be delivered by an approved TP using a minimum of two of its AATT and ASDE trained trainers, and with a required minimum class size of eight (class size of six is acceptable for 9110) and a maximum class size of twelve students.
- g. A student who fails the AATT written examination shall follow IAQG OPMT resolution number 85..

NOTE: The IAQG sanctioned training process is being managed by the IAQG OPMT. And they will also manage the 9100/9110/9120:2009 sanctioned training exam process including administering and grading.

7. Certification Bodies (CBs)

- a. The CB shall respond to the AB's request for their transition plan for their clients and support a review by the AB to demonstrate conformance to this SR 001.



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- b. Transition planning shall include the completion and maintenance of the 9100/9110/9120:2009 Certified Organization Transition Matrix spread sheet (Appendix B).
  - (1) CB shall provide an initial 9100/9110/9120:2009 Certified Organization Transition Matrix to the respective AB (Appendix B) by 01 Dec 2011.
  - (2) All transition audits shall be scheduled, the matrix updated and reported to the respective AB by 04 Jan 2012.
- c. The CB shall be listed in OASIS as accredited by their AB for the new 9100/9110/9120:2009 standard before the CB conducts any 9100/9110/9120:2009 audits.
- d. CB auditors shall be listed in OASIS as authenticated for the new 9100/9110/9120:2009 standard before an auditor conducts any 9100/9110/9120:2009 audits.
- e. The days for all 9100/9110/9120:2009 transition audits shall be as follows:
  - i. transition during surveillance audit using 50% of initial audit day requirements of IAF MD 5 and 100% of the initial audit day requirements of table 2 of 9104.
  - ii. transition during recertification audit using 80% of initial audit day requirements of IAF MD 5 and 100% of the initial audit day requirements of table 2 of 9104.
  - iii. In addition, it is the responsibility of the CB to identify additional days that may be required to audit the new requirements of the 9100/9110/9120:2009 standards and complete the 9101:2009 (Rev D) audit report.
  - iv. The Audit day calculation in accordance with the IAF MD 5 requirements may be varied to take into account the complexity of the quality system and the number and variety of activity, but the requirements in IAF MD 5, including documenting the justification, are to be used at a minimum.
- f. Transition audits conducted during surveillance shall include an audit of all processes (and process interfaces) affected by the changed requirements within the 9100/9110/9120:2009 AQMS standard.
- g. Transition audits conducted during recertification shall include an audit of all clauses of the 9100/9110/9120:2009 AQMS standard.
- h. A CB who has not responded to the AB per this SR 001 by 01 Jan 2011 shall have their current AQMS accreditation suspended.
- i. A CB that has not met the 9100/9110/9120:2009 Certified Organization Transition matrix submittal expectation requirements in this Supplemental Rule by 04 Jan 2012 shall have their current AQMS accreditation suspended.
- j. A CB who has not implemented their plan per this SR 001 by 01 July 2011 shall have their current AQMS accreditation withdrawn.



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- k. In addition, for multiple site organizations that transition during their existing audit cycle, the CB shall:
  - i. close out the site surveillance audits (including closing and verifying all the NCR's) against the previous 9100/9110/9120 standard by issuing an audit report for all sites audited prior to conducting the surveillance transition to 9100/9110/9120:2009 AQMS standards. This report shall be uploaded into OASIS.
  - ii. complete the audits to the 9100/9110/9120:2009 standard for all sites required to be audited for a given surveillance cycle (at least 50% of the sites).
  - iii. complete the central function audit and the planned sites audits (at least 50% of the sites) for that surveillance cycle to the 9100/9110/9120:2009 AQMS standard prior to certification.

Note: Where ASRP is applicable in accordance with IAQG OPMT Resolution 76 dated October 1, 2010 at least 33% of the sites must be audited in items 7.i.ii) and 7.i.iii) above).

Note: Transitioning a multiple site organization can be achieved by completing the site audits across two cycles (i.e. 18 months to transition) as long as the central function and total number of sites to be audited in a given surveillance cycle are completed to the 9100/9110/9120:2009 standard. (e.g. if the central function plus 10 sites are to be audited for a given cycle, the 9100/9110/9120:2009 audits could be completed for 5 of the sites during surveillance cycle 1 and completed for the central function plus the 5 remaining sites during surveillance cycle 2).

- l. For multiple site organizations that transition during their recertification year, the CB shall:
  - i. complete the central function audit and all sites audits for that recertification cycle to the 9100/9110/9120:2009 AQMS Standard prior to re-certification.

Note: See exhibit B for an illustration of the above requirements.

- m. The CB shall document the sites included in the 9100/9110/9120:2009 certification decision within the audit report.
- n. The CB shall leave copies of all information pertaining to the audit results with the organization for the purpose of the organization sharing this information with their customers.
- o. Once the audit has been completed, and all NCR's are closed and verified, a certification decision, following the 9104 certification decision process, shall



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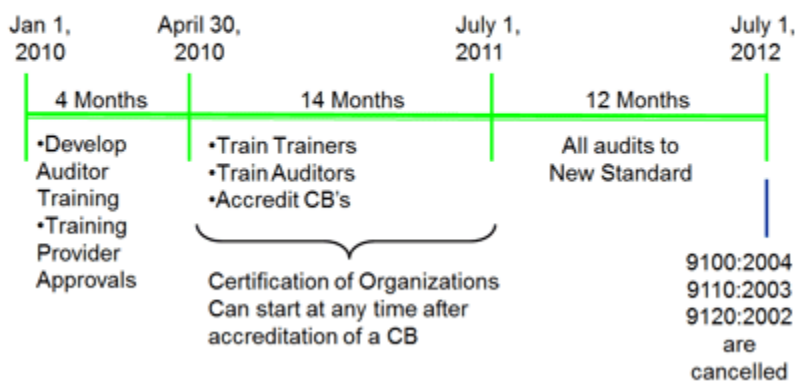
- be made by the CB prior to reissuance of the certificate to 9100/9110/9120:2009.
- p. An organization shall not receive a new three year certification period if they were not subject to a recertification.
  - q. The certificate and Appendix A information shall be uploaded into OASIS within 30 days of the decision.
  - r. The CB shall make a decision to withdraw an organization's AQMS certification if the organization has not been certified to the 9100/9110/9120:2009 AQMS standard by 01 July 2012.
8. Organizations seeking certification to the 9100/9110/9120:2009 AQMS standards
- a. Organizations must formally declare to their CB conformance to 9100/9110/9120:2009 prior to the CB conducting 9100/9110/9120:2009 audits.
    - i. If the organization has not declared conformance prior to their scheduled surveillance or recertification due date, the CB shall take actions that result in the suspension of the existing certification at the due date. The CB is to initiate the process to withdraw the certification if the suspension cannot be resolved.
    - b. Organizations that have not scheduled the applicable 9100/9110/9120:2009 transition audit by 04 Jan 2012, shall have their certification suspended.**
  - c. Organizations that have not been certified to the 9100/9110/9120:2009 AQMS standard by 01 July 2012 (including their revised certificate uploaded into OASIS) shall have their certificate withdrawn from OASIS.
    - i. The CBs can approach their ABs and IAQG OPMT together, which are willing to review specific requests for special circumstances.

Exhibit A

Excerpts from the OPMT Transition Plan:

*At the October 2009 IAQG meetings in Munich, Germany the following time line for transition to the 2009 version of AQMS Standards (9100/9110/9120) and supporting standards was finalized and published.*

### 30 Month Transition Schedule



**Time Line Provides For:**

- full deployment of 2009 AQMS Standards by July 1, 2011
- certification audits to be completed in conformance with the 9101:2009
- IAQG Sanctioned Training for all ICOP authenticated auditors
- Supplemental Rule 001 outlines the process for transition to 9100/9110/9120:2009
- The concepts are finalized and detailed in guidance material below for all stakeholders.

***We want to emphasize that no organizations shall be certified to the 2009 versions of ICOP AQMS standards prior to meeting the requirements outlined in the above timeline.***

**Note: if the start date of the onsite audit is on or after 1 July 2011, then the audit shall be completed in accordance with new standard.**





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**Exhibit B**

Option 1 – Transition in year 2 of existing certification cycle, during a surveillance year.

Year	Central Function	No Sites	Standard	Comments
1	Yes	5	91xx:2004	Synthesis report loaded in OASIS
2	Yes	5	91xx:2009	9101 standardized report loaded in OASIS. All processes (and process interfaces) affected by the changed requirements audited. Transition decision, re-issue cert to 91xx:2009 with current expiration date.
3	Yes	10	91xx:2009	9101 standardized report loaded in OASIS. All clauses of standard audited. Re-certification decision process, new three year certificate.

Option 2 – Transition in year 2 of existing certification cycle and client chooses to re-certify early, in year 2.

Year	Central Function	No Sites	Standard	Comments
1	Yes	5	91xx:2004	Synthesis report loaded in OASIS
2	Yes	10	91xx:2009	9101 standardized report loaded in OASIS. All clauses of standard and all sites audited. Re-certification decision process, re-issue cert to 91xx:2009 with a new three year certificate.
1	Yes	5	91xx:2009	9101 standardized report loaded in OASIS. Under new certification cycle

Year 3 is not included since the client chose to re-certify early (in the 2<sup>nd</sup> year).

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Option 3 – Transition in year 3 of existing certification cycle, during recertification.

Year	Central Function	No Sites	Standard	Comments
1	Yes	5	91xx:2004	Synthesis report loaded to OASIS
2	Yes	5	91xx:2004	Synthesis report loaded to OASIS
3	Yes	10	91xx:2009	9101 standardized report loaded to OASIS. All clauses of standard audited. Re-certification decision process, Issue cert to 91XX:2009 for new 3-year period.

Option 4 – Transition in the middle of a surveillance cycle (creating a split cycle).

Year	Central Function	No Sites	Standard	Comments
1	Yes	3	91xx:2004	Synthesis report loaded to OASIS
1	Yes	2	91xx:2009	9101 standardized report loaded to OASIS. All processes (and process interfaces) affected by the changed requirements audited. Transition decision process, re-issue cert to 91XX:2009 with existing expiration date.
2	Yes	3	91xx:2009	
2	Yes	2	91xx:2009	9101 standardized report loaded to OASIS
3	Yes	10	91xx:2009	9101 standardized report loaded to OASIS. All clauses of standard audited. Re-certification decision process, new three year certificate.

Note that Resolution 76 applies to 9100 and 9110.

The rules for 9120 have not changed and are as per 9104 except that IAF MD1 now applies.



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**APPENDIX A**  
**INFORMATION TO BE PROVIDED INTO THE OASIS DATABASE**

1. Data Input:

- Certificate Identification (ID), including issue/reissue and expiry date.
- Scope of certification.
- Type of audit performed (i.e., initial, surveillance, recertification, special).
- Audit dates and number of on-site auditor days (i.e., number of auditors and number of days spent by the audit team on-site); for example, 3 auditors spend 4 days = 12 auditor days.
- The number of organization employees per site listed on the certificate.
- Name of lead-auditor.
- Name(s) of other Aerospace Experience Auditors (AEAs) and Aerospace Auditors (AAs) that participated on the audit.
- The applicable AQMS standard (e.g., AS9100C) against which the audit was performed.

NOTE: For each standard (i.e., 9110, 9110, 9120) a separate entry is required.

- Number of major and minor nonconformities per clause for the applicable AQMS standard.
- Audit summary.
- Organization identified exclusions (clauses of the standard).
- Process Effectiveness Assessment Report (PEAR) data:

- a. PEAR ID Number.
- b. Effectiveness Level.
- c. Process Name.
- d. Standard(s) Clause(s).
- e. Site.
- f. Auditor(s) Name.
- g. Issue Date.
- h. Audit Report Number.

2. Upload applicable audit records as an electronic file in pdf format (see 9101):

- Stage 1 Audit Report.
- Stage 2 Audit Report.
- Surveillance Audit Report.
- Recertification Audit Report.
- Special Audit Report.
- Nonconformity Report(s) (NCR), including corrective action responses.
- Process Effectiveness Assessment Report(s) (PEAR).
- **QMS Matrix Report.**

NOTE 1: The Objective Evidence Record (OER) should not be uploaded, but remains part of the audit file maintain at the Certification Body (CB) office.

NOTE 2: Training/guidance on data entry will be provided by the Sector Management Structure (SMS) upon accreditation of a CB.

NOTE 3: The data related to the certified organization [e.g., name, full address, contact person(s)] will be maintained in the OASIS database by the certified organization.

NOTE 4: 9101 in its entirety does not need to be uploaded into OASIS, only the sheets that are required to be uploaded.



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**APPENDIX B**

**9100/9110/9120:2009 Certified Organization Transition Matrix**

9100/9110/9120:2009 Certified Organization Transition Matrix

Date of Report:

Certification Body:  
 Representative:

Accreditation Body:  
 Representative:

Transition Status:

Organization's OASIS Identification Number (OIN)	Organization Name	Address	City	State	Country	Audit Type (re-cert vs Surveillance)	Transition Complete (Yes / No)	Scheduled Audit Start Date (dd/mm/yy)	Audit Completion Date (dd/mm/yy)	Certificate Issuance Date. Note: Transition must be complete by July 1, 2012. Client must be notified of consequences for failure to meet this target (e.g. Withdrawal)	OASIS Updated Yes/No	Comment
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