ICOP Certification Scheme - TEDAE Operating Procedure Aviation, Space and Defense Quality Management System Certification Program Requirements

ICOP Certification Scheme – TEDAE Operating Procedure.

TEDAE QC 9104-001

Edition 10

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Summary

This document:

- Establishes the terms of reference, operating policies and general requirements of the TEDAE RMS within the scope of the European Sector of the IAQG.

Spanish Association of Defense, Security, Aeronautics and Space Technology Companies (TEDAE)

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Revision Index

edition	revision	date	notes
1		30/MAR/2012	First edition
2		16/JAN/2012	Section 17. 4 Records and Section 19.4 Confidentiality Agreement Fulfillment, as a result EU OPMT Oversight 2012 OFIs
3		31/JAN/2014	Section 9.3 OP Assessor Records (EAQG NCR#6) Section 9.16 and 19.4, changes in forms of 9104-002 (Form A) - Section 12.6 OASIS data entry responsibilities (EAQG OFI7) - Section 17.1 (EAQG NCR#3) and 17.5 Records (EAQG NCR#4)
4		15/SEP/2016	New edition due to full document revision
5		10/DEC/2016	Addition of withdrawal/suspension procedure as an auditing CM of EAQG OPMT
6		22/APR/2017	Addition of TEDAE members as eligible as presidents of the CBMC
7		03/JUL/2020	Periodic revision
8		28/SEP/2020	Section 4.13.7 and 4.14.3. Cancellation of TEDAE procedure QC 9104-007, clarifying note (CBMC NCR#01-2020)
9		15/JUN/2022	Adaptation for compliance with standard 9104-001
10		23/MAY/2023	Global revision for compliance with standard 9104-001 (since this is a full revision, changes are not highlighted in red)

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- TEDAE Quality Committee (CCT).
- TEDAE AAB.

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Content

1 Purpose and Scope of Application

1.1 Establishes the terms of reference, operating policies and general requirements of the TEDAE RMS within the scope of the European Sector of the IAQG.

1.2 Outlines the Aviation, Space and Defense Quality Management System Certification Program Requirements established by the Spanish Association of Defense, Security, Aeronautics and Space Technology Companies (TEDAE), specifying, where necessary, the requirements of the EN 9104-001 standard and those of the ECOT documents within the Spanish aerospace scheme, identifying the resources involved in the performance of the various activities.

1.3 This procedure uses standard 9104-001 “Requirements for Aviation, Space, and Defence Quality Management System Certification Programs” as a basis to determine the requirements.

However, these are not the only applicable requirements. In addition to the foregoing requirements, the requirements set forth in the specific documents mentioned herein and in other applicable, current-edition documentation of the ICOP scheme as edited by the IAQG, the EAQG and TEDAE: Series 9104 Standards, IAQG Resolutions Log, Supplemental Rules, ECOT procedures and other TEDAE documents also apply.

1.4 In case of conflict between the requirements stated herein and the client’s requirements or the laws/regulations in effect, the latter will take precedence.

2. Reference Standards and Guidelines

2.1 In addition to the reference documentation contained in standard 9104-001, the following are considered as reference standards and guidelines:

2.1.1 The 9104 Series standards.

2.1.2 The resolutions contained in the “IAQG Resolutions Log”.

2.1.3 The “Supplemental Rules” edited by the IAQG.

2.1.4 The ECOT procedures.

2.1.5 The Procedures, Notifications and Resolutions of the TEDAE RMS.

3. Terms & definitions

For the purposes of this procedure, in addition to the terms & definitions contained or referenced in the following standards and procedures: ISO 9000, ISO 17000, ISO 19011, series 9104 standards and the IAQG International Dictionary (contained in IAQG’s website at www.iaqg.org), the ones stated below shall apply.

In addition, both ISO and IEC have term databases available for use at the following addresses:

- ISO Online Browsing Platform: available at https://www.iso.org/obp
- IEC Electropedia: available at https://www.electropedia.org/

3.1 Aerospace Quality Management System (AQMS)

QMS based on ISO 9001 that includes additional ASD requirements as per the 9100, 9110 and 9120 standards.

3.2 Aerospace Quality Management System (AQMS) Auditor

Person with qualities (i.e., training, auditing experience, industry experience) and proven skills to audit ASD organizations. An AQMS auditor is either an Authenticated Experienced Auditor (AEA) or an Authenticated Auditor (AA), and must have fulfilled the requirements set forth in standard 9104-003.

3.3 Industry Controlled Other Party (ICOP) scheme

Scheme managed by the IAQG and the industry with the purpose of auditing and certifying an organization's AQMS by means of third-party Certification Bodies, as per the requirements set forth in 9104-series standards.

3.4 International Aerospace Quality Group (IAQG)

Global nonprofit organization composed of member companies of the ASD sector. Its mission is to achieve significant performance level improvements worldwide as to quality, deliveries and costs through the development and implementation of standards, industry oversight and guidelines for use throughout all levels of the global supply chain.

3.5 International Aerospace Quality Group (IAQG) Certification Oversight Team (COT)

Organization composed of member companies of the ASD sector that design, develop, manufacture and provide support to original equipment at a system or sub-system level. Established by the IAQG to manage the ICOP scheme.

3.6 International Aerospace Quality Group (IAQG) Sector

IAQG substructures comprising members of a specific geographic region (e.g., Americas, Europe, Asia/Pacific).

3.7 Online Aerospace Supplier Information System (OASIS™) Database

Web application of the IAQG that contains information about National Aerospace Industry Associations (NAIAs), Accreditation Bodies (ABs), Training Provider Approval Bodies (TPABs), Auditor Authentication Bodies (AABs), Accredited Certification Bodies, AQMS auditors, certified organizations, and audits participating in the scheme, which are approved and recognized by the Sector Management Structure (SMS) via the ICOP scheme.

3.8 Organization Certification Analysis Process (OCAP)

Interactive process between the organization and the Certification Bodies. Its objective is to determine the scope of an organization's AQMS and its associated audit certification program, and to perform a risk assessment for its certification within the ICOP scheme.

3.9 Performance Based Surveillance / Recertification Process (PBS/RP)

Optional AQMS surveillance and recertification process within the ICOP scheme based on objective evidence and on demonstrating that a certified organization constantly maintains an effective, high-performance AQMS and that it complies with the standards.

3.10 Regional Management Structure (RMS)

Committee within an SMS that operates at a regional level, which is responsible for the compliance with the 9104-series standards in its assigned region. It performs the same duties as the SMS, under the control of its sector's SMS.

3.11 Sector Management Structure (SMS)

Committee constituted within an IAQG sector that manages the implementation and oversight of the ICOP scheme.

Note 1 for this entry: Each sector may use a different name for this organization.

3.12 Training Provider Approval Body (TPAB)

Body approved by the SMS or the RMS whose main duty is reviewing and approving training courses and Training Providers (TPs).

3.13 Industry representatives

In the context of this document, an industry representative is a person that is employed full-time at:

- an IAQG or EAQG member company;
- a TEDAE member company that actively participates in the management of the ICOP scheme.
- a government regulatory agency that regulates the aviation, space or defense sector and actively participates in the management of the ICOP scheme.

A subcontracted or retired person cannot be considered to be a member of the industry.

3.14 TEDAE's RMS and AAB

In the context of this document, whenever a reference to the RMS and the AAB appears, it must be understood as referring to TEDAE's RMS and AAB.

4 Principles

4.1 The ICOP scheme (see Annex B) is recognized worldwide, and includes AQMS certifications, auditor authentications, and the bodies and entities approved as per the 9104-series standards (i.e., 9104-001, 9104-002, and 9104-003) and all published resolutions.

4.2 The IAQG has established the ICOT with the purpose of acting as the scheme administrator, developing, implementing, maintaining and improving the requirements of the ICOP scheme.

4.3 At a national level, in Spain, TEDAE's RMS is in charge of establishing the procedures that will support and guarantee the requirements of the ICOT and ECOT.

4.4 The IAQG has established the OASIS database as the designated repository for ICOP scheme certification information. The OASIS database supports the reception, submission and management of feedback between different ICOP scheme stakeholders.

a) OASIS database users can provide feedback to ICOP scheme stakeholders (such as the ENAC, Certification Bodies, IAQG leaders, Document Representatives and other interested parties).

b) Feedback can include information about the ICOP scheme, as well as user complaints, questions and suggestions in relation to:

- ICOP scheme management;
- AQMS certificates;
- AQMS audit information;
- the performance of a certified organization;
- standard clarification; or
- need for support.

4.5 ICOP scheme participants included in the OASIS database shall, both initially and continuously, comply with applicable requirements.

a) The OASIS database identifies the status of ICOP scheme participants.
b) Suspended ICOP scheme organizations are at risk, and their status is temporarily invalid.

c) ICOP scheme participants with an expired, withdrawn or deleted status no longer comply with the requirements of the scheme.

5 General requirements

5.1 Policy & ethics

5.1.1 Spanish RMS member company representatives, as well as other RMS participants, shall comply with local and national laws.

5.1.2 All Spanish RMS participants must notify it of any conduct that they are, or become, aware of that might be damaging to the scheme's integrity.

5.1.3 When a representative from the ENAC, a Certification Body (CB) or the RMS is faced with misbehavior by an AQMS auditor, they shall provide relevant, documented information that describes in detail the misbehavior to the AAB in charge of authenticating the AQMS auditor in question as such.

5.1.4 If a noncompliance or misbehavior is detected, or a complaint is filed in relation to them, the RMS is responsible for starting an investigation and analyzing them, taking any appropriate actions and decisions. This investigation must include the collection of objective evidence related to the noncompliance, the analysis of the noncompliance including its root cause and the mitigation and necessary actions for the RMS to be able to make an appropriate decision, keeping the complainant informed at all times. Matters that are not resolved by the RMS will be escalated to the ECOT.

5.2 ICOP Scheme Oversight

5.2.1 The ICOP scheme oversight process and its related activities, including the oversight of management and performance, will be governed by the requirements specified in procedure TEDAE QC 9104-002 "ICOP scheme oversight program", which in turn contains the requirements specified in standard 9104-002.

5.2.2 Certification Bodies (CBs) participating in the ICOP scheme shall agree to submit to an oversight process as per procedure TEDAE QC 9104-002 "ICOP scheme oversight program", performed by the RMS.

5.2.3 Complaints lodged in relation to the ICOP scheme shall be filed with the organization that is the target of the complaint. If unresolved, the complaint may be escalated as per Table 1.

5.2.4 The RMS will handle any direct or indirect complaint arising from the oversight process.

NOTE: Escalated complaints should focus on problems in the process, not on the process' decisions.

Table 1 — Complaint resolution escalation process

If the complaint is filed against:	Certified organization	Auditor	Assessor	AB	CB	RMS	SMS
The issue must be notified to the:	CB	CB	Assessor's Organization	SMS or RMS	AB	SMS	IAQG OPMT

5.2.5 The RMS must establish the necessary body/organization oversight program (including the

international oversight required by the ECOT Oversight WG) and keep it updated. The program is to be based on the oversight requirements outlined in the 9104-series procedures related to oversight, and supplemented by the recommendations of the EAQG or TEDAE member companies. When the program is modified, the changes are to be coordinated with all affected parties.

5.3 Documented information

5.3.1 Information and data documented in the form of audit reports, non-compliances, checklists, and any other company-specific information generated as a result of the implementation of the 9104-001 standard shall be considered to be confidential (also called “proprietary” and “sensitive”) between the parties that generate, collect or use the data, and shall be treated as such, unless otherwise stated in the law.

a) Organizations using this information shall maintain its confidentiality (both internally and externally) unless otherwise agreed-upon by mutual consent of the parties.
b) ICOP scheme participants of the ICOT shall not be granted access to their competitors’ records.

NOTE: The documented information stored by the ENAC and the Certification Bodies (CBs) in relation to certified organizations may be subject to audit or review at any time by the ENAC, the SMS, the RMS, the government or the corresponding regulatory agencies.

5.3.2 Access to the documented information required by the ICOP scheme shall be granted to the ICOT, the SMS and the RMS with the purpose of evaluating the scheme’s operation and the compliance with this standard.

5.3.3 The records that serve as proof of compliance with ICOP scheme requirements as per the 9104-series standards shall be stored by whoever originated them for no less than ten years.

5.3.4 Organizations in charge of recordkeeping:

- ✓ Accreditation Body approval:

  It is the responsibility of the RMS to keep the supporting documentation of the ENAC’s approval.

- ✓ Certification Body accreditation:

  It is the responsibility of the ENAC to keep the documentation supporting the Certification Bodies’ (CBs) accreditation.

- ✓ AAB approval

  It is the responsibility of the RMS to keep the documentation supporting the AAB’s approval.

- ✓ Aerospace Auditor authentication.

  It is the responsibility of the AAB to keep the documentation supporting the authentication of authenticated auditors.

- ✓ Company Certification

  It is the responsibility of the Certification Bodies to keep the documentation supporting the companies’ certification.

- ✓ RMS meetings

  It is the responsibility of the President of the RMS to keep the RMS minutes as records.

5.3.5 The RMS will have access to records related to the accreditation of AQMS-accredited Certification Bodies (CBs) with the purpose of assessing the compliance with the 9104-001 standard. Certification Body (CB) representatives in the RMS may not be granted access to their competitors' records.

5.3.6 RMS operational documents

5.3.6.1 The specific requirements that apply to the handling of the RMS documentation are outlined in operating procedure TEDAE QC 9104-000 "TEDAE RMS Documentation Control".

5.3.6.2 The RMS's high-level operating procedures are:

Nº	Title
TEDAE QC 9104-000	TEDAE RMS Documentation Control
TEDAE QC 9104-001	Aviation, Space and Defense Quality Management System Certification Program Requirements
TEDAE QC 9104-002	ICOP Scheme Oversight Process
TEDAE QC 9104-003	TEDAE Auditor Authentication Body (AAB)
TEDAE QC 9104-005	Periodic Report on the Status of the Scheme in Spain
TEDAE QC 9104-006	Guide for the Self-Assessment of Certifiable Scopes as per the 9100-Series Standards

5.3.6.3 These procedures are published in TEDAE's website to be accessed by anyone who is interested in the Spanish aerospace scheme. They are available in both Spanish and English:

https://www.tedae.org/es/documentos-tedae

5.3.6.4 The working documents and other documentation of the Spanish aerospace scheme can be found in an internal repository of TEDAE (TEDAE's intranet). This repository can be accessed, edited and consulted by:

- The President of the RMS
- The person in charge of the AAB
- The person in charge of Oversight
- The Spanish representative in the ECOT
- The Secretary of the RMS

RMS voting members from the industry can consult this repository, but have no editing rights.

5.3.7 Periodic Report on the Status of the Scheme in Spain

5.3.7.1 Details about the information to be provided and its format are contained in operating procedure TEDAE QC 9104-005 "Periodic Report on the Status of the Scheme in Spain".

6. ICOP scheme management structure requirements. Requirements applicable to the RMS

6.1 General requirements

The RMS shall comply with the policies and with the written regulations and procedures of the Operating Management System (OMS) published by the IAQG that pertain to the ICOP scheme.

6.2 RMS requirements in relation to structure and resources

6.2.1. Management Structure composition. RMS composition.

The Management Structure of the Spanish aerospace scheme is composed of the following organizations:

- Spanish RMS
- TEDAE Quality Committee (CCT)
- TEDAE AAB

6.2.2 Spanish Regional Management System (RMS)

6.2.2.1 The RMS is the organization within the European Sector that is responsible for ensuring compliance with the 9104-series standards in Spain.

6.2.2.2 The RMS will be composed of:

- Voting members: Spanish industry OEM representatives and Spanish Association of Defense, Security, Aeronautics and Space Technology Companies (TEDAE) representatives.
- Non-voting members: (the purpose of their RMS membership is observation and monitoring):
    - Representative of the Accredited Certification Bodies. This representative will be appointed alphabetically, in a rotating manner.
    - Representative of the *Entidad Nacional de Acreditación* (National Accreditation Body, ENAC).
    - Representative of the National Civil Aviation Authority (AESA).
    - Representative of the *Área de Inspecciones Industriales* (Industrial Inspection Department) of the Ministry of Defense - *Jefatura de Ingeniería de Calidad* (Directorate of Quality Engineering).
    - Representative of the *Área de Aeronavegabilidad* (Airworthiness Department) of the Ministry of Defense.
    - Representative of the RMS in the ECOT.
    - Director of the AAB.
    - RMS Delegate in charge of Oversight at TEDAE.
    - Secretary of the Spanish Association for Quality (AEC).

NOTE: RMS members who are directly related to a Certification Body recognized by the ICOP scheme may not be voting members.

6.2.2.3 The RMS may revise its composition based on the participation in RMS meetings, workgroups and projects, and reserves the right to modify the status as to voting rights and RMS membership agreements. It may invite other members or observers as necessary or remove specific members or observers due to lack of participation or other actions that may negatively affect the impartial and efficient functioning of the RMS.

6.2.2.4 Both voting members and observers of the RMS should inform the president of the RMS in writing of any possible conflict of interest that affects the impartial and efficient functioning of the RMS at the moment when they become RMS members or, if at a later time, at the moment when the possible conflict of interest arises. This may be done by using the Confidentiality Agreement and Conflict of Interest Declaration as per form B *"9104-002 Form B – Confidentiality Agreement And Conflict of Interest Declaration for Committee Members and Observers"* or similar.

6.2.2.5 All RMS members, regardless of their voting status, shall sign an IAQG-level confidentiality agreement and a conflict of interest declaration.

6.2.3 Responsibilities within the RMS

President of the RMS

The President of the RMS will be a member of the industry or of the Spanish National Aerospace Industry Association (TEDAE) and will be elected out of the voting members by those members. The President will retain their voting rights.

Duties of the President of the RMS:

a) Take responsibility for all RMS activities and provide support to work groups.
b) Represent the RMS in any forums where its participation is required.
c) Convene and set the agenda of RMS meetings, with the support of the Secretary of the RMS.

Individual voting members

The role of individual voting members is to:

a) Actively participate in the RMS on behalf of their industry, including attending meetings, commenting, and engaging in activities related to supervision, work groups, projects and conferences, among others.
b) Ensure the effective fulfillment of the ICOP scheme, the 9104-series standards and IAQG and ECOT requirements in their RMS.
c) Hosting RMS meetings, which includes providing an adequate location and bearing the cost of hosting the meeting at that location.
d) Voting RMS decisions on behalf of their company. When real or apparent conflicts of interest exist in relation to a specific subject, the affected voting members must exclude themselves from the voting process.
e) Ensuring that they have designated an alternate member that is also an industry member to act on behalf of the company in the RMS in case the appointed voting member is unable to participate for any reason.

Individual non-voting members

The role of individual non-voting members is to:

a) Actively participate in the RMS on behalf of the interest group that they represent, using their know-how and experience to benefit the ICOP process in general.
b) Communicate the requirements, expectations and decisions of the RMS to their interest group to support the comprehension of, and compliance with, the requirements of the ICOP scheme without compromising the confidentiality of the discussions or specific activities undertaken by the RMS.

6.2.4 TEDAE Quality Committee (CCT)

The TEDAE Quality Committee is an organization composed of the persons responsible for quality in TEDAE member companies. The duties of the TEDAE Quality Committee in relation to the scheme are:

- Leading the development and deployment of the aerospace scheme in Spain.
- Leading the development and deployment of other IAQG initiatives in Spain.

6.2.5 RMS Meetings

6.2.5.1 The RMS will hold either in-person or virtual meetings at least twice a year.

6.2.5.2 When a voting member of the RMS is unable to attend or designate a replacement to attend, that voting member will delegate their vote to one of the voting members of the RMS and notify this fact to the Secretary of the RMS.

6.2.5.3 Quorum is considered to be reached when at least half plus one of the votes are present in the meeting.

6.2.5.4 Before the meeting, the proposed agenda, as prepared by the President of the RMS with the assistance of the secretary of the RMS, will be distributed. All RMS members will be encouraged to make changes and additions to it.

6.2.5.5 The President of the RMS shall keep a master copy of the meeting minutes. Furthermore, the documents related to the preparation of the RMS meetings will be stored in TEDAE's internal repository.

6.2.5.6 Past activities will be reviewed during RMS Meetings, assessing lessons learned, opportunities for improvement and risks.

6.2.6 Decision Making

6.2.6.1 Whenever possible, all RMS decisions will be made by consensus of the voting members.

6.2.6.2 When consensus cannot be reached, decisions will be made through voting. In order for a voting session to be valid, at least half plus one of the RMS voting members must participate. The outcome of the vote will be decided by simple majority.

6.2.6.3 In case of a tied vote—in other words, where there is an equal number of votes for and against—the President will not be entitled to a casting vote, since this would be considered to be biased. The President may decide to continue debating the matter for revote, or delay the voting for a period of time, after which a new voting session would be held.

6.2.6.4 Votes and decisions may be cast/made via e-mail, and their results, which will be ratified during the in-person RMS meetings, will be recorded in the corresponding minutes and informed to all members of the RMS.

6.2.7 ICOP Conferences

6.2.6.1 The RMS will develop and hold conferences related to the ICOP Scheme as required, based on material developed by the RMS, the EAQG or the IAQG.

6.3 RMS requirements in relation to operational processes

6.3.1 The requirements outlined in section 6.3 of the 9104-001 standard apply. The RMS shall also develop and implement processes to ensure compliance with the requirements of this standard. Additionally, the RMS develops procedures for:

- the approval of the RMS
- the approval of the Accreditation Body
- the recognition of Certification Body (CB) accreditations
- the approval of the AAB and TPAB
- the authentication of auditors
- the review of activities, complaints and appeals

6.3.2 Approval of the RMS

6.3.2.1 It is the responsibility of the European SMS to approve the RMS. The RMS functions as an extension of the ECOT, performing the same functions in Spain in relation to the requirements of the 9104-001 standard.

6.3.3. Approval of the Accreditation Body. ENAC.

6.3.3.1 The RMS is responsible for the approval of the ENAC as the organization in charge of accrediting Certification Bodies for AQMS standard certification as per the 9104-001 standard.

6.3.3.2 The approval and recognition is grounded on the assurance that the ENAC continuously complies with the requirements set forth in the applicable documentation of the ICOP

Scheme, as stated in the "*Documento de Aprobación y Reconocimiento de ENAC por el RMS de TEDAE*" ("Document for Approval and Recognition of the ENAC by the TEDAE RMS").

6.3.3.3 The aforementioned assessment will be part of the Annual Oversight Program of the RMS, as per operating procedure TEDAE QC 9104-002 "ICOP Scheme Oversight Process".

6.3.4 Recognition of Certification Body (CB) Accreditations

6.3.4.1 It is the responsibility of the RMS to review the accreditation of Certification Bodies by the ENAC as part of the accreditation decision-making process, appointing an industry expert for this task.

6.3.4.2 The RMS, through its voting members, has the responsibility to recognize the Certification Bodies (CBs) accredited to certify the AQMS of organizations. The ENAC will accredit the CBs for AQMS standards and oversee that accreditation as per the 9104-001 standard.

6.3.4.3 The recognition of new accreditations, which may be performed via e-mail, will be ratified in RMS meetings and recorded in the corresponding documents. The maintenance of previously-granted accreditations will be granted based on the information provided by the ENAC's representative as presented during the RMS meetings, and will be recorded in the corresponding documents.

6.3.4.4 The RMS Meeting minutes and documents where the aforementioned recognitions are recorded will be considered to be records and be subject to the storage requirements outlined herein.

6.3.4.5 The recognition process will conclude with the addition of the Certification Body to the OASIS database, if it were not already in it.

6.3.5 Approval of the AAB and TPAB

6.3.5.1 The RMS is responsible for the approval, suspension and withdrawal of an AAB's approval. A TPAB does not currently exist in the Spanish RMS. Once it comes into existence, its approval will be performed as per this section.

6.3.5.2 The approval will be grounded on the assurance that the AAB and the TPAB have a Management System in place that complies with all the requirements of the 9104-series standard of the IAQG, those of TEDAE's operating procedures and other documentation associated with the Scheme (Supplemental Rules, IAQG Resolution Log, etc.).

6.3.5.3 The aforementioned assessment will be part of the Annual Oversight Program of the RMS, as per operating procedure TEDAE QC 9104-002 "ICOP Scheme Oversight Process".

6.3.5.4 The director of the AAB has the responsibility of notifying the OASIS administrator to have the approved AAB and TPAB identified in OASIS.

6.3.5.5 The request for AAB re-approval will be evaluated and approved by the RMS based on its records on file.

6.3.6 Auditor authentication

6.3.6.1 The AAB approved by the RMS is responsible for authenticating auditors in relation to AQMS standards as per the requirements of the 9104-003 standard, the 9104-001 standard and this operating procedure.

6.3.6.2 The AQMS auditor authentication method, as well as the management of the associated records, are outlined in operating procedure TEDAE QC 9104-003 "TEDAE Auditor Authentication Body (AAB)".

6.3.6.3 The director of the AAB is responsible for adding the authenticated auditors into OASIS.

6.3.7 Review of Activities, Complaints and Appeals

6.3.7.1 The RMS will review its activities with the purpose of identifying lessons learned and opportunities for improvement, as well as managing risks.

Complaints and appeals must be compiled and reviewed by the RMS every year.

NOTE: Complaints will be escalated as necessary as per Table 1 (included in section 5.2 of this procedure).

The RMS must report its status and activities to the SMS in the manner required by the latter.

6.3.7.2 The resolution of problems include the resolution of “feedback”, complaints, appeals or similar matters addressed to the RMS or the resolution of a problem escalated by the AAB.

Regardless of who receives complaints that need to be resolved, they must be formally notified to the President of the RMS in writing, identifying that it is a claim or complaint.

The President of the RMS will first try for the matter to be resolved via the RMS structure itself.

In the event that the problem is not resolved in this manner, the President of the RMS will study the matter and contact the parties with the purpose of obtaining more information and resolving the issue.

If even then the problem were not resolved, voting members of the RMS would vote by applying the decision-making process outlined in Section 6.2.6 of this procedure.

The President of the RMS shall notify the claimant or complainant of the decision on the matter. If the decision of the RMS is not acceptable for the claimant or complainant, the RMS will escalate the issue to the ECOT.

6.3.8 Withdrawals and Suspensions

6.3.8.1 In the event that significant enough matters are identified in relation to the operation of any of the sub-structures of the TEDAE RMS, it reserves the right to perform an Oversight Assessment, audit or any other necessary actions with the purpose of identifying and resolving those matters. Matters that remain unresolved by the RMS will be escalated to the ECOT.

6.3.8.2 The RMS has the right and authority to withdraw or suspend the approval, recognition or authentication of the organizations/bodies approved by the TEDAE RMS (ENAC, Certification Bodies, AAB, TPAB, TPs, OP Assessors and AQMS auditors) based on, but not limited to, a poor performance, the noncompliance with requirements, data forgery, or any other situation that discredits the IAQG, ICOT, EAQG, ECOT or RMS. The matter, the planned or adopted measures, the resolution and the consequences associated with such suspension or withdrawal will be established by the RMS on a case-by-case basis.

6.3.8.3 In the event that any of the aforementioned organizations/bodies were to voluntarily suspend or withdraw their participation in the ICOP Scheme, whether temporarily or permanently, the person in charge of the organization/body shall send a letter to the President of the RMS describing the nature of, and reasons for, such voluntary suspension or withdrawal, as well as a plan of action to minimize the impact of such action on RMS participants at every level. The RMS will work jointly with the organization/body to minimize the impact and will notify the suspension or withdrawal, as well as the agreed-upon actions and schedule, to the ECOT.

6.3.8.4 In the event that a non-voluntary suspension or withdrawal is required, the recommendation to suspend an organization/body will be presented by one of the voting members or by the President of the RMS and will contain documented evidence

supporting the recommendation.

6.3.8.5 Suspension or Withdrawal of the ENAC.

In the event that the ENAC is suspended or withdrawn, the following activities and systems will be implemented:

a) actions will be performed and conditions will be required for the suspension to be reverted;
b) the change of status will be informed to the ICOT and the ECOT within 30 days after the suspension or withdrawal;
c) the RMS will make sure that no accreditation decision by the ENAC is recognized in relation to any Certification Body that enters the ICOP scheme during the suspension period;
d) in the event that the ENAC fails to perform corrective actions that are acceptable for the RMS within 90 days, the ENAC will remain in a withdrawn status for no less than 12 months; and
e) the RMS will ensure that, when the ENAC is withdrawn:
   - the accredited Certification Bodies have six months to obtain accreditation by another Accreditation Body approved under the ICOP scheme and that the recognition of the Certification Body is withdrawn if a new accreditation is not issued;
   - the AQMS certifications issued by the affected Certification Bodies can be re-issued under the new Accreditation Body or that they are transferred to another accredited Certification Body during the aforementioned six-month period; and
   - the AQMS certifications are withdrawn if they are not re-issued under the new Accreditation Body or transferred to another accredited Certification Body within the six-month period.

6.3.8.6 Suspension/Withdrawal of AQMS Auditor Approval/Recognition.

In the event that cases are identified where the suspension/withdrawal of AQMS auditor approval/recognition is warranted, the process outlined in section 10.3 “Suspension and Withdrawal of Authentication of Authenticated Auditors” of procedure TEDAE QC 9104-003 “TEDAE Auditor Authentication Body (AAB)” shall be followed.

6.3.8.7 Suspension/Withdrawal of TP Approval/Recognition.

The Spanish aerospace scheme does not currently have a TP or TPAB approved and recognized by the TEDAE RMS.

When TEDAE has a TPAB, the suspension/withdrawal of TPs will be performed as per the requirements outlined in the 9104-001 standard and, if necessary, procedures will be created for the implementation of those requirements.

6.4 RMS requirements in relation to its management system

The RMS develops and maintains documented information to support the following:

a) the review, approval, implementation and modification of procedures: the RMS performs this activity as per procedure TEDAE QC 9104-000 “TEDAE RMS Documentation Control”.
b) the identification and storage of records which demonstrate the effective operation of the ICOP scheme: the RMS performs this activity as per procedure TEDAE QC 9104-000 “TEDAE RMS Documentation Control” and as per section 5.3 of this procedure.
c) the ENAC, AAB and TPAB approval process: this is performed as per section 6.3 of this procedure.
d) that those who take part in the assessment of decisions, or the decision-making process,

related to the approval, suspension or withdrawal of the ENAC, AAB or TPAB are unbiased and have not participated in the development or the operations of the AB, AAB or TPAB in any way during the two years prior to the decision. The withdrawal and suspension activities are outlined in section 6.3.8 of this procedure; and

e) the suspension or withdrawal of the ENAC. If it takes place, it will be performed as per the information contained in section 6.3.8.5 of this procedure.

7. ICOP ("Industry Controlled Other Party") scheme requirements for Accreditation Bodies. ENAC requirements.

7.1 General requirements

7.1.1 The ABs that meet the requirements to participate in the ICOP scheme must submit an application to be approved by the RMS of the geographic region where the AB is located. In the case of the Spanish RMS, the approved AB is the ENAC.

7.1.2 ENAC if a member of the IAF and has signed the IAF Multilateral Agreement (MLA) of management system certifications as per ISO/IEC 17021-1 and IAF ML 4, including ISO 9001 QMS.

7.1.3 ENAC shall comply with the requirements outlined in EN9104-001, ISO/IEC 17011, the IAF MDs, and the policies and procedures of the IAF MLA that apply to the ICOP scheme.

7.1.4 ENAC shall identify the 9104-002 standard as a document that governs AQMS accreditations.

7.1.5 Certification Body (CB) certification agreements shall comply with the provisions set forth in the 9104-002 standard.

7.1.6 ENAC shall start the process and issue a decision in relation to the withdrawal of AQMS accreditations of Certification Bodies (CBs) that fail to fulfill the requirements outlined for suspensions (see 9104-002 7.1.5 d)) within a period of time defined by the ENAC.

7.1.7 ENAC shall agree to submit to the supervision of the RMS.

7.1.8 ENAC shall grant the ICOT, the RMS, and the corresponding regulatory authorities, the "right to access" the documented information of the ENAC related to the implementation and maintenance of the ICOP scheme.

7.1.9 When the ENAC intends to accredit a Certification Body (CB) outside of Spain (subject to regional/local regulations), it shall notify in advance the local ICOP scheme-approved AB (if any), and the RMS of the region where the Certification Body is located.

NOTE: When an AB engages in assessment activities in a region where another AB operates, the AB may, at its discretion, use the services of another AB approved under the ICOP scheme of this region as per the IAF agreements and/or IAF policies and procedures related to mutual recognition arrangements.

7.1.10 ENAC shall notify the RMS within 10 days when the AQMS or ISO 9001 accreditation status of an AQMS Accredited Certification Body experiences changes (e.g., suspension, withdrawal, scope extension) that impact existing AQMS certifications.

7.2 Accreditation Body requirements in relation to resources. ENAC requirements in relation to resources.

7.2.1 ENAC shall comply with the requirements outlined in the ISO/IEC 17011 standard in relation to personnel competence for the ICOP scheme.

7.2.2 Any ENAC personnel that is involved in AQMS accreditation decisions must have a proven

knowledge and understanding of the 9104-series standards, the AQMS standards and the OASIS database. The majority of the persons who make an AQMS accreditation decision must have working experience and/or demonstrable knowledge of the ASD industry and the regulatory framework within which the scheme operates.

7.2.2.1 Requirements applicable to an Accreditation Decision issued by the ENAC

a) In relation to the requirement set forth in the standards as to the participation in ENAC accreditation functions of a person with competence in the aviation, space or defense sector who engages in accreditation decisions, the RMS has appointed a representative in charge of the activities outlined in the 9104-001 standard who has the sector-related competencies outlined therein.
b) The aforementioned representative will have the right to participate in the accreditation decisions related to Certification Bodies that are active in the ICOP scheme. This representative shall inform the RMS about his/her recommendation in relation to the recognition of the aforementioned Certification Body.

7.2.3 The ENAC assessors (who perform witness and office assessments) who perform AQMS accreditation assessments will be required to have demonstrated knowledge and comprehension of the ICOP scheme, including the OASIS database, the 9104-001 standard and AQMS standards.

7.2.4 ENAC assessors who participate in witness assessments must have proven to have competencies that include knowledge of the ASD industry, working experience and training for each AQMS standard being assessed.

NOTE 1 See standard 9104-003 for requirements related to industry knowledge and working experience.

NOTA 2 Experts may be used as outlined in ISO/IEC 17011 with the purpose of complementing the qualifications of the assessment team.

7.2.5 ENAC assessors who engage in AQMS accreditation assessments will be required to have no less than 24 hours of Continual Professional Development (CPD) within 3 years in the ICOP scheme and applicable AQMS standards.

NOTA Each structured training activity hour equates to one CPD hour.

7.2.6 As per the ENAC, the President of the RMS will be responsible for adding the required information and data of the ENAC and Certification Bodies (CBs) (e.g., accreditation decisions) to OASIS. Furthermore, the President of the RMS is responsible for keeping that information updated.

7.3 Accreditation Body requirements in relation to processes. ENAC requirements in relation to processes

The ENAC shall fulfill the requirements set forth in the 9104-001 standard, section 7.3, in regard to its processes and activities.

7.4 Accreditation Body requirements in relation to management systems. ENAC requirements in relation to management systems

The ENAC shall fulfill the requirements set forth in the 9104-001 standard, section 7.4, in regard to the management system and required documented information.

8. Certification Body requirements

8.1 General requirements

8.1.1 The RMS, through the voting members, has the responsibility for recognizing CBs accredited to certify the AQMS of organizations. The ENAC will grant CB accreditation for AQMS standards and oversee this accreditation as per the 9104-001 standard.

8.1.2 The recognition of new accreditations, which may be performed via e-mail, will be ratified during in-person RMS meetings, and will be recorded in the appropriate documents. The maintenance of previously-granted accreditations will be granted based on the information provided by the ENAC's representative as presented during the in-person RMS meetings, and will be recorded in the corresponding documents.

8.1.3 The RMS Meeting minutes and documents where the aforementioned recognitions are recorded will be considered to be records and be subject to the storage requirements outlined herein.

8.1.4 The recognition process will conclude with the addition of the Certification Body to the OASIS database, if it were not already in it.

8.1.5 The CBs shall comply with the requirements outlined in the 9104-001 and ISO/IEC 17021-1 standards, the ENAC accreditation agreement and applicable IAF MDs.

8.1.6 They shall submit accreditation applications to the ENAC as per the established requirements.

8.1.7 They will be required to have held an ISO 9001 certification for 12 months, issued by an AB that has signed the IAF MLA.

8.1.8 They may not issue an AQMS certification until accredited by the ENAC. They shall communicate this fact in writing to organizations applying for certification.

8.1.9 They may not apply for reaccreditation within the 12 months following the withdrawal of accreditation or in the event that the ENAC decides to terminate the process without granting the accreditation.

8.1.10 If a CB applies for accreditation or an accreditation extension after its suspension or withdrawal, such application must include information about the aforementioned accreditation suspension or withdrawal, including objective evidence of corrections made.

8.1.11 The CBs must count with personnel with relevant (aerospace manufacturing/maintenance, National Aviation Authority [NAA], NAIA or equivalent) and continuous working experience in the aviation, space or defense industry to support their impartial process.

8.1.12 They must add to, and maintain in, OASIS the results of AQMS audits, certification information and information required by the ICOP scheme.

8.2 Information requirements

8.2.1 CBs shall enter into legally-binding agreements that require their clients to:

a) Comply with the requirements of the 9104-001 standard
b) Provide information with the purpose of determining the scope, certification structure and risk analysis
c) Designate and OASIS administrator
d) Grant ICOT, ECOT/RMS (as applicable) and ENAC the right to access their facilities, activities and auditing information with the purpose of supporting witness assessments and oversight of Certification Bodies.

8.2.2. The CBs shall inform their clients that failure to comply with these agreements may result in the withdrawal of the certification.

8.2.3 They shall notify the ENAC of any limitations in relation to third-party access before entering into the agreement with the client. This notification must be performed before entering the agreement with that client in order to ensure that the ENAC is able to support the assessment of that client.

8.2.4 The content of the certificates issued by the Certification Body shall fulfill the requirements set forth in section 8.2.4.1 of the 9104-001 standard.

8.2.5 When an organization is certified under an AQMS standard and ISO 9001, both may be referenced in the same certificate only when the scope of certification is the same.

8.2.6 The requirements set forth in the 9104-001 standard in relation to the IAQG logo must be fulfilled.

8.2.7 The certificate's text in OASIS shall be in English. Text in Spanish may also be added, or a separate certificate with the same content as the English version may be generated.

8.2.8 Certificates that are not accredited or from unaccredited sources are not allowed.

8.3 Certification Body requirements in relation to structure

8.3.1 Accredited CBs shall designate a permanent office that is responsible for the management and fulfillment of the requirements of the ICOP scheme and the 9104-001 standard.

8.3.2. This office shall have available the processes and documented information required by the ICOP scheme, their clients' applications and the contracts entered into with those clients, personnel competencies, audits and the certification decisions.

8.3.3 The CBs shall have hired personnel that is in charge of managing the ICOP scheme and the certification decisions.

8.4 Certification Body requirements in relation to resources

8.4.1 CB personnel that is involved in the ICOP scheme must, depending on their duties, have demonstrated knowledge of the following:

a) the ICOP scheme (organization, scope, purpose, processes) and the functionality of the OASIS database;
b) the application of AQMS standards;
c) 9104-001 standard requirements.

8.4.2 The personnel involved in the technical review and in the certification decision must have demonstrated knowledge of the following:

a) AQMS standards related to the scope of the accreditation;
b) standards and requirements of the ICOP scheme, including any applicable resolution; and
c) the ASD industry and the regulatory/legal requirements, to a sufficient degree as to be able to understand the sector-specific terminology, processes, practices and products.

8.4.3 CBs must count with authenticated auditors who continuously fulfill the requirements of the 9104-003 standard.

8.5 Requirements in relation to processes

8.5.1 CBs shall fulfill the requirements set forth in the 9104-001 standard in relation to their processes and activities.

9 Requirements for Aerospace Quality Management System certified organizations

9.1 General requirements

9.1.1 AQMS certified organizations shall fulfill the requirements set forth in the 9104-001 standard in relation to general requirements as outlined in section 9.1 of that standard.

9.1.2 AQMS certified organizations shall offer support to ICOP scheme oversight activities with the purpose of confirming the effectiveness of the auditing process by the Certification Body (CB), as per the 9104-002 standard and the TEDAE QC 9104-002 procedure.

9.2 Requirements for the implementation of the Performance Based Surveillance / Recertification Process

9.2.1 Whenever a certified organization decides to use a PBS/RP, it shall comply with the requirements outlined in Annex D, Table D.1 of the 9104-001 standard.

NOTE The PBS/RP as described in Annex D of the 9104-001 standard is an optional process.

10. Auditor Authentication Body Requirements. AAB requirements

10.1 The duties of the Spanish AAB will be to grant, maintain, suspend, extend and withdraw AQMS auditor authentications as outlined in the 9104-003 standard.

10.2 The authentication/re-authentication process (application review, decision making, complaint/claim resolution and reception, review and decision as to actions to be taken in response to problems identified in relation to auditor competence) is outlined in operating procedure TEDAE QC 9104-003 “TEDAE Auditor Authentication Body (AAB)”.

10.3 The AAB is composed of a panel of industry professionals who, while fulfilling the requirements as to aerospace and defense industry knowledge, act as experts in the auditor authentication process, ensuring that the auditors consistently and continuously fulfill the requirements outlined in the applicable standards of the ICOP scheme.

10.4 The AAB is not a separate organization from the RMS, and given its simplicity, has a Quality Management System that is documented and implemented by means of operating procedure TEDAE QC 9104-003, by means of which it has the capacity to support and demonstrate the coherent fulfillment of the requirements of the 9104-series standards when granting, maintaining, suspending and withdrawing auditor authentications (AA, AEA).

10.5 Use of AAB brands and logos.

10.5.1 The AAB does not have recognized brands or logotypes.

10.6 Maintenance, suspension, extension and withdrawal of aerospace auditor authentications.

10.6.1 The process for the maintenance, suspension, extension and withdrawal of aerospace auditor authentications is outlined in operating procedure TEDAE QC 9104-003 “TEDAE Auditor Authentication Body (AAB)”.

10.7 The AAB shall add and maintain all the information required by the 9104-003 standard in the OASIS database.

11. Trainer Provider Approval Body requirements. TPAB requirements.

11.1 There is currently no TPAB in the Spanish aerospace scheme.

11.2 In the event that one is created, a specific TEDAE operating procedure will need to be created based on the 9104-3 standard, establishing requirements and defining the responsibilities of the TPAB for granting, maintaining, suspending, extending and withdrawing TP (Training Provider) approvals.

11.3 The TPABs will add and maintain all information required by the 9104-1 standard in the OASIS database.

12. Online Aerospace Supplier Information System database requirements. OASIS database requirements

12.1 All ICOP scheme participants shall use the OASIS database as a repository of their associated data/information.

a) Users entering information into the OASIS database, and the body/organization that they are informing, will be responsible for the correctness and accuracy of the information.
b) Publicly available information and the results of the audit summary outlined in the 9101 standard are to be entered in the OASIS database in English.
c) When the accreditation of a Certification Body is withdrawn, existing certificates will remain visible in the OASIS database for six months stating the CB's status as "CB Withdrawn" (Certification Body accreditation withdrawn) or until they are transferred to another Certification Body; whichever comes first.
d) Data entry will be performed by authorized OASIS database users. Data entry authorization is controlled via the OASIS database's user function and managed by the body/organization that is responsible for the associated data entry. When errors arise in the OASIS database (e.g., erroneous certificate withdrawal, published audit reports, changes to certification decisions), they are to be corrected with documented information that is sufficient to identify the reasons for the data modification.

12.2 The OASIS database feedback process is to be used by ICOP scheme participants as necessary.

a) Comments in the OASIS database are to be entered in English, unless the recipient uses the same language as the sender, in which case their common language may be used.
b) Depending on the nature of the request, the initiating party may request a reply. Requested replies shall be provided within 30 days, unless otherwise justified.

   NOTE A confirmation of receipt does not fulfill the 30-day reply requirement.

c) For matters that cannot be resolved between the affected parties, the matter shall be escalated to the next level of authority within the ICOP scheme (see Table 1 of 9104-1).

   NOTE 1 The management and disposal of the OASIS database feedback is the responsibility of the initiating party and the recipient (in equal measure).

   NOTA 2 The feedback may be automatically closed by the IAQG after 120 days of inactivity.

d) The feedback related to the performance of an AQMS certified organization must be communicated to the certified organization and the associated CB.

   NOTE Performance issues related to violations of legal, ethical or regulatory

requirements must be directly communicated to the corresponding organizations/bodies.

e) The OASIS database feedback process may not be used for social means, personal messages, or for advertising or marketing.

NOTE The "Help/Orientation" of the OASIS database contains a detailed description on how to initiate and process feedback requests. See Annex C of 9104-1 for more information about the OASIS database.

12.3 The responsibility for data entry into the OASIS database is as follows:

Data	Responsible for Entry	Responsible for Accuracy of the Data
Related to a certified organization	The organization	The organization
Related to auditing and reporting	The Certification Body	The Certification Body
Related to the approved Accreditation Body	The President of the RMS	The Accreditation Body
Related to Accredited Certification Bodies	The President of the RMS	The Certification Body
Related to authenticated auditors	The Director of the AAB	The authenticated auditors

13. Fees and finances

13.1 In addition to the fees recommended by the ICOT that apply to the recording of auditing information in OASIS, the RMS may establish other fees to facilitate the management of the ICOP Scheme in Spain. In that case, those fees will need to be approved by the ECOT.

Annex A - Acronyms

AA	Aerospace Auditor	Auditor Aeroespacial Autenticado
AAB	Auditor Authentication Body	Comité de Autenticación de Auditores
AB	Accreditation Body	Entidad de Acreditación (EA)
AEA	Aerospace Experience Auditor	Auditor Aeroespacial Experimentado
AQMS	Aerospace Quality Management System	Sistema de Gestión de Calidad Aeroespacial
CB	Certification Body	Entidad de Certificación (EC)
CPD	Continuing Professional Development	Desarrollo Profesional Continuo
EAQG	European Aerospace Quality Group	Grupo Europeo de Calidad Aeroespacial
ECOT	EAQG Certification Oversight Team	Equipo europeo (del EAQG) de vigilancia de la certificación
IAF	International Accreditation Forum	Foro Internacional de Acreditación
IAQG	International Aerospace Quality Group	Grupo Internacional de Calidad Aeroespacial
ICOP	Industry Controlled Other Party	Otras Partes Controlado por la Industria
ICOT	IAQG Certification Oversight Team	Equipo Internacional (IAQG) de vigilancia del esquema
IEC	International Electrotechnical Commission	Comisión Electrónica Internacional
IMS	Integrated Management System	Sistema de Gestión Integrado
ISO	International Organization for Standardization	Organización Internacional de Normalización
MD	Mandatory Document	Documento obligatorio
MLA	Multilateral Agreement	Acuerdo Multilateral
NAA	National Aviation Authority	Autoridad Nacional de Aviación
NAIA	National Aerospace Industry Association	Asociación Nacional de Industria Aeroespacial
NCR	Nonconformity Report	Informe de No Conformidad
OASIS	Online Aerospace Supplier Information System	Sistema de Información en Red de Suministradores Aeroespaciales
OCAP	Organization Certification Analysis Process	Proceso de Análisis de Certificación de Organización
OEM	Original Equipment Manufacturer	Fabricante de Equipos Originales
OMS	Operating Management System	Sistema de Gestión de Operaciones
OP	Other Party	Otras Partes
OPMT	Other Party Management Team	Equipo de Gestión de Otras Partes
PBS/RP	Performance Based Surveillance/Recertification Process	Seguimiento Basado en Desempeño /Proceso de Recertificación
PEAR	Process Effectiveness Assessment Report	Reporte de Asesoramiento de Proceso
QMS	Quality Management System	Sistema de Gestión de Calidad
RMS	Regional Management Structure	Estructura Regional de Gestión
SDR	Sector Document Representative	Representante de documento por

		Sector/Sección/Región
SMS	Sector Management Structure	Estructura de Gestión del Sector
SPM	Standardization Process Manual	Manual de Procesos de Normalización
TP	Training Provider	Proveedor de Formación
TPAB	Training Provider Approval Body	Entidad de Aprobación de Proveedores de Formación
WA	Witness Assessment	Evaluación de Auditoría

Annex B – ICOP ("Industry Controlled Other Party") Scheme

The supporting graphic (see Figure B.1) developed by the ICOT provides a visual depiction of the globally recognized ICOP certification scheme as it relates to the relationship between an organization seeking AQMS certification, the supporting certification processes, and oversight management of the scheme by interested parties.

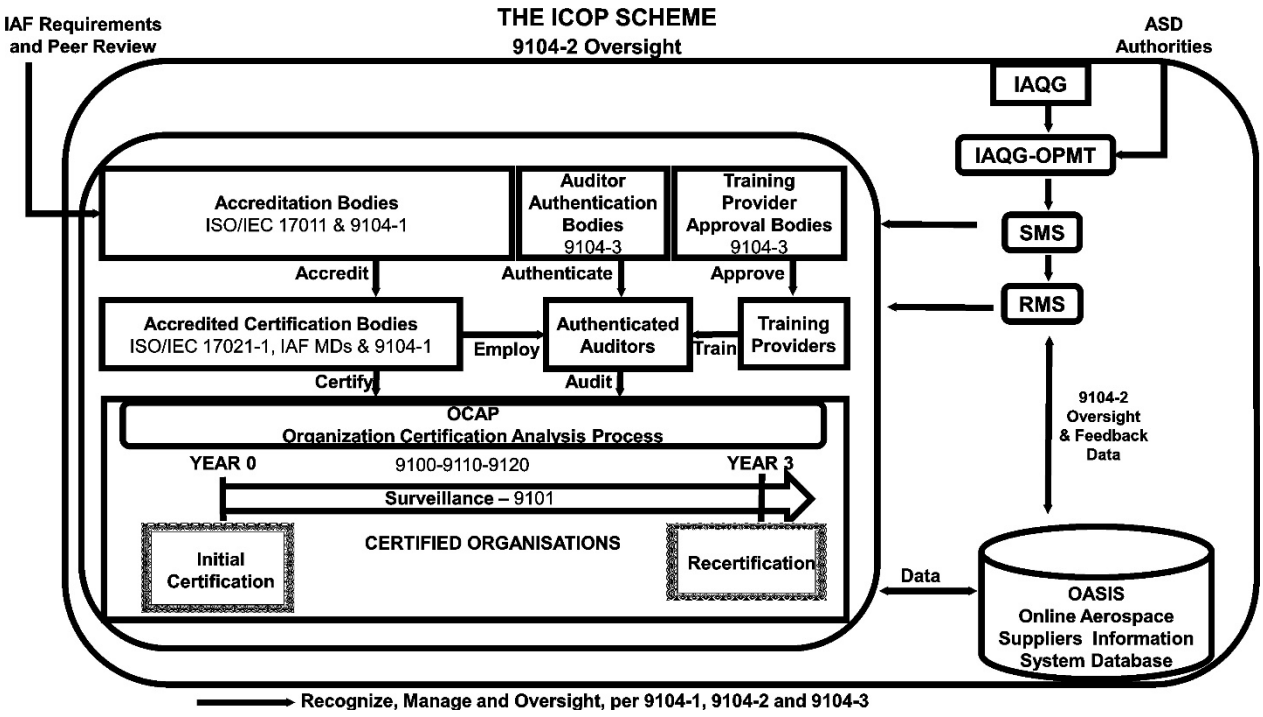

Figure B.1 — The ICOP ("Industry Controlled Other Party") Scheme