

IAQG Procedure 212 – IAQG Authentication Management

Revision Letter: B

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Purpose:

This procedure defines the organizational structure and operational requirements for the management of **IAQG Authentication**. It establishes the framework for managing surveillance, appeals, and complaints related to IAQG Authentication activities of all types (authentications or certifications).

Requirements:

1. IAQG Authentication Appeals Team Setup

The team is established as an industry-controlled body composed of representatives from Aviation, Space, and Defense Original Equipment Manufacturers (OEMs).

- **Leadership Role:**
 - **Team Leader:** The assigned Authentication Leader is responsible for all Appeal Team activities, including scheduling meetings, setting agendas, and leading IAQG Authentication appeal activities, including related complaints and escalations.
 - **Committee Members:** Individual members of the team will be selected to support appeal reviews based on specific needs (availability, language skills, etc.). These reviews will include an assessment of the applicable auditor application and supporting documents, as needed. Three participants are required for each appeal activity.
- **Potential Conflict of Interest:** Members participating in the decision-making process for suspension, withdrawal, or appeals must be impartial and declare any potential conflict of interest, such as:
 - Employment or engagement by a certification body in any role.
 - Auditor authentication or certification by IAQG.
 - A relationship (current or historical) between the team member and the appellant.

2. Industry Controlled IAQG Authentication Activities Surveillance

To maintain the integrity of the global scheme, the team performs monitoring of Authentication activities. This review focuses on process verification rather than re-approving individuals, ensuring that Authentication decisions comply with the IAQG Requirements.

The IAQG Authentication service provider processing the requests shall provide the assigned IAQG Authentication Leader with summary performance data upon request (this data shall be provided within 5 business days). At a minimum, this data shall include a list of all applications received, processed with associated conclusions in the requested time frame. Other data may be requested as needed to support IAQG defined measures and requirements.

The provided data may be used to analyze provider performance, including adherence to IAQG requirements, on a periodic sampling basis. This sampling shall be conducted based upon IAQG risk assessment, but shall always be conducted annually at a minimum. Selected members of the Appeals Team may be used for sampling activities. The assigned surveillance personnel will select applications and provide a list to the IAQG Authentication service provider. The IAQG Authentication service provider shall provide all received elements / support evidence for the list of selected applications for evaluation.

Key monitoring activities include:

- **Application Sampling:** The team performs periodic reviews of processed applications, selecting a minimum of two files (covering different levels of IAQG Authentication, family of standards, etc.) to verify the accuracy of training, work, and audit experience evidence.
- **Process Performance Indicators** of the IAQG contracted service and associated action plan for any deviation from defined annual targets having an impact on the delivered service of audit authentication activities.
- **Compliance Gaps:** Any non-conformance identified in the reviewed sampling requires an appropriate action plan by the service provider.

Periodic sampling frequency shall take into consideration previous surveillance results.

Conclusions of all periodic auditor dossier sampling and monitoring are to be compiled on an annual basis and submitted to the IAQG Leadership, containing conclusions of the IAQG Authentication Service Provider conformance to requirements for the Authentication activities service.

Enhanced Oversight: If performance thresholds are not met, the team can trigger enhanced oversight, such as on-site audits of the service provider's activities.

3. Appeals and Complaints

Appeals and Complaints (escalations) are to be entered into OASIS Feedback system.

Decisions made by the IAQG Authentication Service Provider regarding auditor authentication, suspension, or withdrawal may be appealed by the affected person.

Once an appeal is submitted in OASIS Feedback System to the IAQG Authentication Leader, the following activities take place:

- Auditor Appeal request received via OASIS Feedback ticket, along with any supporting data, generates a notification e-mail to the IAQG Authentication Management Team Lead.
- The IAQG Authentication Management Team Lead reviews OASIS Feedback and acknowledges receipt within 15 calendar days of receipt.
- The IAQG Authentication Team Lead will select 2 additional representatives from the established team to jointly review the appeal/complaint. This selection is based upon availability and language capability (depending upon the language support needed for the appeal).
 - Note. Any appeal / complaint received not related to the analysis or disposition of the authentication activities will be routed to the relevant IAQG team.
- The Appeals Team shall have a unanimous vote (of the three participants) to overturn a decision by the IAQG Authentication Service Provider.
- The IAQG Authentication Management Team Lead will report back the decision to the appellant via the OASIS Feedback Ticket.
- If an additional appeal is requested, the appellant can appeal one more time to IAQG Leadership (this decision will be final).

4. Records Management

To ensure transparency and historical traceability, the team leader is responsible for maintaining all relevant records in the shared IAQG area of the IAQG Authentication Management Team:

Retention Period: Records of IAQG Authentication reviews must be maintained for a minimum of **4 years**.

Repository: Records are stored in a designated secure repository.

Confidentiality: The team reserves the right to separate information into multiple / separate private sections to maintain the confidentiality of sensitive actions.

Copies printed are considered uncontrolled.

Controlled documents are available within the IAQG Participant Portal [<https://members.iaqg.org>].