



**International Aerospace Quality Group (IAQG) Other Party Management Team (OPMT)
Supplemental Rule 004 – Rules for 9104:2022 Series and 9101:2022 Transition**

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Revised: NA

Purpose:

This Supplemental Rule (SR) provides requirements for transition to the 9104:2022 series of standards and the 9101:2022 standard for stakeholders within the IAQG Industry Controlled Other Party (ICOP) Aerospace Quality Management System (AQMS) certification scheme. This Supplemental Rule supports and implements the IAQG Executive Committee's (EC) approved timeline for transition (see Section 11).

Scope:

This SR applies to the following stakeholders:

- IAQG Other Party Management Team (OPMT).
- Sector Management Structures (SMSs) including Regional Management Structures (RMSs) formerly known as Certification Body Management Committees (CBMCs).
- Accreditation Bodies (ABs).
- Certification Bodies (CBs).
- AQMS Certified Organizations.
- Auditor Authentication Bodies (AABs).
- Authenticated AQMS Auditors (AAs).
- Training Provider Approval Bodies (TPABs).
- Training Providers (TPs).
- Other Party (OP) Assessors.

Reference Standards:

9104-1	Requirements for Certification of Aviation, Space, and Defense Quality Management System Certification Programs.
9104-2	Requirements for the Oversight of Aviation, Space, and Defense Quality Management System Certification Programs.
9104-3	Requirements for Aviation, Space, and Defense Auditor Training, Development, Competence, and Authentication.
9101	Requirements for Conducting Audits of Aviation, Space, and Defense Quality Management Systems

NOTE: The applicable versions of the reference standards listed are contained within the text of this SR.

General:

All stakeholders shall ensure conformance to the revised 9104:2022 series and 9101:2022 standards within the timelines identified within this Supplemental Rule. Action shall be taken by the relevant entity when targets are not met.

Stakeholders must meet or better all established milestones and shall ensure the transition end dates defined in section 11 are met. The IAQG will manage the process to ensure the 9104:2022 series and 9101:2022 are implemented by the transition completion date of January 1, 2024.

NOTE: The IAQG OPMT will maintain a Frequently Asked Questions (FAQ) log to support transition as part of the deployment support materials for the 9104 series and 9101 standards located on the IAQG website.

ICOP Scheme Stakeholder Requirements:

1. The IAQG OPMT shall:

- 1.1. Implement the requirements as stated within 9104-1:2022 by June 30, 2022.
- 1.2. Provide information to ABs, CBs, and certified organizations to support transition.
- 1.3. Implement a process for reporting the transition status. Reports shall be obtained via the OASIS database and provided to the IAQG EC upon request.
- 1.4. Provide support information and updates for any oversight and sanctioned training materials. (e.g., OP Assessor Training).
- 1.5. Obtain IAQG EC approval of any required changes to the transition timeline.
- 1.6. Communicate the obsolescence of the previous versions of the 9104 series documents within the 3 following months of the transition completion date, as referenced in the section 11 timeline.

2. Sector Management Structure (SMS), including applicable RMS(s) shall:

- 2.1. Implement 9104-1:2022 requirements by June 30, 2022.
- 2.2. Implement a process for re-approval of RMS(s) to the revised standards. RMSs shall request SMS approval upon implementation of 9104-1:2022 requirements.
- 2.3. Evaluate completion of the transition to 9104 series standards and take the appropriate actions to address the lack of meeting transition targets (e.g., corrective action, suspension, or withdrawal).
- 2.4. Implement a process for approval of ABs to the 9104-1:2022 standard. The process shall include documented evidence of AB conformance and the updating of the approval status in the IAQG On-line Aerospace Supplier Information System (OASIS) database.
- 2.5. Ensure that any oversight activity from January 1, 2024 is planned and conducted out in accordance with the requirements of the 9104-2:2022 standard.
- 2.6. Implement a process for approval of AABs and TPABs to the 9104-3:2022 standard.
- 2.7. Ensure any sector-specific standard(s) or documentation that reference the 9104 series standards are updated or withdrawn, as applicable.
- 2.8. Implement a reporting process to the IAQG OPMT that provides transition status metrics upon request. Reports shall be obtained via the OASIS database and provided to the IAQG OPMT upon request.

NOTE: Shared Oversight activity for the AB (office assessment), AAB, and TPAB may be used as the means to evaluate conformance to the revised standards.

3. Accreditation Bodies (ABs) shall:

- 3.1. Implement the requirements of the 9104-1:2022 standard by December 31, 2022. ABs shall request SMS or RMS approval upon implementation.

NOTE: It is expected that ABs are ready for SMS or RMS approval by July 1, 2022.

- 3.2. Monitor CB transition to 9104-1:2022 in accordance with the section 10 timeline and take the appropriate action where transition targets are not being met (e.g., corrective action, suspension, withdrawal).
- 3.3. Provide a report to the applicable SMS or RMS, which includes target dates for 9104-1:2022 accreditation of CBs. This report shall be kept current during transition and provided upon request to the SMS or RMS.
- 3.4. Withdraw all 9104-1:2012/2013 accreditations of CBs on April 1, 2024.
- 3.5. ABs shall perform an assessment of the fixed office of the CB to confirm transition processes and procedures are conforming and understood.

NOTE 1: A transition assessment may be completed remotely.

NOTE 2: ABs may continue the assessment program established prior to transition to 9104-1:2022 during 2022.

4. Certification Bodies (CBs) shall:

- 4.1. Implement the requirements of 9104-1:2022 by June 30, 2023. Upon implementation, CBs shall submit an application for accreditation to their respective AB.

NOTE: It is expected that CBs are prepared for AB assessment by October 1, 2022.

- 4.2. Conduct an Organization Certification Analysis Process (OCAP) review for all certified clients, prior to conducting an audit to the 9104-1:2022 and 9101:2022 criteria.
- 4.3. Provide information to each client with respect to any changes to certification structure or the audit program.
- 4.4. Ensure that within 90 days of accreditation to 9104-1:2022, all initial, surveillance, recertification, and special audits that are planned and conducted conform to 9104-1:2022 and 9101:2022 requirements.

NOTE: CBs may complete surveillance and recertification audits to the previous requirements where the audit duration started prior to the date of accreditation to 9104-1:2022 plus 90 days.

- 4.5. Use a remote special audit in advance, and as part of, the transition surveillance or recertification audit to record the certified organization's transition and conformance with 9104-1:2022. The OASIS database certificate modification process shall not be used to transition AQMS certifications.

NOTE 1: The OASIS database will require the audit to be planned as a "with special audit" to enable a revision to the AQMS certification documentation.

NOTE 2: Addition audit duration or audit time above the surveillance or recertification requirements of 9104-1:2022 is not mandated for the transition special audit

activities. Where there is a change in certification structure additional time may be needed.

- 4.6. Ensure that the surveillance or recertification audit with special audit used to verify transition includes validation of the information and data used for the OCAP analysis and effective implementation of the requirements of 9104-1:2022 clauses 9.1 and 9.2 when applicable.
- 4.7. Ensure that entry or transition into the Performance Based Surveillance/Recertification Process (PBS/RP) does not occur during a surveillance audit unless the certified organization is already utilizing an ASAP audit program (per 9104-1:2012/2013 and IAQG OPMT Resolution #156).
- 4.8. Make a certification decision after completion of the surveillance or recertification audit with special audit during which transition was verified. In addition to all other requirements, the certification decision shall ensure the following:
 - 4.8.1. The AQMS standard(s) utilized (e.g., 9100, 9110, and 9120) is(are) valid based on the organization's scope of certification.
 - 4.8.2. The OCAP analysis and audit program have been validated.
 - 4.8.3. A certificated organization is not granted a new three-year certification if they were not subject to a recertification audit.
- 4.9. Ensure AQMS certification documents are revised or renewed to reflect conformance to the 9104-1:2022 standard following the certification decision.
- 4.10. Update and validate the OASIS database in accordance with 9104-1:2022 requirements following issue or re-issue of each AQMS certification document.

5. AQMS Standard Certified Organizations shall:

- 5.1. Work with their CB to determine or confirm the applicable certification structure.
- 5.2. Ensure that the selected certification structure does not conflict with customer, regulatory, or other requirements.
- 5.3. Provide CBs with information required for the OCAP analysis at least 90 days prior to the 9104-1:2022 transition audit.

6. Auditor Authentication Bodies (AABs) shall:

- 6.1. Implement the requirements of the 9104:2022 standards by April 30, 2023. AABs shall request SMS or RMS approval upon implementation.
- 6.2. Apply all new 9104-3:2022 requirements for re-authentication following implementation except for the Continual Professional Development (CPD) and Audit Experience requirements. During an auditor's first re-authentication following 9104-3:2022 publication, the previous requirements of 15 hours of CPD and 4 AQMS audits shall remain applicable. During subsequent re-authentication cycles, all new requirements of 9104-3:2022 shall apply.
- 6.3. Following approval, provide notification to all authenticated AQMS auditors describing any changes to authentication requirements and any actions required to maintain authentication.

7. Authenticated Auditors (AAs) shall:

- 7.1. Work with their AAB to review their authentication status.
- 7.2. Successfully complete any IAQG mandated 9104:2022 series and 9101:2022 transition training by May 1, 2023.

- 7.3. Utilize all 9104-3:2022 requirements for re-authentication except for the CPD and Audit Experience requirements. For the first re-authentication following 9104-3:2022 publication, the previous requirements of 15 hours of CPD and 4 AQMS audits shall remain applicable. During subsequent re-authentications, all new requirements of 9104-3:2022 shall apply.
- 7.4. Confirm with the CB the version of 9104-1 and 9101 to be applied during each AQMS audit.
- 7.5. Perform any new initial AQMS audits in accordance with the 9104-1:2022 and 9101:2022 standards from July 1, 2023.

8. Training Provider Approval Bodies (TPABs) shall:

- 8.1. Implement the requirements of the 9104:2022 standards by April 30, 2023. TPABs shall request SMS or RMS approval upon implementation.
- 8.2. Following approval, provide notification, to all approved Training Providers describing any changes to the requirements for approval, any actions required to maintain approval, and arrangements for the approval of training courses defined in accordance with 9104-3:2022.

9. Approved Training Providers (TPs) shall:

- 9.1. Implement the requirements of the 9104:2022 series standards by April 30, 2023. TPs shall apply for TPAB approval upon implementation.
- 9.2. Address any TPAB defined actions required to maintain approval.
- 9.3. Following TPAB approval, apply for approval of any training courses defined in accordance with 9104-3:2022.

10. Other Party (OP) Assessors shall:

- 10.1. Work with their SMS or RMS to review their OP assessor classification.
- 10.2. Complete any IAQG mandated 9104:2022 series and 9101:2022 transition training.
- 10.3. Ensure any oversight activity from January 1, 2024 is carried out in accordance with the requirements of the 9104-2:2022 standard.

11. Transition Timeline:

- 11.1. The start date for the 9104:2022 series and 9101:2022 transition is January 1, 2022
- 11.2. The end date for the 9104:2022 series and 9101:2022 transition for the stakeholders in Table 1 is January 1, 2024.

NOTE: AQMS certified organizations may have their 9104-1:2022 transition audit and AQMS certification decision after January 1, 2024

- 11.3. Table 1 contains the transition end dates by stakeholder entity.

Stakeholder Entity Type	Transition End Date
IAQG OPMT	June 30, 2022
SMS and RMS	June 30, 2022
AB	December 31, 2022
AAB	April 30, 2023
TPAB	April 30, 2023
TP	April 30, 2023
CB	June 30, 2023

TABLE 1: Transition End Dates by Stakeholder Entity