



Rules for the certification of Quality Management Systems in the aerospace sector according to EN9100

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RINA
Via Corsica, 12 - 16128 Genova - Italy
Tel. +39 01053851 - Fax: +39 0105351000
www.rina.org

Technical rules



RINA

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aerospace sector according to EN 9100

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CHAPTER 1 GENERAL

1.1

These Rules describe the procedures applied by RINA for the certification of Quality Management Systems (QMS) concerning applicable certification schemes in the aerospace sector and how organisations can apply for, obtain, retain, use, suspend and withdraw certification.

For any issues not covered in this document, reference should be made to "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" which can be downloaded at www.rina.org.

1.2

RINA issues this certificate to organisations whose Quality Management System has been recognised as fully conforming to the EN 9100 scheme (EN 9100, EN 9110, EN 9120 Standards).

In particular, RINA issues certificates in compliance with the EN 9100 scheme in the context of the accreditations obtained.

The above certificates can be issued both independently and as supplements to ISO 9001 certificates.

If an organisation that is already certified to ISO 9001 requests certification according to the EN 9100 scheme, all the processes must be fully audited on site from an airworthiness point of view. It is therefore not permitted for just the additional requirements with respect to ISO 9001 to be audited.

1.3

Certification is open to all organisations working in the aerospace sector and does not depend on whether they belong to an association or group but just on the type of activity they perform.

The "aerospace sector" (pursuant to the EN 9104 Standard) means the entire supply chain concerning the design, development, production, distribution, installation, maintenance and servicing of products used in aviation and/or space applications.

In particular, the reference standards for certification according to the EN 9100 scheme are as follows:

- EN 9100 – Quality Management Systems – Model for quality assurance in design, development, production, installation and servicing;
- EN 9110 – Quality Management Systems – Model for quality assurance

For certification, where not expressly indicated in this document, reference must be made to the following documents:

- RT-18 ACCREDIA: Requirements for the assessment and certification of Quality Management Systems of companies in the aerospace sector;
- EN 9104: Aerospace series – Quality management systems. Requirements for aerospace quality management system certification/registration programmes,
- EN 9101: Aerospace series – Quality management systems. Assessment;
- EN 9111: Aerospace series – Quality management systems. Assessment applicable to maintenance organisations;



- EN 9121: Aerospace series – Quality management systems. Assessment applicable to stockist distributors.

RINA will apply the fees established on the basis of its current tariffs for the certification service and guarantees fairness and uniformity of application. RINA is entitled to refuse requests for certification by organisations that have been the subject, or whose production or activities have been the subject, of restriction, suspension or proscription by a public authority.

1.4

The certificate issued by RINA pertains exclusively to a single organisation, where organisation means a group, company, enterprise, body or institution, or parts and combinations thereof, whether associated or not, public or private, with its own functional and administrative structure.

For organisations with more than one operating unit, a single operating unit can be defined as an organisation.

The organisation must inform RINA if there are any areas at the operating units where access is not permitted and explain why. These areas may not be included in the activities subject to certification.

1.5

The procedures envisaged in these Rules are also applied when Quality Management System certification is requested under the provisions of other rules applicable to the organisation; in such cases, any additional requirements for the Quality Management System contained therein are to be complied with.

1.6

The body guaranteeing the certificates issued by RINA (Accreditation Body) may require its observers to take part in the audits performed by RINA in order to ascertain whether the auditing methods applied by RINA comply with the relative standards. As well as the presence of these observers, the organisation must also allow representatives of the civil and military authorities and/or of the client and/or of the ASD (Aerospace and Defence Industries Association of Europe) /AIAD (Italian Industries Association for Aerospace, Systems and Defence) / CBMC (Certification Bodies Management Committee) to accompany RINA staff during the audits. The participation of these observers is agreed in advance between RINA and the organisation. If the organisation refuses to accept the above, RINA will implement the certificate withdrawal process.

1.7

The terminology used in these Rules is the one indicated in the ISO 9000:2005 and UNI CEI EN ISO/IEC 17000:2005 standards.



CHAPTER 2 REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

2.1

To obtain RINA certification, a Quality Management System, as far as applicable in relation to the type of product or service in question, must satisfy, both initially and in the long run, the requirements of the reference scheme and those indicated in the following points of the present chapter, as well as the following requirements:

- RT-18 ACCREDIA – Requirements for the assessment and certification of Quality Management Systems of companies in the aerospace sector;
- EN 9104 – Aerospace series: Process requirements for aerospace quality management system certification/registration programmes;
- any specific requirements requested by the client.

During its accreditation activities, in fact, RINA must abide by certain reference documents issued by the accreditation bodies. These documents can be obtained from RINA or directly from the accreditation bodies (consulting their Internet sites, for example).

2.2

In particular, in order to obtain Quality Management System certification, the organisation must:

2.2.1 have established a Quality Management System and kept it active in total compliance with the requirements of the EN 9100 certification scheme. A Quality Management System is considered as being fully operative when:

- it has been applied for at least three months,
- the internal audit system has been fully implemented and its effectiveness can be demonstrated;
- at least one management review of the system has been carried out and documented,
- the objectives and processes required to obtain results in agreement with client requirements and company policy have been defined,
- these processes have been developed,
- monitoring activities and measurements of the processes and products with respect to the policy, the product objectives and requirements have been performed and registered,
- actions have been implemented to promote continual process improvement and guarantee constancy in production methods and in the quality of the products or services supplied,
- an analysis has been made of the critical nature of the product and the job, as well as of the relative processes, activities and/or production processes that can affect the full conformity of the product (these preventive risk assessments should follow the method proposed by EN 9134). This approach makes it possible to identify the possible dangers deriving from anomalies and define the most appropriate control system, on the basis of the potential effect of these anomalies on safety, reliability and airworthiness requirements, and of the potential or measured frequency of occurrence.



The relative operative controls, including audit activities, technical and instrumental checks, as well as the relative registrations, required to manage risk factors must be defined on the basis of this analysis.

2.2.2 have prepared a manual:

- defining the goal/scope of the Quality Management System, describing the main processes and their interactions and containing or referring to the relative documented procedures.

The description of the processes and their interactions must be extended to all those developed by the organisation (also to outsourced processes required to manufacture/provide a determined product/service that are determining as regards the capacity of the product/service to satisfy the applicable requirements).

This can be done in various ways:

- Descriptions
- Flow charts or logograms
- Tables or matrices
- Other
- taking into consideration the requirements of the standard and giving a description, not necessarily detailed, of the resources and procedures used to ensure compliance with these requirements,
- specifying any exclusions of products/services and/or requirements of Chapter 7 of the reference standard, illustrating for the latter the reasons why these exclusions do not affect the quality of the product/service supplied,
- containing a suitable description of the company organisation.

2.3

The requirements indicated in point 2.2 are verified by RINA by means of a two-stage initial audit:

- Stage 1 audit (PHASE 1) - RINA conducts an initial suitability audit at the organisation's site
- Stage 2 audit (PHASE 2) - RINA performs an on-site audit.

The special features of the initial audit are described in the next chapter.

In particular, for the entire certification process and for subsequent surveillance and recertification audits, RINA will use lead auditors (AEA) and auditors (AA) qualified according to the EN 9104-3 standard.



CHAPTER 3 INITIAL CERTIFICATION

3.1

Organisations wishing to obtain RINA certification for their Quality Management System must provide RINA with their main organisation/activity data and site location by filling in all parts of the "Informative Questionnaire" form (available at www.rina.org) and sending it to RINA which will use it to prepare a quotation.

In particular, the organisation must inform RINA of:

- any aspects of the reference standard which it considers to be inapplicable or which require interpretation or adaptation, clearly stating the reasons for this;
- information concerning all the processes outsourced by the organisation that affect conformity with requirements;
- the number and address of sites involved in certification and the relative activities carried out there.

This information is required in order to verify the application of certain requirements of the standard beforehand and to draw up a suitable offer.

If organisations accept the RINA quotation, they must make their application official by sending RINA the specific form attached to the offer, indicating the reference standard and, if relevant, any other reference standard document according to which certification is requested.

On receipt of the application for certification and the relative annexes and having ensured they are complete, RINA will send the organisation written acceptance of its application.

The organisation's request, which makes specific mention of these rules, and its acceptance by RINA, contractually formalise the relationship between RINA and the organisation, and the applicability of these rules.

The agreement signed between RINA and the organisation includes:

- the initial audit comprising two stages and the issue of the certificate (issue of the certificate is dependent on total compliance of the Quality Management System – see par. 3.5);
- subsequent surveillance and recertification audits;
- any additional services specified in the offer, including the pre-audit, if requested by the organisation.

RINA will notify the organisation of the names of the auditors who will carry out the stage 1 audit and the stage 2 audit; the organisation may object to the appointment of these auditors, giving its reasons.

During the initial audit, the organisation must demonstrate that the Management System has been fully operational for at least three months and that it effectively applies the system and relative documented procedures.



3.2

After receiving the certification request, RINA, together with the organisation, establishes the date of the stage 1 audit to be performed at the production site.

The stage 1 audit is performed by qualified RINA auditors.

The organisation must provide RINA with the following documents:

- quality management manual (the most recent valid revision);
- description of the processes, including sequences, interactions, key indicators and evidence that the processes consider all the requirements of the applicable certification standard;
- a list of internal procedures which are relevant in terms of quality;
- copy of the Chamber of Commerce registration certificate or an equivalent document, certifying the existence of the organisation and describing the activity it performs;
- organisation chart of the organisation's Management System;
- description of the production sites / plans of the sites;
- latest Management Review;
- internal audit planning and results;
- a list of the main laws and/or regulations applicable to the product/service provided;
- management performance in the last 3 months; Among other things, indicators concerning client satisfaction, client complaints management, performance of company processes and product quality must be presented;
- list of clients in the aerospace sector and related supply tender specifications/manuals.

In addition to the above, other documents considered important for Quality Management System evaluation may also be requested by RINA for examination.

RINA examines the above documents for conformity with the reference standard and these Rules.

The stage 1 audit sets out to:

- audit the client's Management System documents;
- assess the location and special conditions of the client's site and exchange information with the client's staff in order to establish the level of preparation for the stage 2 audit;
- review the organisation's status and understanding of the standard, especially as regards the identification of key performance or significant aspects, processes, objectives and operation of the Management System;
- obtain the necessary information concerning the scope of the Management System, the processes and the location/s of the client, including the relative legal and regulatory aspects and conformity with them;
- review the allocation of resources for the stage 2 audit and agree on the details of the stage 2 audit with the client;



- develop stage 2 audit planning, acquiring sufficient knowledge of the Management System and of the activities performed on the client's site, as regards possible significant aspects;
- assess whether the internal audits and management review have been planned and performed and whether the level of implementation of the Management System proves that the client is ready for the stage 2 audit.

The outcome of the stage 1 audit is communicated to the organisation by sending a copy of the stage 1 audit report containing any observations made.

The actions taken by the organisation to eliminate these observations are generally checked during the stage 2 audit referred to in point 3.3.

In the event of observations deemed to be particularly important, in the judgement of the auditors who performed the stage 1 audit, the organisation may be required to totally eliminate them before the stage 2 audit is conducted at the organisation's site.

If the organisation is not ready for the stage 2 audit on site, RINA may decide to interrupt the certification process.

The relative documents are generally kept by RINA for the technical committee which deliberates on certification.

3.3

The stage 2 audit is conducted at the organisation following the successful outcome of the stage 1 audit as described in point 3.2, in order to verify the correct implementation of the Quality Management System.

The stage 2 audit must be conducted within 6 months of the date the stage 1 audit is performed.

Before conducting the stage 2 audit on site, RINA sends the organisation an audit plan giving a detailed description of the activities and the requirements for conducting the audit.

If the organisation performs its activities on more than one operative site, the audit will be performed according to criteria established by RINA and communicated to the organisation.

The stage 2 audit is performed by qualified RINA auditors, on the basis of the stage 1 audit report and the following updated documents prepared by the organisation:

- Quality Management System Manual,
- informative questionnaire filled in by the organisation,
- list of internal procedures,
- management procedures and other Quality Management System documents.

The stage 2 audit essentially comprises the following:

- an initial meeting with the technicians of the organisation in order to agree and confirm the audit objectives and methods indicated in the audit plan;
- verification that the corrective action relative to the observations found during the stage 1 audit have been effectively implemented;



- an inspection of the production site/s of the organisation to verify conformity of the Quality Management System with the reference documents and its complete implementation;
- a closing meeting to explain the outcome of the audit.

The stage 2 audit is extended to all the elements of the organisation's Quality Management System in order to satisfy the requirements of clients in the aerospace sector, also where such elements go beyond the requirements indicated in the reference standard.

The stage 2 audit is performed during all the work shifts and on all the sites for which certification is requested.

When requested, the audit report may be given to the accreditation body.

3.4

At the end of the stage 2 audit, the organisation is given a copy of the audit report containing any non-conformities found as well as any recommendations.

The organisation may indicate any reservations or observations it has concerning the findings by the RINA auditors in the relative space in the audit report.

The contents of this report are subsequently confirmed by RINA in writing.

If there is no written communication from RINA, the report is to be considered as confirmed three working days after being received by the organisation.

After analysing the reasons for any non-conformities indicated in the above report, the organisation must inform RINA of its proposals (these proposals must be defined by the organisation autonomously and not in the presence of the RINA audit team) for handling the non-conformities, as well as the corrective action required and the dates envisaged for its implementation, by the date indicated on the report and not more than 20 days from the closing date of the audit.

The "Member Area" on the RINA website (www.rina.org) can be used to send handling and/or corrective action proposals to RINA for acceptance.

The organisation, in fact, may propose handling methods and/or corrective action by filling in the relative forms directly in the "Member Area" on the RINA website (www.rina.org).¹

¹ If it is impossible to access the Internet, the organisation may fill in a paper form and send it to the pertinent RINA Office.



RINA will notify the organisation in writing of acceptance of the proposals and of the relative implementation deadlines.

3.5

The certification process is suspended if major or minor² non-conformities are found.

If at least one or more major and/or minor non-conformities are found, a supplementary audit must be performed within three months in order to check that the proposed corrective action has been implemented correctly; if this audit is successful the certification process is resumed.

In particular, the organisation must show it has managed the non-conformities with:

- prompt and effective treatment of the anomalies to which the non-conformities refer
- precise and thorough analysis of the relative root causes
- definition, planning and application (if sustainable within 90 days from the audit) of appropriate corrective action.

If the organisation must implement complex long-term action, it must present a detailed plan of the corrective action to be implemented and demonstrate it has begun it.

Depending on the seriousness and number of findings, RINA may decide to perform a supplementary audit at the organisation's site or conduct a document review of the corrective action taken by the organisation.

² Major and/or minor non-conformities are:

- Major non-conformity
 - a) the total non-consideration of one or more requirements of the reference standard A certain number of minor non-conformities concerning a single requirement may point to the total inadequacy of the system and therefore generate one major non-conformity;
 - b) a situation that may determine the delivery of a non-conforming product or one that does not comply with current law;
 - c) the non-observance of one or more requirements of these rules;
 - d) a situation that is likely to cause a failure in the management system or reduce its ability to ensure controlled processes or products/services
- Minor non-conformity
Failure to observe the reference standard that, in the auditor's judgement and experience, is not such as to:
 - a) make the Quality Management System fail;
 - b) reduce its ability to ensure controlled processes or products;
 - c) lead to the delivery of a non-conforming product.

It may be:

- a) a shortcoming concerning Quality Management System documents;
- b) a single slight failure observed regarding a requirement of the Quality Management System.



If the above period is exceeded, the organisation's Quality Management System will be completely re-examined within six months of the finding.

After the six month period has elapsed with no positive outcome of the assessment, RINA reserves the right to definitively close the certification file and charge the time spent and expenses incurred up to that moment. In such a case, if the organisation wishes to proceed with RINA certification, it must submit a new application and repeat the certification procedure.

In special cases, the above time limits may be modified at the request of the organisation, if considered justified by RINA.

3.6

After the satisfactory completion of the evaluation and validation by the relative RINA committee, a Quality Management System Certificate of Conformity against the reference standard, valid for three years, will be issued (the facsimile of which is available at www.rina.org).

The certificate can only be issued in the absence of non-conformities, that is, evidence must be provided that the organisation has eliminated all the non-conformities (see paragraph 3.5)

In particular, the issue of the certificate is subject to the favourable opinion of a member, with specific experience in the aerospace sector (Committee representative with power of veto), who has the power to block the certification process. This Committee representative cannot be part of the audit teams operating on behalf of RINA in the aerospace sector.

The validity of the certificate is subject to the results of the subsequent annual surveillance audits and the three-yearly recertification of the Quality Management System.

The frequency and extent of the subsequent audits to maintain certification are established by RINA on a case-by-case basis by drawing up a three-year audit programme which it sends to the organisation.

All remote locations, such as design, buying and sales centres, etc., which are part of the Quality Management System and which have been audited will be indicated on the certificate.

For details on the management and validity of the certificates of conformity issued by RINA, see chapter 6.



CHAPTER 4 MAINTENANCE OF CERTIFICATION

4.1

The organisation must ensure its Quality Management System continues to comply with the reference standard.

4.2

The organisation must record any complaints and the relative corrective action implemented and must make these records available to RINA together with the corrective action implemented during the periodic audits.

4.3

RINA performs periodic audits on the Quality Management System in order to evaluate whether it remains compliant with the requirements of the reference standard.

Certification maintenance audits are divided into two types:

- surveillance audits, generally performed at least once a year.
 - Sample checks are made of the Quality Management System according to the programme indicated in point 3.6 in the organisation's possession.
- recertification audit (see chapter 5);
 - The Quality Management System must be totally reviewed every three years.

4.4

Surveillance audits are performed at the organisation's site/s, according to a three-year programme which enables each item contained in the reference standard according to which the Quality Management System was certified to be audited at least once during the three years of validity of the Certificate.

The following aspects will be considered during the surveillance audits:

- internal audits and management reviews;
- review of the action taken as a result of the non-conformities identified during the previous audit;
- handling of complaints;
- effectiveness of the management system in achieving the objectives of the client and the organisation;
- progress of activities implemented to promote continual improvement;
- continual operative control (assessment aimed at demonstrating the organisation's continued ability to meet product and/or service requirements, in particular derived from mandatory rules and/or from specific contractual client requests);
- a review of any changes;
- implementation and effectiveness of corrective actions;
- all the requirements relative to chapters 4, 5, 7.3 (if applicable) of the standard.



Details of the activities and instructions for performing surveillance audits at the site/s are described in the surveillance audit plan which RINA sends to the organisation before performing the audit.

4.5

At least one surveillance audit must be performed at intervals of not more than 12 months and the date by which the audits must be performed is indicated on the three-yearly audit programme in the organisation's possession.

This programme may be modified by RINA in relation to the results of the previous surveillance audits.

If the limits of the surveillance audits are exceeded for justified reasons, this must be agreed in advance with RINA and recovered at the subsequent audit.

In any case, the date of the first surveillance audit following initial certification must be established within 12 months from the final date of the stage 2 audit.

4.6

RINA also reserves the right to perform additional audits with respect to those established in the three-year programme, announced or unannounced, at the organisation:

- if it receives complaints or reports, considered to be particularly significant, relative to the non-compliance of the Quality Management System with the requirements of the reference standard and of these Rules;
- if the organisation receives notifications/complaints from aerospace manufacturer clients;
- in relation to changes taking place in the organisation;
- to organisations whose certification has been suspended.

In particular, if the organisation receives notifications/complaints from aerospace manufacturer clients during the validity of the certificate, it must inform RINA within 5 days.

Depending on the seriousness of the complaint received by the organisation, RINA must monitor its management by the organisation, either by conducting a site audit or by performing a document review of the evidence sent by the organisation.

RINA must immediately send the accreditation body a brief communication concerning such complaints and the action taken to monitor their management by the certified organisations. The accreditation body informs AIAD of these events and their management in order to allow them to be monitored.

If the organisation refuses to allow the audit to be performed, without a justified reason, RINA may suspend the certificate immediately.

If RINA considers the complaints and reports to be justified, the cost of the supplementary audit will be charged to the organisation.



4.7

The dates of the surveillance audits will be agreed with the organisation in due time and officially confirmed in writing.

The names of the qualified auditors appointed to perform the audit will be notified by RINA to the organisation which may object to the appointments, giving its reasons.

4.8

The outcome of the audit is notified as described in section 3.4.

The validity of the certificate is confirmed following the successful outcome of the surveillance audit.

4.9

If any non-conformities are found during the surveillance audits, RINA evaluates the management of these non-conformities as follows (also see paragraph 3.5):

- if major non-conformities are found, the organisation is subjected to a supplementary audit by the deadline established by RINA, depending on the importance of the non-conformities, but always within 90 days from the end of the surveillance audit;
- if minor non-conformities are found, the organisation may be subjected to a supplementary audit at the auditor's discretion and by the deadline established by RINA. The organisation must always send RINA written evidence to show it has effectively implemented the proposed corrective action, effectively and within 90 days from notification of the non-conformities.

Depending on the seriousness and number of findings, RINA may decide to perform a supplementary audit at the organisation's site or conduct a document review of the corrective action taken by the organisation.

RINA will check the effectiveness of the action during the subsequent surveillance audit.

If the non-conformities are not eliminated within the established times or if they do not ensure the supplied products/services satisfy client requirements and applicable law, RINA may suspend certification until these non-conformities have been eliminated and, in any case, as specified in point 10.1.

All costs relative to any supplementary audits deriving from shortcomings in the Quality Management System will be charged to the organisation.



CHAPTER 5 RECERTIFICATION

5.1

For the recertification audit of the Quality Management System, performed every three years, the organisation must contact RINA at least three months before the date indicated on the three-year audit programme in its possession, and send an updated and complete copy of the Informative Questionnaire (available at www.rina.org) in order to allow RINA to plan the activity and agree on the date of the recertification audit.

The date of the recertification audit will be agreed with the organisation in due time and officially confirmed in writing.

The names of the qualified auditors appointed to perform the audit will be notified by RINA to the organisation which may object to the appointments, giving its reasons.

5.2

The recertification audit sets out to confirm maintenance of the conformity and effectiveness of the overall Management System and is mainly based on an audit to be performed on site, generally using the same criteria as the stage 2 audit (see paragraph 3.4).

In particular, the recertification audit comprises an on-site audit which considers, among other things, the following aspects:

- the effectiveness of the overall Management System in the light of internal and external changes and its continued pertinence and applicability for the certification scope;
- the commitment demonstrated in maintaining the effectiveness and improvement of the Management System in order to improve overall performance;
- if the effectiveness of the Management System contributes towards the pursuit of the organisation's policy and objectives and to compliance of the products/services with the requirements of the mandatory rules and client specifications/contractual terms.

Details of the activities and instructions for performing the recertification audit at the site/s are described in the recertification audit plan which RINA sends to the organisation before performing the audit.

5.3

Following the successful outcome of the recertification audit, the auditing team submits a recertification proposal to RINA in order to allow it to reissue the certificate of conformity.

Re-issue of the certificate by RINA is subject to the favourable opinion of a member with specific experience in the aerospace sector (Committee representative with power of veto), who has the power to block the certification process. This Committee representative cannot be part of the audit teams operating on behalf of RINA in the aerospace sector.

Confirmation of recertification approval by RINA with consequent issue of the certificate is sent to the organisation in writing.



For details on the management and validity of the certificates of conformity issued by RINA, see chapter 6.

5.4

The recertification procedure must be successfully terminated before the expiry date indicated on the certificate. This date cannot be extended by RINA.

Consequently, the recertification audit must be successfully terminated in sufficient time to allow RINA to approve the recertification proposal and reissue the certificate by the above date (at least one month before the expiry date indicated on the certificate).

If the organisation fails to abide by the above deadlines and therefore does not obtain the reissued certificate by the expiry date, the certificate must be considered as expired starting from the day after the date of expiry indicated on the certificate.

Organisations intending to obtain certification following the expiry of the certificate must present a new application and, generally, repeat the entire initial certification procedure.

5.5

If at least one or more major and/or minor non-conformities are found, within a maximum of three months and in any case before the date of expiry of the certificate of conformity, a supplementary audit must be performed in order to ascertain the correct and effective application of the proposed corrective action (See paragraph 3.5).

Depending on the seriousness and number of findings, RINA may decide to perform a supplementary audit at the organisation's site or conduct a document review of the corrective action taken by the organisation.

The established times within which the organisation must perform the supplementary audit are communicated to the organisation in the recertification audit report.

All costs relative to any supplementary audits deriving from shortcomings in the Quality Management System will be charged to the organisation.



CHAPTER 6 MANAGEMENT OF CERTIFICATES OF CONFORMITY

6.1

The certificate of conformity issued by RINA is valid for three years starting from the date of approval by RINA of the initial certification or recertification proposal.

6.2

From the moment of issue of the certificate by RINA, an original copy of the same and of the relative three-year audit programme is made available to the organisation in the "Member Area" of the RINA website (www.rina.org). The organisation may therefore enter and download the above documents directly from this area of the RINA website.

If it is impossible to access the Internet, the organisation may request a hardcopy original from the pertinent RINA Office.

Following the issue of the certificate, RINA sends the data to the Accreditation Body and to IAQG (International Aerospace Quality Group) and enters the organisation in the register of certified organisations in the OASIS database.

6.3

The validity of the certificate, throughout the three years of validity, is subject to the results of the subsequent surveillance audits.

The certificate of conformity is reissued following the successful outcome of each recertification audit within the established deadlines, as indicated in chapter 5 hereto.

The validity of the certificate may be suspended, withdrawn or relinquished in accordance with the contents of Chapters 10 and 11.

RINA directly publishes and updates the following on its website www.rina.org:

- the list of certified organisations;
- the status of validity of the certificates issued, indicating valid, suspended or invalid for each certificate;
- copies of valid certificates.

Moreover, information related to certificate status will be made public in the OASIS database, on the IAGQ Internet site. A certified organisation, at the time of acceptance of the RINA offer and dispatch of the certification request, explicitly accepts that the information relevant to the status of its certificate will be made public in the OASIS database.

On request, RINA provides information on the reasons for the invalidity of the certificate.



CHAPTER 7 MODIFICATION OF CERTIFICATION AND COMMUNICATION OF CHANGES

7.1

An organisation in possession of certification may request a modification or extension by presenting a new certification application, accompanied by the duly updated documentation indicated in point 3.1. RINA reserves the right to examine requests on a case-by-case basis and to decide the evaluation methods for the purpose of issuing a new certificate according to the "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" and the reference scheme.

7.2

The organisation must promptly inform RINA of any changes in factors that may affect the capacity of the Management System to continue to satisfy the requirements of the standard used for certification.

This requirement concerns, for example, modifications to:

- the legal, commercial, organisational or ownership status;
- organisation and management (e.g.: key managers or technical staff, decision-making process);
- contact addresses and sites;
- field of application of the activities covered by the certified Management System;
- significant changes in the Management System, related documentation and processes.

RINA reserves the right to perform additional audits on the organisation if the modifications communicated are considered particularly significant as regards maintaining the conformity of the Quality Management System with the requirements of the reference standard and of these Rules or to review the economic conditions for the possible modification of the contract.



CHAPTER 8 SPECIAL REQUIREMENTS FOR MULTI-SITE ORGANISATIONS

8.1

If an organisation works on more than one permanent production site, all the functions pertaining to the Quality Management System are managed from a head office and a single certificate is requested, auditing activities must be performed on all the production sites of the organisation as indicated in paragraph 8.2.

In particular, an organisation can request multi-site certification if:

- the processes of all the sites are substantially of the same type and are performed using similar methods and procedures. If different processes are performed in different places, these must be connected (e.g.: manufacture of electronic components in one place, assembly of these components performed by the same organisation in various other places);
- the Management System is managed and administered at head office level and is subject to review by the senior management.

The organisation must also demonstrate that the head office has established a Management System compliant with the reference standard and that the entire organisation satisfies its requirements.

In particular, at least the following activities are to be managed by the head office of the organisation:

- assessment of training requirements;
- control of documents and of their modifications;
- senior management review of the Management System;
- complaints;
- assessment of the effectiveness of corrective actions;
- planning and execution of internal audits and assessment of results;
- presence of different legal requirements.

Prior to the initial audit by RINA, the organisation must have performed an internal audit on each site and verified the conformity of its Management System with the reference standard.

If the organisation has remote sites performing supporting activities, such as design, sale, distribution, etc., these sites must be audited during the stage 2 audit. A sample of remote sites can be audited during the surveillance audits.

8.2

In the case of certification, all the sites subject to certification, the head office, all the production sites and any remote sites (e.g.: commercial sites, design centres, etc.) must be audited against the complete and applicable requirements of the quality management standards of the aerospace sector.

In the case of surveillance, all the sites subject to certification must be audited at least once during the surveillance cycle:



- during the first year of the three-year certification cycle, the head office and 50% of the production sites subject to certification must be audited;
- during the second year of surveillance, the head office and the remaining 50% of the production sites subject to certification must be audited.

In recertification, the head office and all the sites (including the remote sites) subject to certification must be audited against the complete and applicable requirements of the quality management standards of the aerospace sector.

8.3

On the basis of the information provided by the organisation, RINA establishes the audit plan both for the initial audit and for the surveillance and recertification audits.

8.4

RINA issues a single certificate with the name and address of the headquarters of the organisation. A list of all the sites to which the certificate refers is indicated in an annex or on the certificate.

The organisation may be issued with an extract of the certificate for each site covered by certification, provided it indicates the same purpose or a sub-element, and includes a clear reference to the main certificate.

8.5

For any non-conformities and/or observations found on one site during audits, the organisation must assess whether these are due to shortcomings common to more than one site and, if so, it must adopt corrective action both at headquarters and at the other sites.

If, instead, the non-conformities and/or observations are not of the same type, the organisation must provide suitable evidence and reasons for limiting its corrective follow-up actions.

If non-conformities are found even on just one site, the certification process is suspended for the entire network of listed sites, until these non-conformities have been corrected and, in any case, in accordance with the contents of point 10.1.

The organisation may not exclude this/these site/s from the scope during the certification process to avoid the obstacle created by the existence of a non-conformity.

8.6

The organisation must inform RINA of the closure of any site covered by certification. If this information is not communicated, RINA may decide whether to proceed according to the contents of point 10.1.

Additional sites can be inserted on an existing certificate following surveillance or recertification audits or following specific extension audits.



CHAPTER 9 TRANSFER OF ACCREDITED CERTIFICATES

9.1

If an organisation with a valid certificate issued by another Quality Management System Certification Body, accredited for EN 9100, EN 9110 and/or EN 9120 by a recognised Accreditation Body, recognised by IAQG, wishes to transfer its certificate to RINA, it must send RINA the "Informative Questionnaire" as per point 3.1, indicating the reasons for its transfer request.

If it accepts the economic offer, the organisation must send RINA the "Certification request" together with the following documents:

- copy of the EN 9100, EN 9110, EN 9120 certificate issued by a Quality Management System Certification Body accredited by an IAQG recognised Accreditation Body;
- copy of the certification audit report or the last recertification audit report and of the subsequent surveillance audit reports (in any case, at least all the reports of the last three-year certification period);
- copy of the last management review.

The organisation must also inform RINA of:

- any observations or reports by national or local authorities;
- any complaints received and relative action taken.

The above-mentioned documentation is examined to:

- check whether the certification scope is included among the scopes for which RINA is accredited;
- check the validity of the certificate issued by the previous Certification Body;
- check the closure status of any non-conformities;
- prepare the next audit process to be undertaken after the RINA certificate has been issued.

If the certificate issued by a previous Certification Body is suspended or it is not possible to verify the validity of the certificate, the certificate cannot be admitted to the transfer procedure.

The above checks normally include a visit to the organisation requesting the transfer of certification.

The contract between RINA and the applicant is managed as indicated in paragraph 3.1, depending on the scope of the auditing activities.

After the satisfactory completion of the above activities, a Certificate of Conformity of the Quality Management System is issued which generally maintains the deadline established by the body which issued the previous certificate.

Generally speaking, surveillance and recertification audits are also performed according to the programme established by the organisation that issued the previous certificate.



CHAPTER 10 SUSPENSION, REINSTATEMENT AND WITHDRAWAL OF CERTIFICATION

10.1

The validity of the Certificate of Conformity may be suspended as indicated in the "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" and in the following specific cases:

- if the organisation does not allow surveillance or recertification audits to be performed at the requested frequencies;
- if non-conformities are found in the Quality Management System which have not been corrected within the time limits established by RINA;
- if the organisation does not observe the deadlines established for the communication of corrective actions, following non-conformities/observations indicated in the audit report;
- if the organisation has made far-reaching changes to its site/s or moves to another site without informing RINA of such changes;
- if the organisation has made significant modifications to its Quality Management System which have not been accepted by RINA;
- if the organisation has undergone important re-structuring and has not reported this to RINA;
- if it refuses or obstructs the participation in audits of the observers of the accreditation body and of AIAD-CBMC;
- for evidence that the Quality Management System does not guarantee compliance with the laws and regulations applicable to the activity and/or the site/s;
- notification to the organisation of inadequately managed complaints made by aerospace manufacturer clients;
- payment arrears;
- if justified and serious complaints received by RINA are confirmed.

The organisation may also make a justified request to suspend certification, normally for not more than six months and in no case after the date of expiry of the certificate.

This suspension will be notified to the organisation in writing, stating the conditions for reinstating certification and the date by which the new conditions are to be complied with.

Suspension of the validity of the certificate is made public by RINA directly on the website www.rina.org as indicated in point 6.3.

Following the issue of suspension, RINA sends the data to the accreditation body and to IAQG (International Aerospace Quality Group) and enters the organisation in the register of certified organisations in the OASIS database.

In this way, the information related to certificate status is made public in the OASIS database, on the IAQG Internet site. A certified organisation, at the time of acceptance of the RINA offer and dispatch of the certification request, explicitly accepts that the information relevant to the status of its certificate will be made public in the OASIS database.



10.2

Reinstatement of certification is subject to verification that the shortcomings which led to the suspension itself have been eliminated. This is achieved by means of an analytical audit to check compliance of the Quality Management System with all the requirements of the reference standard.

It is notified to the organisation in writing and made public by RINA on its website www.rina.org as established in point 6.3.

Following the reinstatement of certification, RINA sends the data to the accreditation body and to IAQG (International Aerospace Quality Group) and enters the organisation in the register of certified organisations in the OASIS database.

10.3

Failure to fulfil the conditions as per point 10.2 above by the established date will lead to revocation of the Certificate of Conformity

Revocation of the Certificate of Conformity may be decided as indicated in the "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" and in the following specific cases:

- when there are reasons such as those indicated in point 10.1 for suspension, which are held to be particularly serious;
- if the organisation stops the activities or services covered by the certified Quality Management System for over six months as a rule;
- if the organisation does not accept the new economic conditions established by RINA due to a modification in the contract;
- for the case of multi-site organisations, if the headquarters or one of the sites does not comply with the criteria required to maintain certification;
- if, following complaints by aerospace manufacturer clients, the organisation fails to give evidence of the closure of the notifications by the expiry of the period of suspension;
- for any other reason that RINA deems to be serious.

Withdrawal of the Certificate of Conformity is notified in writing to the organisation and made public by RINA as indicated in point 6.3.

Moreover, RINA will communicate revocation to the accreditation body and to IAQG so the OASIS database can be updated.

Any organisation which, following revocation of its Certificate, wishes to be re-certified, must submit a new application and follow the entire procedure all over again.



CHAPTER 11 RELINQUISHMENT OF CERTIFICATION

A certified organisation may send formal communication of relinquishment of certification to RINA, before the expiry of the certificate, including the case in which the organisation does not wish to or cannot conform to new provisions established by RINA.

Upon receipt of this communication, RINA starts the procedure to invalidate the certificate.

Generally speaking, within one month from the date of the communication, RINA updates the validity status of the certificate.

Moreover, RINA will communicate revocation to the accreditation body and to IAQG so the OASIS database can be updated.

CHAPTER 12 CONTRACTUAL CONDITIONS

For contractual conditions, the contents of the current edition of the RINA document entitled "General Contract Conditions for System, Product and Personnel Certification" apply.

In addition to the contents of chapters 20 and 21 of the above document concerning the use of the certification logos, organisations certified according to the EN 9100 scheme can use the SCSA-AIAD (Aerospace Sector Certification Scheme) logo on their letterhead and other company documents, such as invoices and brochures, with the following limits:

- the logo is protected by copyright and can only be used to indicate the organisation's possession of EN 9100, EN 9110, EN 9120 certification;
- minimum dimensions: sufficient to ensure the wording in the logo remains legible;
- maximum dimensions: no particular requirements;
- Colours: only the original ones.

If the organisation fails to observe the above indications for the use of this logo, the contents of the current edition of the RINA document entitled "General contract conditions for the certification of Systems, Products and Personnel" apply.

In addition to the contents of chapter 6.2 of the contractual conditions, access to and consultation of the documents concerning certification/ validation and verification are restricted to the functions involved in the certification/validation and verification procedure and to the organisation in question, as well as to the representatives of Accreditation and Control Bodies such as ACCREDIA, ASD, AIAD, JAA and NAA.



RINA

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RINA Società per azioni
Via Corsica, 12 - 16128 Genoa - Italy
Tel. +39 01053851 - Fax: +39 0105351000
www.rina.org

Technical rules