Leitfaden L05a_Akkreditierungserfordernisse EN 9104_V03_20140312

Akkreditierungserfordernisse an Stellen, die Managementsysteme nach EN 9100 bzw. EN 9110 (EN 9120) auditieren und zertifizieren

- Änderungen zur Vorgängerversion sind gelb hinterlegt.
Der Leitfaden wurde von L08a auf L05a geändert, da das Basisdokument "L05_Akkreditierungserfordernisse" neu herausgegeben wurde.

Teil A Grundlagen und Hinweise

Dieser Leitfaden stellt die direkte Umsetzung der Anforderungen der EN 9104-1:2012 dar und gilt zusätzlich zum Leitfaden "L05_Akkreditierungserfordernisse" für alle Zertifizierungsstellen, die für die Zertifizierung von Managementsystemen in der Luft- & Raumfahrtzulieferindustrie akkreditiert werden wollen oder sind, unmittelbar auch ohne Übersetzung ins Deutsche im österreichischen Akkreditierungsschema Luft- & Raumfahrt.
Gelb hinterlegt sind die neuen Anforderungen gegenüber der Vorgängerversion.

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Spezielle zusätzliche Anforderungen im österreichischen Akkreditierungsschema Luft- & Raumfahrt

- EN 9104-1:2012
- Memorandum of Understanding (MoU) zwischen Austrian Aeronautics Industry (AAI) und Akkreditierung Austria (AA)
- EN 9104-002 und EN 9104-003
- EN 9104-002; Form D (Nichtkomformitätenblatt)
- IAQG ICOP and OASIS resolutions log

Zusätzlich zu den speziellen Erfordernissen nach Leitfaden L3.10. sind die Anforderungen der EN 9104-1:2012 für jene Zertifizierungsstellen für Managementsysteme, die im Bereich der Luft- und Raumfahrtzulieferindustrie akkreditiert werden wollen, unmittelbar auch ohne Übersetzung ins Deutsche vorgegeben.
Die für Zertifizierungsstellen relevanten zusätzlichen Anforderungen gemäß EN 9104-1:2012 sind wie folgt zusammengefasst:

Teil B Leitfaden zur Anwendung der relevanten Abschnitte der EN 9104-1:2012 bei der Akkreditierung

Anforderungen

Grundsätzlich gelten die Bestimmungen der ISO/IEC 17011:2004 und der ISO/IEC 17021:2011.

Zusätzliche Anforderungen gemäß EN 9104-1:2012 im österreichischen Akkreditierungschema Luft- & Raumfahrt

Ad 5.1 General

5.1.c

Akkreditierung Austria has agreed to periodic oversight, including witness assessments by the approving SMS. Akkreditierung Austria provides their sector's IAQG member companies and applicable regulatory authorities the 'right of access' to all Akkreditierung Austria and CB records and information related to the implementation and maintenance of the ICOP scheme, including Akkreditierung Austria and CB activities associated with the 9104-series standards requirements and recognition by the applicable SMS.
This access includes information or records pertaining to IAF Peer Reviews of Akkreditierung Austria.

Ad 5.3 Quality management system

5.3.b

CBs shall identify a single office location that has overall responsibility for the implementation of the 9104-series standards requirements. The CB lead office responsibility and authority for the design, development, and maintenance of the implementation of the 9104-series standards shall be through a person(s) employed by or directly contracted to that CB lead office. This person(s) shall be formally identified by the CB and reported to Akkreditierung Austria.

5.3.h

Applicant CBs shall not issue any AQMS standard certificates before a decision to grant accreditation for AQMS certification to the CB has been made. CBs shall communicate in writing to any applicant or client that AQMS certification cannot be issued until the CB is accredited for the AQMS standard(s) by Akkreditierung Austria.
Failure by the CB to conform with these requirements will be seen as bringing AQMS accreditation, the ICOP scheme, and the IAQG into disrepute; and Akkreditierung Austria may terminate the application process. In case of that a CB application has been terminated, Akkreditierung Austria communicates in writing to the applicant CB the reasons for termination of the application and that Akkreditierung Austria is not able to process any subsequent applications for accreditation for AQMS certification for a period of not less than 12 months.

Ad 5.3.1 Certification Body Initial Accreditation to Aerospace Quality Management System Standards

Initial accreditation of a CB within the ICOP scheme will be for the certification of clients to the 9100 AQMS standard. At a minimum the following activities will be performed:

a. documentation review to include, but not limited to revisions to the CB's documented management system, competence requirements established by the CB, and any other area that indicates conformance of requirements to this standard;
b. office assessment(s); and

c. witness assessments to include, at a minimum, one Stage 1 audit and one Stage 2 audit for the complete 9100 standard. If the CB is already accredited by another Accreditation Body and recognized by the ICOP scheme, the witness assessments can take place during a surveillance audit.

Ad 5.3.2 Certification Body Extension of Scope of Accreditation

To extend the scope of accreditation of a CB beyond the 9100 standard, to provide further AQMS standards certification (i.e., 9110, 9120), at a minimum, the following activities will be undertaken by Akkreditierung Austria:

a. For initial accreditation for 9110 certification, the documentation review includes, but is not limited to revisions to the CB's documented management system, competence requirements established by the CB, and any other area that indicates conformance to the requirements of this standard. Witness assessments shall include, at a minimum, one Stage 1 and one Stage 2 audit for the complete 9110 standard.

b. For initial accreditation for 9120 certification, the documentation review includes, but is not limited to revisions to the CB's documented management system, competence requirements established by the CB, and any other area that indicates conformance to the requirements of this standard.

5.3.3 Certification Body Accreditation Surveillance and Reassessment

a. For surveillance and reassessment of the CB accreditation for AQMS standard certification, at a minimum, following assessment activities will be conducted, which include:
   - one annual office assessment of the lead office that includes a review of CB client files required per Table 1; and
   - the number of annual witness assessments required per Table 1.

b. Where CB competency or conformity issues are identified by Akkreditierung Austria, the number of visits to the CB may be increased until confidence of competence and conformance is re-established by Akkreditierung Austria.

c. A CB client file contains information and associated records relating to a specific applicant and/or client, as described in ISO/IEC 17021. Akkreditierung Austria may

conduct part of the file review by remote access, when all of the following arrangements are made with a CB:

- the CB has all client records electronically filed and accessible remotely;
- the CB gives sufficient remote electronic access to the Akkreditierung Austria assessor, allowing them to view all records related to the certification of the client, including granting access to associated application, quotation, auditing, calculation of audit duration, the certification decision, and any of the AQMS auditor's competence and demonstration of competence records;
- the Akkreditierung Austria assessor has been appropriately trained and oriented to the CB's document and records management system to be able to access the associated records;
- the review of client files will be performed prior to the scheduled on-site assessment; and
- at least two of the client files will be reviewed on-site.

TABLE 1 – ACCREDITATION BODY ASSESSMENT REQUIREMENTS OF CERTIFICATION BODIES

Number of AQMS Sites Certified by a CB*	Minimum Number of CB Client Files to be Reviewed Annually*	Number of Annual Witness Assessments*
1-3	All client files	1
4-25	3	1
26-50	5	1
51-90	6	2
91-150	7	2
151-280	10	3
281-500	11	4
501-1200	15	5
1201-3200	18	6

* Quantities based on the OASIS database records at the time of assessment planning.

Ad 5.3.4 Accreditation Body Witness Assessment of Certification Bodies

a. During one complete accreditation cycle and within the scope of each CB's accreditation, the following witness assessments must be completed:
   - each accredited AQMS standard will be witnessed at least once; and
   - each CB certification cycle audit stage (i.e., Stage 1, Stage 2, surveillance, recertification) will be witnessed at least once.

b. The number of witness assessments for each standard will be approximately proportional to the number of certificates issued for each standard.

c. For each audit witnessed, the Akkreditierung Austria assessment team will be present for the whole duration of the CB audit, from the opening meeting to the closing meeting.

NOTE: Akkreditierung Austria will witness as many different authenticated AQMS auditors of the CB, as possible.

Ad 5.3.7 Aerospace quality management system accreditation suspension and/or withdrawal

5.3.7 a

The Akkreditierung Austria's management system provides procedures for the suspension or withdrawal of AQMS accreditation, where the CB has failed to meet the requirements of any part of this standard or the requirements for accreditation. These procedures ensure that any AQMS suspension or withdrawal affects all AQMS standard accreditations. Akkreditierung Austria ensures that where accreditation of a CB for EN ISO 9001 certification is suspended or withdrawn, a decision is taken for the immediate, respective suspension or withdrawal of accreditation for all AQMS standard accreditations (i.e., EN 9100, EN 9110, EN 9120). The reasons for the suspension or withdrawal will be communicated in writing to the CB.

5.3.7 b

The CBMC or SMS will be notified within five business days by Akkreditierung Austria, when accreditation is suspended or withdrawn from a CB. CBMC will update the OASIS database within ten business days to reflect any change in CB accreditation status.

Akkreditierung Austria will communicate withdrawal and the reasons for the action to all other IAQG recognized Accreditation Bodies.

5.3.7 c

In addition to any other arrangements for suspension of CBs, the Akkreditierung Austria's management system provides for a decision to suspend the AQMS accreditation of a CB in the event any of the following specific conditions occur:

- when all of the required annual assessments of a CB are not conducted;
- when a CB is not correctly applying the definitions of nonconformity, as defined in the 9101 standard; or
- when a CB has not taken verifiable correction and corrective action to eliminate the cause(s) of a nonconformity.

5.3.7 e

When the accreditation of a CB having AQMS certification within its accredited scope is suspended, but not withdrawn/expired, the following requirements are imposed on the CB. The suspended CB shall:

- notify all of its existing and applicant AQMS clients of its suspended status and any consequences that may have an impact on the client, within 15 calendar days of the suspension decision being provided to the CB;
- continue to perform required surveillance and recertification audits;
- not conduct any Stage 1 audits for initial certification;
- not conduct any certification scope extensions;
- not accept any AQMS certificate transfers of clients from other CBs;
- obtain a documented agreement from Akkreditierung Austria defining the conditions and controls for the issuance of any client certification (new or recertification), during the suspension period, to ensure the credibility of the certification;
- on request, provide Akkreditierung Austria and/or SMS with a documented list of any certifications (new or recertification) issued during the period suspension; and
- adhere to any other conditions that may be imposed by Akkreditierung Austria as a result of the suspension.

- Akkreditierung Austria will initiate the withdrawal process for AQMS accreditation for CB failure to conform to these requirements.

5.3.7 f

CB suspensions, including AQMS standards in the scope of accreditation, that exceed three months in duration is referred by Akkreditierung Austria for review to the SMS or CBMC. Akkreditierung Austria suspensions of a CB are limited to six months from the date of the suspension decision. Where the reasons for the suspension are not resolved within the six-month period, Akkreditierung Austria determines whether the CB accreditation for all AQMS standards will be withdrawn.

Ad 5.3.8 Closure of accreditation body issued nonconformities

5.3.8 a

Akkreditierung Austria ensures, that Form D from EN 9104-002:2012 is used for accreditation assessments and that all nonconformities identified during assessment activities of CBs have been contained; satisfactorily corrected with root cause analysis; and the corrective action has been implemented, reviewed, accepted, and verified within 90 calendar days of the date that the nonconformity was raised.

5.3.8 b

If nonconformities are not closed within 90 calendar days, Akkreditierung Austria initiates the process to suspend the CB's AQMS accreditation or in the case of initial application for AQMS standard accreditation, initiate a process that includes written communication of the reason to terminate further processing of the CB's application.

Ad 5.3.9 Certification body re-application for aerospace quality management system accreditation

Akkreditierung Austria, which is approved by the ICOP scheme, will reject an application for AQMS accreditation for a minimum of 12 months after suspension, withdrawal, expiry of the accreditation of a CB, or termination of an application, in accordance with the requirements of this standard.

Ad 6 Requirements for certification bodies

6.1

CBs seeking accreditation and subsequent recognition under this standard shall first be accredited to EN ISO/IEC 17021 and applicable IAF mandatory documents. The CB shall have been accredited for EN ISO 9001 certification for at least one year by an IAF MLA signatory Accreditation Body, prior to submitting an application.

Ad 6.7 Minimum Requirements for CBs to obtain AQMS standard(s) accreditation

6.7 j

The CB shall establish a complaint/issue resolution process. The process shall ensure:

- all requests for corrective action are responded to within 30 calendar days from receipt of complaint;
- all feedback received is reviewed and, if response requested, the response is provided within 30 calendar days from receipt of complaint;
- if the CB determines that a short notice audit is necessary, this audit shall be completed within 90 calendar days from receipt of the complaint; and
- an effective corrective action process that provides for containment activities, conformance to the applicable standard is re-established, completion of root cause analysis, corrective actions addressing all root causes, and a completion date for the implementation of all corrective actions is defined.
- The CB shall be responsible for the resolution of all complaints. Complaints that cannot be resolved by the CB shall be referred to Akkreditierung Austria.

Ad 13.5 Certification structure oversight subcommittee

a. The IAQG OPMT will establish a subcommittee which shall have the responsibility to review and provide recommendations related to CB audit program proposals for complex certification structures.
b. This subcommittee shall also be utilized by the OPMT to review any complaints received related to certification structure decisions.
c. This review process shall be documented by the OPMT and will include requirements for sub-team representation (e.g. AB's, CB's, IAQG members), team member qualifications, and the timely management of CB requests.
d. The results of these reviews and lessons learned will be reported to the OPMT.