

# Standard Issues

## AS9100 SERIES OF STANDARDS

# Progressing To Plan

**Aviation, space and defense organizations are on target to meet the AS9100:2016 transition deadline**

by L.L. “Buddy” Cressionnie

**The transition to the AS9100:2016 series of quality management system standards for aviation, space and defense** (ASD) organizations is proceeding according to the plan set out in International Aerospace Quality Group (IAQG) supplemental rule (SR) 003, which was approved Oct. 12, 2016.

Because transitioning a global standard is complex, SR003—which can be found on the Online Aerospace Supplier Information System (OASIS) Next Gen website<sup>1</sup>—outlines the transition plan and requirements for the following certification stakeholders:

- + Sector management structures.
- + Other-party assessors.
- + Accreditation bodies.
- + Auditor authentication bodies.
- + Training provider approval bodies.
- + Training providers.
- + Certification bodies.
- + Authenticated aerospace auditors.
- + Organizations seeking AS9100:2016-series certification.

Of these certification stakeholders, all have completed their transition tasks—except for two groups:

authenticated aerospace auditors and organizations seeking certification. These groups have until Sept. 15 to complete their transition tasks and are on target to do so.

**Authenticated aerospace auditor transition.** To continue performing audits, aerospace auditors must successfully complete AS9100:2016-series transition training. As of November 2017, about 90% of existing AS9100 auditors had successfully passed the AS9100:2016 transition training.

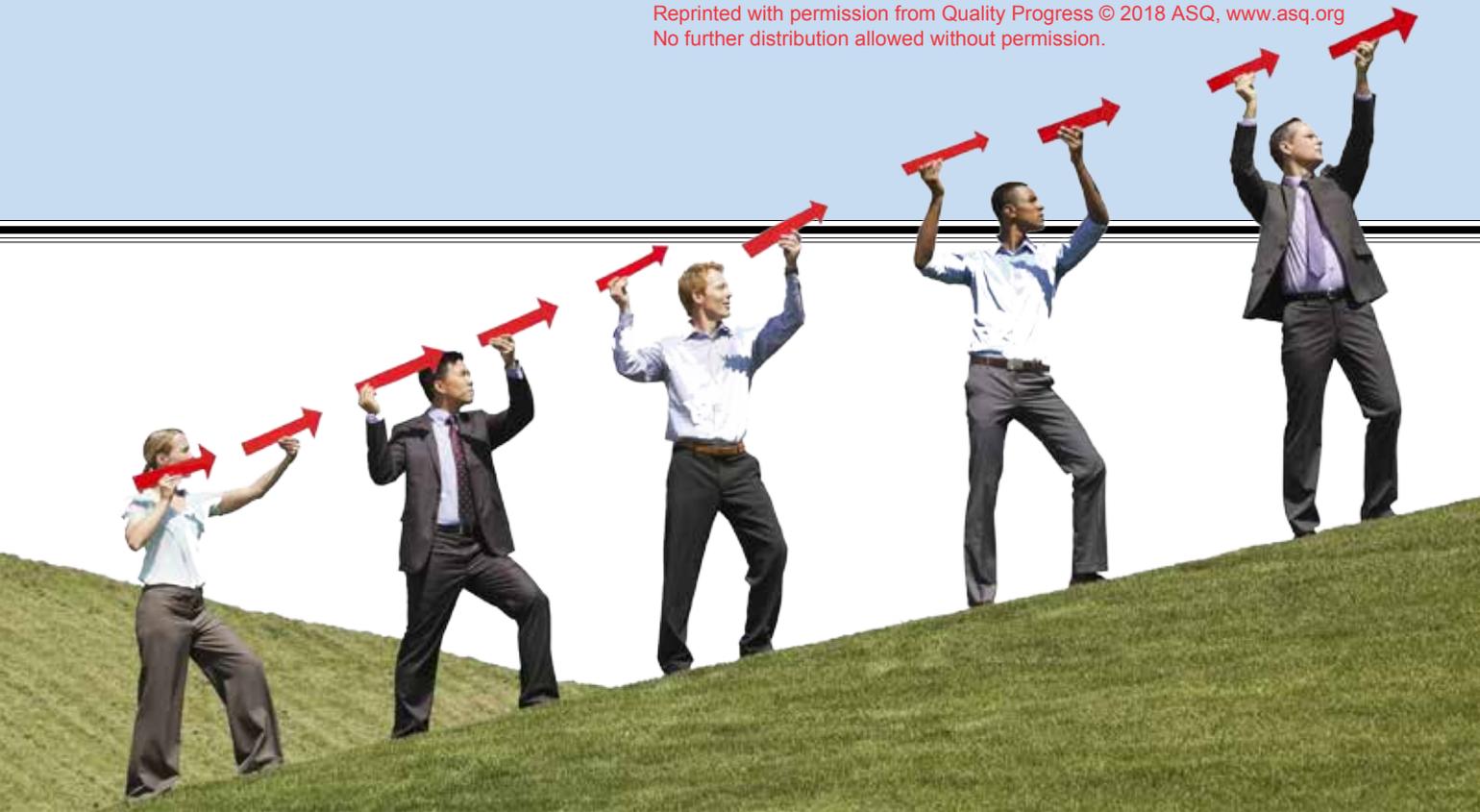
The recertification rates for AS9110 and AS9120 auditors lag behind the AS9100 rate, but the number of transitioned auditors is increasing daily, and no quantified resource problems have been reported by certification bodies.

**Organizations seeking AS9100:2016-series certification transition.** SR003 requires that, starting June 15, 2017, all industry-controlled, other-party AS9100-series audits—including initial, surveillance and recertification audits—must be conducted based on the 2016 version of the standards. This date was established to ensure all certified organizations transition to the new AS9100 series of standards by the Sept. 15 deadline.

The AS9100:2016-series transition timeline is aligned with the ISO 9001:2015 mandated transition schedule, which means organizations with multiple certifications require only one transition audit. After Sept. 15, all AS9100 series certifications issued to previous versions of the standard (AS9100:2009, for example) will expire.

As of mid-December 2017, more than 20% of certified organizations had successfully transitioned to the AS9100:2016 series of standards. Each month, about 1,200 certified organizations (1,500 sites) transition to the new series of standards, which matches the transition rate from the 2009 transition.

Transitioning to the 2016 revision requires a certification decision,



which mandates a transition audit with additional audit days. This requirement includes the implementation and closure of any issued non-conformances, certification body verification, and technical review of all associated documentation and audit reports to make a certification decision.

## What's changed?

The new AS9100 series of standards introduces many new requirements to ASD quality management systems (QMS), some of which were covered in the September 2017 Standard Issues column,<sup>2</sup> including:

- + Additional focus on escape prevention.
- + Risk-based thinking versus risk management understanding.
- + Product safety applicability.
- + "Counterfeit part" requirements applying to all parts.
- + Testing raw materials, which is back from revision B.
- + Human factors and human error considered only "as applicable."

There are four additional new requirements covering external provider controls and information:

**1. Direct and sub-tier external provider controls.** Organizations are required to assess the process, product and service risks of their direct and sub-tier external providers to determine whether additional controls are necessary.

Additional controls include customer flow-down requirements to all levels of the supply chain. This technique is common in large original equipment manufacturers' purchase order requirements.

Another control is an assessment of risk and flow down to higher risk external providers. External providers that produce critical items, for example, would receive the additional controls.

**2. External provider conformity and on-time delivery review.** Due to the problems caused by an external provider's late delivery of products and services, the new AS9100 series of standards elevates the importance of

on-time delivery performance.

It is increasingly difficult for organizations to deliver products and services that are conforming and on time if their external providers don't perform. Organizations are expected to work with their external providers to establish realistic delivery dates and to monitor performance against these dates.

External provider performance is a required management review input to evaluate the effectiveness of an organization's QMS. The organization is required to periodically review its external providers' performance, including the providers' process, product and service conformity, and on-time delivery performance. The organization must define actions to be taken when its external providers do not meet requirements.

**3. External provider test report evaluation.** If an organization mandates test reports to verify externally provided products, the new AS9100 series of standards requires an organization to

evaluate the information in those reports to confirm the product meets requirements.

**4. External provider awareness expectations.** The new AS9100 series of standards requires external providers to be aware of their contribution to product or service conformity and product safety, and the importance of ethical behavior. These same requirements exist for organizations in clause 7.3.

This requirement ensures external provider personnel understand their role in conformity, product safety and ethical behavior as part of meeting product or service requirements. Organizations not only must communicate or flow down the requirement, but they also must ensure the information is appropriately understood to maintain a level of cultural awareness throughout the entire supply chain.

## OASIS transition

In conjunction with the AS9100:2016-series transition, the OASIS database also is being updated. The new enhancements, called OASIS Next Gen, were developed to support the entry of AS9100:2016-series audits into the

### Read next month's column—this month

Next month's Standard Issues column covers the new version of *ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories*, which was recently published. This month, you can get an early look at the March column by visiting [www.qualityprogress.com](http://www.qualityprogress.com).

database that includes the new clause structure.

The implementation is a significant change because it shifts from reporting audits after completion to live capture of audit results as an audit progresses. This transforms OASIS from being a records database to a real-time audit activity management tool.

## Transition guidance

The IAQG has published a significant amount of deployment support material to help certified organizations transition to the AS9100:2016 series of standards.<sup>3</sup> This information includes presentations, taped webinars, correlation matrixes, frequently asked questions, a gap assessment worksheet, guidance materials and links to ISO 9001:2015 support materials.<sup>4</sup>

A survey was conducted in the summer of 2017 to determine the awareness and benefit of the deployment support material located on the IAQG website. The survey included 3,202 responses, with most responses coming from small and medium-sized organizations.

IAQG reported improved results from a similar survey conducted in 2013, including a significant increase in organizations using deployment support material (52.9% to 74.5%) and an increase in organizations finding deployment support material helpful (90% to 96%).

The new AS9100 series of standards provides organizations an opportunity to examine their QMSs as they address the new requirements while ensuring their systems' effectiveness in achieving planned results and improved levels of customer satisfaction.

IAQG wishes you success in your implementation and is a resource for any questions regarding the AS9100 series of standards. **QP**

## REFERENCES

1. "International Aerospace Quality Group (IAQG) Other Party Management Team (OPMT) Supplemental Rule 003—Rules for 9100/9110/9120:2016 and 9101:2016 Transition," IAQG, <https://tinyurl.com/yae3sp5z>.
2. L.L. "Buddy" Cressionnie, "In Transition," *Quality Progress*, September 2017, pp. 54-57.
3. IAQG, *IAQG 9100—Quality management systems—Requirements for aviation, space and defense organizations*, <https://tinyurl.com/jh4lpzr>.
4. IAQG, *IAQG 9100—Quality management systems—Requirements for aviation, space and defense organizations—Requirements, Oversight of Certification Scheme*, <https://tinyurl.com/jkstxt6>.



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