



Changes in

AS9101 & AS9104

How the Revisions Affect Businesses
Servicing the Aerospace Industry

Our Panelists



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Agenda

- Why the Changes? ✓
- Revised Standards & Transition Timeline ✓
- Audit Duration & Reductions ✓
- Certification Structures ✓
- Risk Determination ✓
- Organizational Certification Analysis Process (OCAP) ✓
- Organizational Context ✓
- DEKRA Transition Plan ✓
- Q&A ✓

Why These Changes?

- Revisions to IAF documents that are in-line with current requirements of the scheme (e.g., ISO/IEC 17021-1, IAF Mandatory Documents)
- Implement risk-based auditing and oversight
- Improve CB/Auditor accountability
- Reduce variation due to site structure confusion
- Remove redundant confusing items from the standards and align the standards in the series

Main Takeaway:

No change in AS9100,
AS9110, or AS9120
standards

Reference Standards Affected



AS9104-1

Requirements for Certification of Aviation, Space, and Defense Quality Management System Certification Programs



AS9104-2

Requirements for the Oversight of Aviation, Space, and Defense Quality Management System Certification Programs

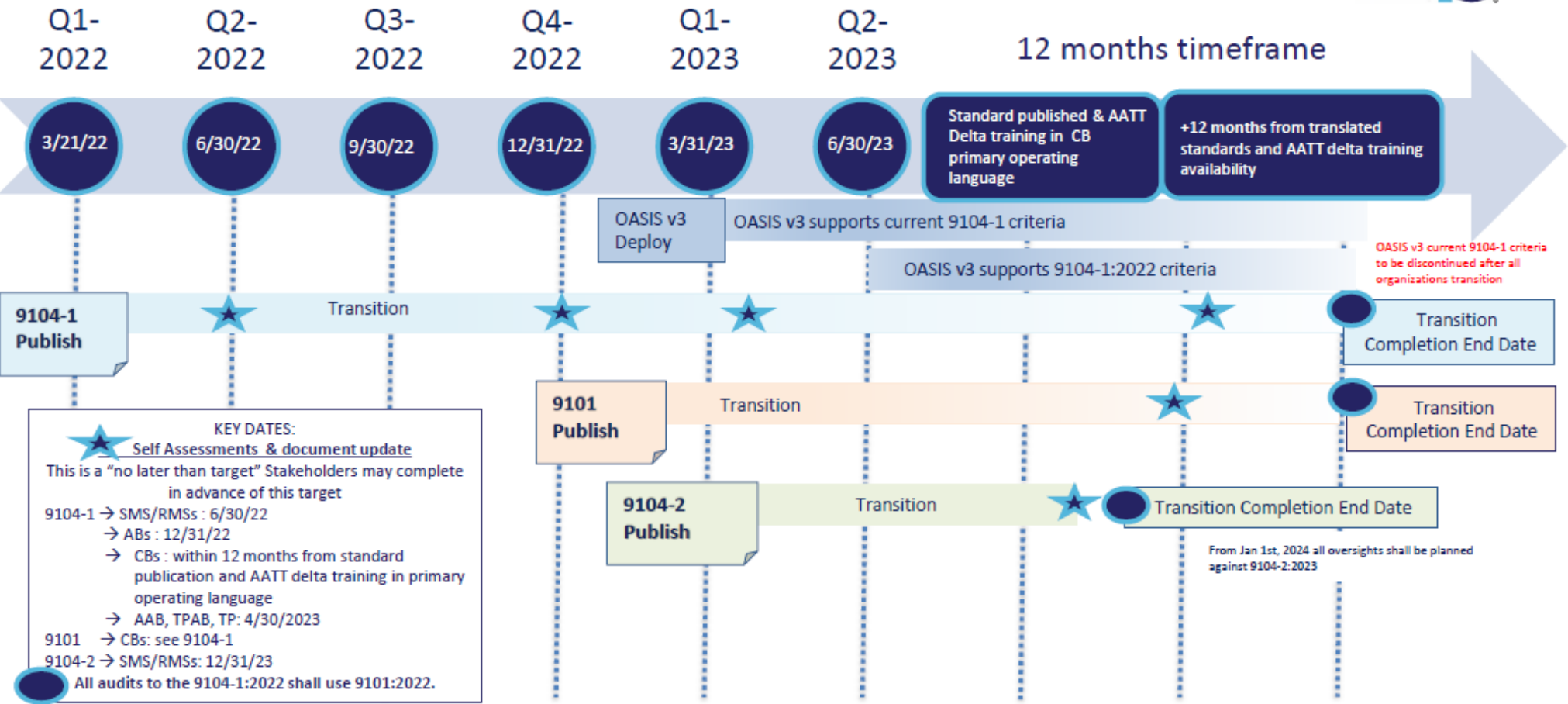


AS9101

Requirements for Conducting Audits of Aviation, Space, and Defense Quality Management Systems

Transition Timeline

ICOP Scheme Transition Deployment Roadmap



What Is Changing?

AQMS Standard Certified Organizations shall:

- Work with their DEKRA 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.
- Campus Structure removed
- Ensure that the selected certification structure does not conflict with customer, regulatory, or other requirements.
- Provide DEKRA with information required for the OCAP review at least 90 days prior to the 9104-1:2022 transition audit.

Main Takeaway:

Send to
DEKRA Clients in
Scheduling Form

Audit Duration per Site

Number of Personnel	Initial Audit Duration	Annual Surveillance Audit Duration	Recertification Audit Duration
1-5	2	1	2
6-10	2.5	1	2
11-15	3	1.5	2.5
16-25	3.5	1.5	3
26-45	5	2	4
46-65	6	2.5	4.5
66-85	7	3	5.5
86-100	8	3	6
101-125	8.5	3.5	6.5
126-175	9.5	4	7
176-275	10.5	4	8
276-425	12	5	9
426-625	13	5.5	9.5
626-875	14	5.5	10.5
876-1175	15	6	11

Source:
AS9104-1 Table 8

Allowable Site Audit Duration Reductions

PROCESSES (not present at site)	AUDIT DURATION REDUCTION
Management of QMS	10%
Design and Development of Products and Services	20%
Control of Externally Provided Processes, Products, and Services	15%
Control of Production and Service Provision	20%

Source:
AS9104-1 Table 10

Certification Structure



Main Takeaway:

Elimination of Campus,
Several Site, and
Complex structures

Single-Site Certification Structure

shall have one address documented on the certificate and in the OASIS database.

A single site may have additional buildings and addresses at the same geographical location; however, these buildings and addresses will not be listed in the OASIS database.

Multi-Site Certification Structure

the central function and all applicable sites shall be listed on the certificate and in the OASIS database.

NOTE 1: Considerations for a single or multi-site structure can include additional buildings such as a warehouse, test facility, or other structures.

NOTE 2: If additional addresses are needed to define the business locations or sites to support customer interactions, then a multi-site structure may be appropriate.

NOTE 3: The **central function may be a virtual site or part of a site** (e.g., the organization's HQ).

Organization Risk Determination

RISK FACTOR	DATA SOURCE	LOW (1)	MED (3)	HIGH (6)	RISK SCORE
Complexity	Figure 2	Low	Med	High	A
Internal Audit	Table 5	Low	Med	High	B
On-time Delivery	Organization	Exceeds	Meets	Below	C
Conformity of Delivered Product or Service (e.g., item escape rate)	Organization	Exceeds	Meets	Below	D
Customer Complaints/Feedback	Organization	Exceeds	Meets	Below	E
AQMS Process Effectiveness from Previous Audit Report	PEARs (lowest value)	5	3-4	1-2	F
Total Risk Score = $\sum(A+B+C+D+E+F) = R$					R
When R = (36 to 25) Risk is HIGH (24 to 12) Risk is MED (11 to 6) Risk is LOW					

Source:
AS9104-1 Table 7

Certification Analysis Process - OCAP

RISK ANALYSIS	% CHANGE
Low	Minus 10%
Medium	No Change
High	Add 10%

Source:
AS9104-1 Table 9

OCAP Example

Organizational Risk Analysis – Example Single Site AS9100 Organization – Find Risk (R)

The organization is 100 persons single site that Design and Develop small and medium size solenoids for use in AS&D products

- Internal audits are performed once a year of the entire AS9100 system
- OTD KPI goal = 95% actual is 97%
- Quality Escape KPI goal = 99% actual is 97.5%
- Customer Feedback scores are above or highest (Gold, CPARs blue, No issues, within range, 95%, etc.)
- 3 PEARs from last audit all PEARs are 5

Organizational Risk Analysis – Example Single Site AS9100 Organization – Find Risk (R)

- Risk = $\sum(A+B+C+D+E+F) = R$ [Table 7](#)
 - A = Complexity (lower right quad [Figure 2](#)) Med = 3
 - B = Internal Audit ([Table 5](#)) Med = 3
 - C = On Time Delivery ([Table 6](#)) Low = 1
 - D = Customer Quality ([Table 6](#)) High = 6
 - E = Customer Satisfaction ([Table 6](#)) Low = 1
 - F = Process Effectiveness ([Table 6](#)) Low = 1
- $R = \sum(3 + 3 + 1 + 6 + 1 + 1) = 15$ R = (36 to 25) Risk is HIGH
- No 10% reduction or addition to audit duration (24 to 12) Risk is MED
(11 to 6) Risk is LOW

Organizational Context in AS9104-1

8.5.1.3 Organizational Context

8.5.1.3.1 CBs shall engage with applicants and certified organizations to determine the context of the organization and scope of certification.

8.5.1.3.2 Scope statements shall summarize the organization's products, services, and supporting activities (e.g., manufacture, design, repair, distribution, servicing, testing), and align with the organization's AQMS.

NOTE: Non-applicable AQMS requirements should be considered when determining the certification scope statement.

8.5.1.3.3 The AQMS standard(s) (i.e., 9100, 9110, or 9120) utilized for certification shall be selected based on the organization's scope of certification.

NOTE: Refer to the "Intended Application" of the AQMS standards to determine the selection of the appropriate standard.

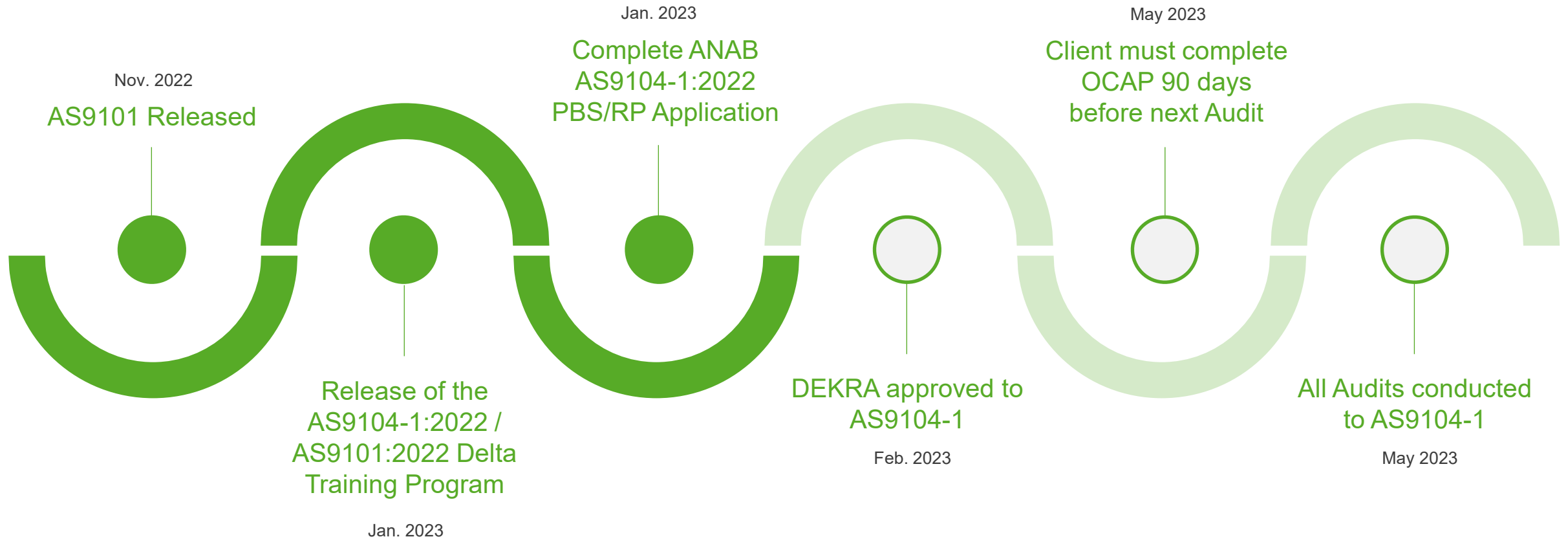
8.5.1.3.4 CBs shall require that organizations provide information regarding the use of additional aerospace standard(s) listed within the IAQG Standards Register during the initial Stage 1 audit and update, as needed, prior to surveillance or recertification audits (see Table 4).

NOTE: CB auditors should use information about additional IAQG standards to support the audit scope.

**Main
Takeaway:**

Let's talk
Organizational Context!

The DEKRA Transition Plan



Notifications to be sent to DEKRA clients in January 2023

Additional Resources

9104-1:2022, 9104-2:2023 and 9101:2022 Transition:

Please click the links below to access the IAQG Other Party Management Team Information:

- 2022-12-07 – [SR004 for 9104 Series Transition Rev B v2](#)
- 2022-02-18 – [9104-1 Top Level Changes](#)
- 2022-10-21 – [9104-1 FAQs r1](#)
- 2022-10-21 – [OCAP Tool r10](#)
- 2022-12-01 – [ICOP Scheme Transition Roadmap](#)

Questions & Answers

Please enter your questions
in the Q&A panel

