AAQG
AS 9014 System
Process
Flowcharts
AAQG AS9014 Overview of Requirements

Value Stream

Customer Requirements (IAQG/AIQG OEM) → Design & Development → Manufacture → Maintenance → Customer Satisfaction

Voluntary Certification/Registration

Harmonized Approach to the CRBs
AAQG AS9014 Overview of Requirements

Value Stream

Customer Requirements (IAQG OEM) → Design & Development → Manufacture → Maintenance → Customer Satisfaction

Controlled Use of Assessment Results
These requirements are applicable to IAQG Sector Schemes when making use of ABs, CRBs and their auditors, for the assessment and certification/registration of supplier quality systems in accordance with the requirements of AS9104.

The quality management system standard used by the CRB shall be 9100/9110/9120, as appropriate to the supplier’s activities.

It shall be applied to the supplier’s complete Quality System that covers aerospace products.

Sectors may use these requirements for other standards.

IAQG members have committed to recognize the equivalence of certification/registration of a supplier’s quality management system to either of the AS, EN or JISQ/SJAC standards.

NOTE: The requirements defined in AS9104 are Applicable to Accreditation Bodies (ABs), Certification/Registration Bodies (CRBs), and Original Equipment Manufacturers (OEMs), during audit and/or certification/registration to the applicable quality management system standard to meet industry accepted practices.

AS9014 provides the approval process for Auditor Authentication Bodies, Training Course providers, trainers and Auditors who meet the requirements of AIR5493 and outlines the Americas Sector specific process to implement AS9104. This document is created to be in conformance with AS9104.
The purpose of AS9104 is to give requirements on the process for providing aerospace companies and their suppliers with assessment and certification/registration of their quality systems, by accredited CRBs.
Assessments shall be based on the latest versions of the following quality systems standards and guidelines as appropriate, by accredited CRBs.

- AS/EN 9110 Quality Management Systems – Aerospace – Requirements for Maintenance Organizations
- NOTE: The above standards are referred throughout AS9104 as AQMS Standards.
## References – AS9014 – Clause 2

<table>
<thead>
<tr>
<th>Standards</th>
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<tr>
<td>AS/EN 9111</td>
<td>Quality Management System Assessment applicable to Maintenance Organizations.</td>
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<tr>
<td>AS/EN 9121</td>
<td>Quality System Assessment Applicable to Stockist Distributors.</td>
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<td><strong>NOTE:</strong> The above standards are referred to throughout AS9104 as the Aerospace Assessment Report and Questionnaires.</td>
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<td>AS/EN/SJAC 9102</td>
<td>Aerospace First Article Inspection Requirement.</td>
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<tr>
<td>AS/EN/SJAC 9103</td>
<td>Variation Management of Key Characteristics.</td>
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<tr>
<td>AIR5493</td>
<td>Requirements for Development, Implementation and Control of Aerospace Auditor Training.</td>
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References – AS9014 – Clause 2

- ISO 19011 Guidelines for Quality and/or Environmental Management Systems Auditing.
- ISO/IEC Guide 61 General Requirements for Assessment and accreditation of Certification/Registration Bodies. (Planned to be superseded by ISO17011 by January 1, 2006)

- ISO17011 Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies.
- FAA Order 8120.12 Production Approval Holder Use of Other-Parties to Supplement Their Supplier Control Program.

NOTE:
- ISO/IEC Guide 62 will be superseded by ISO 17021.
Definitions – AS9014 – Clause 3

3.1 Accreditation Body (AB):
- A body recognized by an IAQG sector that has the primary responsibility for the accreditation of CRBs to issue certifications/registrations to AQMS standards.

3.2 Aerospace:
- The business of design, manufacture, maintenance, distribution and support of aviation vehicles and engines, accessories and component parts, all ancillary and allied businesses including aerospace vehicle operations.

3.3 Aerospace Experience Auditor [1]:
- An auditor that has met the requirements set forth in 7.2, 7.3 or 7.4 of AS9104.

3.4 Aerospace Product:
- An aircraft, rotorcraft, guided weapon, launcher, spacecraft or other product designed to travel through the air, inside or outside the ground effect, or to travel outside the influence of the earth’s atmosphere or major components of these products such as engines or major sub-systems or parts, appliances, equipment and materials as contained in these.
Definitions – AS9014 – Clause 3

3.5 Auditor [2]:
- A person that has met the requirements set forth in 7.1 of AS9104. “Aerospace Experience Auditor” shall refer to an auditor that has met the requirements set forth in AS9104. Auditors conducting audits for OEMs in support of recognized shared audits at suppliers may be referred to as “Aerospace Experience Auditors” provided they meet the OEMs requirements that are to be equivalent to AS9104.

3.6 Certification/Registration Body (CRB):
- A party that audits and certifiesregisters the quality management system of organizations with respect to published quality management system standards and any supplementary documentation required under the system.

3.7 International Aerospace Quality Group (IAQG):
- A body of prime aerospace OEMs. This group is chartered to develop common requirements for use by the aerospace industry for quality improvement.

3.8 International Aerospace Quality Group (IAQG) Sector or Sector:
- A sub-structure of the IAQG, consisting of the members in a specific area, such as Americas, Europe and Asia/Pacific.

[1], [2] NOTE: Sectors may use other names for 'Auditor', 'Aerospace Auditor' and 'Aerospace Experienced Auditor' as long as the requirements of this documents are applied.
3.9 Nonconformity:

- The absence of, or the failure to implement and maintain, one or more quality management system requirements, or a situation that would, on the basis of available objective evidence, raise significant doubt as to the quality of what the organization is supplying.

- Major: The absence of, or total breakdown of a quality management system element specified in the AQMS standard or any non-conformities where the effect is judged to be detrimental to the integrity of the product, processes or service.

- Minor: A single system failure or lapse in conformance with a procedure relating to the AQMS standard.

- NOTE: A number of minor non-conformities against one requirement can represent a total breakdown of the system and this can be considered as a major nonconformity.

- Any finding (e.g., comments, observations) that equates to the above definition shall be documented as a nonconformity, categorized as major or minor, and dealt with in accordance with Clause 8.3.
4.1 The requirements stated in AS9104 shall be based on the latest versions of the documents listed in AS9104 Section 2.

4.2 Aerospace additional requirements are identified in the AQMS Standards as bold italic items. These elements are in addition to ISO 9001 elements and should also be applied in the organization’s quality system.

4.3 Data, in the form of checklists, approvals or other company specific information, generated in the application of this document shall be handled as “confidential, proprietary and sensitive” between the parties generating, collecting, or using the data. Companies using this data shall keep its usage confidential both internally and externally, unless otherwise agreed in writing by the consenting parties. Data resident at the ABs and CRBs on OEMs shall not be shared with OEM competitors. However, this data may be subject to audit or review at any time by applicable ABs, SMS, government or regulatory bodies and the IAQG Oversight Team (OT) (see AS9104 Section 14).
3.10 On Line Aerospace Supplier Information System (OASIS):

- The web-based IAQG database containing information on participating National Aerospace Industry Associations, ABs, accredited CRBs, authenticated Aerospace Experience Auditors, Certified Suppliers and Assessments.

3.11 Sector Management Structure (SMS):

- The organization established in a sector that manages the application of the sector scheme based on this document. Each sector may use a different name for this organization (e.g., Registrar Management Committee in the Americas and Asia/Pacific, Certification Body Management Committee in Europe within AECMA).
3.12 AMERICAS AEROSPACE QUALITY GROUP (AAQG):

- An SAE Aerospace Council committee (G-14) comprised of individuals from aerospace Original Equipment Manufacturers (OEMs). This group is chartered to develop common requirements for use by the aviation, space and defense industry for quality improvement.

3.13 ACCREDITED AUDIT/CERTIFICATE:

- An audit conducted in complete accordance with the requirements of this document. An audit performed by an Aerospace Experienced Auditor, working through a CRB, qualified for this sector by an AB, that has been recognized by the RMC of the AAQG or IAQG. A certificate is issued attesting to conformance to the applicable standard(s).

3.14 AEROSPACE QUALITY MANAGEMENT SYSTEM (AQMS) STANDARDS:

- Standards developed for and by the aviation, space and defense industry to define minimum quality system requirements for the aviation, space and defense industry supply chain. These standards are AS9100, AS9110, and AS9120.

3.15 AUDITOR:

- An "Auditor" shall refer to an auditor that has met the requirements set forth in AS9104. Auditors conducting audits for OEMs in support of recognized shared audits at suppliers may be referred to as "Aerospace Auditors" provided they meet the OEM’s requirements that are to be equivalent to AS9104.
3.16 AUTHORITIES/CIVIL AVIATION AUTHORITY (CAA):

- The national authority for aviation, defense and space regulations with jurisdiction within its country of origin.

3.17 REGISTRAR MANAGEMENT COMMITTEE (RMC):

- An industry group charged with the oversight and management of the registration/certification program and supporting processes, systems and documentation.
4.1 The requirements stated herein shall be based on the latest versions of the documents listed in AS9104 Section 2.

4.2 Aerospace additional requirements are identified in the AQMS Standards as bold italic items. These elements are in addition to ISO 9001 elements and should also be applied in the organization’s quality system.

Data, in the form of checklists, approvals or other company specific information, generated in the application of this document shall be handled as “confidential, proprietary and sensitive” between the parties generating, collecting, or using the data. Companies using this data shall keep its usage confidential both internally and externally, unless otherwise agreed in writing by the consenting parties. Data resident at the ABs and CRBs on OEMs shall not be shared with OEM competitors. However, this data may be subject to audit or review at any time by applicable ABs, SMS(s) (RMC), government or regulatory bodies and the IAQG Oversight Team (OT) (see Section 14).
Accreditation Body Process

AB Requests To Join Sector Program

AB Must Meet ISO/IEC Guide 61 and IAF Guidance (AS9014 Clause 5.1)

AB Must Be An Approved Signatory To IAF MLA (AS9014 Clause 5.1)

AB shall provide recommendation for recognition of the CRB by the RMC (AS9014 Clause 5.1.1)

ABs prepare a CRB Application form for applicable AQMS registration. Application shall provide AB with confidence that CRB has developed the necessary documented process to meet the requirements of AS9014. All CRB Application information must be approved by the AB and approval recognized by the RMC. (AS9014 Clause 5.1.2)

AB To Have Specific Procedures, Tools And Techniques For Granting, Maintaining, Suspending And Withdrawing Accreditation From CRBs For Each AQMS (AS9014 Clause 5.5)

AB To Have Or Use Qualified Aerospace Auditor(s) or Industry Experts (AS9014 Clause 5.4)

AB Advisory Group To Have Person(s) With Aerospace Background (AS9014 Clause 5.2)

ABs must afford AAQG member OEMs and applicable Authorities right of review of AB and CRB records and information related to their AQMS sector qualification program, including AB and CRB activities associated with AS9014 and recognition by the RMC. ABs shall ensure that this right of review is communicated to its AQMS sector qualified CRBs. (AS9014 Clause 5.7.1)

AB Must Meet Sector Requirements Including Right of Access For IAQG Validation (AS9014 Clause 5.7)

AB Shall Approve The Use Of Marks And Logos For Use On Certificates Of Approval (AS9014 Clause 5.1)

Sector Management Structure (SMS) Oversees AB CRB Application Process (AS9014 Clause 5.6)

AB Submitted For Approval By Sector OEM Members

Upon Approval The ABs Data Is Entered Into OASIS

Periodic Oversight By IAQG Members And Results Reported To SMS (AS9014 5.6)

AB Proceeds With Accreditation of CRBs

End of AB Approval Process

Note ISO/IEC Guide 61 is being replaced by ISO 17011

See AB Authentication and Oversight Process Flowchart

See CRB Process Flowchart

Americas Aerospace Quality Group
Certification/Registration Body Process

- **CRB Requires Accreditation To AQMS(s)**
- **The CRB Must Have Been Accredited for >1 Year Prior To Submitting an Application To Be Acceptable By The IAQG Sectors** (AS9014 Clause 6.1)
- **CRB Submits applicable AQMS and auditor applications to AB for review prior to RMC recognition** (AS9014 Clause 6.1.1)
- **The CRB Needs To Determine Which AQMS(s) They Are Competent To Apply For Under Scope Sector 21 (NACE DM 35.3)** (AS9014 Clause 6.2)
- **The Management Committee Or Advisory Group Of The CRB Must A Person(s) With Aerospace Background and Knowledge, Acc to IAF Scope Category 21 (aerospace)** (AS9014 Clause 6.3)
- **The CRB Certification Function Shall Have Person(s) With Aerospace Background And Knowledge Involved In Certification Decisions** (AS9014 Clause 6.4 a.)
- **CRB Shall Have Specific Procedures, Tools, And Techniques In QMS For Granting, Maintaining, Extending, Reducing, Suspending and Withdrawing Certification/Registration. AAQG reqs Sect. 8 & Appendix A.** (AS9014 Clause 6.4 e.)
- **Auditors Of The CRB Shall Meet The Requirements Of AS9014 Clauses 7 and 8.** (AS9014 Clause 6.4 d.)
- **CRB Agrees To Periodic Surveillance And Annual Witness Audits By ABs And IAQG Sectors With Results Reported To The Sector SMS(s)(RMC)** (AS9014 Clause 6.4 f.)
- **CRB Has To Agree To IAQG Member Company, AB, Regulatory Or Government Bodies 'Right Of Access' For Establishing They Have Used Correct Criteria And Methods** (AS9014 Clause 6.4 g.)
- **The CRB Shall Not Have Any Conflict Of Interest Relating To Consulting and Training Services. Advise AB, SMS(s)(RMC) if in doubt.** (AS9014 Clause 6.4 i.)
- **CRB Submits Application For Accreditation, Including Qualifications Of Auditors, To AB Process Under Sector Requirements**
- **AB Conducts Office And Witness Audits And Makes Recommendation For Accreditation To IAQG Sector SMS**
- **CRB Receives Sector SMS Approval And AB Accreditation For AS9100 And Applicable AQMS(s)**
- **AAQG member OEMs perform surveillance of CRBs systems with “right of access” and includes witnessing of CRB audits at suppliers.** (AS9014 Clause 6.6)
- **CRBs shall require suppliers to identify AAQG OEM customers and P of C for communication purposes.** (AS9014 Clause 6.7)

See CRB Authentication and Oversight Process Flowchart
Auditors Are To Be Trained And Approved For ISO 9001 Auditing Per ISO 19011

General Knowledge Of Aerospace Quality Management Systems Standards

Auditor Training In Industry Standards And Current Aerospace Industry Requirements (AS9014 Clause 6.4.b)

AEROSPACE EXPERIENCED AUDITOR (Includes AS9014 Clauses 7.2.1 / 7.3.2 / 7.4.2)

4 Years Of Aerospace Work Experience In The Last 10 Years (AS9014 Clauses 7.2.1 / 7.3.2 / 7.4.2)

OR

ALL AUDITORS & AEROSPACE EXPERIENCED AUDITOR

Industry Experience & Training On Aerospace Industry Requirements And 2 Witness Audits (AS9014 Clauses 7.2.3 / 7.3.3 / 7.4.3)

ALL

15 Hours Of Continuing Education For Auditors Within Every 3 Years & 4 Audits Within 3 Years (AS9014 Clause 7.5)
Requirements For Auditors

- Auditors Of AQMS Shall As A Minimum Continually Meet ISO 19011 Requirements For Education, Training, Work And Audit Experience (AS9014 Clause 7.1)
- Auditing Experience - Participated >4 Audits For >20 That Covers Complete ISO 9001 or AQMS standard(s) Within Last 3 Years. (AS9014 Clause 7.1 a.)
- Auditor Shall be trained In AQMS Standard Requirements Relevant To Audit Being Performed. CRB Can Perform Training Or Outsource It. (See AIR5493) (AS9014 Clause 7.1 b.)
- CRB Training Program Shall Be Reviewed And Approved By AB. (AS9014 Clause 7.1 b.)
- CRB Training Program Shall Be In Accordance With Sectorial Training Requirements. (AS9014 Clause 7.1 b.)
- Aerospace Experience Auditors (AEA) Shall Have 4 Years Aerospace Industry Experience Within Prior 10 Calendar Years And Meets Clause 7.1 Requirements. (AS9014 Clause 7.2)
- If <4 Years Aerospace Industry Experience In Last 10 (Or>6 Consecutive Years Since Last Industry Work Experience From Date Of Application) The Completion Of In-depth Aerospace Industry Competency Course Developed By CRB Or Independent Organization. Both Course And Training Organization Shall Be Approved By SMS(s)(RMC). The Course Shall Include, As A Minimum, The Following Topics: (See Next Box) (AS9014 Clause 7.2.2.1)
- Where An Auditor Holds Current Certification Under Existing Accredited Aerospace Auditor Procedure Acceptable To The SMS(s)(RMC) Not Based On Above Requirements (e.g. SBAC TS 157 Before January 2001) For The Initial 3 Years The Auditor Requirements Shall Be Satisfied Plus Addition Of Required AQMS Standard Training (AS9014 Clause 7.2.2)
- Work Experience: 4 Years Full Time In Aerospace Industry Directly Involved In Engineering, Design, Manufacturing, Quality Or Process Control For Major Airframe Manufacturer, Prime Supplier, Auxiliary Equipment Supplier And/Or Appropriate Official Civil, Military Or Space Organization, Such As National Aviation Authorities (NAA), European Space Agency (ESA)/NASA, Ministry Of Defence (MoD). Work Experience To Include Direct Involvement Or Knowledge Of Elements In Clause 7.2.2.1. (See AIR5493) (AS9014 Clause 7.2.1)

Aerospace Industry Perspective
- CAA Requirements
- Principles Of Military Aerospace Requirements And Regulations
- First Article Inspection (AS9102)
- Airworthiness And Safety Requirements
- Design, Development, Verification And Validation
- Aerospace Subcontractor Approval And Control Requirements
- Variation Management Of Key Characteristics (AS9103)
- Flow Down Of Quality Requirements
- Foreign Object Damage (FOD) Prevention Program Requirements
- Use Of Customer Supplied Products
- Calibration Controls and Positive Recall System
- Acceptance Authority Media
- Nonconforming Material, System Requirements and Operation
- Sampling Inspection Requirements and Limitations
- Special Processes
- Configuration Management/Requirements Control (AS9014 Clause 7.2.2.1)
Requirements For Auditors (2)

In Addition To 7.2.2.1, Auditor Shall Have Participated In At Least 2 Full AS9100 Aerospace Industry Audits Within The Past 3 Years And Have Been Witnessed By Currently Qualified AEA Or The AB, Who Themselves Have Not Become Qualified Via Training Per 7.2.2.1. Audits Shall Cover All Elements Of The Standard And Shall Have Been Conducted At Organizations That Are Predominately Aerospace Oriented, Auditor Shall Receive Positive And Documented Recommendation For Qualification On All Audits.

(A9014 Clause 7.2.2.2)

NOTE: Exceptions To Clause 7.2.2.2 Requirements Will Be Considered Providing Candidates Can Demonstrate Adequate And Relevant Aerospace Knowledge And Experience Per 7.2.1 and 7.2.2.1

(A9014 Clause 7.2.2.2)

AEA For AS9120 (Distributors/Stockists): AEA Shall Have 4 Years Aerospace Industry Experience Within Prior 10 Calendar Years, Meet The Requirements Of Clause 7.1 And The Following: (Two Boxes)

(A9014 Clause 7.3)

Training In AS9120 Requirements: This may Be Self-taught, But With Formal Test To Demonstrate Knowledge Of the Specification.

(A9014 Clause 7.3.1)

If <4 Years Aerospace Industry Experience In Last 10 (Or >6 Consecutive Years Since Last Industry Work Experience From Date Of Application) The Completion Of In-depth Aerospace Industry Competency Course Developed By CRB Or Independent Organization. Both Course And Training Organization Shall Be Approved By SMS(e)(RMC). The Course Shall Include, As A Minimum, The Following Topics: (See Next Box)

(A9014 Clause 7.3.2.1)

Work Experience: 4 Years Full Time In Aerospace Industry Directly Involved In Engineering, Design, Manufacturing, Quality Or Process Control For Major Airframe Manufacturer, Prime Supplier, Auxiliary Equipment Supplier And/Or Appropriate Official Civil, Military Or Space Organization, Such As National Aviation Authorities (NAA), European Space Agency (ESA)/NASA, Ministry Of Defence (MoD). Work Experience To Include Direct Involvement Or Knowledge Of Elements In Clause 7.3.2.1

(A9014 Clause 7.3.2)
Requirements For Auditors (3)

- Aerospace Industry Perspective
- CAA Requirements
- Principles Of Military Aerospace Requirements And Regulations
- First Article Inspection (AS9102)
- Airworthiness And Safety Requirements
- Design, Development, Verification And Validation
- Aerospace Material Traceability Requirements
- Aerospace Subcontractor Approval And Control Requirements
- Variation Management Of Key Characteristics (AS9103)
- Flow Down Of Quality Requirements
- FOD Prevention Program Requirements
- Use Of Customer Supplied Products
- Calibration Controls and Positive Recall System
- Acceptance Authority Media
- Nonconforming Material, System Requirements and Operation
- Sampling Inspection Requirements and Limitations
- Special Processes
  - JAR/FAR 145/136 (EASA IR M)
  - Tool Control
  - "Return To Service" Process
  - Flight Test
  - Functional Check Flight
  - Weight And Balance
  - Wing Walking Or Aircraft Marshalling Techniques
- Configuration Management Requirements Control
  - (AS9014 Clause 7.4.1.2)

1. In Addition To 7.3.2.1, Auditor Shall Have Participated In At Least 2 Full AS9100 Or AS9110 Aerospace Industry Audits Within The Past 3 Years And Have Been Witnessed By Currently Qualified AEA Or The AB, Who Themselves Have Not Become Qualified Via Training Per 7.3.2.1. Audits Shall Cover All Elements Of The Standard And Shall Have Been Conducted At Organizations That Are Predominantly Aerospace Oriented. Auditor Shall Receive Positive And Documented Recommendation For Qualification On All Audits.

   - (AS9014 Clause 7.3.2.2)

2. NOTE: Exceptions To Clause 7.2.2.2. Requirements Will Be Considered Providing Candidates Can Demonstrate Adequate And Relevant Aerospace Knowledge And Experience Per 7.3.2 and 7.3.21.

   - (AS9014 Clause 7.3.2.2)

3. AEA For AS9110 (Maintenance):
   - AEA Shall Have 4 Years Aerospace Industry Experience Within Prior 10 Calendar Years, Meet The Requirements Of Clause 7.1 And The Following: (Two Boxes).

   - (AS9014 Clause 7.4)

4. Training In AS9110 Requirements And Tested.

   - (AS9014 Clause 7.4.1)

5. Work Experience: 4 Years Full Time In Aerospace Industry Directly Involved In Engineering, Design, Manufacturing, Quality Or Process Control For Major Airframe Manufacturer, Prime Supplier, Auxiliary Equipment Supplier And/Or Appropriate Official Civil, Military Or Space Organization, Such As National Aviation Authorities (NAA), European Space Agency (ESA)/NASA, Ministry Of Defence (MoD). In Addition They Shall Had Specific Training In Repair/Overhaul Or Demonstrated 2 Years Full-time Experience In The Last 4 Years. Work Experience To Include Direct Involvement Or Knowledge Of Elements In Clause 7.4.1.2.

   - (AS9014 Clause 7.4.1.1)

6. If <4 Years Aerospace Industry Experience In Last 10 (Or >6 Consecutive Years Since Last Industry Work Experience From Date Of Application) The Completion Of In-depth Aerospace Industry Competency Course Developed By CRB Or Independent Organization. Both Course And Training Organization Shall Be Approved By SMSs(RMC). The Course Shall Include, As A Minimum, The Following Topics: (See Next Box)

   - (AS9014 Clause 7.4.1.2)

7. Or
In Addition To 7.4.2.1, Auditor Shall Have Participated In At Least 2 Full Aerospace Industry Audits Within The Past 3 Years And Have Been Witnessed By Currently Qualified AEA Or The AB, Who Themselves Have Not Become Qualified Via Training Per 7.4.2.1. Audits Shall Cover All Elements Of The Standard And Shall Have Been Conducted At Organizations That Are Predominately Aerospace Oriented. Auditor Shall Receive Positive And Documented Recommendation For Qualification On All Audits.

(A9014 Clause 7.4.1.3)

NOTE: Exceptions To These Requirements Will Be Considered Providing Candidates Can Demonstrate Adequate And Relevant Aerospace Knowledge And Experience Per 7.4.1.1 and 7.4.1.2.

(A9014 Clause 7.4.1.3)

To Maintain Qualification All Auditors And AEAs Shall Participate In At Least 4 Aerospace Audits In 3 Years And Participate In Continuing Education In Accordance With Sectorial Training Requirements That Requires Review Of The Changes To The Aerospace Industry Standards, Auditing Methods And ISO Requirements At A Minimum Of 15 Hours Total Within 3 Years.

(A9014 Clause 7.5)
Start Requirements For Aerospace Assessment Teams
(AS9014 Clause 8.1)

The Audit Team Leader:
Qualified Auditor Per ISO 19011 and CRB,s Accredited System, An AEA, Qualified & Authenticated For The Applicable AQMS Standard (AS9100, AS9110, AS9120).
(AS9014 Clause 8.1.1)

Audit Team May Include Other Auditors Per Clause 7.1 As Required.
(AS9014 Clause 8.1.2)

Assessment Team Needs:
- Members To Understand The Requirements Relating to System Being Assessed.
- General Understanding And Background In Each Technological And Industrial Sector It Operates In.
(AS9014 Clause 8.1.3)

Non-Auditor Experts:
- CRB May Attach To Assessment Teams.
- Where Used CRB System Shall Include Details For Selection and How Technical Knowledge Is Assured on A Continuing Basis.
- CRB May Rely on Outside Help (i.e. Industry or Professional Institutions).
(AS9014 Clause 8.1.3)

Knowledge of Audit Team - Certain Instances Such As Critical Requirements And Special Procedures May Require Background Knowledge To Be Supplemented By:
- Organization Briefing
- Specific Training, Or
- Experts In Attendance
(AS9014 Clause 8.1.3)

CRB and/or Assessment Team Leader Shall:
- Ensure All Team Members Are Aware Of Requirements of AS9104 Per The Scope Of The Assessment Activity.
- Provide Guidance To Assessment Team Throughout Assessment On Interpretation Of Aerospace Requirements Plus, When Requested, The Significance Of Any Issues Identified. (Any AEA Can Provide This Guidance)
(AS9014 Clause 8.1.4)

ABs, IAQG & AAQG OEM Members, Regulatory Agency or Customer Representatives or OEMs May Accompany Assessment Team As Observers Of Assessment process At Any Time.
(AS9014 Clause 8.1.5)

When Customer or Government Reps Participate In Audit The Team leader Has Option Of Including In The Assessment Report Any Findings Raised By The Reps.
(AS9014 Clause 8.1.5)

End Of Sub-Process
Requirements For Assessment And Reporting (2)

Start Duration of Assessment (AS9014 Clause 8.2)

CRB To Establish Requirements For Minimum Auditor-Person Days For Initial, Surveillance and Re-certification Assessments Appropriate To Size of Assessed Organization (AS9014 Clause 8.2.1)


Anticipated That Requirements Of AQMS Standards Shall Add On-Site Assessment Time Based On Organization’s Size and Commodity. Duration of Assessment To Be Agreed Between Organization and CRB. (AS9014 Clause 8.4)

Additionally On-site Assessment Time For Applicable AQMS Shall Be Per Adjacent Table and Dependent on Organization Size and Specific Scope of AQMS Assessed. Justifications for reductions/additions (AS9014 Clause 8.2.2)

Upgrading From ISO 9001:2000 Requires Full Assessment of AQMS Standard’s Requirements Using The Whole Questionnaire. (AS9014 Clause 8.2.4)

Where Multi-site Organizations Have Individual Sites Engage in a Subset of Overall Processes of Total Organization Then Assessment of Specific Site Can be Limited to Processes Performed at Each Site (AS9014 Clause 8.2.3)

Surveillance/Re-certification Assessment Shall Assure Each Site Under a Single Registration/Certificate is Assessed During The Period of Validity of Registration/Certification [AS9100, AS9110 & AS9120] (AS9014 Clause 8.2.3)


Assessment of Multiple Sites for a Single Registration/Certificate Shall be by Assessing Each Site to Complete and Applicable AQMS [AS9100 or AS9110] Requirements Prior to Certificate Issuance. (AS9014 Clause 8.2.3)

Existing and Valid AS9100 Registration/Certificate May be Extended For AQMS Standards AS9110 and AS9120 at Surveillance Assessments by Assessing Requirements not Covered by Existing AQMS Standard (AS9014 Clause 8.2.5)

End Of Sub-Process

Additional Auditor-days

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End Of Sub-Process

Total Number of Employees in the Organization

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<tr>
<th>Employees in the Organization</th>
<th>5-100</th>
<th>101-1000</th>
<th>Over 1000</th>
</tr>
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<td>+1.5</td>
<td>+2.0</td>
<td>+3.0</td>
</tr>
<tr>
<td>9100 Annual Surveillance</td>
<td>+1.0</td>
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<tr>
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<tr>
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<tr>
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<tr>
<td>9120 Annual Surveillance</td>
<td>+0.5</td>
<td>+0.5</td>
<td>+0.5</td>
</tr>
</tbody>
</table>
Requirements For Assessment And Reporting (3)

Start Audit Team Conclusions and Reporting (AS9014 Clause 8.4)

Audit Team shall record all nonconformities identified during audit to aerospace categories of “Major” or “Minor”. (AS9014 Clause 8.3)

The Audit Team Leader Presents Audit Report To Organization Based On Aerospace Assessment Report and Questionnaires As A Minimum. (AS9014 Clause 8.4)

State Conclusions on Conformity and Effectiveness of QMS To AQMS Standards Requirements. (AS9014 Clause 8.4)

AQMS Audits Shall Be Documented On Aerospace Assessment Report And Questionnaires Paper Or Electronic Versions. (AS9014 Clause 8.4)

For Surveillance, Audit Team Leader Advises If Any Nonconformities Jeopardize An Existing Certificate. (AS9014 Clause 8.4)

Data Entry Done By CRB, SMS(s) (RMC) In Accordance With Sector Or National Aerospace Industry Association Arrangements. (AS9014 Clause 8.4)

CRB Shall Submit Summary Results Of Audit To AQMS Standard(s) Into IAQG-OASIS Database Within 1 Month After Certificate Issue Date Or Surveillance Visit Date. Update audit scores in OASIS within 1 month from end of audit. (AS9014 Clause 8.4)

Failure to Agree Course of Action - Invoke CRB’s Appeals Process. (AS9014 Clause 8.4)

CRB to report Major NCR at initial AQMS audit that prevents registration/certification to affected AAQG OEM(s). (AS9014 Clause 8.4)

Where CRB Denies Or Suspends Certification/Registration They Agree Appropriate Course Of Action With Organization. (AS9014 Clause 8.4)

CRB Shall Provide Organization With Copies Of All Information On Audit Results (Checklists, Findings, Supporting Documents, Other Correspondence) For Sharing with Customers. (AS9014 Clause 8.4)

Information To Go IAQG-OASIS Database:
- CRB Name, Contact Person, Phone, Fax, E-mail Address
- Supplier Name, Address/ Locations Involved in Audit, Contact Person, Phone, Fax, E-mail Address
- Certificate(s) Issued, Including Issue And Expiry Date
- Scope Of Certification
- Type Of Audit Performed (Initial, Surveillance, or Re-certification)
- Audit Dates And Number Of Auditor Days
- Aerospace Experience Auditor(s) Involved
- Number Of Major/Minor NCRs (Per Clause Of The AQMS Standard)
- Scoring Results
- Audit Summary
- Date And Audit Summary (Surveillance And Re-Certification Audits)

NOTE: Training/Guidance On Data Entry Provided By SMS Upon CRB’s Accreditation (AS9014 Appendix A)

End Of Sub-Process
Registration/Issue of Certificates

Start Registration/Issue of Certificates (AS9104 Clause 8.6)

No certificates or approvals to AQMS Standards or any combination of these standards with ISO 9001 shall be issued/re-issued at recertification cycle unless:
- All Major and Minor nonconformities have been satisfactorily corrected
- Root cause analysis has been conducted
- Effective corrective action has been implemented
- CRB has verified bullets two and three above.
- Also applies to transfer of registration/certification between CRBs.
  (AS9014 Clause 8.3)

Certification/registration documentation shall meet ISO/IEC Guide 62 requirements.
  (AS9014 Clause 8.6)

In addition, certificates issued by an AQMS accredited CRB shall at a minimum contain statements that certify the following concepts:
- Conformity of the suppliers QMS to the requirements of ISO 9001:2001 and/or applicable specific AQMS 9100/9110/9120 version/revision used (e.g. AS9100 Rev B or prEN9110).
- Audit performed i.a.w. requirements of relevant SMS Aerospace Supplier Quality System Certification/Registration requirements, including reference to applicable SMS document AS9014 latest Rev and accredited under aerospace Registrar Management program.
- Effective date of certification / registration and term of validity with maximum period of 3 years.
- CRB is accredited under the control of the aerospace sector scheme.
- Certificates shall be specific in terms of scope of product.
  [* References to be appropriate to scope of certification / registration]

NOTE: Above statements are NOT pro-forma words. CRB shall establish own wording to certify above concepts. Separate certificates for ISO 9001 and relevant AQMS are permitted.
  (AS9014 Clause 8.6)

Certificate may show National Aerospace Industry Association or SMS logo. If logo used then certificate shall mention CRB is accredited and qualified under this scheme. AAQG conveys no marks/logos.
  (AS9014 Clause 8.6)

Letters of Conformance and unaccredited assessment statements shall be clearly distinguishable from accredited certificates. Unaccredited certificates shall not be issued.
  (AS9014 Clause 8.6)

Where CRB misuses a logo or AS9104 their accreditation may be suspended or revoked.
  (AS9014 Clause 8.6)

End Of Sub-Process
Start Surveillance and Re-certification Assessments (AS9014 Clause 8.5)

For accredited certificates CRB shall conduct surveillance and re-certification audits i.a.w AS9104, SMS(s) (RMC) requirements, ISO/IEC Guide 62 and IAF Guidance on the Application of ISO/IEC Guide 62. (AS9014 Clause 8.5)

Surveillance scoring:
- Only the audited areas of the AQMS shall be scored using the Aerospace Assessment Report and Questionnaires.
- Scoring for non-assessed areas of AQMS remain unchanged from previous audit.
- If no scoring performed on previous audit, then scores shall be calculated and assigned to non-assessed areas of AQMS based on previous audit report. (AS9014 Clause 8.5)

Results from all surveillance and re-certification audits shall be entered into the IAQG-OASIS database. (AS9014 Clause 8.5)

End Of Sub-Process
Start Loss of Certification / Registration (AS9014 Clause 8.7)

- Detected systemic findings by IAQG OEMs during their regular surveillance activities (e.g. process/product audits) could trigger additional surveillance activities by the CRB.
- The ultimate result could be loss of Registration/Certification by the supplier. (AS9014 Clause 8.7.1)

IAQG OEMs require suppliers to notify them when:
- They lose registration, OR
- Their CRB loses AQMS accreditation.
- AAQG OEMs require suppliers to notify them when accreditation is denied, suspended or withdrawn. (AS9014 Clause 8.7.2)

The affected AAQG OEM(s) shall be notified by the CRB when certification/registration is denied, suspended or withdrawn from a supplier. (AS9014 Clause 8.7.3)

CRBs shall update the IAQG-OASIS database when suppliers lose or lapse their AQMS certificates.
- OASIS shall be updated by the CRB or database administrator (See Clause 6.4 h.) (AS9014 Clause 8.7.2)

End Of Sub-Process
Authentication and Oversight of Accreditation Body Process

Start Authentication and Oversight of ABs Process

The SMS(s) (RMC) shall approve/determine which ABs may participate in selection of CRBs and auditors.

(AS9014 Clause 9.1)

SMS(s) (RMC) shall perform oversight of ABs participating in AQMS qualification of CRBs using the following criteria as a minimum:

✓ Annual review of AB oversight activity of CRBs participating in AQMS programs to evaluate effectiveness of process for recognition of CRBs. The review shall be i.a.w. AB’s procedures and RMC recognition.
✓ Annual onsite office audit of AB.
✓ Annual witness audit of at least one AQMS accreditation or surveillance audit of a CRB.

(AS9014 Clause 9.2)

Note: SMS(s) (RMC) may perform above witness audit with AB as part of the combined oversight visit mentioned in Clause 10.9 ‘NOTE’.

End of AB Authentication and Oversight Process

See CRB Authentication and Oversight Process Flowchart

End of AB Authentication and Oversight Process
Authentication and Oversight of Certification/Registration Bodies

Start Authentication and Oversight of Certification/Registration Bodies (AS9014 Clause 10.0)

- The AQMS Standard qualification of CRBs shall be granted and surveillance performed i.a.w AS9014. (AS9014 Clause 10.1)
- The SMS(s) (RMC) shall conduct an annual review to evaluate CRBs and the effectiveness of the process for approval of CRBs.
- The review shall be i.a.w AB procedures and have SMS(s) (RMC) approval. (AS9014 Clause 10.1)

NOTE:
- Member companies of IAQG sectors may choose to participate in a shared CRB oversight process.
- This process should be documented and managed by the respective SMS(s) (RMC). (AS9014 Clause 10.6)

All Oversight activities by AAQG Member OEMs on ABs & CRBs shall be used by the RMC in AB & CRB assessment. Issues from OEM oversight should be fed back to CRB for action. AAQG members may do oversight of CRB used by their suppliers and report results to RMC. (AS9014 Clause 10.3)

Member companies of IAQG sectors will perform oversight of CRBs used by their suppliers and report results to the SMS(s) (RMC), as necessary. (AS9014 Clause 10.3)

ABs shall conduct annual surveillance audits and one witness audit per year (minimum) of CRBs having AQMS Standards accreditation, per ABs operating procedures. (AS9014 Clause 10.2)

- CRBs can conduct audits in any country from the accredited office.
- The accredited office shall manage the audit and make the certification decision.
- When auditing in other countries, the audit team shall address any applicable local aerospace regulations.
- CRB activity permitted at any location contingent on local regulations/requirements.
- Audits shall be i.a.w approved office/program management requirements. (AS9014 Clause 10.1)

The SMS(s) (RMC) shall perform oversight on participating CRBs by:
- Annual onsite office assessment at each CRB.
- Witness at least one audit of an AQMS standard by the CRB at a supplier. (AS9014 Clause 10.6)

NOTE:
- SMS(s) (RMC) may choose to utilize the data generated by the shared CRB oversight process referenced in Section 10.6 to meet these requirements.
- It is recommended, whenever possible, that SMS(s) (RMC) combine this oversight with AB’s office and witness audits of CRBs defined in Clause 10.5. (AS9014 Clause 10.6)

- CRBs may lose AQMS Standard(s) accreditation based on performance, per ABs operating procedures.
- ABs shall immediately notify the SMS(s) (RMC) when CRB accreditation is suspended or withdrawn.
- SMS(s) (RMC) shall notify IAQG OEMs of this change.
- AB shall update OASIS to reflect any change in CRB accreditation status. (AS9014 Clause 10.5)

The CRB’s Audit Management Program shall be approved via AB oversight. (AS9014 Clause 10.1)

- IAQG sector schemes shall accredit management offices of CRBs (the office which manages the AQMS certification/registrations).
- The concept of “satellite offices” does not exist for AQMS standards.
- Only individual CRB locations are approved by the RMC. (AS9014 Clause 10.1)

End Of Sub-Process

Americas Aerospace Quality Group
Start Authentication and Oversight of Auditors Process

The SMS(s) (RMC) shall have a formal process for authentication and re-authentication of aerospace auditor’s qualifications and experience. (AS9014 Clause 11.1)

All authenticated aerospace experience auditors shall be registered in the IAQG database. (AS9014 Clause 11.1)

Authentication and re-authentication is valid for 3 years and is renewable based on proof of continuing education and performance of required assessments. Appropriate AB or AAB handles renewals. (AS9014 Clause 11.1)

AB or AAB shall individually approve auditor’s credentials and approval shall be recognized by RMC i.a.w Appendix D of AS9014. (AS9014 Clause 11.4)

Auditor authentication in any sector to the requirements of AS9104 shall be recognized in the other sectors (AS9014 Clause 11.3)

Aerospace Auditor qualifications to each of the AQMS standards (i.e. 9100; 9110; 9120) are separate. (AS9014 Clause 11.2)

Results from approvals shall be submitted by AB or AAB to RMC for recognition which will be maintained by AB/AAB in OASIS database (ref: AS9014 Appendix A) (AS9014 Clause 11.4)

End of Auditor Authentication and Oversight Process
Complaints Process

Start Complaints Process
Clause 10.4

Any complaints from either the audited organization or OEM regarding CRB’s performance shall be handled directly by complainant with that CRB.
(A9014 Clause 10.4)

CRB’s internal disputes/appeals/complaints process is to be used before other actions are taken.
(A9014 Clause 10.4)

If supplier/OEM cannot resolve issues with CRB then matter is referred to AB.
(A9014 Clause 10.4)

The SMS(s) (RMC) will investigate and could recommend:
- Loss of CRB’s accreditation, OR
- Loss of CRB’s AQMS qualification.
- Removal of an individual auditor’s approval.
- Removal of AB for failure to properly govern CRBs.
(A9014 Clause 10.4)

Any issues which cannot be resolved at the SMS(s) (RMC) level shall be elevated to the IAQG Oversight function i.a.w Clause 14.1.
(A9014 Clause 10.4)

End of Complaints Process
Records

Records
(AS9014 Clause 12)

Supporting Evidence of CRB's Qualification Held & Maintained At AB(s) Office For Minimum Period Of 6 Years.
(AS9014 Clause 12.1)

SMS(s) (RMC) Shall Have Access To Records Of Approval Of CRB Pertaining To Relevant AQMS Recognition.
(AS9014 Clause 12.1)

CRB Representatives To The SMS(s) (RMC) Shall Not Have Access To Records Of CRB Competitors.
(AS9014 Clause 12.1)

IAQG OT And Authorized Agents Shall Have Access To All Records And Data Relating To Aerospace Industry Scheme Including:

- IAF Peer Review Reports
- AB Reports Of CRBs
- Supplier Certification Reports
- In All Sectors For Confirming Conformance With AS9104 Across All Sectors
(AS9014 Clause 12.2)
Fee Requirements
(AS9014 Clause 13)

IAQG May Establish Fees For Registration of Audit Data In OASIS
(AS9014 Clause 13)

See Responsibilities

Sector May Establish Fees for Recognition And Approval Of CRBs And Auditors
(AS9014 Clause 13 a.)

Sector May Establish Fees for Certification/Registration Of Suppliers
(AS9014 Clause 13 b.)
Responsibilities

Start Responsibilities (AS9014 Clause 14.)

Procedure – Any issues related to implementation or use of AS9014 shall be referred to IAQG OT. (AS9014 Clause 14.1)

- Any issues regarding AS9014 that are not resolved by the IAQG OT shall be referred to the IAQG Council.
- The decision of the IAQG Council is final. (AS9014 Clause 14.1)

- Any issues related to implementation/use of AS9014 shall be referred to appropriate AB.
- Any issue regarding AS9014 not resolved by AB shall be referred to the RMC. (AS9014 Clause 14.1)

Responsibilities of the IAQG OT:

- Perform an annual operational review of each Sector scheme to verify implementation as documented and agreed upon by the other Sectors.
- Provide a mechanism for a periodic review of lessons learned by each sector and review any proposed changes to Sector schemes.
- Ensure IAQG OASIS database operates effectively and is accessible to IAQG members.
- Provide summary report to the full IAQG on the periodic reviews of each Sector scheme.
- Evaluate results of IAF Peer Reviews of ABs and participate in those reviews, as necessary.
- Monitor feedback from IAQG members, registrars and suppliers.
- Review the management of OASIS database. (AS9014 Clause 14.2)

Composition of the IAQG OT:

- Each IAQG Sector appoints 3 representatives with voting rights (that are part of the SMS) to meet at least annually with counterparts from other Sectors to accomplish objectives (See previous box).
- Their meeting can be coordinated with a regularly scheduled IAQG meeting.
- Meetings will be open for general topics and closed for oversight activities or other industry specific topics.
- Representatives from IAF and regulatory authorities may participate in these meetings as observers. (AS9014 Clause 14.3)

IAQG Oversight Activities: IAQG shall perform reviews as indicated in AS9014, Appendix B. (AS9014 Clause 14.4)

End Of Sub-Process
Sector Management Structure (SMS)

- **Responsibilities of the SMS(s) (RMC)**
  - The SMS(s) (RMC) is responsible for:
    - Management
    - Review
    - Approval
    - Implementation, and
    - Modification of their sectorial procedure(s).
  - (AS9014 Clause 15.1)

- **Reporting of Essential Data**
  - Each SMS (RMC) shall report essential data that describes deployment activities to the IAQG OT.
  - Essential data includes information on:
    - The auditor population (approvals, disapprovals, Number of Aerospace Experience Auditors)
    - The CRB population (approvals, disapprovals)
    - Auditor training and authentication organizations
    - Number of AQMS Standards certifications issued, and
    - IAQG OEM oversight activity.
  - AB, CRB, auditor approval documents and audit reports by CRBs of suppliers, and by ABs of CRBs may be audited by the IAQG OT.
  - (AS9014 Clause 15.3)

- **RMC is governing body by which the requirements for and recognition of ABs, CRBs, AABs, TCPs Trainers and Auditors for AQMSs are determined.**
  - (AS9014 Clause 15.1)

- **Composition of SMS**
  - The composition of each SMS is based on the local situation of each Sector and can be comprised of representatives from:
    - ABs
    - CRBs
    - Suppliers
    - Regulatory authorities
    - Sector group i.e. Americas Aerospace Quality Group (AAQG); Asia Pacific Aerospace Quality Group (APAQG); European Aerospace Quality Group (EAQQ); AECMA
  - (AS9014 Clause 15.2)

- **Sector Resolutions**
  - Each Sector may define a process for, and issue resolutions (i.e. a change or an interpretation to their scheme). However, they shall ensure to get concurrence from the other Sectors IAQG OT representatives before issuance.
  - (AS9014 Clause 15.4)

- **SMS(s) Authority**
  - The SMS(s) (RMC) has the authority for suspending a national scheme (ABs and CRBs in case of lack of evidence on compliance to or serious breach of the requirements of AS9104).
  - The actions and resolutions associated to a national scheme suspension will be established by the involved SMS(s) (RMC) and communicated through the IAQG - OT to the other Sectors.
  - (AS9014 Clause 15.5)

End Of Sub-Process
Requirements for OEMs

Start Requirements for OEMs (AS9014 Clause 17.)

OEMs shall ensure any PO with a registered supplier specifies compliance with requirements of applicable AQMS using a CRB accredited to AS9014. (AS9014 Clause 17.1)

- When OEM proposes to obtain use CRBs as part of its QS OEM shall ensure/show cognizant regulatory authority that use of CRB's standards will continue to produce conforming parts to approved design.
- OEM shall show that CRB's standards meet or exceed applicable regulatory requirements. (AS9014 Clause 17.2)

Registration of a OEM by CRBs will not be a substitute for, or relieve the OEM of regulatory authority oversight. (AS9014 Clause 17.2)

Use of contracted supplier surveillance and audits and registered suppliers does not exempt OEM from its regulatory design and quality control responsibilities.

- These responsibilities cannot be delegated by contractual commitments or any other means.
- OEM remains responsible for:
  - initial approval;
  - ongoing supplier control;
  - oversight of all supplier surveillance and audits;
  - corrective action and follow-up, and
  - appeals process activity conducted at any supplier facilities. (AS9014 Clause 17.3)

OEMs shall submit surveillance and/or registration procedures, or changes thereto, to the cognizant regulatory authority for review prior to implementation, when required.

- This will help ensure that the procedures are consistently applied.
- OEM shall also revie these procedures periodically and revise them as required to ensure they are current, operational and continue to meet regulatory requirements. (AS9014 Clause 17.4)

End Of Sub-Process
Requirements for Shared Audits by OEMS

Start Requirements for Shared Audits by OEMS (AS9014 Clause 18.)

OEMs may use the requirements of AS9014 as a means to share audits within the industry providing AS9014 Clauses 7 and 8 are incorporated into the OEM’s operating procedures. (AS9014 Clause 18.1)

The appropriate standards checklists are to be used and reported in accordance with AS9014. (AS9014 Clause 18.1)

Auditor credentials shall be made available to companies upon request. (AS9014 Clause 18.2)

Reporting results to SAE is not mandatory (AS9014 Appendix A) but all documentation shall be left with the organization and the organization can determine making it available to other customers (AS9014 Appendix E). (AS9014 Clause 18.1)

Reporting shall be in accordance with AS9014, Appendix E, and be made available with the audit checklist. (AS9014 Clause 18.2)

End Of Sub-Process
IAQG Oversight Team (OT) Activities

Oversight Team (OT) Meetings
During meetings the oversight function shall review the following topics, as appropriate:
- Reports from each of the sector schemes.
- IAF Peer Reviews.
- Appeals.
- Changes to this document and sector scheme documents.
- ‘Resolutions’ made by individual sector schemes.
- Lessons learned.
- Feedback from Members, Registrars, Suppliers.
- Database performance review (see Section B.3).
  (AS9014 Appendix B.1)

Oversight Team (OT) Annual Review of a Sector Scheme
The annual oversight of each scheme format will involve a presentation by the SMS to the OT that demonstrates the compliance of the national scheme to the requirements of this document, including review of:
- Controlling procedures.
- Minutes of SMS meetings.
- Reports of CRB accreditation.
- Certification/Registration Reports from CRBs.
- Auditor authentication records.
- Training body approvals.
- Any feedback from IAQG Members, Registrars and Suppliers as to the kind of job that is being done.
- IAF Peer Reviews (oversight) of IAF AB signatories.

An Oversight report shall be prepared. In addition, separate minutes containing lessons learned from other SMS’s shall be produced.
  (AS9014 Appendix B.2)

Review of OASIS Database Operations
The review of database operations shall consider:
- Reviewing reports from database administrator relating to rejections of any input data.
- Checking that each SMS has a process of assuring the accuracy of data being generated and maintained in their sector.
- Each sector should look at its own data.
- Sampling of data is permitted.
- Effectiveness and accessibility of the database through feedback monitoring from IAQG Members, ABs, Registrars and Suppliers.
  (AS9014 Appendix B.3)

Actions in the Event of Serious Problems
If serious problems are discovered in the operation of a CRB or AB the OT shall make arrangements for an audit or other actions necessary to address the problem.
  (AS9014 Appendix B.4)

NOTE:
- Each SMS has the responsibility to manage/resolve these kinds of issues within their sector.
- Only unresolved issues are escalated to the IAQG OT.

End Of AS9104 Process