

**Certification  
as an  
Aerospace Auditor**

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The information detailed within this document was correct at time of publication. Please refer to the IRCA website at [www.irca.org](http://www.irca.org) for further details and current information.

### 1. General Information about IRCA and the Aerospace Auditor Certification Program

#### ■ IRCA and Auditor Certification

##### *History:*

The International Register of Certificated Auditors (IRCA) began certifying auditors in 1984. It was set up as part of an initiative by the UK government to make business and industry more competitive. The aim of this initiative was to achieve efficiencies by reducing the costs of supplier audits by replacing them with a fewer number of third party audits. Each third party audit of a supplier would then be accepted and recognized by all customers of that supplier.

In addition to IRCA, the other bodies involved in this new structure included an accreditation body (now UKAS), a national standards making body (BSI Standards), and a number of certification bodies. The quality management standard used was the British standard; BS 5750, which later became ISO 9001.

This quality infrastructure proved to be extremely successful and is now recognized world-wide to be the most effective and most commonly used method for assuring the quality of supplier organizations. This same structure is now used in other contexts, e.g. to assure the compliance of organizations' management systems to occupational health & safety, food safety and environmental requirements. But whatever the context, because the structure relies heavily on competent auditors and consultants, the role played by IRCA has been essential to its success.

During the years since inception, IRCA has earned a reputation for integrity and for adding value. The evaluation and certification methods developed and used by IRCA have been adopted by most other auditor certification bodies. Although most countries now offer alternatives to IRCA through their own national auditor certification programs, IRCA certification remains internationally as popular as ever. Around 35,000 auditors have been awarded certification since 1984, and over 150 countries are currently represented on the IRCA register. IRCA is the only auditor certification body that has international recognition and remains the certification that supplier organizations, certification bodies and auditors value most.

##### IRCA training:

IRCA certification of auditor training courses is recognized and valued internationally. Although developed originally to support auditor certification, IRCA has evolved certification of training to become an independent activity successful in its own right. Originally designed for auditors wishing to become certified, the courses proved very popular with students who were seeking information on quality, environmental and health & safety management for a variety of reasons. Now, only a small minority of students attending these courses are auditors. Training organizations in many parts of the world regard IRCA certification as an essential requirement for trading. The number of courses IRCA offers has increased to cover a wide range of applications, and continues to expand as Training Organizations demand certification for an increasing range of courses. Around 55,000 students a year attend IRCA certified training in all parts of the world. Note that IRCA is not responsible and does not provide training in the aerospace specific standards, e.g. AS/EN9100. The responsibility for training is that of the EAQG.

##### Links with the CQI:

IRCA is the Chartered Quality Institute's (CQI) personnel certification body. The CQI in its own right is recognized worldwide as one of the international champions of quality. Together, in their respective roles, IRCA and the CQI provide a successful contribution to business and industry based on integrity, absolute impartiality, and adding value to the business process.

### ■ The Aerospace Auditor Certification Program

The program recognizes audits which are not in support of certification as an Aerospace Sector Certification Scheme (ASCS) Aerospace Auditor or Aerospace Experienced Auditor using the AS/EN/JISQ 9100, 9110 & 9120, ISO 9001 and other standards and which are not part of the Aerospace Sector Certification Scheme (ASCS), '*all other aerospace auditing*' (See Part 1; Certification as a General Aerospace Auditor) :

### Authentication of Aerospace Auditors and Aerospace Experienced Auditors

Audits carried out using the QMS 9001 or AS/EN/JISQ 9100, 9110 & 9120 standards, in support of ASCS (See Part II; Authentication as an ASCS Aerospace Auditor or Aerospace Experienced Auditor)

Each has different competence requirements and the distinctions between these are explained in the criteria, and are reflected in the two distinct types i.e. certification or authentication.

The Aerospace Auditor Certification Program is based on the key standards:

- ISO 9001:2000/2008QMS *Quality Management Systems – Requirements*
- ISO 19011:2002, *Guidelines on Quality and/or Environmental Management Systems Auditing.*

The Authentication of Aerospace Auditor and Aerospace Experienced Auditor is based on the key standards:

- ISO 9001:2000/2008QMS *Quality Management Systems – Requirements*
- ISO 19011:2002, *Guidelines on Quality and/or Environmental Management Systems Auditing.*
- *AS/EN/JISQ 9104-3/EN9104-003 Requirements for Aerospace Quality Management Systems Auditor Training and Qualification*
- *AS9104/1 EN9104-1 Requirements for Aviation, Space and Defence Quality Management System Certification Programs*
- *AS/EN/JISQ 9100; Requirements for Aerospace Quality Management System Certification / Registration Programs AS/EN/JISQ 9110; Quality Maintenance Systems - Aerospace - Requirements for Maintenance Organizations*
- *AS/EN/JISQ 9120; Quality Maintenance Systems - Aerospace - Requirements for Stockists / Distributors*

Our award of certification means we have recognized that you understand and are competent (depending on the grade awarded and specified scope, if appropriate) to satisfy the following within the aerospace industry:

- uphold the principles of proper ethical conduct, fair presentation and due professional care
- communicate clearly orally and in writing in **English** with personnel at all levels of an organization
- plan and organise an audit of an Aerospace Quality Management System (AQMS)
- identify and understand relevant business processes
- evaluate objective evidence and determine the effectiveness of an AQMS
- report accurately audit findings and conclusions

- lead the audit team and manage the audit process
- audit a management process

The Program is intended for the following personnel working within the aerospace industry:

- quality management systems auditors, e.g. those employed by third party certification bodies/registrars, or by purchasing organizations
- quality practitioners, e.g. quality consultants, quality managers and other quality personnel
- employees conducting quality management system audits within their own organization i.e. internal audits.

This document provides new applicants and existing IRCA certificated auditors with information and instructions on:

- certification and authentication
- the certification and authentication processes and how to apply
- the requirements for initial certification
- the requirements for authentication
- the requirements for renewal of certification, including Continued Professional Development (CPD) requirements
- the requirements for re-authentication
- the types of audits acceptable for certification
- the types of audits acceptable for authentication
- fees
- the Code of Conduct.

The details of all certificated general aerospace auditors are included within an IRCA register which is publicly available. Details of all authenticated Aerospace Auditors and Aerospace Experienced Auditors are available on the Online Aerospace Supplier Information System (OASIS) database ([www.sae.org/oasis](http://www.sae.org/oasis)).

### Explaining the difference between 'general aerospace auditing competence' and 'ASCS auditing competence'

As indicated above, the aerospace auditor certification program makes a distinction between auditing in support of certification within the ASCS, and '*all other aerospace auditing*'.

The competence demonstrated by '*all other aerospace auditing*' within the aerospace industry sector, but not recognized as being within the ASCS, is regarded as general aerospace auditing competence. This is distinct from the ASCS auditing competence required to perform internationally recognized second and third party certification audits in accordance with the ASCS requirements.

This program recognizes both general and ASCS auditing competence, but makes a clear distinction between the requirements for certification as a general aerospace auditor and the auditor authentication under the ASCS.

All auditors certificated to this program, irrespective of grade or scope, are considered by IRCA to be competent to audit against ISO 9001:2000/2008 within the aerospace industry sector. The grades awarded in respect of general aerospace auditing competence are referred to as the base grades. An example of a base grade would be ***Aerospace Lead Auditor***. Base grade auditors who have

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successfully completed an approved 9100 Aerospace training course and examination but are not eligible for authentication, can apply to have 9100 recorded on their base grade registration. In addition 9110 and 9120 can be added to the 9100 base grade registration on successful completion of approved 9110 and 9120 aerospace training courses/examinations. The determining factor in awarding a base grade (i.e. 'Provisional' Auditor, 'Principal', etc.) is the number of ISO 9001:2000/2008 audits conducted within the aerospace sector, irrespective of whether these are using AS/EN/JISQ 9100, or equivalent.

Auditors authenticated as ASCS Aerospace Auditor or Aerospace Experienced Auditors (i.e. who have met all of the competence requirements of AS9104/3/EN 9104-003) are eligible to be registered on the OASIS database. Aerospace Auditors and Aerospace Experienced Auditors are authenticated against specific competence requirements for each AQMS standard (i.e. 9110, 9100 or 9120). Aerospace Auditors and Aerospace Experienced Auditors shall be entered into OASIS for each AQMS standard for which they are authenticated e.g. ***Aerospace Experienced Auditor + 9100 + 9120***,

Certification and/or authentication within the Aerospace Auditor Certification Program is available, without restriction, to all individuals worldwide who satisfy the requirements outlined in this document.

**Auditors who meet the requirements for authentication as an Aerospace Auditor (AA) or Aerospace Experienced Auditor (AEA) as on Part II of this aerospace programme can apply to be considered for authentication as an AA or AEA and registered in OASIS.**

## 2. Certification Grades & Requirements for Certification

We will evaluate your application based on your demonstration of the competences needed for effective audit of aerospace quality management systems (AQMS). You can demonstrate these competences through a combination of education, work experience, auditor training and audit experience.

Unless otherwise indicated, we will accept a less comprehensive coverage of the scope and depth of competences for the Aerospace Internal Auditor grade.

### Part I: Certification as a general aerospace auditor

This part of the certification program is intended for auditors who audit against aerospace codes and standards, including AS/EN/JISQ 9100 series, but do not need to have their aerospace auditing competence recognized by the ASCS, or to have their details made available on the OASIS database.

### The Base Grades

This part of the Aerospace Auditor Program has six grades of certification. These are referred to as the base grades:

- Aerospace Provisional Internal Auditor
- Aerospace Internal Auditor
- Aerospace Provisional Auditor
- Aerospace Auditor
- Aerospace Lead Auditor
- Aerospace Principal Auditor

### A brief overview of each grade

To assist you in determining which base grade is right for you, we have listed below descriptions of the characteristics of each grade and a brief summary of the certification requirements. Refer to the notes at the end of this section for a more comprehensive description.

#### ■ Aerospace Provisional Internal Auditor

*Who is suited to this grade?*

This is an entry or training grade for internal auditors who do not yet have the necessary internal auditing experience required for certification to the Internal Auditor grade.

Many internal auditors start at this grade after initial training as a first step.

Summary of the minimum certification requirements for this grade:

#### **Education** (See Note 1.)

- At least secondary education (See Note 1.)

#### **Work Experience** (See Note 2.)

- Five years, or 4 years with a degree or near degree
- One year's aerospace industry work experience
- One year's quality work experience.

### **Auditor Training** (See Note 3.)

- An IRCA certified QMS Foundation course or accepted alternative
- An IRCA certified QMS Internal Auditing course or accepted alternative

### **Auditing Experience** (See Note 4.)

- none

## ■ **Aerospace Internal Auditor**

### *Who is suited to this grade?*

You should consider this grade if you conduct internal audits of your organization's QMS. In most cases you will not be a full time auditor, and you may only audit a few times a year, but you will have a good understanding of quality management systems and how they add value within your own organization.

Because internal auditing is only part of your work, we do not require the same level of qualification and experience as for the other grades.

Certification to this grade is valuable to you in the same way as with other qualifications that recognize your competence. It is valued by your employer not only as an indicator of your competence, but also because it supports your organization's management system.

Summary of the minimum certification requirements for this grade:

### **Education** (See Note 1.)

- At least secondary education (See Note 1.)

### **Work Experience** (See Note 2.)

- Five years, or 4 years with a degree or near degree
- One year's aerospace industry work experience
- One year's quality work experience.

### **Auditor Training** (See Note 3.)

- An IRCA certified QMS Foundation course or accepted alternative
- An IRCA certified QMS Internal Auditing course or accepted alternative

### **Auditing Experience** (See Note 4.)

- Five audits within the aerospace industry totalling at least 15 hours

## ■ **Aerospace Provisional Auditor**

### *Who is suited to this grade?*

This is the entry or training grade, and you should consider this if you intend to make auditing your career. The grade recognizes you to have the appropriate personal attributes, educational, professional and technical competences but have not yet had sufficient opportunity to meet the auditing experience requirements necessary for certification to the other grades. Most career auditors start at this grade and it is seen as the first step.

This grade is also used by experienced auditors who are taking a temporary break from auditing or have moved from auditing to management, but who see value in maintaining IRCA certification.

Summary of the minimum certification requirements for this grade:

### **Education** (See Note 1.)

- At least secondary education

### **Work Experience** (See Note 2.)

- Five years, or 4 years with a degree or near degree
- Four year's aerospace industry work experience
- Two year's quality work experience.
- If less than 4 years aerospace industry work experience see Note 2

### **Auditor Training** (See Note 3.)

- An IRCA certified QMS Auditor/Lead Auditor course or accepted alternative

### **Auditing Experience**

- None

## ■ **Aerospace Auditor**

### *Who is suited to this grade?*

This grade is a natural progression from the provisional grade and you should apply for re grade (from provisional) as soon as you have completed the auditing experience. This grade recognizes you as a competent auditor, contributing as an effective member of an audit team. It is regarded as the next step in the career ladder and most auditors who hold this grade intend to move onto either the lead or the principal grades.

Summary of the minimum certification requirements for this grade:

### **Education** (See Note 1.)

- At least secondary education

### **Work Experience** (See Note 2.)

- Five years, or 4 years with a degree or near degree
- Four year's aerospace industry work experience
- Two year's quality work experience.
- If less than 4 years aerospace industry work experience see Note 2

### **Auditor Training** (See Note 3.)

- An IRCA certified QMS Auditor/Lead Auditor course or accepted alternative

### **Auditing Experience** (See Note 4.)

- Four audits as an auditor-in-training totalling 20 days. 10 days minimum on-site

## ■ **Aerospace Lead Auditor**

### *Who is suited to this grade?*

Most auditors working for certification bodies are lead auditors, as are auditors who perform supplier audits for large organizations. This grade is reserved for competent auditors experienced at managing audits and leading teams.

Summary of the minimum certification requirements for this grade:

### **Education** (See Note 1.)

- At least secondary education

### **Work Experience** (See Note 2.)

- Five years, or 4 years with a degree or near degree
- Four year's aerospace industry work experience

- Two year's quality work experience.
- If less than 4 years aerospace industry work experience see Note 2

### **Auditor Training** (See Note 3.)

- An IRCA certified QMS Auditor/Lead Auditor course or accepted alternative

### **Auditing Experience** (in total, i.e. assuming you do not currently hold the Aerospace Auditor grade) (See Note 4.)

- Four audits as an auditor-in-training totalling 20 days, 10 days minimum on-site
- Three audits as lead auditor-in-training totalling 15 days, 10 days minimum on-site.

## ■ **Aerospace Principal Auditor**

### *Who is suited to this grade?*

This grade is designed as an alternative to the Lead Auditor grade and is intended to recognize the considerable experience and competence of two categories of auditors who operate on their own. (i.e. as a team of one, performing sole audits);

- Auditors with a background in quality consulting within the aerospace industry (whose key competences are implementing quality systems and performing all aspects of the audit process without assistance)
- Auditors with a background in leading audit teams (as lead auditors) but who now audit on their own (whose key competence is audit management and team leadership).

We consider the Principal Auditor and Lead Auditor grades as being, on balance, of an equivalent standard and we do not intend that auditors hold the Principal Auditor and Lead Auditor grade, or any other grade, at the same time.

Summary of the minimum certification requirements for this grade:

### **Education** (See Note 1.)

Consultant route:

- A degree or near degree

Or

Team leader route:

- At least secondary education

### **Work Experience** (See Note 2.)

Consultant route:

- Six years quality work experience

Or

Team leader route:

- Five years, or 4 years with a degree or near degree
- Four year's aerospace industry work experience
- Two year's quality work experience.
- If less than 4 years aerospace industry work experience see Note 2

### **Auditor Training** (See Note 3.)

- An IRCA certified QMS Auditor/Lead Auditor course or accepted alternative

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### Auditing Experience (See Note 4.)

Consultant route:

- Seven sole or lead audits totalling 35 days of which a minimum of 20 days must have been on-site. (These numbers assume you do not currently hold the Aerospace Auditor or Aerospace Lead Auditor grade.)

Or

Team leader route:

- Six years certified to the Lead Auditor grade
- Three sole audits where you were required to demonstrate effective audit management skills within complex and demanding situations.

Note.1:

#### Education

For all grades except Aerospace Principal Auditor (consultant route) you need to have completed a minimum of secondary education. If you have a degree or near-degree<sup>1</sup> level qualification we will reduce the requirement for Work Experience (see below).

Acceptable qualifications include those awarded by an institution recognized by a national governmental body or accredited by a national professional body.

For Aerospace Principal Auditor grade (consultant route), you need a degree, near degree, or acceptable equivalent.

All post graduate diplomas, undergraduate and post graduate degrees awarded in a relevant subject will normally be accepted.

Note. 2:

#### Work Experience

*General, relevant work experience:*

For all grades you need to have at least 5 years relevant aerospace industry work experience. Except for Aerospace Principal Auditor (consultant route), this requirement is reduced to 4 years if you have a degree or near degree. We consider relevant work experience to be a technical, managerial or professional position where you are required to exercise judgement, solve problems and communicate with other managers, employees, and customers.

For Aerospace Principal Auditor (consultant route), you must have at least 6 years work experience, all of which must be quality work experience gained within the aerospace industry, see below:

*Quality work experience:*

For all grades except Aerospace Internal Auditor and Aerospace Principal Auditor (consultant route), you must also have completed 2 years (which may be included as part of the 4 or 5 years total work experience) within a context where quality and quality issues formed the major part of the job. Such experience must have provided you with the practical knowledge necessary to effectively audit quality management systems within the aerospace industry:

For Aerospace Internal Auditor, the requirement is for 1 year of quality work experience, and we will accept quality experience of a more general nature.

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<sup>1</sup> We use the UK definition of a degree as the degree benchmark. But we recognize that not all degrees awarded in the UK and in other countries meet this standard. Many fall just short, either in content or in duration and we call these 'near degrees'. For the purposes of this program we recognize a near degree as meeting the tertiary education intent of this requirement and will accept this as equivalent to a degree.

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For Aerospace Principal Auditor (consultant route), you must be able to demonstrate at least 6 year's quality work experience that related to the development, implementation, maintenance and auditing of quality management systems within the aerospace industry. The significant majority of this work experience must have been conducted at a senior level within an organization. You may have acquired this experience either as an employee or as a contractor. Because we are looking for evidence of quality-related competences acquired through working within the aerospace industry, we will only accept auditing experience as contributing up to a maximum of half of this requirement. You must have acquired the 6 years quality experience within the previous 10 years.

For all grades, periods of training cannot be included in this work experience requirement.

### *Aerospace work experience:*

For all grades except Aerospace Internal Auditor and Aerospace Principal Auditor, you must have completed at least 4 years, full time in the aerospace industry directly involved with engineering, design, manufacturing, quality assurance or process control for a major aero engine or airframe manufacturer, prime supplier, auxiliary equipment supplier and/or official civil, military or space organization such as a National Aviation Authority (NAA), European Space Agency (ESA)/NASA, a government ministry or department of defence (MoD/DoD). (the four years shall have been within the prior ten calendar years).

All three (general, quality & aerospace) elements of the work experience requirements may run concurrently.

### *Applicants who have less than 4 years aerospace industry work experience*

Applicants who cannot satisfy the 4 years aerospace work experience within the past 10 years can qualify for registration via the following alternative route providing they can demonstrate 2 years aerospace industry work experience within the last 15 years plus the following.

Provisional Auditor: successful completion of an approved 9100 Aerospace Industry Specific Course

Aerospace Auditor, Aerospace Lead Auditor: The successful completion of an approved 9100 Aerospace Industry Specific Course plus 2 full system audits witnessed by a registered lead auditor who has not obtained lead auditor registration via this alternative route and who did not participate in the 2 audits.

Note. 3:

### **Aerospace Auditor Training**

For Aerospace Internal Auditor grade you must have successfully completed either:

An IRCA certified *QMS Foundation* course (or an acceptable alternative) and an IRCA certified *QMS Internal Auditor* course (or an acceptable alternative)

or

The training requirement specified for any of the other grades.

For all other grades you must have successfully completed:

An IRCA certified *QMS Auditor/Lead Auditor* course (or an acceptable alternative)

Acceptable alternatives include some QMS courses approved by other training approval bodies, e.g. we accept some (but not all) courses approved by JAB and RAB as being of an equivalent standard.

Exceptionally, we will consider accepting training completed through other ways, but the onus will be on you to satisfy us that this training at least meets our requirements.

You should normally have successfully completed auditor training within the 3 year period immediately prior to application for certification. We may accept training completed prior to this period if you provide evidence of recent, relevant work experience, and currency of your auditing skills.

We advise you to refer to the IRCA website for a current listing of all IRCA approved training organizations offering IRCA certified QMS auditor training courses.

NOTE: Certificates of '**ATTENDANCE**' will not be accepted for authentication.

Note. 4:

### **Aerospace Auditing Experience**

*For Aerospace Provisional Internal Auditor grade*

None

*For Aerospace Internal Auditor grade*

You need to have performed at least 5 aerospace internal audits which can include surveillance audits. Each audit must be of at least 3 hours duration and must have included all elements of the audit cycle; audit planning, document review, auditing, interviewing, audit reporting and must not have involved areas or activities that you yourself perform. (We will accept audits of activities for which you are directly or indirectly responsible, e.g. as a line manager).

*For Aerospace Provisional Auditor grade:*

No auditing experience is required for certification to this grade.

*For Aerospace Auditor grade:*

You need to have participated in at least 4 complete audits within the past 3 years of at least 20 days of which 10 must have been acquired on site. Auditing activity must include document review, preparation and performance of on-site audit activities and audit reporting.

Although we recommend you should complete all of the audits under the direction and guidance of an auditor competent as a team leader (currently certificated as a lead auditor or who has equivalent competence), we acknowledge that for many auditors this will be very difficult and costly to arrange. Consequently, we will accept a minimum of 1 audit under these conditions. We may require this team leader to attest to your competence to audit as a team member.

*For Aerospace Lead Auditor grade:*

In addition to the audit requirement for the Aerospace Auditor grade listed above, you must have performed 3 complete audits within the past 3 years as the leader of an audit team which included at least one other auditor and one of which included the design element.

The duration of the 3 lead audits must not be less than 15 days, 10 days of which must have been acquired on-site.

Although we recommend you should complete all of the audits under the direction and guidance of an auditor competent as a team leader (currently certificated as a lead auditor or who has equivalent competence), we acknowledge that for many auditors this will be very difficult and costly to arrange. Consequently, we will accept a minimum of 1 lead audit under these conditions. We may require this team leader to attest to your competence to lead an audit team.

If you are already certificated to the Aerospace Auditor grade you need only perform the 3 lead audits as above.

*For Aerospace Principal Auditor grade:*

For the consultant route, you must have completed a minimum of 7 full system sole or lead audits within the past 3 years, one of which must have included the design element totalling 35 days, 20 days of which must have been acquired on-site.

If you are already certificated to the Aerospace Auditor grade you need only perform 3 sole or lead audits, one of which must include the design element, of a duration of not less than 15 days, 10 days of which must have been acquired on-site.

For the team leader route, you must have acquired a minimum of 6 years experience as a certificated lead auditor (exceptionally, we will consider accepting less than 6 year's duration if you are able to demonstrate a very considerable and comprehensive experience in leading teams within a shorter period) and conducted 3 sole audits within the past 3 years where you were required to demonstrate effective audit

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management skills in complex and demanding situations. As guidance, we anticipate these to be initial audits, of more than one day's duration performed within a complex organization.

### ***General Guidance on Acceptance of Audits:***

#### *What audits do we accept?*

For all grades we will only accept audits performed during the previous 3 year period. We define 'previous period' as being that period immediately prior to the date we receive your completed application.

We must be able to verify all audit experience you submit in your log sheets. Please make sure you include detailed information of the audits you perform and provide sufficient contact details so that we are able to perform the verification.

We will only accept audits that have been performed in accordance with the auditing guidance standard, ISO 19011:2002 and against ISO 9001:2000/2008, AS/EN/JISQ 9100 or an alternative standard we accept as being equivalent. Audits performed against alternative national, international or company standards may be acceptable.

We will accept supplier audits (also known as *second party* audits, SPAs), and certification audits (also known as *third party* audits, TPAs) and internal audits (also known as *first party* audits, FPAs). We also accept consultancy audits (see below), which can be performed as first, second or third party audits.

#### *Internal (first party) audits:*

For Aerospace Internal Auditor grade we will accept internal audits performed by you on parts of your own aerospace organization where you are independent from the operational activities you are auditing.

We will consider accepting internal audits for other grades providing that, in addition to you being independent from the operational activities you are auditing, the scope of the audit was sufficiently broad and the audit was sufficiently complex to require you to use a range of auditing skills. So that we can consider your internal audits for acceptance, we advise you to provide us with appropriate and relevant supporting information.

#### *Consultancy Audits:*

We will accept audits performed by you when acting as a consultant for a client if all of the following are satisfied:

- the client (auditee) already had a fully established quality management system (QMS) prior to the audit
- you had no part in setting up the QMS being audited (except in specific circumstances as described below)
- you were independent of the auditee
- the scope of the audit included all elements of the QMS

We will also accept pre-assessment audits performed by you on a QMS that you were involved in developing if a certification body subsequently awarded certification at the first attempt.

#### *Surveillance (partial system) audits:*

We do not normally accept surveillance (partial system) audits when submitted for initial certification (except for Aerospace Internal auditor). However, we do accept surveillance audits for renewal of certification. As a general rule we will consider a minimum of five surveillance audits as acceptable, the total minimum duration shall be at least 20 onsite audit person days.

#### *Audits we do not accept:*

We do not accept:

- audits of the same QMS that are repeated more frequently than once every 12 months.
- audits of less than one day (6 hours of on-site audit activity exclusive of breaks) duration, except for Aerospace Internal Auditor grade where we will accept audits of 3 hours exclusive of breaks.
- gap analysis, close out or follow up visits.
- audits performed before successful completion of the formal training requirement.
- Stage One Document Reviews

### Part II: Authentication as an Aerospace Auditor or Aerospace Experienced Auditor

- This part of the certification program is intended for auditors who undertake aerospace audits against QMS 9001 or the AS/EN/JISQ 9100 series of aerospace quality management system standards and who wish to participate in the accredited certification of suppliers within the Industry Controlled Other Party (ICOP) Process and have their details registered on the OASIS data base.
- IRCA also recognises those auditors (AEA & AA) that were authenticated by other AAB's or Sector Management Schemes (SMS) to the ICOP scheme and are shown as currently authenticated in the OASIS database. However you will only be registered with one AAB.

### Authentication

The process for aerospace auditor authentication has two categories of authentication. These are referred to as Aerospace Auditor (AA) and Aerospace Experienced Auditor (AEA):

- Aerospace Auditor (for 9100 and/or 9110 and/or 9120)
- Aerospace Experienced Auditor ( for 9100 and/or 9110 and/or 9120)

There are three possible authenticated scopes to recognise competence in each of the three AQMS standards; 9100, 9110 and 9120. The requirements that require satisfying in order to demonstrate this competence are contained in the AS/EN/JISQ/9104-3 and are summarised below.

To become an AA or AEA against any or all of the three scopes an applicant must meet the following requirements.

### Auditor Recognition

Quality Management System (QMS) auditor by nationally recognised auditor authentication board (AAB) or meet the education, training, work experience and audit experience of ISO 19011.

### ■+ 9100

#### Authentication as an Aerospace Auditor (AA)

- **Training:** Successful completion of an approved Aerospace Quality Management System (AQMS) 9100 Foundation Course (see AS/EN/JISQ 9104-3)

**NOTE: An applicant can only attend the AQMS Foundation Course if he/she has successfully completed a QMS (ISO9001) auditor training course or, has successfully completed an approved AQMS 9100 Standard Auditor Course (see AS/EN/JISQ 9104-3)**

We suggest you contact your national aerospace industry association (NAIA)<sup>3</sup> for details about where and how to acquire this training.

- **Audit Experience:** The applicant shall have participated in 4 QMS or AQMS (9100) audits within the last 3 years at least 2 of which shall have included the design element (partial/surveillance audits are not acceptable). QMS audits may not have been on aerospace industry organisations. Both second and third party audits shall be considered. The audits shall have been conducted for a total of 20 on site audit person days. Audits shall cover all elements of ISO 9001:2000/2008 or accepted equivalent. AQMS audits shall have been conducted at organizations that are predominantly aerospace.

For authentication as an AA, applicants do not need any AQMS work experience and do not need to complete Industry Specific Training and Auditor Evaluation requirements.

### Authentication as an Aerospace Experienced Auditor (AEA)

- **Training:** Successful completion of an approved Aerospace Quality Management System (AQMS) 9100 Foundation Course (see AS/EN/JISQ 9104-3)

**NOTE: An applicant can only attend the AQMS Foundation Course if he/she has successfully completed a QMS (ISO9001) auditor training course or, has successfully completed an approved AQMS 9100 Standard Auditor Course (see AS/EN/JISQ 9104-3)**

We suggest you contact your national aerospace industry association (NAIA)<sup>3</sup> for details about where and how to acquire this training.

- **Work Experience** Have completed 4 years full time in the aerospace industry directly involved in engineering, design, manufacturing, quality or process control for a major aero engine or airframe manufacturer, prime supplier, auxiliary equipment supplier and/or appropriate official civil, military or space organizations such as a National Aviation Authority (NAA), European Space Agency (ESA)/National Aeronautics and Space Administration (NASA), a government ministry or department of defence (MoD/DoD). The 4 years experience shall have been within the 10 calendar years prior to application for certification and shall have included direct involvement or knowledge of aerospace industry specific aspects such as:
  - Aerospace industry quality perspective
  - Relevant civil aviation authority requirements and regulations
  - Principles of military aerospace requirements and regulations
  - First article inspection (AS/EN/JISQ 9102)
  - Airworthiness and safety requirements
  - Design, development, verification and validation
  - Aerospace material traceability requirements
  - Aerospace subcontractor approval and control requirements
  - Variation management of key characteristics (9103)
  - Flow down of quality requirements
  - Foreign object damage (FOD) prevention program requirements
  - Use of customer supplied products
  - Calibration controls and positive recall system
  - Acceptance authority media
  - Nonconforming material, system requirements and operation
  - Sampling inspection requirements and limitations
  - Special processes
  - Configuration management/requirements control
  - Manufacturing techniques
  - Tool control

If the applicant cannot satisfy the 4 years in 10 requirement, the accepted alternative is 2 years aerospace quality management system work experience within the 15 calendar years prior to the application for certification plus the following:-

## Certification or Authentication as an Aerospace Auditor

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1. Successful completion of an approved 9100 Aerospace Industry Specific Course, (see AS/EN/JISQ 9104-3).

2. Successful completion of 2 full system audits and which are witnessed by an Aerospace Experienced Auditor who themselves have not become qualified via this alternative route and did not participate in the audit.

Documentary evidence that the witnessed audits were performed satisfactorily shall be available. The course and the training organization shall be approved by the training provider approval body (TPAB) as recognised by the NAIA<sup>3</sup>. The course shall include as a minimum the elements described in the work experience section above.

- **Audit Experience:** The applicant shall have participated in 4 QMS or AQMS (9100) audits within the last 3 years at least 2 of which shall have included the design element (partial/surveillance audits are not acceptable). QMS audits may not have been on aerospace industry organisations. Both second and third party audits shall be considered. The audits shall have been conducted for a total of 20 on site audit person days. Audits shall cover all elements of ISO 9001:2000/2008 or accepted equivalent. AQMS audits shall have been conducted at organizations that are predominantly aerospace

<sup>3</sup> The NAIA is the organization in each country that represents the interests of that country's aerospace industry, e.g. AIA in the US, AIAD in Italy, ATECMA in Spain, BDLI in Germany, GEBECOMA in Belgium, GIFAS in France, NAI in the Netherlands, SAI in Sweden, ADS in the UK, SJAC & JAA in Japan, etc.

### + 9110 (maintenance)

#### Authentication as an Aerospace Auditor (AA)

- **Training:** Successful completion of an approved Aerospace Quality Management System (AQMS) 9110 Foundation Course (see AS/EN/JISQ 9104-3)

**NOTE: An applicant can only attend the AQMS Foundation Course if he/she has successfully completed a QMS (ISO9001) auditor training course or, has successfully completed an approved AQMS 9110 Standard Auditor Course (see AS/EN/JISQ 9104-3)**

We suggest you contact your national aerospace industry association (NAIA)<sup>3</sup> for details about where and how to acquire this training.

- **Audit Experience:** The applicant shall have participated in 4 QMS or AQMS (9100) audits within the last 3 years at least 2 of which shall have included the design element (partial/surveillance audits are not acceptable). QMS audits may not have been on aerospace industry organisations. Both second and third party audits shall be considered. The audits shall have been conducted for a total of 20 on site audit person days. Audits shall cover all elements of ISO 9001:2000/2008 or accepted equivalent. AQMS audits shall have been conducted at organizations that are predominantly aerospace

For authentication as an AA, applicants do not need any AQMS work experience and do not need to complete Industry Specific Training and Auditor Evaluation requirements.

### Authentication as an Aerospace Experienced Auditor (AEA)

- **Training:** Successful completion of an approved AQMS (9110) Foundation Course (see AS/EN/JISQ 9104-3).

**NOTE: An attendee can only attend the AQMS Foundation Course if he/she has successfully completed a QMS (ISO9001) auditor training course or, has successfully completed an approved AQMS 9110 Standard Auditor Course**

We suggest you contact your NAIA<sup>3</sup> for details about where and how to acquire this training.

- **Work Experience** Have completed 4 years full time in the aerospace industry directly involved in engineering, design, manufacturing, quality or process control for a major aero engine or airframe manufacturer, prime supplier, auxiliary equipment supplier and/or appropriate official civil, military or space organization such as a National Aviation Authority (NAA), European Space Agency (ESA)/National Aeronautics and Space Administration (NASA), MoD (the 4 years shall have been within the ten calendar years prior to application for certification). The work experience should have included direct involvement and/or knowledge of aerospace industry specific aspects such as those shown above under +9100.
- In addition applicants shall be able to demonstrate 2 years full time experience performing repair/maintenance in the 4 years or have undergone specific training in Repair/Maintenance. The work experience should have included direct involvement or knowledge of at least items 1 and 2 below:
  - 1. European Aviation Safety Agency (EASA) / Federal Aviation Regulations (FAR) 145/147, EASA part M or other recognised civil aviation regulations
  - 2. 'Return to service' processes
  - 3. Flight test
  - 4. Functional checks prior to flight
  - 5. Weight and balance
  - 6. Wing walking
  - 7. Aircraft marshalling techniques

If the applicant cannot satisfy the 4 years in the last 10 requirement, the accepted alternative is 2 years aerospace quality management system work experience within the 15 calendar years prior to the application for certification, plus the following:

1. Successful completion of an approved 9110 Aerospace Industry Specific Course for Repair/Maintenance (see AS/EN/JISQ 9104-3).
2. The successful completion of 2 full 9110 audits witnessed by an Aerospace Experienced Auditor, who themselves have not become qualified via this alternative route and did not participate in the audit.

Documentary evidence that the witnessed audits were performed satisfactorily shall be available. Both the course and the training organization shall be approved by the training provider approval body (TPAB) as recognised by the NAIA<sup>3</sup>.

**Audit Experience:** The applicant shall have participated in 4 QMS or AQMS (9100) audits within the last 3 years at least 2 of which shall have included the design element (partial/surveillance audits are not acceptable). QMS audits may not have been on aerospace industry organisations. Both second and

## Certification or Authentication as an Aerospace Auditor

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third party audits shall be considered. The audits shall have been conducted for a total of 20 on site audit person days. Audits shall cover all elements of ISO 9001:2000/2008 or accepted equivalent. AQMS audits shall have been conducted at organizations that are predominantly aerospace.

### + 9120 (distribution/stockists)

#### Authentication as an Aerospace Auditor (AA)

- **Training:** Successful completion of an approved Aerospace Quality Management System (AQMS) 9120 Foundation Course (see AS/EN/JISQ 9104-3)

**NOTE: An applicant can only attend the AQMS Foundation Course if he/she has successfully completed a QMS (ISO9001) auditor training course or, has successfully completed an approved AQMS 9120 Standard Auditor Course (see AS/EN/JISQ 9104-3)**

We suggest you contact your national aerospace industry association (NAIA)<sup>3</sup> for details about where and how to acquire this training.

- **Audit Experience:** The applicant shall have participated in 4 QMS or AQMS (9100) audits within the last 3 years at least 2 of which shall have included the design element (partial/surveillance audits are not acceptable). QMS audits may not have been on aerospace industry organisations. Both second and third party audits shall be considered. The audits shall have been conducted for a total of 20 on site audit person days. Audits shall cover all elements of ISO 9001:2000/2008 or accepted equivalent. AQMS audits shall have been conducted at organizations that are predominantly aerospace

For authentication as an AA, applicants do not need any AQMS work experience and do not need to complete Industry Specific Training and Auditor Evaluation requirements.

#### Authentication as an Aerospace Experienced Auditor (AEA)

- **Training:** Successful completion of an approved Aerospace Quality Management System (AQMS) 9120 Foundation Course (see AS/EN/JISQ 9104-3)

**NOTE: An applicant can only attend the AQMS Foundation Course if he/she has successfully completed a QMS (ISO9001) auditor training course or, has successfully completed an approved AQMS 9120 Standard Auditor Course (see AS/EN/JISQ 9104-3)**

We suggest you contact your national aerospace industry association (NAIA)<sup>3</sup> for details about where and how to acquire this training.

- **Work Experience** Have completed 4 years full time in the aerospace industry directly involved in engineering, design, manufacturing, quality or process control for a major aero engine or airframe manufacturer, prime supplier, auxiliary equipment supplier and/or appropriate official civil, military or space organizations such as a National Aviation Authority (NAA), European Space Agency (ESA)/National Aeronautics and Space Administration (NASA), a government ministry or department of defence (MoD/DoD). The 4 years experience shall have been within the 10 calendar years prior to application for certification and shall have included direct involvement or knowledge of aerospace industry specific aspects such as:
  - Aerospace industry quality perspective
  - Relevant civil aviation authority requirements and regulations

- Principles of military aerospace requirements and regulations
- First article inspection (AS/EN/JISQ 9102)
- Airworthiness and safety requirements
- Design, development, verification and validation
- Aerospace material traceability requirements
- Aerospace subcontractor approval and control requirements
- Variation management of key characteristics (9103)
- Flow down of quality requirements
- Foreign object damage (FOD) prevention program requirements
- Use of customer supplied products
- Calibration controls and positive recall system
- Acceptance authority media
- Nonconforming material, system requirements and operation
- Sampling inspection requirements and limitations
- Special processes
- Configuration management/requirements control
- Manufacturing techniques
- Tool control

If the applicant cannot satisfy the 4 years in 10 requirement, the accepted alternative is 2 years aerospace quality management system work experience within the 15 calendar years prior to the application for certification plus the following:-

1. Successful completion of an approved 9100 Aerospace Industry Specific Course, (see AS/EN/JISQ 9104-3).
2. Successful completion of 2 full audits and which are witnessed by an Aerospace Experienced Auditor who themselves have not become qualified via this alternative route and did not participate in the audit and did not participate in the audit.

Documentary evidence that the witnessed audits were performed satisfactorily shall be available. The course and the training organization shall be approved by the training provider approval body (TPAB) as recognised by the NAIA<sup>3</sup>. The course shall include as a minimum the elements described in the work experience section above.

- **Audit Experience:** The applicant shall have participated in 4 QMS or AQMS (9100) audits within the last 3 years at least 2 of which shall have included the design element (partial/surveillance audits are not acceptable). QMS audits may not have been on aerospace industry organisations. Both second and third party audits shall be considered. The audits shall have been conducted for a total of 20 on site audit person days. Audits shall cover all elements of ISO 9001:2000/2008 or accepted equivalent. AQMS audits shall have been conducted at organizations that are predominantly aerospace.

**When an AEA is already authenticated for 9100 and is seeking authentication for 9120 and where the original work experience was based on 4 years in 10 and where continuing work experience has been as an auditor and not directly employed in the aerospace industry, it is acceptable to utilise the original 9100 authentication work experience providing that the original 9100 authentication**

**has been continuously maintained and is current. All other 9104-3 requirements for 9120 apply.**

■<sup>3</sup> The NAIA is the organization in each country that represents the interests of that country's aerospace industry, e.g. AIA in the US, AIAD in Italy, ATECMA in Spain, BDLI in Germany, GEBECOMA in Belgium, GIFAS in France, NAI in the Netherlands, SAI in Sweden, ADS in the UK, SJAC & JAA in Japan, etc.

**AA and AEA applicants already certificated to 9100 or 9110 can undertake an off site 9120 self study AQMS Foundation Course. This self study course shall include a minimum of 4 hours contact time and an examination shall be given to record the successful completion of the training. Evidence of this training and a successful examination shall be provided.**

### **Withdrawal of Authenticated Auditor**

- In the event that information or objective evidence becomes available to warrant the possible withdrawal of authentication, IRCA shall review the case inline with the initial application process.
- In the event of a decision to withdraw the authentication the following will be applied.

Compulsory withdrawal shall be for no less than twelve (12) months from the date of decision of withdrawal, but at the discretion of IRCA.

Voluntary withdrawal shall be agreed with IRCA. It should be noted that voluntary withdrawal shall not be used to avoid or reduce any period of compulsory withdrawal. In these instances the compulsory period shall be added to the voluntary periods.

Note: In these instances IRCA may consult with the national CBMC to agree the withdrawal periods.

The compulsory period of withdrawal may be extended up to and including a permanent withdrawal based on the severity of evidence used to make the decision.

In instances of withdrawal related to non-adherence to 9104 series or related requirements, a process of correction and corrective action shall be undertaken such that objective evidence of effective auditing and adherence to requirements is established before a decision is made.

In instances of withdrawal are connected to ineffective auditor performance or other actions associated with onsite audit activity, correction and corrective action shall include an onsite witness assessment by an OP assessor, AB assessor or equivalent competent member of the IRCA who has not participated in either the decision making process for authentication or withdrawal.

Justification for the periods shall not be provided. However the appeals process can be engaged.

Examples where permanent withdrawal may be considered:

Falsification of audit documentation or reports, auditing findings or audit conclusions.

Actions during audits that may or have brought the IAQG into disrepute.

Action or lack of that has resulted in aviation safety concerns requiring OEM or NAA action independent of the audit process.

### 3. HOW TO APPLY

#### What you do

##### ■ Request an application pack

We will provide you with an application pack free of charge. Either contact us and we will send it to you by post, or download all the documents yourself from our website.

Tel: +44 (0)20 7245 6833

Fax: +44 (0)20 7245 6755

Email: [irca@irca.org](mailto:irca@irca.org).

Website: [www.irca.org](http://www.irca.org).

##### ■ Complete and submit the application form and documents

When you apply for certification, please complete the forms as instructed, enclose all the additional material requested and send to us with the application fee.

At the application stage, please send only the application fee. Do not send an annual certification fee. If your application is successful, we will write and ask you to pay the annual certification fee.

We need all correspondence in support of the application to be in the English language, or to be accompanied by certified translations of the originals. This is particularly important for educational qualifications, training courses and audits.

All qualifications submitted must be supported by documentary evidence. An example of acceptable evidence would be a good quality photocopy of the original certificate, indicating the awarding body, the title and date of the award and the name of the person to whom the award was made. If any of this information is not available or is not clear, we may ask you to supply us with more evidence.

The same applies if a copy of the certificate is not available, for example where it has been lost or destroyed. Acceptable evidence would include an official letter from the awarding body confirming the award.

A transcript (i.e. an official, detailed account of the course content) of an award would also be acceptable evidence if it clearly states the date and title of the award.

If no documentary evidence can be supplied by the awarding body, it is unlikely we would accept your qualification.

Applicants who require to be considered for certification as ASCS AAs or AEAs and for registration on OASIS shall confirm this with their application.

**For part II of the programme, you must inform us if you have applied to any other auditor registration body and been rejected.**

#### What we do

We usually take about four weeks to process each application. But that time may vary depending on the time required to verify the information submitted with the application. Giving us all the information we need will speed up the application process.

The process has four parts:

### ■ **Administrative check**

All applications are checked first by our administration staff to make sure you have included all the information we need.

### ■ **Technical evaluation**

This phase is performed by IRCA's QMS Aerospace technical experts, the Reviewing Officers. The Reviewing Officers evaluate the information submitted against the certification requirements and perform verification of some or all of this information. At the conclusion of the technical evaluation, the Reviewing Officers will make a recommendation on certification to the Certification Manager.

We consider verification to be an essential element supporting the overall credibility of the certification process. Consequently, great care is taken by the Reviewing Officers in reviewing and verifying applications against all aspects of the certification requirements. We will perform the evaluation as speedily as we can, but sometimes it is not possible to be as quick as we (and you) would like. Processing your application is likely to take longer if you have unusual educational qualifications, or if your current (or former) employers are slow to provide verification information, or if the auditee organizations are not helpful.

### ■ **Certification or Authentication**

The final decision on your certification or authentication is made by the Certification Manager. The certification or authentication decision is performed independently from the technical evaluation process (detailed above).

### ■ **Offer and award of certification**

The Certification Manager will write formally to you with an offer of certification to the appropriate grade or authentication. We will send you this offer and ask you to pay your first annual fee.

Certification or authentication will be awarded when we receive your payment of the annual fee.

For certification your details are then added to the register of certified auditors and we will send you your certification card. For authentication your details are added to the OASIS database.

All decisions are made by personnel who are independent and who have no relationship (e.g. personal, contractual, voluntary or formal) with the applicant that may present a potential conflict of interest to the impartiality of the authentication process. Any such conflicts shall be documented by IRCA together with the resolution.

### 4. FEES

Fees are set annually and apply for the calendar year (1 January - 31 December). Details of current fees are available from our website.

#### ■ **Application fee**

We need you to pay this fee when you send in your application. Unfortunately, we will not be able to progress applications that are not accompanied by an application fee.

This fee covers the costs of the application process and is not refunded if the application is unsuccessful.

#### ■ **Initial certification or authentication fee**

This fee covers the cost of the administration of your certification or authentication for the first year. We need you to pay this fee before we can award certification.

#### ■ **Annual certification or authentication fee**

This fee covers the annual cost of administering your certification or authentication. We will normally send you the invoice one month before payment is due.

#### ■ **Application for regrade fee**

This fee covers costs of evaluating your regrade. We need you to pay this fee when you submit your request and, as with the application fee, the regrade fee is not refundable.

If you are regraded during the year we will not ask you to pay any further certification fees for that current year.

You may request a Regrade at any stage during the certification period.

There is no regrade fee if you are regraded as part of the (3-year) renewal of certification process.

### 5. REQUIREMENTS FOR RENEWAL OF CERTIFICATION AND AUTHENTICATION

You must renew your certification every three years. i.e. at the end of the third complete year. We will write to you Six (6) months before your certification period expires and ask you to send us your audit and CPD logs, and other documents. We will evaluate these against the renewal requirements listed below and make a certification decision. We will then write to you with the results.

In addition to the above all ASCS (Part II) auditors are required to submit their renewal documentation at least three months prior to their certification expiry date, as detailed in clause 8.1.2 of the AS 9104/3 standard. Failure to submit your renewal within this timeframe will result in you having to reapply for authentication. IRCA will notify auditors 6 months in advance of the re certification date.

The renewal of certification process involves these five requirements:

- Continuing Professional Development (CPD)
- Audit experience recorded on the IRCA Form 106 audit log.
- Declaration of Complaints
- Compliance with the IRCA Code of Conduct
- Payment of the Annual fee

#### ■ Continuing Professional Development (CPD) for certification

For all grades in Part 1 except the Aerospace Internal Auditors grade, you must have completed at least 45 hours of appropriate CPD during the 3 year period immediately prior to renewal of certification. At least a minimum of 15 hours of this must be directly related to development of specific aerospace industry or services auditing skills and address currency of aerospace standards and regulations.

We need you to provide us with evidence that you have met this requirement.

(See Appendix I for guidance.)

#### Part 2 CPD for re-authentication

All authenticated auditors shall participate in a minimum of 15 hours of continuing education activities over the 3 (three) year authentication period that addresses one or more of the following subject areas:

- Changes to the applicable aerospace industry standard;
- AQMS auditing methodologies;
- Changes to Aviation Authority Requirements
- Updates/changes to IAQG/ Sectoral policies, criteria and procedures

**Please Note: All auditors certified to the ASCS section, Part II of this programme, are recommended to attend a national or sector OPMT auditor conference**

#### ■ Audit Experience (see Note 1)

We need you to record and submit your audit experience on the audit log sheets (IRCA/106) which we supply.

*For Aerospace Provisional Internal Auditor grade*

There is no requirement to perform audits.

## Certification or Authentication as an Aerospace Auditor

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### *For Aerospace Internal Auditor grade*

You need to have completed a minimum of 5 aerospace audits, the total duration of which must be at least 15 hours.

### *For Aerospace Provisional Auditor grade*

There is no requirement to perform audits.

### *For Aerospace Auditor*

You need to have completed at least 5 acceptable aerospace audits.

### *For Aerospace Lead Auditor*

You need to have completed at least 5 acceptable aerospace audits, any 2 of which must have been as the leader of a team which included at least one other auditor.

### *For Aerospace Principal Auditor grade*

You need to have completed at least 5 acceptable aerospace audits, all 5 must have been either lead audits or sole audits.

You must have performed all audits within the previous three year certification period.

### *For authenticated Aerospace Auditor/Aerospace Experienced Auditor*

You will need to have participated in a minimum of 5 (five) acceptable aerospace audits over the 3 (three) years authentication period conducted to the applicable AQMS

**Acceptable audits shall be full system audits or partial/surveillance audits. Partial/surveillance audits however shall have been extensive and/or evidence shall be submitted to demonstrate that the audits covered a significant part of the auditee's quality management system.**

## ■ Declaration of Complaints, Rejections, Withdrawals of Authentication or Rejection of Applications

You need you to tell us about any ***Complaint, Rejection, Withdrawal of Authentication or Rejection of Application*** that has been made against you or you have made, e.g. rejected applications, rejections from other AAB's. complaints made against your professional conduct etc. It is important that we know of any and all issues as we need to consider these as part of the certification process.. If you do not declare any such arising the consequences may result in the non acceptance of your application or suspension or withdrawal of your certification/authentication.

## ■ Compliance with the Code of Conduct

We need you to make a declaration that you have always acted in compliance with the Code of Conduct (see Appendix III).

## ■ Payment of the Annual Fee

And finally, we need you to pay the annual fee (please note there is no additional fee for renewal or re-authentication). Because the fee will be dependent on the grade or authentication we offer you after renewal or re-authentication, we do not ask you to pay this fee until after we have completed the renewal or re-authentication. We will write to you with the results of the renewal and enclose the fee invoice and your new certification card.

**Note1: Other than for Aerospace Internal Auditor full or surveillance (partial system) audits, one to include the design element, are acceptable but shall be of a minimum duration of 20 onsite audit person days.**

### 6. TRANSITIONING TO BS (EN) ISO 9001:2008

The ISO 9001:2008 revision includes some minor changes and clarifications and we require you to demonstrate that you understand these changes and can implement them during an audit.

#### **Transition Requirement for IRCA Certificated QMS auditors**

You will need to complete a minimum of 2 hours CPD focusing on the changes in ISO 9001:2008 before conducting any acceptable audits to ISO 9001:2008. We will review this CPD and your completed audits during your scheduled renewal of certification, or if you regrade your certification. You must complete your CPD before you complete any audits to the new standard. You must ensure your audit logs note the relevant version of the standard (2000 or 2008) for each audit conducted. Please refer to IRCA633 available for download on our website [www.irca.org](http://www.irca.org)

#### **When does this start?**

We will accept transition CPD and audits to ISO 9001:2008 from November 2008.

#### **What kind of CPD will IRCA accept?**

We are flexible regarding transition CPD and do not require you to complete any one specific transition course. Consistent with our usual approach to CPD we recognize that there are a range of activities that you may use to become familiar with the changes and understand their implications:

- On the job training
- In-house training and seminars with your company
- Attendance at relevant conferences, seminars and workshops
- Reading (e.g. the IRCA/631 briefing note available on our website and other relevant articles)
- A specific QMS auditor transition course

We will maintain a list of ISO 9001:2008 events and seminars that are acceptable for CPD. This will not be an exhaustive list and we will not discount CPD not on this list. These events are offered by approved training organizations and other relevant organizations, but are not certified by IRCA. See IRCA/632 (also available on our website [www.irca.org](http://www.irca.org)) for details of the recommended content for transitional training/events. You will find a list of such courses and events at our website over time as they become available.

#### **When will we stop accepting ISO 9001:2000 audits?**

Not for some time. We anticipate auditing activity against ISO 9001:2000 will continue for some time so we will continue to accept audits against this version. However you will be required to demonstrate your competence through CPD by prior to 1<sup>st</sup> November 2010.

### 7. HOW TO REGRADE

You can apply to be regraded to another grade at any time. When we offer you initial certification we will indicate the audit experience and competences you need to attain the next grade(s) of certification. To apply for regrade, you should complete IRCA/106 log sheets, enclose any additional information requested and send to us with the regrade fee.

A successful application for regrade will not normally result in a change to your renewal of certification date.

If you decide not to apply for regrade during your initial certification period, as part of the renewal of certification process we will write to you two months before your certification period expires and ask you to send us your audit and CPD logs, at this point we will let you know the current regrade requirement. There is no regrade fee if you are regraded as part of the (3-year) renewal of certification process.

Please contact us if you need further advice on how to regrade.

### 8. OTHER INFORMATION

#### ■ The Certification Period

When your application is successful, we award certification for a period of 3 years. This 3 year period is referred to as the certification period. At the end of each certification period we require you to renew your certification. If you are successful at renewal, we award you certification for a further 3 year 'certification period'. And so on.

During the certification period, at the end of the first and second years, you may maintain certification by payment of the annual certification fee and by compliance with the Code of Conduct. We don't require you to submit any other documentation at the end of year 1 and year 2. At the end of the third year, all certified auditors are required to complete the renewal of certification process.

#### ■ QMS Standards other than ISO 9001:2008

For authentication to Part 1 we will accept audits performed against standards which we evaluate as being equivalent to ISO 9001:2008. We maintain a list of acceptable, alternative standards but it is possible that you may claim audits against a standard that is not on this list. We have a procedure for evaluating new standards and you are advised to contact us for advice where you consider an alternative standard may be acceptable to us.

Aerospace industry audits will normally be conducted against AS/EN/JISQ 9100/9110/9120 or national equivalent standards. In regions where this standard is not recognised or is not applied, alternative equivalent standards may be accepted.

NB Audit experience submitted in support of applications for the ASCS scopes must have been conducted against AS/EN/JISQ 9100 series of standards.

#### ■ Certification Cards, Certificates and the Register

We will send you a Certification Card following initial award of certification and annually thereafter when you pay your annual fee and comply with any other requirements.

This card is your primary evidence of certification and you should present this when you first begin an audit and thereafter whenever appropriate.

Although the card is issued to you, it remains our property and you must return it to us should we ask you to.

The IRCA Certificate is intended for display as a formal recognition of your certification to a specific grade. You should not use it as proof of certification. Contact us if you wish to purchase a certificate.

You can find details of all certified auditors in each country on the IRCA website ('Find an Auditor').

#### ■ Appeals and Complaints

You have the right to appeal against any certification decision taken by us. We operate a quality system that includes established procedures for considering appeals and complaints.

Where ASCS scheme specific authentication decisions are appealed, IRCA shall refer the appeal to the OPMT for a decision.

#### ■ Enforcement of Certification

We retain the right to withdraw your certification if you do not continue to meet the certification criteria. In most cases withdrawal will be preceded by an offer of an alternative grade for a

period during which you have the opportunity to meet the requirements and be reinstated to the grade you originally held.

Similarly, we reserve the right to undertake action against your certification if we find you to have acted contrary to the Code of Conduct. Options available include suspending, or in instances of serious or sustained breach, withdrawal of your certification.

### ■ Confidentiality

We undertake to consider as strictly confidential all information, correspondence and documentation submitted by you to us in support of your certification activities.

We reserve the right to publish relevant details of each certified auditor in the register available online at [www.irca.org](http://www.irca.org).

### ■ Legal Status

The certification of auditors by us and all activities associated with the administration of the register is governed in accordance with English Law and is subject to the exclusive jurisdiction of the English Courts.

### APPENDIX I            GUIDANCE ON CONTINUING PROFESSIONAL DEVELOPMENT (CPD)

CPD is a framework that encourages you to continuously update your professional knowledge, personal skills and competences. The purpose of CPD is to make you more effective as an auditor, and to make the auditing profession more credible. The concept of CPD, and the value it contributes, is now recognized and accepted throughout all professional fields.

As part of the renewal of certification process, you must demonstrate to us you have completed at least 45 hours CPD within the last 3 years in subjects that are broadly related to auditing and QMS. At least a minimum of 15 hours of this must be directly related to development of specific aerospace industry or services auditing skills and address currency of aerospace standards and regulations. We support this through our communications with you especially through our regular magazine IRCA Inform that includes articles and guidance on auditing and development issues for auditors. You can receive this magazine free from [www.irca.org](http://www.irca.org)

Because there are so many topics that we recognize will enhance your auditing competence, we do not attempt to list them here. But we categorize these into 2 areas which are consistent with the 2 main areas of competence required by Aerospace auditors.

1. Quality/Aerospace related
2. Auditing related

We recognize that no single method for learning suits everyone. Therefore, we will accept CPD acquired in ways that range from the very informal (e.g. reading and self study) to the formal (e.g. classroom training). We recognize that some ways of acquiring CPD are more effective than others, so we apply a 'weighting' where some activities are accorded more recognition than others. The activities are divided into 3 broad categories:

- a) Unstructured; where 3 hours are accepted as one CPD hour

Included in this category would be distance and open learning study which is not assessed and does not lead to a qualification, the reading of professional and technical journals, books and other publications, relevant aspects of on-the-job training, where specific outcomes have been planned and identified.

- b) Semi-structured; where 2 hours are accepted as one CPD hour

Included in this category would be non-interactive lectures, talks, etc., informal professional body meetings of a more social nature (networking opportunities) the research, preparation and first delivery of lectures/courses, publishing articles and forms of open and distance learning that involve assessment and that result in the acquisition of a qualification.

- c) Structured; where each hour is accepted as one CPD hour

Examples of this category would be interactive and highly participative training courses and seminars, professional body meetings with formal lectures, active participation in development of standards.

The range of activities that may be included within each category is extensive and the small number of examples above is intended to provide broad guidance only. Most auditors submit evidence of activities that include all 3 categories, but it is not a requirement that you do so. The only restriction we place is that unstructured CPD cannot constitute more than 1/3 (i.e. 15 hours) of the total acceptable CPD hours.

## **Certification or Authentication as an Aerospace Auditor**

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It remains your responsibility to provide a case for acceptance of any activity you submit, and this must be supported by sufficient, appropriate evidence. This will involve you making and retaining records of your activities, and having these properly verified where possible. We have developed a CPD and training log sheet (IRCA/173) for this purpose.

It is in your interests to provide us with information in a clear, logical and easily understandable format. The speed with which we are able to evaluate and renew your certification will depend on this.

## Appendix II Definitions/Abbreviations

### **Audit**

A systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.

### **Auditee**

The organization being audited.

### **Audit Client**

The person or organization requesting an audit.

### **Audit Team**

Two or more auditors performing an audit, one of whom is appointed as leader.

### **Lead Audit**

An audit where the auditor performed the audit while leading a team of at least one other auditor.

### **Sole Audit**

An audit where one auditor performed all phases of the audit.

### **First Party Audit**

An audit performed within an organization by that organization's own auditing resource. Also referred to as an Internal Audit.

### **Full Systems Audit**

A 'full' audit as described in Tables 1 and 2 of 9104-3 and section 7 of 9104 shall be interpreted as follows:

The audit and associated audit records used as experience or evidence of witnessed audits shall include and demonstrate effective auditing of all clauses and sub-clauses of the standard.

If any clause or sub-clause is a permissible exclusion (section 7 of ISO 9001 or the AQMS) within the scope of the audit as shown within the audit records, further audit records or witnessed assessment records are required to demonstrate experience of direct evaluation of the full detail of all clauses and sub-clauses of the certification standard.

For fulfilment of the 4 full audit requirement for audit experience, 2 of the 4 audits

presented may exclude section 7.3 (design) **for OASIS authentication.**

### **Second Party Audit**

An audit of contractors/suppliers undertaken by, or on behalf of, a purchasing organization. This may include the audit of companies or divisions supplying goods or services to others within the same group. Also referred to as a Supplier Audit.

### **Third Party Audit**

An audit of an organization performed by a body that is independent of the organization being audited, e.g. certification body or registrar.

### **CBMC**

Certification Body Management Committee at ADS

### **ADS**

The UK aerospace trade association which operates the ASCS in the UKOP

Other party

### **AB**

Accreditation Body

### **OPMT**

Other Party management team

### APPENDIX III CODE OF CONDUCT

It is a condition of certification that you agree to act in accordance with, and be bound by the following Code of Conduct:

1. To act in a strictly trustworthy and unbiased manner in relation to both the organization to which you are employed, contracted or otherwise formally engaged (the audit organization) and any other organization involved in an audit performed by you or by personnel under your direct control.
2. To disclose to your employer any relationships you may have with the organization to be audited before undertaking any audit function in respect of that organization.
3. Not to accept any inducement, gift, commission, discount or any other profit from the organizations audited, from their representatives, or from any other interested person nor knowingly allow personnel for whom you are responsible to do so.
4. Not to disclose the findings, or any part of them, of the audit team for which you are responsible or of which you are part, or any other information gained in the course of the audit to any third party, unless authorised in writing by both the auditee and the audit organization to do so.
5. Not to act in any way prejudicial to the reputation or interest of the audit organization.
6. Not to act in any way prejudicial to the reputation, interests or credibility of IRCA.
7. In the event of any alleged breach of this code, to co-operate fully in any formal enquiry procedure.
8. IRCA reserves the right to conduct any appropriate investigations where there is any misinformation /anomalies in applications or representations.