

STATUS OF REVISIONS		
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1. SCOPE AND FIELD OF APPLICATION

This document governs the relationship between UNAVIAcert and an Organisation that makes use of the work performed by UNAVIAcert as Certification Body of Quality Management Systems for Aerospace and Defence.

Thus it defines the conditions for the issue, maintenance, suspension and withdrawn of the certification within the scheme of certification relating to EN 9100/9110/9120 Standards.

The requirements expressed in this document are an integral part of the Regulation for certification of the Management Systems *RG 01* and of the economic offer. These requirements:

- only refer to aspects specifically connected to the scope of application of the required certification;
- supplement those reported in the document RG 01 (for anything not mentioned in this document, refer to the RG 01 of which this document is a supplementary annex); with regards to any requirements in contrast with those reported in RG 01, the requirements in the document shall apply.

2. REQUIREMENTS WITH RESPECT TO WHICH ASSESSMENT IS REQUIRED

UNI EN 9100:2009 Quality Management Systems - Requirements for Aeronautic, space, and defence Organisations (based on ISO 9001:2008).

UNI EN 9110:2010 Aerospace series - Quality management systems - Requirements for Aviation Maintenance Organization

UNI EN 9120:2010 Aerospace series - Quality management systems - Requirements for Aviation, Space and Defence Distributors

EN 9104-001:2013 Aerospace series Quality management systems PART 001: Requirements for Aviation, Space, and Defence Quality Management System Certification Programs.

3. DEFINITIONS

Without prejudice to the validity of the classification of the findings reported in RG 01, for the specific aerospace scheme the following definitions apply:

Containment of the non-conformity

It is the action which has the aim to control and mitigate the impact of non-conformities (stop the problem before it gets worse) and protect the assets of the customer Organisation. The containment of non-conformities includes: its correction, immediate corrective action, immediate reporting and assessment that the non-conformity does not degenerate further.

Major non-conformity

Non-fulfilment of a requirement that is likely to cause a breakdown of the quality management system (QMS) or reduce its ability to ensure the effective management of the processes or the conformity of products; may constitute one or more of the following situations:

- ◆ a non-conformity whose effect is considered detrimental to the integrity of the product or service provided;
- ◆ the absence or the total deviation of the system from the 9100 series standard requirement or of the Organisation, or the customer;
- ◆ each non-conformity that has the likelihood of causing the shipment to the customer of a non-conforming product;
- ◆ each non-conformity that could result in the impossibility, or even reduce the possibility of product

or service use, for its intended use.

Minor non-conformity

Non-fulfilment of a requirement that has no significant likelihood of causing a breakage of the quality management system (QMS) or reduce its ability to ensure the effective management of the processes or the conformity of products; may constitute one or more of the following situations:

- ♦ an isolated violation or deviation of the conformity to a requirement of the system of the 9100 series of standards, or the customer, and/or
- ♦ an isolated violation or deviation of the conformity with each requirement provided by a procedure of the Organisation's quality management system.

A certain number of minor non-conformities, compared to the same requirement, can represent a total collapse of the management system, and the occurrence of such can be considered a major non-conformity.

OASIS (On line Aerospace Supplier Information System)

database on the IAQG website for the management and exchange of information by the IACQ member organisations, of the national associations of aerospace manufacturers (in Italy: AIAD), national accreditation bodies (in Italy: ACCREDIA), and accredited certification bodies (CB – Certification Body).

IAQG (International Aerospace Quality Group)

is a group made up by representatives of industries and other organisations in the aerospace and defence sector for America, Asia and Pacific, and Europe, with the scope of developing initiatives to obtain significant quality improvements and cost reduction along the entire value chain of the industrial chain operating in said sector.

SAE: Society of Automotive Engineer, owner of the OASIS database

AIAD. Industries Association for Aerospace, Systems and Defence

CBMC (Certification Body Management Committee)

is the Italian committee created by AIAD to manage the aerospace certification scheme application in view of the EN 9100/9110/9120 standards. Created as an emanation of the AIAD Quality Committee, it was established on 23 January 2003 in collaboration with SINCERT (now ACCREDIA) with which a Memorandum of Understanding was signed to authenticate and supervise the Certification Bodies participating in the scheme.

4. DESCRIPTION OF THE SERVICE

4.1 Initial Certification Audit

Stage 1

Stage 1 of the initial assessment must always be performed at the Organisation that requested certification.

The Organisation shall make all information and documentation necessary for the review of its System available to LA, including the list of the main Aerospace and Defence customers (and those operating in other activity sectors but requesting conformity to the 9100 series schemes).

In addition to that specified in the RG 01, the stage 1 audit is to assess/identify:

- the procedures for checking the production process (for example: approval for production, checking of production planning requirements for First Article Inspection, as required by the contract);

- product prevention and preservation programs (for example: from intrusion/damage from foreign objects - FOD)
- special requirements for workplaces (e.g.: shielding from electromagnetic interference; temperature/humidity/pollution controlled rooms - clean rooms, measuring rooms, etc.);
- status of specific approvals, restrictions, suspensions and/or revocations issued by the customer, including any authorities delegated to the resolution of the non-conformity and/or authorisations for the direct shipment of the product to the users;
- restrictions on the import or export of products/information and related controls/authorisations from the authorities (e.g.: government regulations for traffic/export of weapons or dangerous materials).

In addition, criteria and methods undertaken by the Organisation are to be evaluated for keeping subcontracting activities under control in order to establish consistency with the responsibility of the Organisation in terms of mandatory aspects (e.g. airworthiness, etc.) of the product supplied.

Stage 2

Checks on stage 1 and stage 2 cannot be performed consecutively (the time that must normally elapse between the two stages ranges to a maximum of six months).

For any reported non-conformities the regulations listed in par. 4.4 shall apply.

As a result of the initial certification audit, within 30 days from the date the certificate is granted, the information relating to the audit performed contained in the OASIS database is updated.

Issue of certification

The certification referring to aerospace industry standards cannot be issued until all non-conformities (major and minor) have been positively corrected, through analysis of the causes and checks by UNAVIAcert of the effectiveness of the corrective actions.

The issue of the certificate of conformity is subject to registration on the IAQG OASIS database by the Organisation, as a result of the features of the scheme, through the appointment of a representative to be authorised to access in their capacity as “*supplier administrator*” on the IAQG OASIS website and, after the resolution of the certification, for the inclusion and maintenance of the certification status of the Organisation in the aforementioned database.

Certification in respect to the EN 9100/9110/9120 standards automatically includes the certification UNI EN ISO 9001 standard in reference to the determined scope of application.

UNAVIAcert may issue a single certificate that shows conformity with aerospace standards and UNI EN ISO 9001 standard, or two separate certificates. If it is necessary for two separate certificates to be issued, one for the EN 9100 series standard and the other for the ISO 9001 standard, it can be done on the condition that the two certificates are interconnected. In cases where the purposes of certification do not coincide, the single certificate shall report the part common to the scope of application for the two standards.

4.2 Surveillance Audits

For any reported non-conformities the regulations listed in par. 4.4 shall apply.

Information relative to the surveillance audit operations is included in the OASIS database within 90 days of the conclusion of the on-site audit.

4.3 Renewal Audit

For any reported non-conformities the regulations listed in par. 4.4 shall apply.

Information relative to renewal audit operations is included in the OASIS database within 30 days from the date of renewal of the certification.

4.4 Non-conformity management

For any reported non-conformities:

- a) If the nature of the non-conformity requires an immediate containment action, the Organisation must establish and formalise said action within 7 calendar days from the date of audit conclusion. The immediate containment action shall be evaluated by the UNAVIAcert Audit Team Leader within 14 calendar days after the end of the audit;

NOTE *"the containment action, where applicable, must include immediate notification to the customer of the detected or suspected defects on the shipped product"*

- b) The customer must establish, formalise and submit the analysis of the causes that have generated the non-conformity, the correction and corrective actions to UNAVIAcert, within 14 calendar days from the end of the audit.
- c) Once UNAVIAcert has analysed the audit report to confirm or not its contents and the corrective action plan received from the Organisation, it shall notify the customer within 30 calendar days from the completion of the audit, of the subsequent actions in relation to the closure verification of the non-conformity: audit at the customer Organisation and/or check through documentary evidence;
- d) UNAVIAcert must ensure reinstatement of the conformity to the requirements of the standard within 60 calendar days from the audit's conclusion, failed reinstatement within said period shall mean that UNAVIAcert triggers the process of certification suspension for already certified Organisations (ref. par. 5) .

5. SUSPENSION, WITHDRAWN OR REDUCTION OF CERTIFICATION

In addition to the cases already specified in RG 01, certification can be suspended or withdrawn in the following cases:

1. the Organisation does not allow UNAVIAcert to check the closure of the non-conformity detected within 60 days of issuing the non-conformity report;
2. the Organisation does not properly manage the aspects related to the appointment and update of its administrator for the OASIS database. In this case UNAVIAcert may suspend the certificate issued or delay renewal;

In the event that certification is suspended, a corrective action plan must be prepared and shared between UNAVIAcert and the Organisation. If the plan is not shared the Organisation may appeal, starting the relative process as described in RG 01.

The organisation must inform its aerospace and defence customers of the suspension of the certification.

In the event of suspension or revocation of certification, UNAVIAcert shall promptly inform AIAD/CBMC with an *alert note* and update the OASIS database within 14 calendar days from the date of suspension or withdrawn of the certificate.

6. USE OF THE TRADEMARK AND CERTIFICATE OF CONFORMITY

The same provisions provided in the RG 01 document shall apply, with the following additional considerations:

- The UNAVIAcert Trademark can be used together with the ACCREDIA and/or AIAD one provided that it is reproduced in the shape, size and colour as described in Figure 1; the use of ACCREDIA and/or AIAD-SCSA trademarks should not be disassociated from the use of the UNAVIAcert trademark;

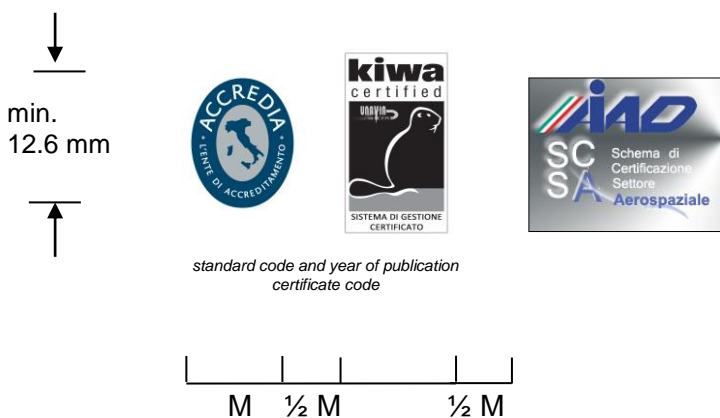
- The dimensions of the ACCREDIA and/or AIAD trademarks must not exceed those of the UNAVIAcert logo.
- the UNAVIAcert certification trademark must be used together with the EN 9100/9110/9120 reference standard, with the correct review year;
- The Organisation may use the UNAVIAcert trademark with simultaneous reference also to UNI EN ISO 9001.
- to advertise the certification, the Organisation may use the wording “Organisation with Management System Certified by UNAVIAcert in accordance with the UNI EN 9100:2009 standard” (or 9110 or 9120), provided that it ensures compliance with the limits set out in this regulation and in the RG 01 regulation, and undertakes to provide any information which may lead to confusion or misunderstanding on the part of its customers and end users.

Organisations holding certification with reference to aerospace standards may also use the AIAD logo, on their headed paper, on invoices and any *brochures*, with the following specifications:

- ◆ the minimum dimensions shall be sufficient to ensure the wording in the logo itself remains legible
- ◆ the maximum dimensions are not subject to limits
- ◆ the original colours of the logo must be complied with.

The AIAD logo is copyrighted and may not be used except to indicate that the Organisation is in possession of the certification according to the applicable aerospace Standard.

Fig. 1



Compositional aspects of the UNAVIAcert trademark see RG 01
Compositional aspects of the ACCREDIA trademark see RG 01 and RG 09

Compositional aspects of the AIAD-SCSA logo

- MINIMUM DIMENSIONS: SUFFICIENT TO ENSURE THE WORDING IN THE LOGO REMAINS LEGIBLE
- MAXIMUM DIMENSIONS: NOT PROVIDED
- COLOURS: ONLY THE ORIGINAL ONES

Note:

The Identification code of the standard shall be the one on the certificate.

7. ORGANISATION COMMITMENTS

In addition to what is specified in the RG 01 regulation, the Organisation undertakes to:

1. promptly notify UNAVIAcert, before the audit activities, of the presence of any areas subject to confidentiality restrictions, which for this reason cannot be audited;
2. accept the presence of representatives of the competent Authorities and/or the customer and/or the AECMA (European Association of Aerospace Industries)/AIAD that may accompany the assessment team as observers of the assessment process at any time. When the customer or the representative of the Authorities is involved in the assessment, the Evaluation Group Manager has the power to include any findings made by these representatives in his/her report;
3. to promptly advise UNAVIAcert regarding complaints, disputes and complaints received by the aerospace manufacturers, regarding the quality of supplies and/or products, output of the Organisations themselves. Likewise, UNAVIAcert shall send to the Italian Accreditation Body (ACCREDIA) a concise statement relating to these complaints and actions taken to monitor the management thereof, by certified Organisations. Likewise ACCREDIA will inform the CBMC of the AIAD of these events and their management, in order to allow monitoring;
4. keep the mandatory requirements for law and regulations under control (including the constraints inherent in the continuing airworthiness when applicable), as part of the requirements for compliance with the aerospace design, implementation, maintenance and storage requirements provided by the EN 9100, 9110, 9120 standards;
5. appoint, before the end of the activities of initial assessment and maintain updated, once certified, an administrator for the OASIS database that has the task of: keeping updated the personal data of the Organisation (name, address and certified sites, Organisation contact references, name of the *supplier administrator*), amending them only after approval received from UNAVIAcert, authorise access to audit results to other users and manage reports from customers or other interested parties;
6. provide, if requested, the audit documentation (audit report and other documents related to it), through the OASIS database or by other means: to its actual or potential customers and to the competent aviation, space and defence Authorities, unless there are reasons justifying such confidentiality of these documents (for example: confidentiality commitments with regard to competition; conflict of interest);
7. immediately notify revocation of the certification to its industry customers, if the situation should occur;
8. grant *right of access* to its facilities to customers and to the Authorities who request it.

8. AUTHORISATION DATA SUBMISSION FOR OASIS DATABASE

The Organisation authorises UNAVIAcert to use the information and documents produced as a result of the EN 9100/9110/9120 audits, performed at its offices for update of the OASIS database. SAE reserves the right to directly request the certified Organisation authorisation to advertise the data and the appointment of a data manager.

9. TRANSITION FROM ISO 9001 TO EN 9100/9110/9120 CERTIFICATION

In the event of transition from ISO 9001 certification to an EN 9100 series, all processes must be re-evaluated in full in the interests of airworthiness. It is therefore not permitted for only the deviations from the ISO 9001 standard to be evaluated.