

General information regarding elements of the certification process is described below. A degree of flexibility and options in the certification process are available so please feel free to contact us to discuss how we can better serve your organization.

### **SAI Global Full Service Team**

Upon selection of SAI Global as your Registrar and submission of the signed Application for Certification, SAI Global will assign your dedicated service team.

Your service team will be selected to suit your specific industry and will consist of an Account Manager, a Regional Account Representative, a Lead Auditor and other team members as needed to support your certification. The roles of each member of your service team are as follows: your Account Manager will manage the business relationship, including contract negotiation and changes to your certification requirements; your Regional Account Representative will manage the back office processes including scheduling and customer service related to certificates and invoicing; your Lead Auditor will manage the delivery relationship. As your primary contact with SAI Global, the Lead Auditor assigned provides you with ongoing industry developments and interpretations and ensures coordination of all audit-related activities for your company. If additional audit team members are required, they are selected from our experienced auditor base. Your audits will be consistent in approach, technically sound and relevant to your business needs.

### **Introductory Visit – (Optional) (formally referred to as a Preliminary Assessment)**

An introductory visit is an on-site assessment conducted prior to the Stage 1 Certification Audit. The introductory visit allows for the identification of any major implementation issues and feedback regarding your implementation readiness. We recommend that your preliminary assessment be scheduled no less than 30 days prior to the Stage 1 Audit.

### **Certification Audit**

The goal of the certification audit is to assess the effective implementation of your management system to the requirements of the standard and your management system documentation. The audit is conducted in two Stages.

The Stage 1 audit is generally conducted on site and consists of a documentation review and establishes the audit scope and audit plan.

The Stage 2 audit is conducted on site and consists of a review to ensure that the management system has been fully implemented and is in conformance to the requirements of the standard or normative document.

All audit activities are mutually planned with your assigned Auditor prior to the audit. An audit plan is provided detailing the scope and objectives of both the Stage 1 and Stage 2 audit, the audit team members, the processes to be audited and the timelines. While onsite your audit team will work to verify that the management system meets the requirements of the standard and your system documentation by assessing objective evidence. At the conclusion of the onsite audit, you will be immediately informed of the audit results and recommendation of the audit team. A formal audit report will be issued after the audit. The report will include information relative to positive aspects of the system, opportunities for improvement and system non-conformances.

Please note that if you request the option of having the Stage 2 audit less than 30 days after Stage 1, a potential risk is present in that unacceptable Stage 1 audit results may require the cancellation of the Stage 2 audit with the application of cancellation fees as outlined in the terms and conditions. Please note that Stage 1 and Stage 2 audits may not be scheduled on consecutive working days.

### **Certificate Issuance**

Upon successful completion of the certification process (including resolution of non-conformances if applicable), your Team Leader compiles a Certification Package for review by our Certification Team. Upon completion of the review, the Certification Team prepares and forwards your Certificate of Registration. Your certificate will include details such as: legal company name, site address, standard, scope of certification, the initial certification date and the expiry date.

The official certificate is forwarded to you, along with a link to our marketing website. The Marketing tools will provide you with useful ideas on how to capitalize on your ISO certification, provide you with the official 'SAI Global registered mark' artwork and the guidelines of use. Your successful certification will also be published in our online Directory of Registered Companies, at [www.saiglobal.com/assurance/](http://www.saiglobal.com/assurance/)

### Surveillance Audits

Surveillance audits are periodic audits of your management system. The purpose of surveillance audits is to ensure the management system is being maintained during the effective period of certification. To provide you with as much flexibility as possible, SAI Global offers two surveillance frequency options: Annual and Semi-annual.

- Semi-Annual audits are conducted every six months. This option offers more frequent interaction with your audit team, to ensure your management system is working efficiently and to facilitate the rate of continuous improvement.
- Annual audits are conducted every twelve months, as a minimum.

At SAI Global's discretion, additional audit time may be added to check the implementation and effectiveness of corrective actions for non-conformances identified during the previous audit.

### Re-certification audit

Re-certification Audits are scheduled before 3-year mark, at a minimum of 3 months before the certificate expiry date. The purpose is to ensure:

- The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of the Certification
- Client demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance.
- Whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives

At SAI Global's discretion, additional audit time may be added to check the implementation and effectiveness of corrective actions for non-conformances identified during the previous audit.

### Supplemental scheme requirements

In addition to the requirements in Section 4 – Registration, the following additional sector-specific requirements apply:

Client is required to:

- Comply with the requirements of AS9104/1 and IAQG Supplemental Rule 003;
- Allow SAI Global to provide Tier 1 data (i.e., information on the issued AQMS standard certificate – public domain) and Tier 2 data (e.g., information and results of audits, assessments, nonconformances, corrective action, scoring, and suspensions - private domain) to the OASIS database;
- Provide access to the Tier 2 data in the OASIS database to their aviation, space, and defense customers and authorities, upon request, unless justification can be provided (e.g., competition, confidentiality, conflict of interest);
- Identify an OASIS administrator for each registered location and be responsible for keeping the account active and notifying the CB of significant changes within the organization (e.g., changes related to address, ownership, key management, number of employees, scope of operations, customer contract requirements);
- Provide 'right of access' for Accreditation Body (ABs), IAQG members, Other Party (OP) assessors, customer representatives, and regulatory authorities that may request to accompany SAI Global for the purpose of oversight witness or the confirmation of the effectiveness of the CB audit

In addition to the requirements in Section 7 – Suspension, Cancellation or Expiration of Registration, the following additional sector-specific requirement applies:

Client is required to:

- Provide notification to their aviation, space, and defense customers if their AQMS standard certificate is lost (withdrawn or expired without renewal)

NOTE: Failure to comply with these contractual requirements from SAI Global to the client can result in withdrawal of certification and OASIS listing (as required per AS9104/1)

Lastly, the following export control requirements apply: SAI Global fully complies with all U.S. export control regulations, including the International Traffic in Arms Regulations (ITAR) and the Export Administration Regulations (EAR)

- All SAI Global customers are responsible to handle all restricted items as per the export regulations which apply to them. This includes the U.S. ITAR and EAR regulations, and restrictions imposed by the Office of Foreign Assets Control (OFAC). It is the customer's responsibility to identify all restricted items which will be involved in any activity/audit involving SAI Global, its employees, contractors, or auditors. If the items in question cannot be utilized in our activity/audit without an authorization from the applicable U.S. government agency, it shall be the responsibility of the customer to exclude such data from our activity/audit until the proper authorization from the U.S. government is secured. The term "item" (as described above) includes product or hardware, technical data, software, or technology which is subject to any U.S. export regulation. "Item" does not just refer to the physical product itself. If the customer cannot, or will not, make that identification, the customer hereby indemnifies and holds harmless SAI Global from any resulting violation and/or penalties.