



Certification Process

BS EN 9100: QUALITY MANAGEMENT SYSTEM FOR AVIATION, SPACE AND DEFENCE ORGANISATIONS

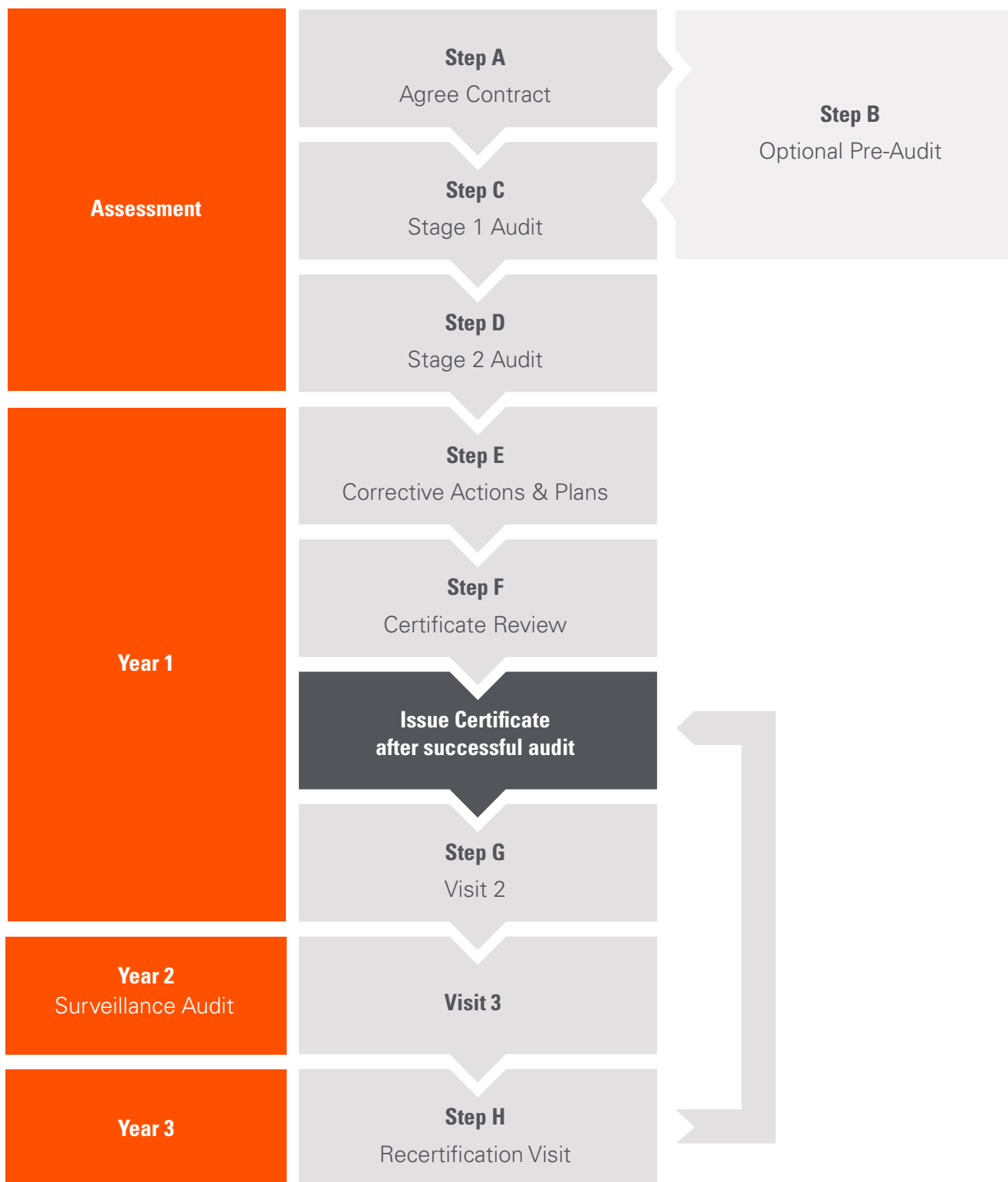
BS EN 9110: QUALITY MANAGEMENT SYSTEM FOR MAINTENANCE, REPAIR AND OVERHAUL OF AEROSPACE / DEFENCE PARTS.

BS EN 9120: AEROSPACE STANDARD FOR AVIATION, SPACE AND DEFENCE DISTRIBUTORS

SGS

Accreditation Status

We are UKAS Accredited for Quality Management Systems including BS EN 9100, BS EN 9110 & BS EN 9120. On preparation of the proposal we have identified that you fall within our UKAS scope of accreditation. This means you are entitled to use both the SGS and UKAS logos on the completion of a successful audit.



STEP A

ACCEPTING THE SGS CONTRACT AND WHAT YOU NEED TO SEND US

A Contract is submitted by SGS for your consideration. We are happy to arrange a visit or discussion with a Sales Executive to outline the process and discuss your requirements. This contract is valid for 60 days. Once the 60 days end, we will review the contract again and issue a new quote if necessary.

Application: To apply for registration the contract offer document must be completed, signed and returned to your sales executive before work can commence. Your contract will be processed and one of our regional coordinators will contact you to arrange the next steps of the audit process.

STEP B

PRE-AUDIT (AT YOUR REQUEST)

This activity is conducted at your request should you feel a pre-audit would be beneficial. The pre-audit process is designed to ensure you are ready to proceed to the next stage of certification and to ensure that you have considered all of the requirements of the standard.

This stage also allows us to plan competent and sufficient resources for the main assessment, and to prepare working documents and audit plans. It also allows us to provide immediate, focused feedback before you progress to the next stage.

STEP C

STAGE I AUDIT – PREPAREDNESS REVIEW

It is recommended that this is conducted at your site once we have received your contract. The audit process includes an appraisal of your Quality Management System documentation and intended

scope of certification, including processes and locations, related obligations and status of compliance with these. This stage will also include an evaluation of your location and site-specific conditions, and discussions with you to determine the preparedness for the stage II audit.

The following information and documentation will be required for the Stage I Audit:

- Quality Manual;
- a description of processes showing their sequence and interactions, including the identification of any outsourced processes;
- performance measures and trends for the previous 12 months;
- evidence that the requirements of the applicable 9100-series standards are addressed by the documented procedures established for the quality management system, for example by reference in the Quality Manual or by a cross reference;
- interactions with support functions on-site or at remote locations/sites;
- evidence of internal audits of processes/procedures, including internal and external quality management system requirements;
- the latest management review results;
- list of all major (e.g. top five) aviation, space and/or defence and any other customers requiring 9100-series standard compliance, including an indication of how much business each customer represents and their customer specific quality management system requirements, if applicable;
- evidence of customer satisfaction and complaint summaries, including verification of customer reports, scorecards and special status or equivalent.

This is to determine compliance with the Standard and to prepare allocation of resources and working documentation for the Stage II audit.

You will receive a Stage I audit report outlining any shortfalls to enable immediate action prior to moving forward through the process. An itinerary for the on-site audit will also be forwarded to you at this stage.

STEP D

STAGE II AUDIT – ASSESSMENT PROCESS: ON-SITE AUDIT

This stage is usually conducted several weeks after the Stage I activity to ensure that you have time to implement any of our findings. We are led by the outcome of the Stage I audit in relation to the amount of time between these stages; however, planning the required dates into the schedule is crucial.

The on-site audit determines compliance against your documented system and BS EN 9100 and/or BS EN 9120 and/or BS EN 9110.

All assessment conclusions are based on sampling of audit evidence, to demonstrate effective implementation of the management system, for those external and internal issues that are relevant to its 'context' and that can affect its ability to achieve the intended outcome(s) of its management system, control over the processes and progress made towards achieving your stated Quality Objectives.

At SGS our audit approach is designed to contribute value to the process and also ensure that your management system is achieving your goals. On conclusion of the audit the auditor will make a recommendation dependent on findings. This recommendation will reflect the level of findings identified during the audit.

STEP E

CORRECTIVE ACTIONS AND PLANS – ASSESSMENT PROCESS

If non-conformances are identified as Major or Minor, the certification decision will be deferred until corrective action has been taken.

Major Corrective actions must be verified as effective and closed by the auditor at a follow up visit on site, and Minor Corrective actions can be verified and closed off site by submitting documented evidence, the date of which will be agreed at the Stage 2 closing meeting.

STEP F

ISSUE CERTIFICATE AFTER SUCCESSFUL AUDIT - ASSESSMENT PROCESS

At the end of the Stage II Audit the auditor will make their recommendation on site and talk through the findings. This will include confirmation of the recommended scope following assessment. The report is submitted to an independent decision authority. Once the certification decision has been made, the certificate is processed and made available to you. You will also receive an email with a user name and password to access your Certified Client Portal, giving you access to a digital copy of your certificate, the marks pack including different image formats and the rules for use, and a copy of your audit report. SGS can support you in the form of a certificate presentation and providing a quote for your press release should this be required.



Example mark

STEP G

ONGOING MAINTENANCE: SURVEILLANCE VISITS

Once issued certificates are only valid subject to satisfactory maintenance of your system. Ongoing audits (surveillance visits) are conducted annually to verify continued implementation of your Management System in accordance with “planned arrangements” and the requirements within the standard. The first surveillance must be conducted within 12 months of the original issue date shown on your certificate. Certain mandatory elements will be reviewed at every visit together with other pre-selected processes.

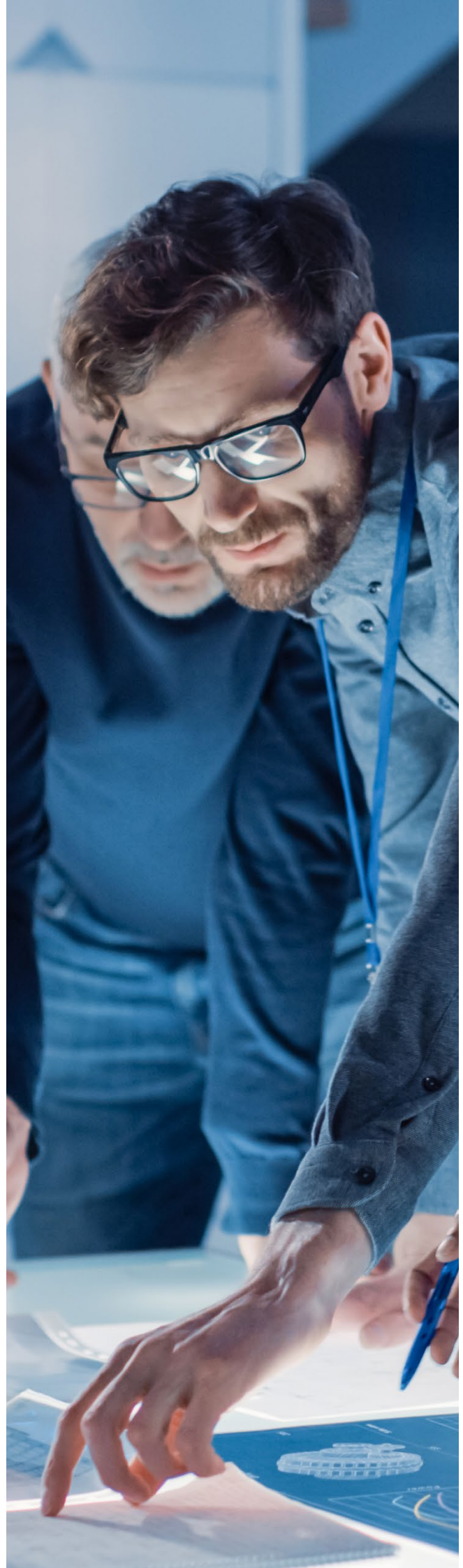
We will work with you to identify areas that are not conforming to support opportunities for improvement. An audit plan will be forwarded in advance of the agreed audit date.

STEP H

TRIENNIAL RE-CERTIFICATION

SGS operates a system of continuous certification. As part of this programme it is not necessary to conduct a complete assessment. Rather, we conduct a recertification visit which is more in-depth than a surveillance visit and will ensure that we review all aspects of your system. The recertification audit must be carried out and non-conformances closed prior to the expiry of your current certificate. The recertification audit is the first visit of your new certification cycle.

Consequently, we look to conduct the audit approximately 3 months prior to the expiry date of your certificate. We shall contact you approximately 6 months before the certificate expiry to make the necessary arrangements for this audit.



PAYMENT TERMS

We will send you an invoice for the fees when we have carried out each stage. Once you receive an invoice, you must pay it within 30 days after the date of invoice (no matter what your company's payment terms) unless we agree otherwise in writing.

If you require a purchase order it is your responsibility to ensure this is supplied to SGS, either prior to the date of audit on the booking confirmation letter, or given to the auditor during the on-site visit.

CHANGES TO SCOPE

In the event of any developments that will alter your certification, e.g. site or scope additions, reductions, mergers or acquisitions, it is important you inform us at your earliest convenience. Changes to scope can be covered at any time in the process. A revised contract would be issued in advance. The scheduling can take place at the same time as a surveillance/renewal visit, which is the most cost-effective method, or can be carried out between visits depending on your requirements and instructions. As this is personal to your individual business needs, it is anticipated this would need to be discussed between SGS and you, the client.

We routinely review core data which impacts on your certification and therefore your contract with us. These reviews can result in audit time requirements increasing or decreasing. We will notify you accordingly should any change be required. We also draw your attention to the codes of practice, where it states your obligation to keep us notified of any organisational changes.

SWITCH OF CERTIFICATION

If you have a current certification assessed by an accredited certification body, and this certification is up to date and in good standing, you can switch to SGS at any time in the process. We will conduct a review of your current certification and in order for us to do this you will need to send us a copy of your current certificate, previous visit reports, including the status of any outstanding corrective actions and the date of your last visit. Following this review, we will provide you with a proposal to take over this certification. Once you have accepted our proposal and dates have been arranged, we simply take over the next visit. The process for reporting and certificate issue is the same as outlined above in Step F.

Clients with quality management systems already certified to ISO9001, no reductions can be applied for clients wishing to upgrade to 9100/9110/9120 from existing ISO9001 quality management systems.

COMBINED MANAGEMENT SYSTEMS AUDIT

A combined management systems audit is where SGS can audit two or more management systems at the same time, although each is audited as its own entity. This can be performed either by a single auditor or an audit team.



APPENDIX A

SPECIAL TERMS AND CONDITIONS FOR AEROSPACE CERTIFICATION

By signing this agreement, you are contractually obliged to provide copies of audit reports, associated documentation and records (upon request) to your customers and potential customers, unless justification can be provided.

You shall allow full access to IAQG members, Accreditation Bodies, and regulatory agencies access to your facilities and associated records as required; this shall be applicable to all countries of the operations covered by the certification

Any access restrictions (e.g. matters of citizenship, proprietary processes) shall be communicated to SGS prior to any audit activity. Consequences of not providing full access include loss of certification, limited scope of certification, and/or removal of site from the certification.

If you lose your AQMS certification you shall provide immediate notification to your aviation, space and defence customers.

OASIS DATABASE	Fee	Description
Initial Certification and Recertification Audit	\$700	Initial Audit, Recertification Audit, Transfer Audit (all types excluding Mass Transfer)
Transfer Audit		
New Site(s)	\$300	Addition of New Site(s) by Special Audit or Surveillance with Special Audit or Recertification with Special Audit

- The above fees are charged for entry of client details on the IAQG database.
- All OASIS maintenance charges related to the client's entry will be invoiced at cost.
- Tier 1 and Tier 2 shall be made available and updated on the OASIS database.
- You shall provide access to your tier 2 data in the OASIS database to your aviation, space and defence customer and authorities upon request, unless justification can be provided.
- On acceptance of your contract, you will be required to set up an administrator in the OASIS database.
- You shall identify an OASIS administrator who is responsible for notifying the CB of significant

changes within the organisation. SGS may suspend the clients certificate during the certification cycle, or delay issuance of recertification should the client fail to maintain their OASIS administrator.

- The OASIS database will be updated by SGS when an organisation AQMS standards certificates are suspended or withdrawn. This will be done within 14 days of the effective date of the suspension or withdrawal.
- Certified organizations shall support the CB AQMS audit process via direct input of data into the OASIS Next Generation database, including audit planning data and the online corrective action management process. Responses to 9101 Nonconformity Reports entered or uploaded into OASIS are required to be in English.

ABOUT SGS

SGS are the world's leading inspection, verification, testing and Certification Company. SGS is recognised as the global benchmark for quality and integrity.

With more than 89,000 employees, SGS operates a network of over 2,600 offices and laboratories around the world.

We offer the following main services:

- **Customised Audit Solutions** – our diverse skills and experiences help organisations to exploit established management systems, by working in partnership to optimise efficiency and effectiveness, finding practical solutions to challenges related to: best practices in organisational operation, process efficiency and improvement, supply chain management, and Sourcing & Procurement.
- **Inspection services** – we inspect and check the quantity, weight and quality of traded goods. Inspection usually takes place when goods are moved from one type of transport to another.
- **Testing services** – we test quality and performance of products against various health, safety and regulatory standards. We use state-of-the-art laboratories on or close to customers' premises.
- **Certification services** – we confirm that systems or services meet the standards set by governments, standardisation bodies (for example, ISO 9001) or our customers' products. We also develop our own standards to meet our clients' needs. SGS as an accredited certification body can provide confidence to clients that professional, experienced auditors are used and standards are consistently applied.
- **Verification services** – SGS verification services ensure that products and services comply with global standards and local regulations. Combining global coverage with local knowledge, unrivalled experience and expertise in virtually every industry, SGS covers the entire supply chain from raw materials to final consumption.

In the UK, SGS employs over 1,800 staff based in over 30 regional offices. Our certification section provides independent certification and audits to a range of standards, including:

- Quality Management Systems (ISO 9001);
- Environmental Management (ISO 14001);
- Risk Management, IT Certification (ISO 20000);
- Information Security Management (ISO 27001, ISO 27701, BS10002, ISO 27017, ISO 27018);
- Business Continuity Management System (ISO22301)
- Energy Management Systems (ISO 50001)
- Asset Management Management Systems (ISO 55001)
- Customer Service Excellence;
- Occupational Health and Safety (ISO 45001)
- EC Directives (CE Mark) and other regulations;
- UKCA Mark for Medical, PPE and CPR
- Medical Device Certification (ISO 13485 and MDSAP);
- British Retail Consortium Global Standards;
- Food Safety Management Systems (ISO 22000);
- Aerospace

For more information on any of our services visit

www.sgs.co.uk/certification

When you need to be sure

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