REGULATION FOR THE MANAGEMENT SYSTEMS CERTIFICATION IN THE AEROSPACE AND DEFENCE SECTOR

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Rev. No.	SUMMARY OF CHANGES	DATE
10	Elimination of the requirements on the use of trademarks and inclusion in a specific Regulation	2025-11-19
9	Review of the audit methods with reference to the applicability of ITAR and EAR regulations.	2024-03-07

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1. SCOPE AND FIELD OF APPLICATION

This document governs the relationship between Kiwa Cermet Italia S.p.a (hereinafter Kiwa Italia or Kiwa) and an Organisation that makes use of the work performed by Kiwa Italia as Certification Body of Quality Management Systems for Aerospace and Defence.

Thus it defines the conditions for the issue, maintenance, suspension and withdrawn of the certification within the scheme of certification relating to EN 9100/9110/9120 Standards.

The requirements expressed in this document are an integral part of the Regulation for certification of the Management Systems *RG 01A* and of the economic offer.

These requirements:

- only refer to aspects specifically connected to the scope of application of the required certification;
- supplement those reported in the document RG 01A (for anything not mentioned in this document, refer to the RG 01A of which this document is a supplementary annex); with regards to any requirements in contrast with those reported in RG 01A, the requirements in the document shall apply.

2. ASSESSMENT REQUIREMENTS

Certification projects are managed according to the rules:

1. UNI EN 9100/ AS9100D Quality Management Systems - Requirements for Aeronautic, space, and defence Organisations (based on ISO 9001 standard).
2. EN 9110/AS9110C Aerospace series - Quality management systems - Requirements for Aviation Maintenance Organization.
3. EN 9120/AS9120B Aerospace series - Quality management systems - Requirements for Aviation, Space and Defence Distributors.
4. EN 9104-001 Aerospace series Quality management systems PART 001: Requirements for Aviation, Space, and Defence Quality Management System Certification Programs.

The aforementioned standards are intended in the current revision, except for validity of overridden revisions for any transitional periods, formally communicated by Kiwa Italia with their relative regulation.

3. DEFINITIONS

Without prejudice to the validity of the findings classification reported in RG 01A, for the specific aerospace scheme the following definitions apply:

Containment of the non-conformity

It is the action which has the aim to control and mitigate the impact of non-conformities (stop the problem before it gets worse) and protect the assets of the customer Organisation. The containment of non-conformities includes: its correction, immediate corrective action, immediate reporting and assessment that the non-conformity does not degenerate further.

Major non-conformity

Non-fulfilment of a requirement that is likely to compromise the integrity of the quality management system (QMS) or reduce its ability to ensure the effective management of the processes or the conformity of products; may constitute one or more of the following situations:

- a non-conformity whose effect is considered detrimental to the integrity of the product or service provided;
- the absence or the total deviation of the system from the 9100 series standard requirement or of the Organisation, or the customer;
- each non-conformity that has the likelihood of causing the shipment to the customer of a non-conforming product;
- each non-conformity that could result in the impossibility, or even reduce the possibility of product or service use, for its intended use.

Minor non-conformity

Non-fulfilment of a requirement that has no significant likelihood to compromise the integrity of the quality management system (QMS) or reduce its ability to ensure the effective management of the processes or the conformity of products; may constitute one or more of the following situations:

- an isolated violation or deviation of the conformity to a requirement of the system of the 9100 series of standards, or the customer, and/or
- an isolated violation or deviation of the conformity with each requirement provided by a procedure of the Organisation's quality management system.

A certain number of minor non-conformities, compared to the same requirement, can represent a loss of integrity of the management system, and the occurrence of such can be considered a major non-conformity.

OASIS (On line Aerospace Supplier Information System)

database on the IAQG website for the management and exchange of information by the IACQ member organisations, of the national associations of aerospace manufacturers (in Italy: AIAD), national accreditation bodies (in Italy: ACCREDIA), and accredited certification bodies (CB – Certification Body).

It is the only tool used for sharing all the related Audit documentation and the Audit Report between the audit team and the company.

IAQG (International Aerospace Quality Group)

is a group made up by representatives of industries and other organisations in the aerospace and defence sector for America, Asia and Pacific, and Europe, with the scope of developing initiatives to obtain significant quality improvements and cost reduction along the entire value chain of the industrial chain operating in said sector.

OPTM (Other Party Management Team)

Original Equipment Manufacturer Body of the aerospace sector that is responsible for managing the ICOP (Industry Controlled Other Party) scheme

SMS (Sector Management Structure)

Committee established by IAQG that manages the application and monitoring the ICOP scheme

SAE: Society of Automotive Engineer, owner of the OASIS database

AIAD. Industries Association for Aerospace, Systems and Defence

RMS (Regional Management structure)

SMS committee which operates nationally, is responsible for the compliance with standards of the 9104 series and has the same functions as the SMS under its control

OIN (OASIS Identification Number)

Identification number issued by OASIS which uniquely identifies:

• Each site or physical location of a company

• Any site or location in an organization listed on a QMS certificate

OASIS Supplier Admin

Customer person in charge of keeping the organization and its OASIS users updated on OASIS

Supplier Representative

Person indicated by the customer organization authorized to countersign on OASIS, the audit documents (for example non-compliance reports).

4. ACTIVATION OF THE SERVICE

In addition to what is indicated in RG 01A, for the activation of the specific certification service for the Aerospace, the client company that intends to request Kiwa Italia must access the DB OASIS for the first time and register the company.

Upon registration, general user information will be requested and will be provided by the personal Username and Password DB.

The customer organization must identify a "Supplier Administrator" and a "Supplier Representative", which could also be the same person.

This registration is mandatory in order to obtain the OIN, which will be necessary for the planning of the Audits.

Among the data and information that the Organization must provide when applying for certification, there is also information on restrictions on the import / export of products / information and related controls / authorizations by the authorities (eg: government regulations for trafficking / export of weapons / dangerous materials).

After the start of the certification process, in cases where the client organization is subject to important internal changes, which impact on the certification process, these must be communicated to Kiwa Italia at least 3 months before the execution of the initial verification in order to allow Kiwa Italia to review the contractual and planning aspects of the Audit. The information that must be promptly communicated relates to:

1. Change in number of employees involved in certification activities;

2. Possible presence of work shifts, part-time or seasonal;

3. Number or variation of sites;

4. Change or replacement of the Process Owners;

5. Company changes (mergers, incorporations, company branch transfers, company name changes, etc.).

Should any changes be communicated by the company that impact on the conformity assessment activities (and on the basis of which the offer was issued and the contract was signed), Kiwa Italia reserves the right to modify the contractual conditions accordingly, the customer remains entitled not to accept the new conditions but to pay Kiwa Italia the consideration for the activities carried out up to that point.

5. SERVICE DESCRIPTION

5.1 Initial Certification Audit

Stage 1

Stage 1 of the initial assessment must always be performed On Site, at the Organisation's requested certification premises.

The Organisation shall make all information and documentation necessary for the review of its System available to Lead Auditor, including the list of the main Aerospace and Defence customers (and those operating in other activity sectors but requesting conformity to the 9100 series schemes).

In addition to that specified in the RG 01A, the stage 1 audit is to assess/identify:

- the procedures for checking the production process (for example: approval for production, checking of production planning requirements for First Article Inspection, as required by the contract);
- product prevention and preservation programs (for example: from intrusion/damage from foreign objects - FOD)
- special requirements for workplaces (e.g.: shielding from electromagnetic interference; temperature/humidity/pollution controlled rooms - clean rooms, measuring rooms, etc.);
- status of specific approvals, restrictions, suspensions and/or revocations issued by the customer, including any authorities delegated to the resolution of the non-conformity and/or authorisations for the direct shipment of the product to the users;
- procedures for managing Counterfeit Parts
- how to manage the Human Factor
- the applicability of ITAR (International Traffic in Arms Regulations) and EAR (Export Administration Regulations) on export and import of certain technologies in the United States of America.

In addition, criteria and methods undertaken by the Organisation are to be evaluated for keeping subcontracting activities under control in order to establish consistency with the responsibility of the Organisation in terms of mandatory aspects (e.g. airworthiness, etc.) of the product supplied.

Stage 2

Checks on stage 1 and stage 2 cannot be performed consecutively.

In addition to what is indicated in RG 01A, stage 2 must also cover the following:

- the analysis of the context and of the interested parties;
- information and evidence regarding compliance with all the requirements of the standard;
- the monitoring, measurement and review of performance, with reference to the fundamental objectives and targets of the performance itself (consistently with the expectations of the standard);
- the customer's system and performance with reference to compliance with legal requirements;
- keeping company processes under control;
- internal audits and management review;
- management's responsibility for corporate policies and objectives;
- the links between the regulatory requirements, the policy, the objectives and performance targets (consistently with the expectations of the standard), all the applicable legal requirements, responsibilities, staff competence, activities, procedures, performance data and the results and conclusions of internal audits.

For any reported non-conformities the regulations listed in par. 5.4shall apply.

As a result of the initial certification audit, within 30 days from the date the certificate is granted, the information relating to the audit performed contained in the OASIS database is updated.

Issue of certification

The certification referring to aerospace industry standards cannot be issued until all non-conformities (major and minor) have been positively corrected, through analysis of the causes and checks by Kiwa Italia of the effectiveness of the corrective actions.

The issue of the certificate of conformity is subject to registration on the IAQG OASIS database by the Organisation, as a result of the features of the scheme, through the appointment of a representative to be authorised to access in their capacity as "*supplier administrator*" on the IAQG OASIS website and, after the resolution of the certification, for the inclusion and maintenance of the certification status of the Organisation in the aforementioned database.

Certification in respect to the EN 9100/9110/9120 standards automatically includes the certification EN ISO 9001 standard in reference to the determined scope of application.

Kiwa Italia may issue a single certificate that shows conformity with aerospace standards and EN ISO 9001 standard, or two separate certificates. If it is necessary for two separate certificates to be issued, one for the EN 9100 series standard and the other for the ISO 9001 standard, it can be done on the condition that the two certificates are interconnected. In cases where the purposes of certification do not coincide, the single certificate shall report the part common to the scope of application for the two standards.

5.2 Surveillance Audits

For any reported non-conformities the regulations listed in par. 5.4shall apply.

Information relative to the surveillance audit operations is included in the OASIS database within 90 days of the conclusion of the on-site audit.

5.3 Renewal Audit

The renewal of the certification is usually planned and conducted at least 3 months in advance of the expiry of the validity of the certification.

For any reported non-conformities the regulations listed in par. 5.4 shall apply.

Information relative to renewal audit operations is included in the OASIS database within 30 days from the date of renewal of the certification.

5.4 Non-conformity management

For any reported non-conformities:

a) If the nature of the non-conformity requires an immediate containment action, the Organisation must establish and formalise said action within 7 calendar days from the date of audit conclusion. The immediate containment action shall be evaluated by the Manager of the Kiwa Italia Audit Group within 14 calendar days after the end of the audit;

NOTE *"the containment action, where applicable, must include immediate notification to the customer of the detected or suspected defects on the shipped product"*

b) The customer must establish, formalise and submit the analysis of the causes that have generated the non-conformity, the correction and corrective actions to Kiwa Italia, within 14 calendar days from the end of the audit.

c) Once Kiwa Italia has analysed the audit report to confirm or not its contents and the corrective action plan received from the Organisation, it shall notify the customer within 30 calendar days from the completion of the audit, of the subsequent actions in relation to the closure verification of the non-conformity: audit at the customer Organisation and/or check through documentary evidence;

d) Kiwa Italia must ensure reinstatement of the conformity to the requirements of the standard within 60 calendar days from the audit's conclusion, failed reinstatement within said period shall mean that Kiwa Italia triggers the process of certification suspension for already certified Organisations (ref. par. 8).

6. SUSPENSION, WITHDRAWAL OF CERTIFICATION

In addition to the cases already specified in RG 01A, certification can be suspended or revoked in the following cases:

1. the Organisation does not allow Kiwa Italia to check the closure of the non-conformity detected within 60 days of issuing the non-conformity report;
2. the Organisation does not properly manage the aspects related to the appointment and update of its administrator for the OASIS database. In this case Kiwa Italia may suspend the certificate issued or delay renewal;

In the event that certification is suspended, a corrective action plan must be prepared and shared between Kiwa Italia and the Organisation. If the plan is not shared the Organisation may appeal, starting the relative process as described in RG 01A.

The organisation must inform its aerospace and defence customers of the suspension of the certification.

In the event of suspension or revocation of certification, Kiwa Italia shall promptly inform AIAD/CBMC with an *alert note* and update the OASIS database within 14 calendar days from the date of suspension or revocation of the certificate.

7. USE OF THE CERTIFICATION MARK

Customers with a certified Management System can choose whether or not to use the certification mark granted by Kiwa Italia.

If using the certification mark, the customer must comply with all applicable rules set forth in the Kiwa Certification Regulations and the Regulations for Use of the Mark, which are referred to (www.kiwa.it).

Organisations holding certification with reference to aerospace standards may also use the AIAD logo, on their headed paper, on invoices and any *brochures*, with the following specifications:

- the minimum dimensions shall be sufficient to ensure the wording in the logo itself remains legible
- the maximum dimensions are not subject to limits
- the original colours of the logo must be complied with.

The AIAD logo is copyrighted and may not be used except to indicate that the Organisation is in possession of the certification according to the applicable aerospace Standard.

Fig. 1

min.
20,0 mm

Compositional aspects of the AIAD-SCSA logo – MINIMUM DIMENSIONS: SUFFICIENT TO ENSURE THE WORDING IN THE LOGO REMAINS LEGIBLE – MAXIMUM DIMENSIONS: NOT PROVIDED – COLOURS: ONLY THE ORIGINAL ONES

8. ORGANISATION COMMITMENTS

In addition to what is specified in the RG 01A regulation, the Organisation undertakes to:

1. Promptly communicate to Kiwa Italia before the audit activities, the presence of any areas subject to access / confidentiality restrictions which for this reason cannot be audited; so that such information can be taken over and previously transmitted by Kiwa to its own assessors and where applicable to the accreditation body's assessors;
2. Accept the presence of IAQG OPMT, SMS or RMS representatives who may accompany the assessment team as observers of the assessment process at any time. When the Customer or the representative of the Authorities is involved in the assessment, the Evaluation Group Manager is entitled to include any findings made by these representatives in his/her report. If the Organisation does not give its consent, the certificate is suspended;
3. to promptly advise Kiwa Italia regarding complaints, disputes and complaints received by the aerospace manufacturers, regarding the quality of supplies and/or products, output of the Organisations themselves. Likewise, Kiwa Italia shall send to the Italian Accreditation Body (ACCREDIA) a concise statement relating to these complaints and actions taken to monitor the management thereof, by certified Organisations. Likewise ACCREDIA will inform the CBMC of the AIAD of these events and their management, in order to allow monitoring;
4. keep the mandatory requirements for law and regulations under control (including the constraints inherent in the continuing airworthiness when applicable), as part of the requirements for compliance with the aerospace design, implementation, maintenance and storage requirements provided by the EN 9100, 9110, 9120 standards;
5. appoint, before the end of the activities of initial assessment and maintain updated, once certified, an administrator for the OASIS database that has the task of: keeping updated the personal data of the Organisation (name, address and certified sites, Organisation contact references, name of the *supplier administrator*), amending them only after approval received from Kiwa Italia, authorise access to audit results to other users and manage reports from customers or other interested parties;
6. provide, if requested, the audit documentation (audit report and other documents related to it), through the OASIS database or by other means: to its actual or potential customers and to the competent aviation, space and defence Authorities, unless there are reasons justifying such confidentiality of these documents (for example: confidentiality commitments with regard to competition; conflict of interest);
7. immediately notify revocation of the certification to its industry customers, if the situation should occur;
8. Grant right of access to its facilities to customers and to the Competent Authorities who request it.

9. AUTHORISATION DATA SUBMISSION FOR OASIS DATABASE

The Organisation authorises Kiwa Italia to use the information and documents produced as a result of the EN 9100/9110/9120 audits, performed at its offices for update of the OASIS database. SAE reserves the right to directly request the certified Organisation authorisation to advertise the data and the appointment of a data manager.

10. SCOPE EXTENSION FROM ISO 9001 TO EN 9100/9110/9120 CERTIFICATION

In the event of transition from ISO 9001 certification to an EN 9100 series, all processes must be re-evaluated in full in the interests of airworthiness. It is therefore not permitted for only the deviations from the ISO 9001 standard to be evaluated.