Training Approval, Recognition, Certification, and Authentication Process

Purpose/Summary:

This procedure defines the process for the Approval, Recognition, Certification and/or Authentication of Accreditation Bodies (ABs), Auditor Authentication Bodies (AABs), Training Provider Approval Bodies (TPABs), Training Providers (TPs), Training/Competency Courses, Certification Bodies (CBs), and Aerospace Quality Management System (AQMS) Auditors as well as the process for Suspension and Withdrawal of Approval, Recognition, Certification or Authentication by the AAQG Registration Management Committee Auditor Review (RMCAR) Team.

Definitions / Acronyms:

AA	Aerospace Auditor
AAB	Auditor Authentication Body
AAQG	Americas Aerospace Quality Group
AB	Accreditation Body
AEA	Aerospace Experienced Auditor
AIEA	Aerospace Industry Experience Auditor
AQMS	Aerospace Quality Management System
CB	Certification Body
COT	Certification Oversight Team
ICOP	Industry Controlled Other-Party
OASIS	Online Aerospace Supplier Information System
RMC	Registration Management Committee
RMCAR	Registration Management Committee Auditor Review
SMS	Sector Management Structure
TP	Training Provider
TPAB	Training Provider Approval Body

Process Flow:

See Figures 1, 2 and 3

Applicable Standards (Latest Revisions Apply):

AS9104/1	Requirements for Certification of Aviation, Space, and Defense Quality Management Systems
AS9104/2	Requirements for Oversight of Aerospace Quality Management Systems Registration/Certification Programs
AS9104/3	Requirements for Aviation , Space, and Defense Auditor Training, Development, Competence, and Authentication

Role of the Registration Management Committee Auditor Review (RMCAR) Team:

1. To support the Registration Management Committee (RMC) with approval / denial decisions for applicant Accreditation Bodies (AB), Auditor Authentication Bodies (AAB), and Training Provider Approval Bodies (TPAB), as well as the concurrence with the decisions on Training Providers (TP), Training/Competency Courses, Certification Bodies (CB), and Aerospace Quality Management System (AQMS) Auditors.

2. Support ongoing oversight to ensure that the processes utilized by approved ABs, AABs, and TPABs are executed and maintained in compliance with industry requirements. This ongoing oversight is accomplished through process verification measures such as periodic or continual reviews of AB, AAB, and/or TPAB approval decisions. The actions of the committee are not an approval of the individuals or organizations that have applied to the AB, AAB, and/or TPAB but rather serve to verify that the decisions made by these bodies meet applicable requirements. Because RMCAR Members have no direct engagement in the execution of these processes and do not make the final decisions on behalf of ABs, AABs, and/or TPABs, team members remain independent and qualified to support other sector oversight activity without conflict.

Requirements:

1. RMCAR AB / AAB / TPAB Application Review Process

1.1 Applications for AB, AAB and TPAB recognition, approval and re-approval are presented to the RMCAR Committee Chair by the AB, AAB or TPAB.

1.2 The RMCAR Committee Chair or delegate sends notification of the applications to the review team.

1.3 Each member of the RMCAR Committee reviews the application and votes to approve recognition or disapprove recognition, with comments supporting the decision if disapproved. Votes are reviewed and compiled by the RMCAR Committee Chair or a delegate.

1.4 These evaluations by the RMCAR Committee ensure that an AB meets the requirements defined in AS9104/1; particularly with respect to the decision-making process and defined competence requirements, which is verified annually through oversight of the AB.

1.5 The AAB and TPAB are evaluated to the requirements of AS9104/1 and AS9104/3. Only AAB's approved by the RMCAR Committee shall qualify

for AQMS auditor evaluation, authentication, and re-authentication.

1.6 Those who participate in the evaluation or decide to approve, suspend, or withdraw an AB, AAB or TPAB shall be impartial and shall not have participated in the development or operations of the AB, AAB or TPAB in any way for a period of two years prior to the decision being made. Furthermore, they shall not have any personal, contractual, voluntary, or formal relationship with the AB, AAB or TPAB that would present a potential conflict of interest to the impartiality of the decision.

1.7 The RMCAR Committee Chair or a delegate is responsible for notifying the RMC Chair as to the approval/disapproval decision for the AB, AAB, or TPAB.

1.8 The RMCAR Committee Chair (or designee) will provide notification (electronic or hard copy) to the RMC Chair and applying entity.

1.9 Copies of all AB, AAB, or TPAB application response letters will be retained on the Registration Management Committee (RMC) repository.

1.10 The records shall be maintained for a minimum of 10 years.

1.11 The RMCAR Committee Chair (or designee) assures that AB's, TPAB's and AAB's approved by the SMS are identified in the OASIS database.

1.12 AAB's shall establish and maintain documentation for the use of AAB's marks and logos and submit for approval to the Auditor Review Committee.

1.13 A minimum of seven approving votes with zero disapproving votes of the RMCAR committee members, are required for all application approvals.

2.0 RMCAR Training / Competency Course Review Process

2.1 A subset of the RMCAR Committee will review training/competency courses.

2.1.1 The review team will consist of at least two reviewers.
2.1.2 Review results will be forwarded to the TPAB by the RMCAR Committee Chair or delegate.

2.2 To support Industry-Specific training course reviews by the RMCAR Committee, TPABs shall have an appeal/complaint resolution process.

2.3 The TPAB shall facilitate all training provider appeals with the RMC.

3. RMCAR CB Application Review Process

3.1 Applications for CBs will be reviewed and approved by an AAQG recognized AB.

3.2 The AB will forward notification of approval of the CB, (extensions of AQMS scope, suspension, or withdrawal); to the Auditor Review Committee for review, recognition, and response.

3.3 RMC review of approved CBs will be performed during annual office assessment of the respective AB.

3.4 All application reviews performed by the RMCAR shall be completed within 15 calendar days of the request date.

4. AQMS Auditor Authentication Oversight

4.1 Oversight of auditor authentication by the AAB is conducted by the RMC via periodic application sampling and/or during the annual office audit as determined by the RMCAR Chair.

4.2 When performing quarterly sampling, the RMCAR shall request a list of approved AEAs from the last quarter and select a minimum of two applications for verification.

4.2.1.1 The RMCAR may perform enhanced oversight in lieu of, or in addition to the oversight listed above at its discretion.

4.2.1.2 The decision to perform enhanced oversight shall be approved by 60% of the Auditor Review Team.

4.3 Results of reviews will be communicated to the AAB.

4.4 Corrective action is required for any negative results and shall be entered into OASIS:

4.4.1 A single event of failed concurrence during a quarterly review shall require containment by the AAB (follow-up will occur on these actions during the annual review).

4.4.2 Multiple events of failed concurrence during a quarterly review (or across a rolling 12-month period) shall require formal corrective

action.

4.4.3 Failures identified during office assessments shall be handled in accordance with AS9104/2.

4.5 All quarterly oversight activity decisions require the concurrence of a minimum of 3 team members with zero dissenting decisions.

5.0 Appeals

** Refer to RMC Procedure 101 for the Appeal Process.*

6.0 Suspension / Withdrawal

6.1 The RMCAR Committee may recommend the suspension or withdrawal of an AB, CB, AAB, TPAB, TP or training course approved by a TPAB or AQMS auditor's approval.

6.2 Such decisions are based upon, but not limited to, poor performance, nonconformance to requirements, or falsification of data. Information used to make suspension/withdrawal recommendations along with supporting objective evidence will be provided to the relevant entities.

6.3 The AB, CB, AAB, TPAB or AQMS auditor has the right to appeal this decision.

6.4 The suspension an AB shall include:

6.4.1 Required actions and conditions for the removal of a suspension;

6.4.2 Communication of the changed status to the IAQG COT and other IAQG sectors within 30 days;

6.4.3 Ensuring there is no recognition of any AB accreditation decisions for any CBs entering the ICOP scheme during the period of suspension;

6.4.4 Where a suspended AB fails to provide acceptable corrective action within 90 days, the AB shall be withdrawn for a minimum of 12 months; and

6.4.5 Ensuring that when an AB is withdrawn:

6.4.5.1 Accredited CBs shall have six months to seek

accreditation by another AB approved for the ICOP scheme and recognition withdrawn from the CB, if a new accreditation is not granted;

6.4.5.2 AQMS certificates issued by the affected CBs are eligible for reissue under the new AB or transfer to another accredited CB during this six-month period; and

6.4.5.3 AQMS certificates shall be withdrawn if not reissued under the new AB or transferred to another accredited CB within the six-month period.

6.4.6 When a CB or AQMS auditor's approval is withdrawn, any application to the RMCAR Committee for re-approval shall be rejected for a period of 12 months from the date of withdrawal.

6.5 The AAQG RMC shall report to the IAQG Certification Oversight Team (COT), OASIS database administrator, and other applicable entities of the AAQG, notification of suspension or withdrawal of ABs, CBs, AAB, and TPABs.

7.0 Auditor Information

7.1 When an authenticated AQMS auditor competency issue is identified in relation to AQMS certification audits, and when deemed appropriate by the RMCAR Committee, the results of the aerospace witness assessments and associated data shall be shared with the AAB responsible for the subject auditor's aerospace authentication.

7.2 When an AB, CB, SMS, or Regional Management Structure (RMS) representative encounters an AQMS auditor misconduct issue, they shall share relevant documented information detailing the misconduct with the AAB responsible for the subject auditor's AQMS authentication.

8.0 RMCAR Records

8.1 The RMCAR Committee Chair maintains records of the team's AB/CB/TPAB/AAB/Training/Competency Course approval/disapproval decisions, AQMS auditor concurrence/non-concurrence decisions, and AAB oversight results for a minimum of ten years unless otherwise specified. Records are retained on the RMCAR repository.

9.0 AB / AAB / TPAB Records

9.1 ABs, AABs, and TPABs maintain sufficient records to demonstrate conformity with AS9104-series documents.

9.2 Recognized CBs, TPs and AQMS auditors shall be identified in the OASIS database by the responsible AB, TPAB, or AAB.

10.0 Re-Authentication

10.1 The RMCAR does not directly participate in the re-authentication of AQMS auditors, but this process may be subject to periodic oversight.

11.0 Records

11.1 The records associated with this procedure are as follows:

Record Description	Location	Responsible Holder	Period
AB, AAB, or TPAB application response letters	RMCAR Repository	RMCAR Committee Chair	10 years
Appeals	RMCAR Repository	RMCAR Committee Chair	10 years
Suspension or Withdrawal of ABs, CBs, AAB, TPABs and AQMS Auditors by the RMC	RMCAR Repository	AAQG RMC Committee Chair	10 years
AB, AAB and TPAB Recognition by the RMC	RMCAR Repository	AAQG RMC Committee Chair	10 years
AB, CB, TPAB, AAB, AQMS Auditor and Competency Course Approval / Disapproval Decisions by the RMC	RMCAR Repository	RMCAR Committee Chair	10 years
Approval record for re – authentication of AB Auditors	RMCAR Repository	RMCAR Committee Chair	10 years
Approval record for non-AB Auditors (delegated to AAB)	AAB	AAB	10 years
Oversight Records	RMCAR Repository	RMCAR Committee Chair	10 Years

Figure 1 – RMCAR Approval of AB's, AAB's, and TPAB's

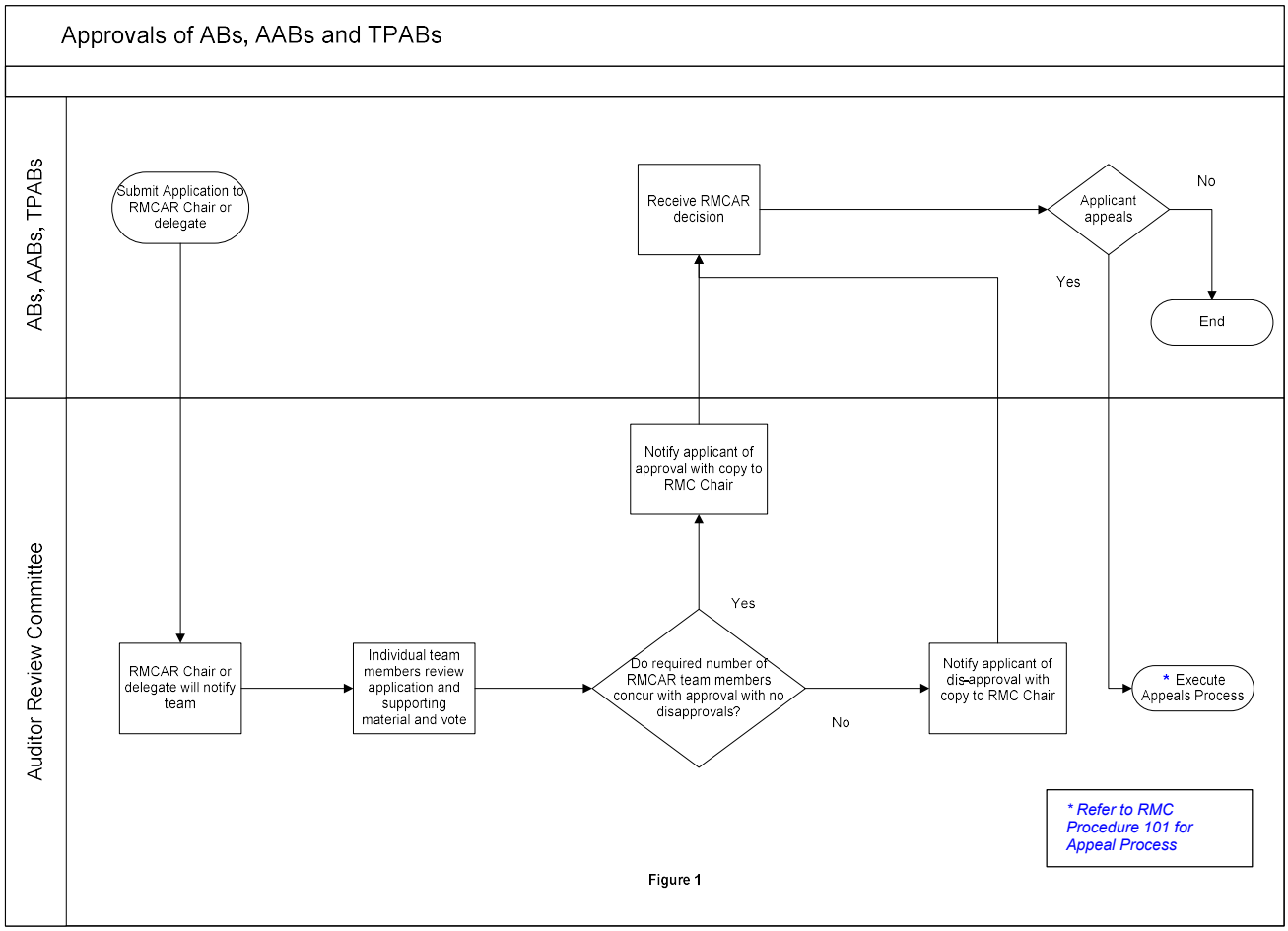

Figure 2 – RMCAR Oversight of the CB Approval Process

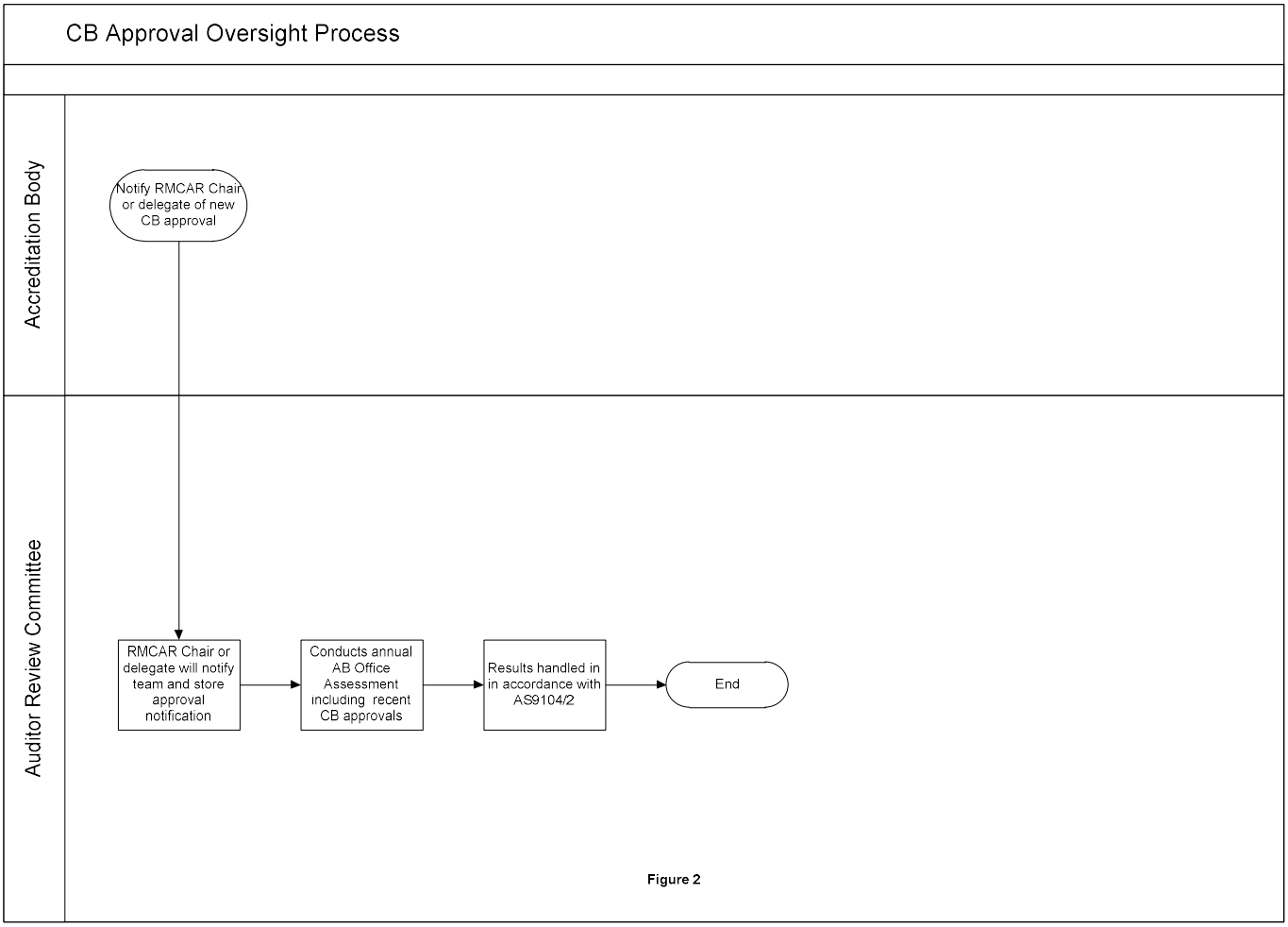

Figure 3 – RMCAR Concurrence with Authentication Body Approval Recommendations

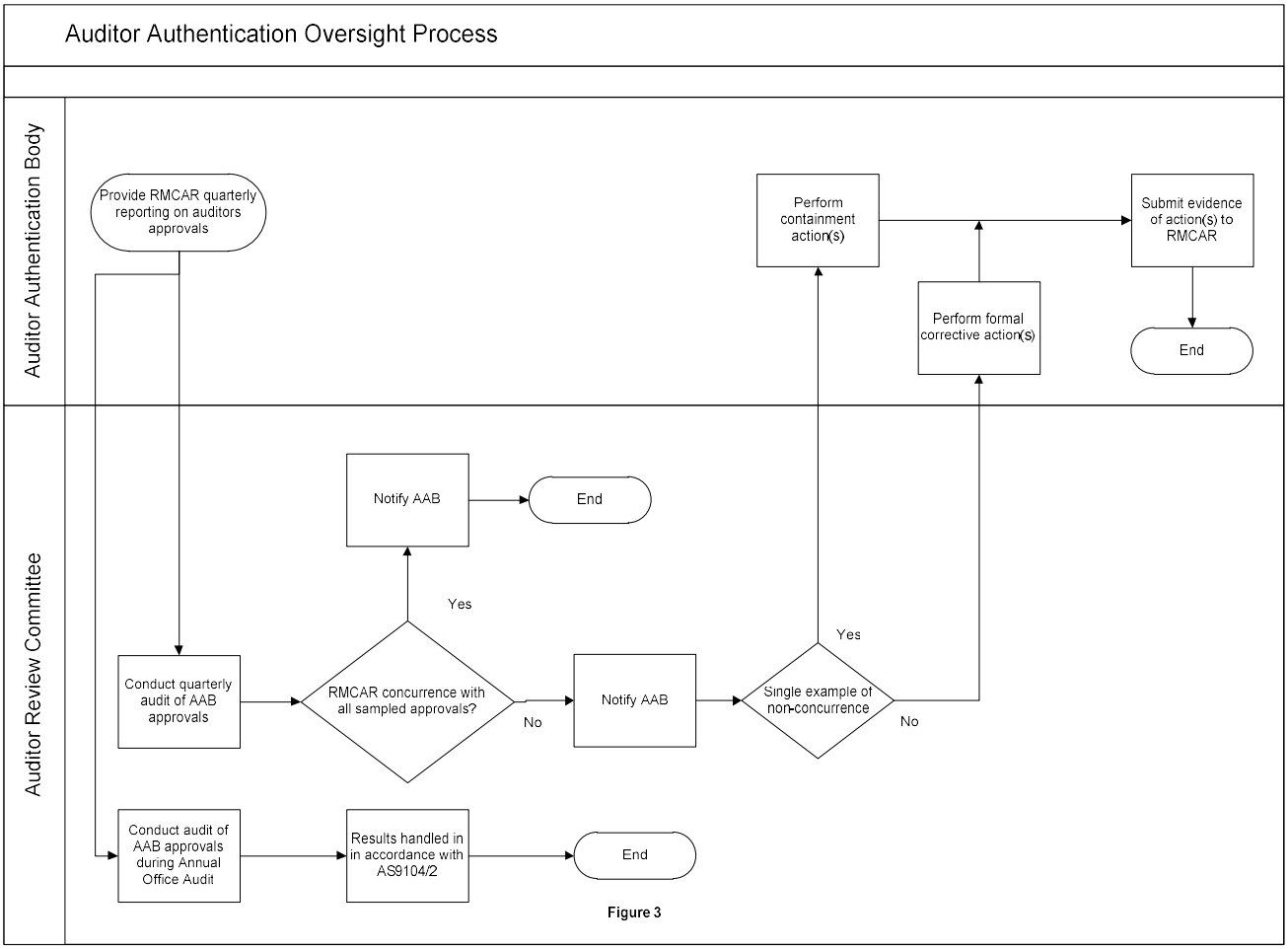

Figure 3

12.0 Revision History

Revision	Date	Comments
A	10-Sep-2008	Original Release
B	04-May-2012	
C	20-Mar-2014	
D	19-Jul-2017	
E	05-Mar-2018	Redacted the Appeals process and moved to RMC 101
F	08-Jun-2022	Revised to address requirements of AS9104-1A:2022