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**1 SUBJECT AND FIELD OF APPLICATION**

This document constitutes the special regulations relative to the "Scheme for the certification of aerospace quality management systems. In other words, it defines and describes the conditions and procedures applied by DNV Italy for the certification and registration of Company Quality Systems operated by organisations that supply products and/or provide services, in accordance with the following standard:

- ♦ EN 9100, 2003 edition.

This document defines the complementary (and not alternative) conditions and procedures to this specific scheme with respect to that which has been defined in:

- "Regulations for the certification of company management systems";
- Special regulations relative to the "Scheme of certification for quality management systems".

Said document is therefore also applicable in its entirety to this scheme except for the changes specified in these regulations.

**1.1 Remarks relative to EN 9100:2003**

General remarks relative to EN Standard 9100:2003:

- The aforementioned Standard defines and includes applicable aerospace requisites that have been integrated in Quality Management Systems based on the ISO 9001:2008.
- The structure of the standard is based on ISO 9001:2008, to which supplementary requisites, which are exclusive to the aerospace sector, have been added.
- An organization that is certified according to EN 9100:2003 is therefore also certified according to ISO 9001:2008 for those parts that are common to both standards (sites, field of application).

Important: In order to issue a certificate according to EN 9100:2003 the organisation must be audited with respect to all elements/requisites of the standard.

**2 SPECIAL RULES – CERTIFICATION ACCORDING TO EN STANDARD 9100:2003**

**2.1 Reference documents**

The standard and the documents of reference for the certification and registration of Aerospace Quality Management Systems are the following::

- |                            |  |
|----------------------------|--|
| <b>2.1.1 EN 9100:2003</b>  | Aerospace Series Quality Management Systems – Model for quality assurance in design, development, production, installation and servicing |
| <b>2.1.2 EN 9101</b>       | Quality System Assessment (associated with EN 9100)  |
| <b>2.1.3 EN 9104</b>       | Requirements for Aerospace Quality Management System Certification / Registrations Programs  |
| <b>2.1.4 AIAD/CBMC/001</b> | Schema di Certificazione del Settore – Aerospaziale – Procedura operative (Aerospace Sector Certification Scheme – Operating procedure)  |
- The following documents constitute references that are taken into consideration by DNV Italy in the application of this scheme:
- |                            |  |
|----------------------------|--|
| <b>2.1.5 EN 9102</b>       | First Article Inspection   |
| <b>2.1.6 EN 9130</b>       | Record Retentions  |
| <b>2.1.7 ISO 10007</b>     | Guidelines for Configuration Managements   |
| <b>2.1.8 SINCERT RT-18</b> | Prescrizioni integrative per la valutazione e la certificazione dei Sistemi di Gestione della Qualità per le aziende del settore Aerospaziale.<br>(Integrative regulations for the evaluation and certification of Quality Management Systems of companies in the Aerospace sector). |
| <b>2.1.9 EN 9104-002</b>   | Aerospace series – Quality management systems – Part 002: Requirements for   |

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2.1.10 AIAD/QC/24652	Oversight of Aerospace Quality Management System Procedura per la autenticazione dell'esperienza aerospaziale dei valutatori di Sistemi Qualità. (Procedure for the authentication of aerospace experience of Quality System auditors).
2.1.11 AIAD/QC/25035	Politica AECMA sulle Valutazioni e Certificazioni di Sistemi di Gestione della Qualità a fronte della EN9100 (AECMA policies concerning the evaluation and certification of Quality Management Systems according to EN9100)
2.1.12 EN 9100 Annex A	Quotation & Quote Review

**2.2 Basic conditions for the issuing of the certificate**

The organisation must have a documented quality system (Manual, Procedures) that is in accordance with the requisites of the standard chosen for certification.

The organisation must demonstrate "in the field" that it operates its quality system in accordance with the requisites of the system documentation and with the standard of reference. Additionally, DNV Italy unequivocally informs the Organisations requesting certification according to the standard for the Aerospace Quality Management Systems that the prerequisite for the activation of the audit process is the analysis of the critical nature of the product and the order, as well as the relative processes/activities/processing that can impact said requisites. All of the risk factors cited are adequately pointed out through audit activities, technical and instrumental audits and the relative registrations.

At the moment of the Initial Audit for certification:

- a) The system must have been operative for at least 3 months.
- b) At least one entire cycle of internal quality audits must have been completed.
- c) At least one Management Review must have been carried out.
- d) The following must be available: Monitoring results and measurements, risk analyses, FOD management.

**2.3 Prices**

DNV Italy elaborates and transmits a specific quotation that is complete with all information relative to technical aspects and costs to each company requesting an offer. Said quotation is based on the following aspects: the number of company employees, the standard/s of reference, the number of production units, the geographical location of the production unit/s, the number and characteristics of the products and/or production processes, the requisites established by the Accreditation Body in terms of the minimum amount of time to be dedicated to audit activities based on the size of the company.

The price quotation specifies:

- 1) The breakdown of the price according to the following factors:
  - a) certification activities,
  - b) maintenance/surveillance activities,
  - c) expenses,
  - d) supplementary and/or extraordinary audit activities (invoiced only should they become necessary),
- 2) The invoicing conditions.

All prices are subject to VAT.

The specific procedure of reference is EN 9100 Annex A, which recognises the instructions set forth in Sincert document RT-18. In particular, the audit days reported in EN 9100 Annex A are added to those already provided for in the ISO 9001:2008 Price Policy.

**2.4 Request for certification**

If the organisation decides to use the services offered, it must return the "Request for Certification" form, completed and duly signed by an authorised representative of the organization, to DNV Italy.

**2.5 Audit activities**

Audit activities are carried out as described in chapter 4 of the "Regulations for the certification of company management systems".

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**2.6 Classification of findings**

DNV Italy adopts the classification cited in "General Regulations (std-ce-amsc)", section 4.4.5 for findings that come to light during audits (initial, surveillance, and recertification) with respect to the product and/or quality system, split into critical, important and secondary findings.

**2.7 Resolution of Non-conformities and Observations**

Please refer back to that which is provided for in the document "General Regulations (std-ce-amsc)" section 4.4.6.

**2.8 Audit for the closing of non-conformities**

Please refer back to that which is provided for in the document "General Regulations (std-ce-amsc)" section 4.5.

**2.9 Issuing of the certificate of conformity**

The issuing of certification according to EN 9100 may take place only in the absence of any type of Non-conformity: major or minor. If Non-conformities - major or minor - are found during the audit, they must all be corrected in a satisfactory manner which includes an analysis of the root causes and corrective actions verified by DNV Italy. Upon successful completion of the initial certification activities, modification of scope and recertification and after the verification of the paperwork on the part of the Technical Review Team, the report is sent to "Veto Power" for its decision regarding the issuing of the certificate of conformity for the standard of reference.

**2.10 Periodic maintenance audits**

The surveillance of the certified systems foresees:

- ♦ 2 or 3 periodic maintenance audits (at 12 and 24 months or after 9, 18 and 27 months from the certification). These frequency intervals are based on the complexity, critical nature of the production / activities / processing (risk analysis), size of the Organization.
- ♦ Periodic audit of the system (complete, see the following section 2.11).

If the Organisation expresses special needs during the request for certification phase, other frequency intervals for the surveillance may be taken into consideration (e.g. an audit every 6 months). In any case, the decision regarding the typology of the surveillance to be applied is that of DNV Italy and will be established during the request for certification phase or during the periodic audit of the system.

The organisation can request a change in the frequency intervals of the periodic maintenance audits only at the time of the periodic audit of the system which occurs every 3 years.

N.B.: Independently of the typology of the established surveillance, the time dedicated to the surveillance will remain unvaried; therefore, if the frequency of the audits diminishes, the time dedicated to each single audit activity will increase. When determining the dates foreseen for the periodic maintenance audits and/or periodic audit of the system, the "nominal/theoretical" deadline is used; in other words, any anticipation or postponements that occurred during the course of the performance of the previous audit are not taken into consideration.

DNV Italy reserves the right to apply a tolerance with respect to the nominal frequency interval of the audits; in any case the number of audits to be performed over the course of the three-year period of the certificate's validity must be observed. Any postponement of the date of an audit beyond the terms of the regulations must be made up at the first or second subsequent audit, when possible.

**In no case may the period of time between the closing of the initial audit and the first subsequent periodic maintenance audit exceed 12 months.**

The audits cover the elements of the system indicated in a specific "Periodic Audit Schedule" issued to the organisation upon completion of the initial certification activities.

**2.11 Periodic audit of the system**

The quotation with the calculation of the days relative to the periodic audit of the system (at an interval of every three years) is equal to 60 - 65% of the value of the "Certification Activities" (compare with point "a" of the preceding section 2.3) indicated in the order confirmation. Three months prior to the expiration of the certificates, DNV Italy elaborates and transmits a specific offer relative to the Periodic Audit of the system according to that which is already provided for in section 2.3. If there has been an increase in prices during the course of the three-year period, the price applied will be that which is in effect at the moment of the Periodic Audit of the system and a specific order confirmation will be issued.

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## SPECIAL REGULATIONS FOR THE CERTIFICATION OF AEROSPACE QUALITY MANAGEMENT SYSTEMS



The characteristics of the periodic audit of the system are specified in the "Regulations for the certification of company management systems" and the following is performed in accordance with the scheme applied and the surveillance audits performed:

- **Every 33 months from the certification audit for all schemes (surveillance audits every 6, 9 or 12 months).**

N.B.: When determining the dates foreseen for the periodic maintenance audits and/or periodic audit of the system, the "nominal/theoretical" deadline is used; in other words, any anticipation or postponements that occurred during the course of the performance of previous audit are not taken into consideration.

**When non-conformities are found or situations that do not give evidence of conformity come to light during a certification renewal audit, DNV Italia determines the time limits for the implementation of corrections and corrective actions before the expiration of the certification.**

### 2.12 Multi-site audits

The interpretive document "IAQG ICOP Resolutions Log" is applied in these cases.

### 2.13 Audits performed at sub-contractor premises

DNV Italia reserves the right to perform audits on the premises of suppliers to the organisation (within the sphere of the Initial Audit and/or Periodic Maintenance Audits) in order to verify the effectiveness of the organisation's quality system. This is done particularly when the Lead Auditor decides that the influence of the supplier's products/services impacts significantly on the conformity of the products and/or service of the organisation and the supplier is not ISO 9001 or EN 9100 certified by an accredited body.

### 2.14 Conversion of EN 9100 certificates issued by other accredited Certification Bodies

The activity consists in a preliminary review of the documentation and possibly a conversion audit that covers at least the following elements/requisites of the standard of reference:

- ♦ confirmation that the certified activities fall within the scope accredited by DNV Italy,
- ♦ reasons for the transfer, validity of the accredited certificate,
- ♦ review of the previous reports and Non-conformities,
- ♦ complaints and actions that were undertaken in their regard,
- ♦ the phase of the current certification cycle,
- ♦ review of actions pending towards Bodies in charge of the surveillance of compulsory requisites.

and furthermore:

- ♦ Management responsibilities,
- ♦ checking of documents and data,
- ♦ key characteristics, testing documentation, FOD, checking of products that are not in conformity,
- ♦ corrective and preventative actions,
- ♦ Internal Quality Audits, data analyses, Monitoring results and Measurements.

The audit is also widened to include other important elements / requisites of the standard of reference to evaluate the conformity and the effectiveness of the system based on the information gathered during the Preliminary Visit – Documentation Review.

### 2.15 Concession and use of the mark and certificate of conformity

Once the organization is certified, it has the right to use the mark and the certificate in accordance with the requisites defined in the "Regulations and User's Manual for the DNV Italy System Certification Mark".

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