

ICOP Certification Scheme  
– TEDAE Operating  
Procedure.

TEDAE QC 9104-003  
Edition 08

Date: 10/FEB/2021

## Summary

- This procedure:
  - defines the Quality Management System and the operating procedures and activities of the TEDAE Auditor Authentication Body (AAB).
  - outlines the requirements that apply to the aerospace auditor (AEA and AA) authentication and re-authentication processes followed by the AAB and the TEDAE CBMC.
  - has been established with the purpose of obtaining an aerospace auditor authentication and re-authentication process that is equivalent that of the rest of the AABs of the European Sector of the IAQG.

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### Revision Index

edition	revision	date	notes
01		15/SEP/2011	First edition
02		30/MAR/2012	Compliance with the EN9104-001:2012 and EAQG OPMT Procedure 503 standards
03		15/SEP/2016	
04		31/JUL/2017	Updated the standards by which an auditor can be authenticated to 2016 standards
05		01/FEB/2018	Established deadline for response by AAB experts
06		20/JAN/2019	More explicitly outlined the manner in which Resolutions Logs that may affect the AAB are to be reviewed.  Established the AAB expert experience registration method
07		14/JUL/2020	Periodic revision
08		10/FEB/2021	Establishing communication to Auditor in case of withdrawal (10.3.8).  Establishing Digital storage of AAB records (11.4)

### Distribution Index

- Certification Body Management Committee (CBMC).
- TEDAE Quality Committee (CCT).
- TEDAE CBMC Work Group.
- TEDAE AAB.

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## 1 Purpose

- 1.1 This procedure defines the Quality Management System and the operating procedures and activities of the TEDAE Auditor Authentication Body (AAB).
- 1.2 This procedure outlines the requirements that apply to the aerospace auditor (AEA and AA) authentication and re-authentication processes followed by the AAB and the TEDAE CBMC.
- 1.3 This procedure has been established with the purpose of obtaining an aerospace auditor authentication and re-authentication process that is equivalent that of the rest of the AABs of the European Sector of the IAQG.

## 2 Terms & Definitions

- 2.1 For the purposes of this procedure, in addition to the terms & definitions included, or referenced, in the following standards and procedures: ISO 9000, ISO 17000, ISO 19011 and series 9104 standards, the following shall apply:

### 2.1.1 Industry Representatives

Within the scope of this document, an industry representative is a person that is employed full-time in:

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

Neither a subcontracted person nor a retiree may not be considered to be a member of the industry.

### 2.1.2 CBMC, CBMC Work Group and AAB.

Within the scope of this document, any reference to the CBMC, the CBMC Work Group and the AAB shall be understood as referring to TEDAE's CBMC, CBMC Work Group and AAB.

### 2.1.3 Auditor Authentication Body AAB

Committee approved by the TEDAE CBMC whose main responsibility is the authentication of auditors as per specific requirements.

### 2.1.4 Working Experience

Full-time working experience in the aviation, space or defense industry with direct involvement in process engineering, design, production, quality or control at a major aerospace manufacturer, main supplier, auxiliary equipment supplier or at an official civil, military or space organization such as the Spanish Aviation Safety Agency (AESA) or the Ministry of Defense.

### 2.1.6 Auditing Experience

When proving the auditing experience, only the experience acquired during the direct involvement in an auditing team, whether as an auditor or the leader of the auditing team, shall be taken into account both for the initial authentication and the re-authentication. Audits where the requester has acted as an observer, trainee auditor or assessor, CB oversight witness assessment assessor or any similar activity shall not be taken into account.

### 3 Acronyms

- AA Aerospace Auditor
- AAB Auditor Authentication Body
- AEA Aerospace Experienced Auditor
- AQMS Aerospace Quality Management System
- CBMC Certification Body Management Committee
- EAQG European Aerospace Quality Group
- SMS Sector Management Structure
- AB Accreditation Body
- AEC Asociación Española para la Calidad (Spanish Association for Quality)

### 4 Process flowchart

- 4.1 The generic flowchart of the AQMS Auditor authentication procedure is contained in Annex 1 of this procedure.

### 5 Reference documentation

- 5.1 In addition to the reference documentation outlined in the series 9104 standard, the following shall be considered to be reference documentation:
- 5.1.1 EN 9104-003 “Requirements for Aviation, Space, and Defense Auditor Training, Development, Competence, and Authentication”
  - 5.1.2 EAQG OPMT Procedure 503 “EAQG OPMT Auditor Authentication Body (AAB) Process”.
  - 5.1.3 TEDAE QC 9104-001: Aviation, Space and Defense Quality Management System Certification Program Requirements.

Note: In this procedure, standards EN 9104-003 ~~and EAQG OPMT Procedure 503~~ have been used as basic documentation to establish the requirements. However, these are not the only requirements that apply. In addition to the foregoing, the requirements set forth in the specific documents mentioned herein and in other applicable documentation of the current edition of the ICOP Scheme as edited by the IAQG, the EAQG and TEDAE (Series 9104 Standards, IAQG Resolutions Log, Supplemental Rules, EAQG OPMT procedures and other TEDAE documents) shall apply.

In the case of resolution logs that might affect the AAB, after each CBMC meeting the person in charge of the AAB shall analyze those that might affect, and involve a change in, the working methodology or requirements. Such revision shall be recorded as per the form contained in Annex III of this procedure.

## 6 General information.

- 6.1 The CBMC has established an AAB which has the responsibility of issuing, maintaining, suspending and withdrawing the authentication of AQMS auditors as per the EN 9104-003 standard of the IAQG and procedure 503 of the EAQG OPMT, ensuring the general compliance of the AAB with all the requirements set forth in the EN 9104 Series standards and the procedures of the EAQG OPMT. These expert panels and the head of the AAB have enough experience in the Aerospace sector to render a professional decision. The CVs of the AAB experts and the head of the AAB shall be kept by the AAB as proof of that experience and professional competence.

The AAB is composed of a panel of experts from TEDAE, selected among its member companies, and a person in charge of this body. The AAB shall evaluate candidates and authenticate auditors through face-to-face or virtual meetings of its members (via e-mail, teleconference, videoconference, etc.). The decisions in relation to the authentication of auditors shall be made by consensus of its members whenever possible, and in the lack of consensus, decisions shall be made through voting by the AAB members, with the final decision corresponding to the head of the AAB.

The CBMC has appointed an industry member as a representative of the CBMC in the EAQG OPMT. This representative shall also be a part of the EAQG OPMT AAB WG. The CBMC shall ensure that all participants in the AAB process sign “Confidentiality Agreements” and “Conflict of Interest Agreements” in relation to their activities in the AAB.

- 6.2 The AAB has established and maintains a documented Quality Management System (QMS) in this procedure to support and demonstrate the coherent fulfillment of requirements of the series 9104 standards in the issuance, maintenance, suspension and withdrawal of the authentication of AQMS Auditors, also fulfilling the requirements of the EAQG OPMT procedures, including the equivalence with section 7.0 of Procedure 503 of the EAQG OPMT. This QMS includes the auditor authentication and re-authentication evaluation and decision-making registration forms.
- 6.3 The AAB accepts the periodic supervision of the CBMC, providing to the CBMC, ENAC, IAF and regulatory and government bodies with right to access with the purpose of ensuring that proper criteria and methods have been used in the authentication of AQMS Auditors. This access includes the information and records related to the oversight of the AAB by other parties, as per standard EN 9104-002.

The AAB must work jointly with the CBMC to ensure that the auditors consistently and continuously meet the requirements contained herein and in other documents that apply to the ICOP scheme (Series EN 9104 and EN 9101 Standards).

- 6.4 Responsibility in the Authentication and Re-authentication of Aerospace Auditors:
- 6.4.1 The CBMC has delegated to the AAB all decisions related to auditor requests, and this document contains the provisions of the CBMC in relation to the authentication of AQMS Auditors.
- 6.4.2 The AAB shall be responsible for granting, maintaining, suspending and withdrawing auditor authentications (AA and AEA), as outlined in standard EN 9104-003.
- 6.4.3 In CBMC meetings, the AAB shall present its decisions on the authentication of auditors with the purpose of keeping the former informed.

### 6.5 AAB Quality Management System (QMS)

The AAB QMS certifies that:

- 6.5.1 Among its members, the AAB has at least one person with enough know-how in the aviation, space or defense industry to support an effective decision-making as part of the AQMS Auditor authentication and re-authentication decision-making process. The Head

- of the AAB shall maintain the confidentiality of AAB member records proving the fulfillment of the aforementioned requirement, and these records shall be at the disposal of the organizations stated in section 6.4.
- 6.5.2 All AAB or CBMC personnel involved in activities related to the authentication of AQMS Auditors must complete and sign the corresponding Confidentiality Agreements and Conflict of Interest Disclosures.
- 6.5.3 The decision to grant the authentication or re-authentication to a requesting AA or AEA auditor, and the decision to subsequently maintain, suspend, broaden or withdraw the authentication, shall be based on the information and objective proof obtained to support the decision, and as per the AAB provisions related to decision-making.
- 6.5.4 After deciding on the authentication or re-authentication of an AQMS Auditor, the Head of the AAB shall update the OASIS database within 10 business days following the date in which the decision was made.
- 6.5.5 The persons making the decision to grant, maintain, broaden or withdraw the authentication of an AQMS Auditor must not have been involved in the training, working experience, or evaluation of the auditor in any form, including witness assessments, within at least two full calendar years prior to the decision. Furthermore, these persons must not have any relationship, whether personal, contractual, voluntary or formal, past or present, with the requester, that might imply a potential conflict of interest in relation to the impartiality of the decision.
- 6.5.6 A process for addressing Complaints and Appeals is in place and in use, which includes the support of the EAQG OPMT and CBMC that approved the AAB in the resolution of any complaints and appeals.
- 6.5.7 A process is in place and in use for enquiring and making appropriate decisions in response to the recommendation of the IAQG OPMT, and SMS including the EAQG OPMT or any CBMC or any approved AB, in relation to the withdrawal of the authentication of an AQMS Auditor. Any recommendation shall be based on the existence of a competence-related problem with the auditor and shall include the reason for the recommendation, as well as any objective supporting evidence.
- 6.5.8 In the event that the AAB were to decide to use Authentication Certificates or any similar document, cards, brands or logotypes provided by authenticated AQMS auditors, it shall put in place adequate provisions for the control and use of the aforementioned cards, brands and logotypes. Specifically, these documents must clearly indicate the period of validity (in other words, the valid from and to dates) of the authentication.
- 6.5.9 Any request for authentication of an AQMS Auditor may not be granted before the end of a 12-month period since the date of withdrawal of any authentication by any approved AAB related to AQMS standards for reasons other than inactivity or non-renewal.
- 6.5.10 The EAQG OPMT and the CBMC shall be notified within five calendar days since the decision is made to withdraw the authentication of an AQMS Auditor, for the OASIS database to be updated within a period of ten natural days.
- 6.5.11 This procedure specifies the records generated as a result of AAB operations and the authentication processes with the purpose of demonstrating the compliance with the requirements.
- 6.5.12 The AAB recognizes and accepts the authentications made by other approved AABs within the European sector or other sectors of the IAQG. This may not be used to infer the eligibility to exchange the authentication between one approved AAB and another.
- 6.5.13 In regard to the transfer of the authentication of an AQMS Auditor from one AAB to another AAB, before the decision to authenticate is made, the following must be positively confirmed:

- a) The AAB that authenticated the AQMS auditor shall have full records available for the original authentication, including the objective supporting proofs, and any records related to subsequent re-authentications.
  - b) The authentication or re-authentication decision made by the original AAB was valid as per the AQMS Auditor Authentication requirements at the time when the decision to authenticate or re-authenticate was made.
  - c) The registration of the authenticated AQMS auditor in OASIS shows that it is currently valid (in other words, that it is not suspended, withdrawn or expired) both in relation to the AQMS standard and the level (i.e., AA or AEA) of the authentication.
  - d) That the request does not involve changing the level of authentication of an AQMS auditor from AA to AEA.
  - e) All authentications in relation to the requesting AQMS Auditor performed by the original AAB are withdrawn after the decision is made to authenticate the auditor in the new AAB.
  - f) When any of the foregoing items (from a) through d) ) cannot be fully and completely verified, the request for authentication or re-authentication shall be considered to be a new AQMS Auditor Authentication request.
- 6.5.14 This procedure contains the provisions that apply to the sharing of authentication information related to AQMS Auditors with any other approved AAB in the event that an authenticated AQMS Auditor requests any kind of authentication as an AQMS Auditor from another approved AAB.
- 6.5.15 Any requirements that apply to candidates in relation to the re-authentication procedure and the specific requirements related to special circumstances that may apply to re-authentication requests.
- 6.6 The CBMC shall present a report on the activities of the AAB in each face-to-face meeting of the EAQG OPMT through the voting Member of the EAQG OPMT and in coordination with the Office of the President of the EAQG OPMT AAB WG.

## 7 AQMS Auditor Authentication Procedure

### 7.1 AQMS Auditor Application Procedure

- 7.1.1 Applicants wishing to be authenticated as AEA or AA – in other words, as AQMS Auditors – must submit an application to the Secretariat of the AAB (Spanish Association for Quality - AEC), with copy to the Head of the AAB, containing the following documentation:
- a) A copy of their Curriculum Vitae or similar document that demonstrates the fulfillment of the working experience requirements outlined in standard 9104-003.
  - b) The correctly filled-out application form (TEDAE-AAB-01 questionnaire) with a description on how the applicant fulfills the requirements for the requested type of authentication, as per EN 9104-003, clearly indicating the type of requested authentication (AEA or AA) and the AQMS reference standard (9100, 9110, 9120).
  - c) Objective proof demonstrating the applicant's fulfillment of the EN9104-003 requirements, the applicable provisions of the IAQG OPMT or EAQG OPMT, and this procedure.
  - d) A statement related to the existence of any other application or other authentication as an AQMS auditor, if any, made by, or granted to, the applicant.
  - e) A statement related to any previous rejection or withdrawal by another AAB.



- f) An agreement related to the sharing of information on the applicant held by the AAB and any associated authentication as AQMS auditor in response to an oversight process, an external suspension or withdrawal recommendation received from an SMS, CBMC or AB, the applicant's request to transfer the authentication from one AAB to another, or based on a requirement of any of the series 9104 documents, such as the request from another approved AAB after an application rejection or the suspension or withdrawal of an AQMS Auditor authentication or as required by the IAQG OPMT or the EAQG OPMT, providing to the applicant with the information required in relation to a Confidentiality Agreement related to the ICOP process.
- 7.1.2 When an AEA initially authenticated under 9100 wishes to get authenticated under the 9110 or 9120 standards, it is acceptable to take into account the aerospace experience used for the initial authentication in order to demonstrate the fulfillment of the 4 years of experience during the last 10, or 2 during the last 15, provided that the 9100 authentication has been continuously maintained and is up to date. The rest of the requirements of EN9104-003 to get authenticated under 9110 or 9120 still apply.
- 7.1.3 Upon reception of the documentation that accompanies the application, the secretariat of the AAB shall:
- open a file for each applicant and send a confirmation of receipt to the applicant with copy to the Head of the AAB.
  - review the application to certify that both the form and the annexed documentation are as required.
  - inform the applicant in the event that any document is missing, so that the applicant can complete the documentation.
- 7.1.4 When receiving a request for authentication from an AQMS Auditor that does not operate in Spain, the AAB shall recommend that he/she requests the authentication via the AAB recognized by the ICOP scheme with operations in the country, region or sector of the auditor, unless there is no operational AAB in that country, region or sector. Subsequently, the requesting auditor must confirm in writing to the AAB that he/she wishes to continue with the application, declaring any and all previously held authentications or requests rejected in other countries, regions or IAQG sectors, after which the application shall be reviewed or evaluated.
- 7.2 Evaluation process:
- 7.2.1 Preliminary Application Analysis
- 7.2.1.1 Once the complete documentation is available, the secretariat of the AAB shall analyze the application by certifying the fulfillment of the requirements set forth in EN9104-003, this procedure, and any applicable IAQG OPMT or EAQG OPMT resolution, for the requested auditor category (AQMS Standard and auditor type: AEA or AA) and issue a report on the results of this analysis.
- 7.2.1.2 The procedure followed by the secretariat of the AAB for the Preliminary Analysis will ensure that any possible conflict of interest between the candidates and the personnel of the AAB in charge of performing this Preliminary Analysis is managed in a way that the generated report is unbiased.
- 7.2.1.3 The AAB secretariat shall send this report, along with the documentation submitted by the auditor (application and proof of fulfillment), to the members of the AAB, with copy to the head of the AAB, for them to perform the Application Evaluation, indicating that the deadline for submission of the evaluation results is 15 days since the date of submission of the report to the members of the AAB. Whenever possible, it is recommended for the number of members chosen as per a strict rotation to be at least one and no more than three.

7.2.1.4 When choosing members of the AAB, the AAB secretariat must ensure that any potential conflict of interest between the candidates and the members of the AAB in charge of performing this evaluation is managed in a way that the evaluation is unbiased.

## 7.2.2 Application Evaluation

7.2.2.1 Each of the appointed members of the AAB, supported by the report received from the secretariat of the AAB and the documentation submitted by the auditor (application and proof of fulfillment), shall verify that the applicant meets the requirements outlined in EN9104-003, this procedure and any applicable resolution of the IAQG OPMT or EAQG OPMT.

7.2.2.2 As part of the file, each of the appointed members of the AAB shall enter the result and any comments in form TEDAE-AAB-02. This filled-out form shall be considered to be a record of the evaluation process. Once form TEDAE-AAB-02 is filled out, it must be signed by the appointed members of the AAB. To streamline the process, three forms, one for each appointed member of the AAB and bearing his/her signature, may be used instead of one form with three signatures.

7.2.2.3 The filled-out TEDAE-AAB-02 forms shall be sent to the AEC with copy to the head of the AAB

## 7.3 Decision-making Process

7.3.1 The AAB shall make the decision to authenticate or re-authenticate an AA or AEA applicant or, subsequently, to maintain, broaden the scope or withdraw the authentication based on the information and objective evidence obtained to support the decision.

7.3.2 As the person in charge of the decision to grant, maintain, broaden the scope of, or withdraw, the authentication, the Head of the AAB must not have participated in the training, working experience or any other evaluation of the auditor, including any of the witness audits, for a minimum of two full calendar years before the decision, and must not have any ongoing or past relationship (e.g., personal, contractual, voluntary or formal) with the applicant that may imply a potential conflict of interest in relation to the impartiality of the decision. Any potential conflict of interest must be documented alongside the resolution.

7.3.3 When unable to resolve a potential conflict of interest, the AAB may invite another, duly competent person to participate in the decision or provide the AAB with a recommendation in relation to the decision, provided that the applicable requirements of confidentiality and impartiality are maintained.

7.3.4 The members of the AAB appointed to perform this review shall issue their personal recommendation for each application. Subsequently, consensus must be reached in order to come to a global decision. Should this consensus not be attained:

7.3.4.1 Any disagreement must be discussed and resolved in order to be able to grant the authentication, or otherwise, before a final decision is made, and the head of the AAB shall have the power to make a final decision.

7.3.4.2 The members appointed to perform the evaluation, led by the head of the AAB, must make a global decision to grant the authentication, or otherwise, and be in agreement in regard to the authentication decision by reasoning their decision. When deemed necessary, an interview with the applicant may be arranged for him/her to supplement the information contained in the application regarding their aerospace experience.

7.3.5 When the decision is made to grant authentication, the Head of the AAB must consider the following as part of the process:

- a) The full-time working experience requirements are outlined in section 3.6 of EN 9104-003. When considering the working experience of an applicant, the applicant's working experience as a full-time employee under contract may be used. In order to consider whether this experience applies, it must be confirmed that the working contract was a full-time working contract with a single organization and for a specific period of time. The full-time work as a subcontractor or consultant performing activities in more than one organization within the same period of time may not be considered to be a full-time working experience within the scope of the AQMS Auditor authentication. Furthermore, the work must fulfill the other requirements related to working experience of EN9104-003, including the type of organization and the duties and characteristics of the job.
- b) The term "full" audit, as described in Tables 1 and 2 of standard EN 9104-003, shall be interpreted as follows:
  - i. The auditing records and those related to it used as witness assessment experience or proof must include and demonstrate the effective auditing of all clauses and sub-clauses of the standard.
  - ii. If, in any of the presented audits, clauses or sub-clauses have been excluded from the audit as permitted by ISO 9001 and the AQMS Standards (article 7 of standard ISO 9001 or AQMS), and it is so evidenced within the scope of the audit, additional records, or witness assessment records for other audits, must be presented in order to demonstrate the experience or direct evaluation of the full range of clauses and sub-clauses of the certification standard.
  - iii. In order to fulfill the auditing experience requirement of 4 full audits, two out of the four presented audits may exclude section 7.3 (design).
- c) When considering the auditing experience, the initial authentication requests shall only include the audits where the applicant has had a direct involvement as part of the auditing team, whether as an auditor or as an auditing team leader, and the presented audits shall not include any audit where the applicant has acted as an observer, an auditor or audit trainee, a witness assessor, a witness assessor in oversight processes, a witness assessor for a Certification Body or any similar role (reference to EN9104-003 Sections 5.4, Tables 1, 2 and 7.4)
- d) When considering each of the presented audits for the purpose of maintaining the authentication (re-authentication), the required "involvement" shall be understood as the direct involvement as part of an auditing team, whether as an auditor or auditing team leader, and the presented audits shall not include any audit where the applicant acted as an observer, auditor or assessor trainee, a witness assessor, a witness assessor in oversight processes, a witness assessor for a Certification Body or any similar role (Reference EN9104-003 Section 8.1 on maintaining the authentication). Furthermore, "the Aerospace Audits" as described in section 8.1 of EN9104-003 shall be limited to the audits performed based on an Aerospace Quality Management System (AQMS) standard, in other words, 9100, 9110 or 9120.
- e) Section 8.1 of EN9104-003:2009 "Maintenance of AEA Approval" contains an error in the published text. In order to ensure the harmonization with other sectors, the phrase: " Participate in a minimum of 4 (four) audits over 3 (three) years conducted to the applicable AQMS" shall be understood as "Participate in a minimum of 4 (four) AQMS standard audits over 3 (three) years."

7.3.6 The possible decisions are:

- a) Authenticated: Fulfillment of all EN9104-003 requirements has been proven, which enables the applicant to be authenticated as an AEA or AA, as requested in the application form.
- b) Not authenticated: The applicant has failed to prove a suitable competence to be authenticated as an AEA or AA for the categories requested in the application form. Alternatively, a decision may be made to request additional actions with the purpose of proving the fulfillment of the requirements. This may include, for example, a requirement to supplement the documented information, additional training, an interview or a witness assessment. After the evaluation of these new measures, the decision to authenticate, or otherwise, shall be made.

7.3.7 Once informed of the records of the AAB experts, the head of the AAB shall make the decision to authenticate or reject the application, and shall record this decision in form TEDAE-AAB-04 "AA-AEA Authentication/Re-authentication Decision Form", which he/she shall sign and submit to the secretariat of the AAB after having made the decision. In addition to containing the decision, this form must contain a statement that indicates the reasons for the decision, along with any other comment related to the process. The person with know-how in the aviation, space or defense industry shall be positively identified when recording the decision to authenticate or re-authenticate.

#### 7.4 Notification of the Authentication Decision of the AAB

- 7.4.1 The secretariat of the AAB shall formally notify the applicant in writing, with copy to the Head of the AAB, about the decision. In the cases where the authentication request has been rejected by a Certification Body, the decision shall be notified to that Certification Body. Under all circumstances, the notification must be made within 60 calendar days since the date of the application.
- 7.4.2 If the evaluation process results in the authentication of the applicant, the notification must specify the expiration date of the AQMS Auditor authentication and the AQMS Auditor level (AEA or AA), as well as the family of AQMS standards for which the Auditor has been granted authentication (e.g., 9100, 9110 or 9120 based on ISO 9001:2008 or on ISO 9001:2015). The head of the AAB shall enter the auditors in the OASIS database.
- 7.4.3 For requests that do not meet the requirements of the evaluation process, the reason for the denial shall be specified in the notification informing this fact.

## 8 Recognition of Auditors from Any Sector

- 8.1 Pursuant to the requirements of the series 9104, the AAB recognizes any AQMS Auditors (AEA and AA) that have been authenticated by other approved AABs, CBMCs or SMSs in relation to the requirements of the ICOP scheme and which show as currently authenticated (and not suspended or withdrawn) in the OASIS database.

Note: The OPMT EAQG recommends an auditor to be authenticated only by one AAB.

## 9 Authentication Periodicity

- 9.1 AQMS Auditor Applicants authenticated as per this procedure shall maintain this status for a maximum of three years since the date of authentication, which shall be reviewed before the expiration of the current authentication period.

## 10 Re-authentication procedure

### 10.1 Re-Authentication Application

- 10.1.1 The re-authentication application process shall be managed as per the requirements set forth in Section 7.1 “AQMS Auditor Application Procedure” of this procedure, plus the additional requirements specified in this section.
- 10.1.2 At least three months before the expiration of the current authentication, AQMS Auditors wishing to remain authenticated must provide the AAB with documented proof of their Continuous Professional Development, auditing experience within the last three years as required in EN9104-003 and proof for any other requirement contained in EN9104-003, including the fulfillment of applicable IAQG and IAQG resolutions.
- 10.1.3 The AAB shall not accept re-authentication requests that do not meet the foregoing, unless the AAB is in agreement that special, documented circumstances submitted as part of the application apply.
- 10.1.4 When requests for re-authentication are not accepted, the candidates shall be informed that they must re-file the authentication application as if they had not been previously authenticated.

### 10.2 Re-authentication Evaluation, Decision Making and Notification

- 10.2.1 The re-authentication evaluation and decision making process shall be managed as per the requirements set forth in sections 7.2, 7.3 and 7.4 corresponding to the Evaluation, Decision Making and Notification Process for this procedure, plus the additional requirements specified in this section.
- 10.2.2 When third-party audits are presented as proof of participation in AQMS audits, it is considered to be a good practice for the AAB to verify in OASIS the proof of involvement in the stated audits.
- 10.2.3 Once evaluated the fulfillment of the requirements outlined in EN9104-003, the decision will be either to grant the applicant’s re-authentication, or not.
- 10.2.4 The resulting decision shall be recorded in form TEDAE-AAB-04 “AA-AEA Authentication/Re-authentication Decision Form” along with a statement specifying the reasons for the decision and any other pertinent comment in relation to the process. The applicant shall be notified as per the provisions set forth in section 7.4 of this procedure on the Notification of the Authentication Decision of the AAB.

### 10.3 Suspension and Withdrawal of Authentication of Authenticated Auditors

- 10.3.1 The CBMC may recommend the withdrawal of an AQMS auditor's authentication based on an issue with the auditor's competence. The reason for the recommendation and its supporting evidence shall be provided to the AAB. The AAB shall investigate the matter and take the appropriate measures. In the event that there is objective information/evidence that justifies the potential suspension or withdrawal of authentication, the AAB may engage in a decision-making process as per the requirements of this procedure for the initial authentication with the purpose of reviewing the evidence and making the decision to maintain, suspend or withdraw the authentication. The mandatory suspension or withdrawal, which must be approved by the CBMC, shall also affect all existing authentications.
- 10.3.2 When the reasons for suspension or withdrawal are related to a non-compliance with series 9104 or related requirements, a process of correction and corrective actions must be undertaken with the AA or AEA so that objective evidence can be obtained showing that the auditor performs an effective audit and meets the requirements, before a decision or recommendation is made in relation to the authentication after the suspension or withdrawal.
- 10.3.3 When the reasons for the suspension or withdrawal are related to a lack of performance efficacy by the auditor or other actions related to the onsite audit activity, the correction and corrective action process must include an onsite witness assessment by an OP Assessor, an AB Assessor or an equivalent member of the AAB who has not participated in the auditor authentication, suspension or withdrawal decision and who holds no potential or real conflict of interest with the auditor during the witness assessment.
- 10.3.4 In the event that the decision is made to suspend the authentication of an AA or AEA, the AAB has established the following provisions:
- a) During the suspension period, the auditor may not perform audits related to AQMS standards in the name of the accredited Certification Bodies
  - b) A suspended authentication may be reestablished after the AAB decides that the correction and corrective action process has been effective.
  - c) The AAB must ensure that the suspension period does not exceed six months
  - d) When the suspension is voluntary, the period of suspension of the authentication shall be agreed between the AAB and the AQMS Auditor.
  - e) The voluntary suspension may not be used to avoid or reduce any mandatory suspension or withdrawal period. In these cases, the mandatory suspension or withdrawal periods shall be added to the voluntary suspension period.
  - f) When the conditions that caused the suspension of the authentication have not been corrected or the period of suspension has reached six months since the date of suspension, the AAB shall initiate the AQMS Auditor authentication withdrawal process.
- 10.3.5 The authentication suspension of an AQMS Auditor may be withdrawn for the following reasons, without limitation:
- a) The recommendation of an SMS, CBMC or AB that may result in the withdrawal of the authenticated auditor, while the situation is being investigated by the AAB.
  - b) A complaint filed by any interested party which may indicate a situation that might result in the AQMS Auditor's authentication being withdrawn after the investigation.
  - c) After an oversight or investigation initiated by the AAB that presents a problem that might result in the withdrawal of the AQMS Auditor's authentication.

- d) When an authenticated auditor does not respond to a message that requires a reply, or to any request for payment of fees approved by the EAQG OPMT.
- e) In response to any alleged misrepresentation of information in the authentication application or audit report.
- 10.3.6 In the event that a decision is made to withdraw the authentication of an AA or AEA, the AAB has established the following provisions:
- a) After the mandatory withdrawal of the authentication, this mandatory withdrawal shall be for a period of at least 12 months since the date when the withdrawal decision is made.
- b) When the withdrawal is voluntary, the period of authentication withdrawal shall be agreed between the AAB and the AQMS Auditor.
- c) The voluntary withdrawal may not be used to avoid or reduce any mandatory withdrawal period. In these cases, the mandatory withdrawal periods shall be added to the voluntary withdrawal period.
- Note: The period of mandatory authentication withdrawal may be extended up to the permanent withdrawal of authentication based on the gravity of the evidence used to make the decision to withdraw the authentication, but may not be extended to a point where the period of withdrawal violates any local or national law or regulation.
- 10.3.7 The authentication of an AQMS Auditor may be permanently withdrawn due to the following circumstances, without limitation:
- a) The proven forgery of audit documentation or reports, audit findings or audit conclusions,
- b) Actions during auditing activities that may result or have resulted in the discredit of the IAQG.
- c) Any action, or lack thereof, that resulted in aviation safety problems that require an action by the OEM or the NAA, independent from the auditing process.
- 10.3.8 When a problem related to the competence of an auditor in relation to AQMS certification audits is identified, and where deemed appropriate by the ENAC, the CBMC or the Certification Body, the results of the aerospace witness assessments or associated data may be shared with the AAB. The CBMC may recommend the withdrawal of an auditor's authentication based on a competence problem related to that auditor. The reason for the recommendation and the supporting evidence shall be made available to the AAB. The AAB shall investigate the problem and take adequate measures, notifying the filer **and the Auditor** of the actions that have been taken. This process may not last more than 60 calendar days.
- 10.3.9 The AAB shall review the suspension or withdrawal of authentication related to an AQMS provision due to a non-fulfillment of the requirements of the ICOP scheme, with the purpose of determining the pertinence of the authentication in relation to the rest of the AQMS provisions for which the auditor may be authenticated.

## 11 AAB Records

- 11.1 The AAB has identified and maintains all records related to auditor authentication and re-authentication processes on behalf of the EAQG OPMT:
  - 11.1.1 The authentication and re-authentication application form.
  - 11.1.2 The document package presented alongside the application.
  - 11.1.2 The special circumstances that may apply to the application, if any.
  - 11.1.3 The forms filled out by the AAB members to document the evaluation of the application.
  - 11.1.4 The forms filled out by the Head of the AAB to document the decision.
  - 11.1.5 Any additional information pertaining to the process.
  - 11.1.6 AAB meeting minutes.
  - 11.1.7 The Confidentiality Agreements and Conflict of Interests Agreements of AAB members.
  - 11.1.8 Records of complaints y appeals received by the AAB.
  - 11.1.9 The CVs of AAB members.
- 11.2 The records and supporting evidence shall be kept for a minimum of 6 years or two authentication cycles, whichever is longer. These records shall be at the disposal of the EAQG OPMT, IAQG OPMT and CBMC and, upon request, of the corresponding authorities for oversight or problem resolution purposes.
- 11.3 The records related to the authentication cycle in effect must be easily obtainable.
- 11.4 The records will be stored in the Intranet of TEDAE properly digitalized, being these considered the originals. Access and back-up policies will be the appropriate ones to ensure the integrity of the data and fulfilment of confidentiality requirements of the stored information.

## 12 Appeals

- 12.1 The applicants have the right to appeal the decision made by the AAB. They must inform the AAB in writing of their intention to appeal, presenting the reasons for the appeal and any additional evidence that they wish to have taken into account. Once this information is received, the AAB shall begin the appeal resolution process.
- 12.2 The AAB shall impartially investigate the appeal. No AAB member involved in the appeal process may have been a member of the decision making process that evaluated the applicant's application. When deciding on the appeal, the authentication or re-authentication procedures outlined hereinabove must be complied with.
- 12.3 The result of the appeal must be notified to the appellant, along with any information pertaining to the right to appeal.
- 12.4 In case the appeal is not addressed, the applicant may elevate the appeal to the CBMC, and if it is not addressed to his/her satisfaction, the applicant may further elevate it to the EAQG OPMT.
- 12.5 The decision of the EAQG OPMT shall be final.



## 13 Complaints

- 13.1 Complaints from non-AAB organizations must be formally made in writing to the Head of the AAB. The Head of the AAB shall control the independent and impartial investigation in relation to the complaint, and adequate measures must be taken, which must be formally recorded.
- 13.2 The Head of the AAB must formally notify the complainant of the outcome of the complaint.
- 13.3 When the complaint is not accepted, the complainant may elevate it to the CBMC, and if still unresolved, it may subsequently be elevated to the EAQG OPMT.
- 13.4 The decision of the EAQG OPMT shall be final.

## 14 Confidentiality

- 14.1 All those involved in the authentication process must comply with the confidentiality requirements both in regard to the written documentation and to the orally disclosed information.
- 14.2 All AAB members must sign the confidentiality/conflict of interest agreement required by the AAB or the CBMC, which may include the fulfillment of an Annex I of standard EN9104-002.

## 15 Fees

- 15.1 N/A

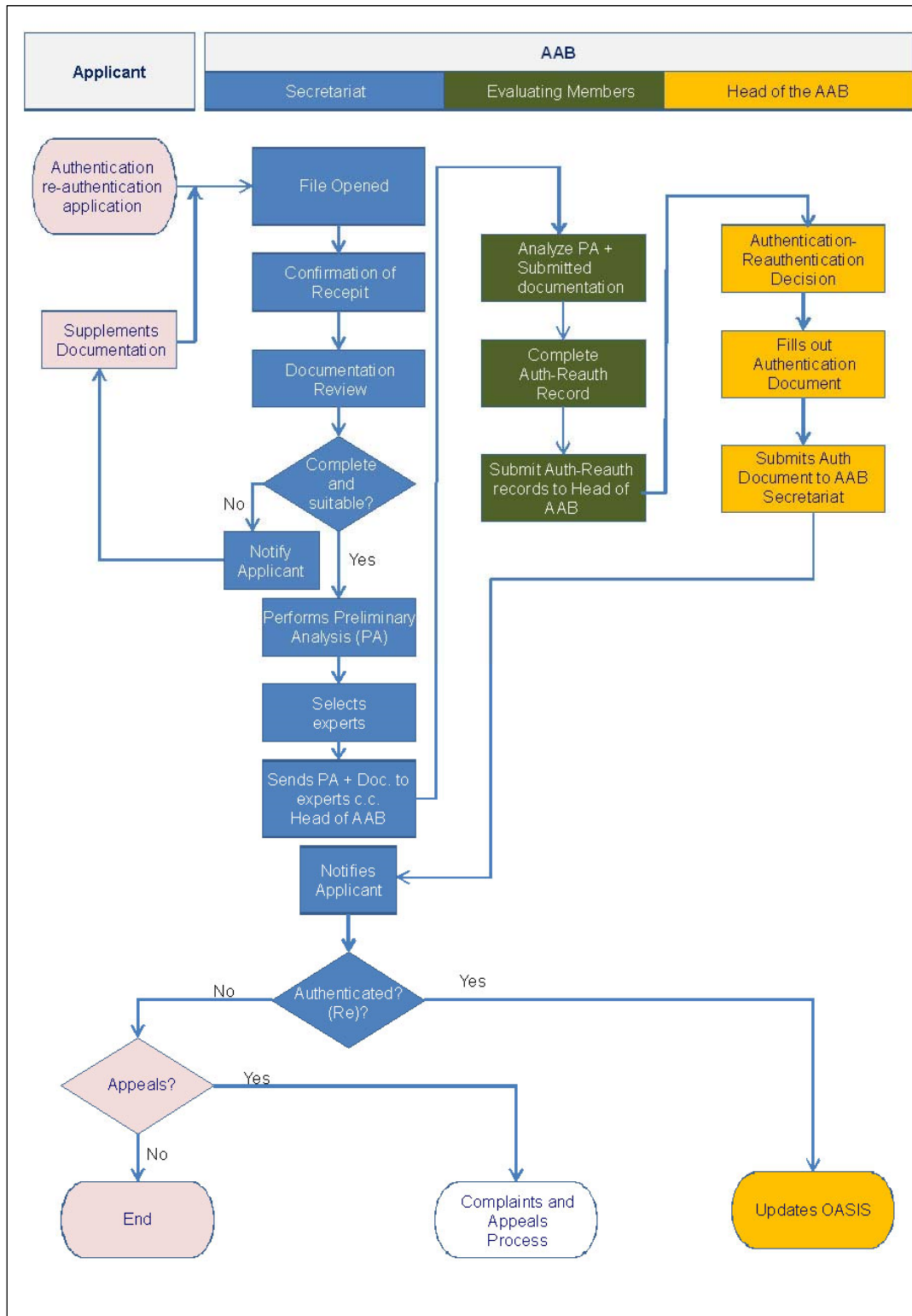
## 16 Disclaimer

- 16.1 All persons participating in the AAB process:
  - 16.1.1 Shall not be liable in any way for any failure of any system or systems audited under the ICOP Scheme, either in regard to the quality, suitability for a specific purpose or safety of any system, product or service subject to auditing and/or to any hardware or software component produced as per any plan or specification.
  - 16.1.2 Make no representation or guarantee in regard to any characteristic of the aforementioned systems, products or services, and
  - 16.1.3 Expressly disclaim any obligation or liability (that may in any way be alleged) in relation with any provided service or supplied product, or with the use of any product, software, plan or specification. The manufacturer (or the user, where applicable) shall be solely liable before the law.

## 17 Use of AAB Brands and Logotypes

- 17.1 The AAB has no recognized brands or logotypes.

**Annex I: General Flowchart of the Authentication-Re-Authentication process**



## Annex II: Forms

- TEDAE AAB-01: Aerospace Auditor (AA/AEA) Authentication Application Form.
- TEDAE AAB-02: Aerospace Auditor (AA/AEA) Authentication Registration Form.
- TEDAE AAB-03: Aerospace Auditor (AA/AEA) Re-authentication Application Form.
- TEDAE-AAB-04: Aerospace Auditor (AA/AEA) Authentication/Re-authentication Decision Form.