



**International Aerospace Quality Group (IAQG) Certification Oversight Team (COT)
Supplemental Rule 004 – Rules for 9104-1:2022, 9104-2:2023, and 9101:2022 Transition**

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Revised: Revision A: September 1, 2022

Revision B: December 7, 2022

Purpose:

This Supplemental Rule (SR) provides requirements for transition to the 9104-1:2022, 9104-2:2023, and 9101:2022 standards 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).

This Supplemental Rule has been revised (Revision B) to address the implementation timeline for the 9104-1:2022 standard due to dependencies on AQMS auditor training availability and publication of dependent standards in IAQG supported languages. Stakeholders are encouraged to continue transition activities; provided the dependent information is available in the IAQG supported language of use.

Scope:

This SR applies to the following stakeholders:

- Certification Oversight Team (COT)
- 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.
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 9104-1:2022, 9104-2:2023, 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 9104-1:2022 and 9101:2022 requirements are implemented by the transition completion date of 12 months from availability of applicable standards (e.g., 9104-1 and 9101) in the IAQG recognized languages and sanctioned Aerospace Auditor Delta Training.

NOTE: The IAQG Certification Oversight Team (COT) 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 COT 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 and Aerospace Auditor Delta 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 in accordance with the requirements of the 9104-2:2023 standard.
- 2.6. Implement a process for approval of AABs and TPABs to the 9104-1:2022 standard.
- 2.7. Ensure any sector-specific standard(s) or documentation that reference 9104-1, 9104-2, or 9101 standards are updated or withdrawn, as applicable.

- 2.8. Implement a reporting process to the IAQG COT that provides transition status metrics upon request. Reports may be obtained via the OASIS database and provided to the IAQG COT 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.
- 3.2. Monitor CB transition to 9104-1:2022 in accordance with the section 11 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 within 12 months of release of the IAQG mandated 9104-1:2022 and 9101:2022 Aerospace Auditor Delta Training in the primary operating language of the CB (per 4.1).
- 3.5. ABs shall perform an assessment of the CB's documented information to ensure they are conforming to the 9104-1:2022 requirements and are understood before transition.

NOTE 1: The CB transition assessment may be completed remotely.

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

4. Certification Bodies (CBs) shall:

- 4.1. Implement the requirements of 9104-1:2022 within 12 months of release of the IAQG mandated 9104-1:2022 and 9101:2022 Aerospace Auditor Delta Training for transition. Where applicable standards and / or Aerospace Auditor Delta Training will not be available in the primary operating language of the CB, the CB shall select one of the available IAQG recognized languages for Aerospace Auditor Delta Training to establish the transition deadline and communicate the selection their accrediting AB. CBs shall submit an application for transition to their respective AB.

NOTE: Release of training relates to the availability of sanctioned Aerospace Auditor Delta Training in an IAQG supported language utilized by the CB (e.g., English, French, German, Japanese, Korean, Italian).

- 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. Work with clients to determine and confirm the applicable AQMS standard(s) utilized (e.g., 9100, 9110, and 9120) is/are valid based on the organization's scope of certification.

- 4.5. Ensure authenticated AQMS Auditors have successfully completed, and records are maintained, for any IAQG mandated 9104-1:2022 and 9101:2022 Aerospace Auditor Delta Training prior to audit planning and conduct.
- 4.6. Upon AB change in accreditation scope, plan and conduct audits in conformance with 9104-1:2022 and 9101:2022 requirements.

NOTE: CBs may complete audits to the previous requirements of 9104-1 where the audit duration including opening meeting started within 90 days of the date of accreditation to 9104-1:2022.

- 4.7. Undertake and document audit planning to support AQMS certified organizations transition that includes:
 - 4.7.1. A review of the application of the AQMS as it relates to the scope of certification.
 - 4.7.2. A check to determine if the existing certification structure is appropriate to the AQMS and 9104-1.
 - 4.7.3. Review the arrangements for the collection of data to support OCAP with the certified organization and request the first set of data for analysis and use during audit planning.
 - 4.7.4. Develop an audit plan that includes verification of the OCAP data.

NOTE: CBs should ensure that their clients are aware and understand the use of OASIS v3 in support of audit activity.

- 4.8. Conduct a special audit where a change in client certification structure is needed to support transition.

NOTE 1: Special audit is required for change in certification per 9104-1:2022 paragraph 8.5.10.1.a.

NOTE 2: The special audit may be performed in conjunction with the planned surveillance or recertification audit.

- 4.9. Conduct the planned audit which includes transition and document the objective evidence used to validate the OCAP and related data verification in the audit report.
- 4.10. 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 ASRP audit program (per 9104-1:2012/2013 and IAQG COT Resolution #156).
- 4.11. Make a certification decision after completion of the audit that included the transition. In addition to all other requirements, the certification decision shall ensure the following:
 - 4.11.1. The AQMS standard(s) utilized (e.g., 9100, 9110, and 9120) is (are) valid based on the organization's scope of certification.
 - 4.11.2. The OCAP and audit program are validated.
 - 4.11.3. A certified organization is not granted a new three-year certification if they were not subject to a recertification audit.

- 4.12. Ensure AQMS certification documents are revised to reflect conformance to the 9104-1:2022 standard following the certification decision.
- 4.13. 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 and to ensure the AQMS standard(s) utilized (e.g., 9100, 9110, and 9120) is (are) valid based on the organization's scope of certification.
- 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 review 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 9104-1:2022 standard by April 30, 2023. AABs shall request SMS or RMS approval upon implementation.

7. Authenticated AQMS Auditors (AEA and AA) shall:

- 7.1. Work with their AAB to review their authentication status.
- 7.2. Successfully complete any IAQG mandated 9104-1:2022 and 9101:2022 Aerospace Auditor Delta Training within 12 months of the date training release in an applicable IAQG supported language.
- 7.3. Confirm with the CB the version of 9104-1 and 9101 to be applied during each AQMS audit.

8. Training Provider Approval Bodies (TPABs) shall:

- 8.1. Implement the requirements of the 9104-1:2022 standard by April 30, 2023. TPABs shall request SMS or RMS approval upon implementation.

9. Approved Training Providers (TPs) shall:

- 9.1. Implement the requirements of the 9104-1:2022 standard by April 30, 2023. TPs shall apply for TPAB approval upon implementation.
- 9.2. Address any TPAB defined actions required to maintain approval.

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 9104-1:2022, 9104-2:2023, and 9101:2022 OP Assessor transition training.
- 10.3. Ensure any oversight activity from January 1, 2024 is carried out in accordance with the requirements of the 9104-2:2023 standard.

11. Transition Timeline:

- 11.1. The start date for transition is January 1, 2022
- 11.2. The end date for the 9104-1:2022 and 9101:2022 transition for the stakeholders in Table 1 is 12 months from publication of dependent standards and associated IAQG mandated 9104-1:2022 and 9101:2022 Aerospace Auditor Delta Training.
- 11.3. Table 1 contains the transition end dates by stakeholder entity.

Stakeholder Entity Type	Transition End Date
IAQG COT	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	12 months from publication of applicable standards and sanctioned Aerospace Auditor Delta Training in the CB operating or selected IAQG language.

TABLE 1: Transition End Dates by Stakeholder Entity

NOTE: 9104-1:2022 transition for AQMS certified organizations will normally occur during the next scheduled AQMS audit after their CB has completed transition.