1. Purpose

This document describes the responsibilities of TUV USA certified client (organization) for achieving and maintaining QMS certification.

2. Definitions

Organization: Company that is a legal entity with a quality management system accredited by a Certification Body (Your organization);

Aerospace Quality Management System (AQMS): A quality management system based on ISO 9001 that includes additional aviation, space, and defense requirements established in AS9100, AS9110 and AS9120.

Certification Body: An organization that performs audit and certification services in accordance with authorized Accreditation Body requirements (TUV USA).

Online Aerospace Supplier Information System Database (OASIS): A web based application containing information on participating National Aerospace Industry Associations, auditors, CBs, certified suppliers and audits performed.

3. Reference Documents

ISO 17021: Requirements for Bodies Providing Audit and Certification of Management Systems

AS9104/1: Requirements for aviation, space, and Defense Quality Management System Certification Programs

4. Client General Requirements

The organization must inform the certification body, without delay, of matters that may affect the capability of its quality management system to continue to fulfill the requirements of the standard used for certification. These include such as but not limited to changes relating to:

a) The legal, commercial, organizational status or ownership
b) Organization and management (key managerial, or decision making staff)
c) Significant changes in the number of employees
d) Contact address and sites
e) Customer contract requirements
f) Scope of operations under the certified management system, and
g) Major changes to the management system and processes
h) Number of shifts

When referring to the organization's certification status in communication media such as the internet, brochures, advertising, or other documents, the organization must avoid the following:

a) Making any misleading statement regarding your certification,
b) Use or permitting the use of a certification document (i.e. certificate, report) or any part thereof in a misleading manner;

c) For whatever reason, if the TUV USA, Inc. certificate is no longer valid, your company must discontinue its use, including in all advertising materials,
d) The organization's management system certification cannot be used in such a way as to imply that TUV USA, Inc. has certified a product (including service) or process;
e) Implying that the certification applies to activities that are outside the scope of for which the certificate was issued, or
f) Use of the certification in such a manner that would bring TUV USA, Inc. and/or the management system certification process into disrepute and lose public trust.

TUV USA allows the presence of observers (e.g. consultants) under the following conditions:

- The name of the observers are provided to TUV USA Audit Team prior to the audit day
- The observers do not unduly influence or interfere in the audit process or outcome of the audit

If the conditions above cannot be ensured, TUV USA Lead Auditor might request the observer to leave the audit or even decide (in conjunction with TUV USA office) for the termination of the audit.

5. Use of TUV USA or Accreditation Body Logos and Rules for Statements

TUV USA does not allow the use of its Logo by Certified Clients. Upon client request, TUV USA may provide to its clients a Mark of Conformity according to the standard the company is certified.

Use of accreditation bodies logos is governed by separate regulations that may be found on their respective websites. If allowed by the accreditation bodies, these logos and the rules for their use will be provided by TUV USA upon request of the certified client.

The Mark of Conformity shall not be used on a product nor product packaging nor in any way that may be interpreted as denoting product conformity. The Mark shall not be applied to laboratory test, calibration or inspection reports or certificates.

Any statement on product packaging or in accompanying information that the certified client has a certified management system shall in no way imply that the product, process or service is certified. The statement shall include reference to:

- Identification (e.g. brand or name) of the certified client;
- The type of management system (e.g. quality, environment) and the applicable standard;
- The certification body issuing the certificate.

Note: Product packaging is considered as that which can be removed without the product disintegrating or being damaged. Accompanying information is considered as separately available or easily detachable. Type labels or identification plates are considered as part of the product

6. Submittal of Corrective Action Reponses for Nonconformities

In the event that there are nonconformities found during an Initial, Surveillance or Recertification audit, the organization shall perform prompt investigation of the issue(s) and provide:

- Effective root cause analysis
- Corrective action measures with the intent to correct the issue(s) without further occurrences.

Timeframes for corrective action responses vary between International Standards. Nonconformance Reports or Audit Reports provide specific due dates for responses.

7. Recertification and Audit Scheduling

Recertification audits are schedule well in advance of the expiration of the client's certification expiration.

If the recertification audit is delayed due to customer issues (such as failure to schedule an audit or excessive rejections of corrective action) there could be a lapse in the certificate.

8. Special Audits

In response to an application for expanding the scope of a certification already granted, TUV USA undertakes a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.

8.1 Short-notice and Unannounced Audits

It may be necessary for TUV USA to conduct audits of certified clients at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients. In such cases, TUV USA will describe and make known in advance to the certified clients the conditions under which such audits will be conducted.

9. Specific Requirements for Aviation, Space and Defense (AQMS) Organizations

The organization must appoint an OASIS Administrator who is responsible for entering information regarding the company.

Aviation, Space and Defense (AQMS) certified organizations shall allow Certified Bodies to provide both Tier 1 data (information found on the certificate) and Tier 2 (information and results of audits, assessments, nonconformities, corrective action, and suspensions to the OASIS database).

NOTE 1: The organization is contacted for permission for viewing Tier 2 data.

NOTE 2: Exceptions for access to Tier 2 information may be allowed with appropriate justification such as competition, confidentiality or conflict of interest.

If the organization's AQMS certification has been suspended or revoked, the organization is responsible for providing immediate notification to its aviation, space and defense customers.

Organizations shall agree that Accreditation Bodies (AB) or Other Party (OP) assessors, customer representative and regulatory authorities may accompany a CB (TUV USA, Inc.) audit for the purpose of oversight witness or the confirmation of the effectiveness of the CB's audit process.

In the event of nonconformities from an audit, the organization must provide containment of the issue(s) within 60 days from the issuance of the NCR. Suspension may occur if this requirement is not met.

If the organization requests changes or substitutions of Auditors, the organization must provide documented evidence of improper activity or contract violations on the part of the auditor.

Revision History

Revision	Date	Description of the Change	Approved by
2	02/23/2017	Included on section 2 a description for the rules for statement on product packaging. Description of the certification process transferred to procedure GOP024	R. Thomsen
3	04/11/2017	Included last paragraph on section 4 to describe the conditions for the presence of observers.	R. Thomsen
4	05/24/2018	Clarification on the use of Accreditation Body's logo by certified clients (section 5, 2nd paragraph)	R. De Souza