

SPECIAL REGULATIONS FOR THE CERTIFICATION OF QUALITY MANAGEMENT SYSTEMS IN THE AEROSPACE AND DEFENCE SECTORS

1	SUBJECT AND FIELD OF APPLICATION	1
2	SPECIAL RULES – CERTIFICATION IN ACCORDANCE TO THE STANDARDS EN 9100 – EN 9110 – EN 9120.....	1

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 GL Business Assurance Italia S.r.l. (DNV GL from now on) for the certification and registration of Quality Management Systems operated by Organisations that supply products and/or provide services, in accordance with the following standards:

- EN 9100 - Requirements for Aviation, Space and Defence Organizations
- EN 9110 - Requirements for Aviation Maintenance Organizations
- EN 9120 - Requirements for Aviation, Space and Defence Distributors

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

- “ZEOIT-10-RG-002 (I) Regolamento Generale di Certificazione MSC”
- “Regolamento Particolare per la Certificazione di Sistemi di Gestione per la Qualità”

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

1.1 Remarks relative to the standards EN 9100 – EN 9110 – EN 9120

General remarks:

- The aforementioned Standards define and include applicable aerospace requirements that have been integrated in Quality Management Systems based on the ISO 9001.
- The structure of the standard is based on ISO 9001, to which supplementary requirements, which are exclusive to the Aerospace and Defence sector, have been added.
- An Organization that is certified according to EN 91x0 is therefore also certified according to ISO 9001 for those parts that are common to both standards (sites, certification scope). If requested by customer, eventually parts of QMS with different scope to EN 91x0, need a separate ISO 9001 certificate

Important: In order to issue a certificate according to EN 91x0 the Organisation must be audited with respect to all elements / requirements of the standards.

2 SPECIAL RULES – CERTIFICATION ACCORDING TO THE STANDARDS EN 91X0

2.1 Reference documents

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

- | | |
|---------------------------|--|
| 2.1.1 EN 9101 | Quality Management Systems - Audit Requirements for Aviation, Space, and Defense Organizations |
| 2.1.2 EN 9101 – FAQ | Actual revision – see collegamento |
| 2.1.3 EN 9104-001 | Aerospace series - Quality management systems - Part 001: Requirements for Aviation, Space, and Defence Quality Management System Certification Programs |
| 2.1.4 EN 9101 – FAQ | Actual revision – see collegamento |
| 2.1.5 IAQG Resolution Log | |

Reviewed by: ATF	Valid for: All in DNV GL	Revision: rev. 10	No.: ZSEIT-10-RG-127 (E)
Approved by: TAP	Author: ATF	Date: 2019-04-24	Page: 1 of 5

**SPECIAL REGULATIONS FOR THE CERTIFICATION
 OF QUALITY MANAGEMENT SYSTEMS IN THE AEROSPACE AND DEFENCE SECTORS**

- Actual revision – see [collegamento](#)
- 2.1.6 AIAD/CBMC/001 Aerospace Sector Certification Scheme – Operating procedure - see [collegamento](#)
- The following documents constitute reference that are taken into consideration by DNV GL in the application of this scheme:
- 2.1.7 EN 9102 First Article Inspection
 - 2.1.8 EN 9103 Aerospace series – Quality management systems – Variation management of key characteristics
 - 2.1.9 EN 9131 Non conformance data definition and documentation
 - 2.1.10 EN 9134 Aerospace series – Quality systems – Supply chain risk management guideline
 - 2.1.11 SCMH Supply Chain Management Handbook, ref. [collegamento](#)
 - 2.1.12 ACCREDIA RT-18 Prescrizioni per l’accreditamento degli Organismi operanti la certificazione dei Sistemi di Gestione per la Qualità per le aziende del settore Aerospaziale, Sicurezza e Difesa
 - 2.1.13 EN 9104-002 Aerospace series – Quality management systems – Part 002: Requirements for Oversight of Aerospace Quality Management System Certification/Registrations Programs
 - 2.1.14 EN 9104-003 Aerospace series – Quality management systems – Part 003: Requirements for Aerospace Quality Management System (AQMS) Auditor Training and Qualification

Updated standards are available and allowed to use on web site <https://www.iagg.org/oasis> (with specific userid and password). The web platform OASIS (Online Aerospace Supplier Information) is used for audit trail and auditors qualification

2.2 Basic conditions for the issuing of the certificate

The organisation shall have a documented Quality Management System in accordance with EN 91x0 requirements.

The organisation shall demonstrate “in the field” that it operates its quality system in accordance with the requirements of the system documentation and with the standard of reference. Additionally, DNV GL unequivocally informs the Organisations requesting certification according to the standard EN 91x0 that the prerequisite for the activation of the audit process is the analysis of the criticality of the product and the order, as well as the relative processes / activities that can impact said requirements. All of the risk factors cited are adequately pointed out through audit activities, technical and instrumental audits and the relative records.

At the moment of the Initial Audit for certification:

- a) The system must have been operative in all the EN 91x0 requirements for at least 3 months;
- b) At least one full cycle of internal audits shall have been completed;
- c) At least one Management Review shall have been carried out;

2.3 Prices

DNV GL 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: number of employees, standard/s of reference, number of sites and their geographical location, number and characteristics of the products and/or production processes, requirements for establishing audit duration in man-days based on the

Reviewed by: ATF	Valid for: All in DNV GL	Revision: rev. 10	No.: ZSEIT-10-RG-127 (E)
Approved by: TAP	Author: ATF	Date: 2019-04-24	Page: 2 of 5

SPECIAL REGULATIONS FOR THE CERTIFICATION OF QUALITY MANAGEMENT SYSTEMS IN THE AEROSPACE AND DEFENCE SECTORS

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 (carried out and invoiced only should they become necessary),
 - 2) The invoicing conditions.
- All prices are subject to VAT.

The standard to be used for determining the audit duration in man-days is the EN 9104-001:2013 – Table 2.

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 GL.

2.5 Audit activities

Audit activities are carried out as described in chapter 4 of the “Regolamento Generale di Certificazione MSC” and in chapter § 4.3 of EN 9101.

2.6 Classification of findings

DNV GL adopts the classification cited in the EN 9101 standard.

2.7 Resolution of Non-conformities and Observations

Please refer to the EN9101 standard.

2.8 Audit for the closing of non-conformities

Please refer to the EN9101 standard.

2.9 Issuing of the certificate of conformity (ref. to § 8.4. and 8.6 EN 9104-001)

The issuing of certification according to EN 91x00 will 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 shall all be corrected in a satisfactory manner which includes an analysis of the root causes and corrective actions verified by DNV GL. Upon successful completion of the initial certification activities, modification of scope and recertification and after the review of the audit results by the Technical Function, it decides upon the issuance or not of the certificate of conformity to the standard of reference.

2.10 Surveillance audits (ref. to § 4.3.4 EN 9101)

The surveillance of the certified systems foresees:

- ♦ 2 surveillance audits (at 12 and 24 months from the certification)
- ♦ System recertification audit (full audit, please refer to next paragraph 2.11).

Reviewed by: ATF	Valid for: All in DNV GL	Revision: rev. 10	No.: ZSEIT-10-RG-127 (E)
Approved by: TAP	Author: ATF	Date: 2019-04-24	Page: 3 of 5

SPECIAL REGULATIONS FOR THE CERTIFICATION OF QUALITY MANAGEMENT SYSTEMS IN THE AEROSPACE AND DEFENCE SECTORS

N.B.: When determining the dates foreseen for the surveillance audits and/or recertification audit, the "nominal / theoretical" deadline is used; in other words, any anticipation or postponements that occurred in the execution of previous audits.

DNV GL 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 shall be observed..

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

The audits cover the elements of the system indicated in a specific "Periodic Audit Plan - PAP" issued to the Organisation upon completion of the initial certification activities and updated as necessary during the three-year period of the certificate's validity.

2.11 Recertification Audit of the System (ref. to § 4.3.5 EN 9101)

The quotation with the calculation of the man-days relative to the Recertification audit of the system is made with reference to Table 2 of the standard EN9104-001.

At least three months prior to the expiration of the certificates, DNV GL elaborates and transmits a specific offer relative to the Recertification 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 Recertification Audit of the system.

System recertification audit follows the requirements specified in the "Regolamento Generale di Certificazione MSC" and is carried out:

- **Each 33 months from the initial or previous recertification audit, for all the schemes.**

N.B.: When determining the dates foreseen for the Renewal 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 recertification audit, DNV GL determines the time limits for the implementation of corrections and corrective actions before the expiration of the certification (ref. standard EN 9101).

2.12 Multi-site audits

Please refer to EN 9104-001 § 8.2.1 and Appendix B

2.13 Witness Audit from the Accreditation Body and/or the Industry (§ 5.3 EN 9104-001)

In case of request from the Accreditation Body and /or the Industry side, the certified or being certified Organization shall allow to the Audit Team appointed by the Accreditation Body and/or by the Industry the access to the site and to verify the activities on field of the DNV GL Audit Team. Should the Organization refuse to allow the access to the appointed Audit Team, DNV GL may proceed to the certificate withdrawal.

N.B.: Industria means the Owner of Aerospace and Defence Certification Scheme. During said audit, it is represented by an Assessor belonging to one of the main Companies in the Aerospace and Defence industrial sector.

2.14 Audits performed at sub-contractor premises

Reviewed by: ATF	Valid for: All in DNV GL	Revision: rev. 10	No.: ZSEIT-10-RG-127 (E)
Approved by: TAP	Author: ATF	Date: 2019-04-24	Page: 4 of 5

SPECIAL REGULATIONS FOR THE CERTIFICATION OF QUALITY MANAGEMENT SYSTEMS IN THE AEROSPACE AND DEFENCE SECTORS

In order to verify the effectiveness of the Organization Quality Management System, DNV GL reserves the right to perform audits at the premises of suppliers to the organisation (within the sphere of the Initial Audit and/or Surveillance Audits). This is done particularly when the Lead Auditor evaluate that the influence of the supplier's products/services impacts significantly on the conformity of the products and/or service provided by the Organisation and the supplier itself is not ISO 9001 or EN 91x0 certified by an accredited certification body or adequately surveilled by the Organization.

Supplier shall allow access to all records / processes / information pertaining the processes and products related to the Organization certified by DNV GL.

In case the Organization refuses to allow the audit by the suppliers premises, that could represent the starting point of the certificate suspension process.

2.15 Transfer of EN 91X0 certificates issued by other accredited Certification Bodies (ref. to § 8.8 EN 9104-001)

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

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

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 / requirements of the standard of reference to evaluate the conformity and the effectiveness of the system based on the information gathered during the Preliminary Review.

The certificates with expiring date within the following 12 months need a stage 1 and stage 2 audit (it's classified as Special audit against EN 9101 § 4.3.6).

2.16 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 requirements defined in the "Management System Certification Mark - User's Manual" of DNV GL.

Reviewed by: ATF	Valid for: All in DNV GL	Revision: rev. 10	No.: ZSEIT-10-RG-127 (E)
Approved by: TAP	Author: ATF	Date: 2019-04-24	Page: 5 of 5