

Guidance on the changes to AS 9100-series certification

Upcoming scheme changes due to revisions to AS 9104/ 1 (and regional variants – hereafter referred to as 9104/1): Requirements for Aviation, Space, and Defence Quality Management System Certification Programs.

If your organization is certified or planning to become certified to the AS 9100-series of standards you need to be aware of some upcoming changes to 9104/1, effectively, the scheme rule book.

What's changing?

9104-1 has been revised

9104/1 specifies how the International Aerospace Quality Group (IAQG) 9100-series certification scheme is implemented. This revision is significant as it affects all stakeholders. The revised AS version of the standard was published in Q1 2022, with regional versions awaiting publication. Please refer to the table below for more detail about the changes.

AS 9101 for audit requirements is changing

AS/EN 9101, which sets out how certification bodies deliver audits, is being updated and due to be published in Q1/Q2 of 2023. This standard is the “how to” part under the 9104/1 “rules” and places a requirement on you to provide the required data for Organization Certification Analysis Process (OCAP) – at least 90 days before the audit starts. This data is used to determine organization risk level and audit duration. Further guidance on OCAP is provided below.

A new version of the IAQG OASIS database is coming soon

OASIS version 3 is due to launch in December 2022. New functionality is to be added in future, including the development of an Organization Certification Analysis Process

(OCAP) tool. The IAQG will issue a notice 30 days before the switchover date as there'll be a brief period when OASIS is unavailable. Please note, however, that the timelines for corrective actions will not vary during this downtime.

What are the benefits?

The revisions are being introduced to further embed excellence and inspire trust in the aerospace and defence industry. The changes also offer AS 9100-series certified organizations a range of benefits, including:

- A partnership approach between certified organizations and the Certification Body (BSI) with both fully engaged in audit planning
- The flexibility of remote audits (referred to as ICT in the standard) and assigning audit time where it's most needed
- A new opportunity to integrate your AS 9100-series Quality Management System with other management systems, to be audited in an integrated manner
- Easier integration of new management systems in the future as you gain certification to other management system standards, such as [ISO 14001](#) Environmental Management, [ISO 45001](#) Occupational Health and Safety, [ISO/IEC 27001](#) Information Security Management, etc.
- The option to use BSI Connect online software for a holistic view of performance across all systems and all sites, and centralised internal audit planning, reporting and management of issues.

How will the changes be managed?

The timing for transition is primarily dependent on the publication of AS 9101, and then the availability of the IAQG mandatory training for aero auditors.

The transition will be managed in accordance with Supplementary Rule 004 (SR004), which is issued by the IAQG. You can find these rules and all other IAQG transition information on [this help page](#), which includes:

- [SR004 for 9104 Series Transition Rev. A \(v11\)](#)
- [9104-1 Top Level Changes](#)
- [9104-1 FAQs r1](#)
- [OCAP Tool r10](#)
- [ICOP Scheme Transition Roadmap](#)

What are the most important changes?

These are the most significant changes you need to be aware of:

1. Simplified structures

Structures will be simplified to either “single” or “multi site”. This change will affect audit durations.

Organizations whose current structure is “complex”, “campus” or “several”, will transition to a “multi” structure at their first audit after BSI transitions to the new rules. This is likely to be your first scheduled audit in 2023.

This simplification is being implemented due to changes set out by the accreditation rules under the International Accreditation Forum (IAF) and to reflect the needs of the industry.

2. New method for calculating audit time

OACAP (Organization Certification Analysis Process) is a new method for calculating audit *duration* and audit *time*, taking account of the risks pertinent to an organization (size, processes, complexity etc.).

Audit *time* is the sum of audit *duration* (time spent auditing) plus planning and reporting. The new standard adds 10% of the audit duration for planning and 10% for report writing.

The planning time is being built in to further improve the quality and effectiveness of the audit and enhance the organization's audit experience.

Determining the audit time and duration is a collaborative exercise between BSI and the client.

3. Increase in remote audit component

In response to COVID-19, the IAQG permitted up to 100% remote auditing (referred to as ICT - Information and Communication Technology) if COVID-19 prevented on-site auditing.

Before the introduction of the COVID-19 alleviations, the IAQG permitted up to 30% of audits could be conducted remotely.

The 9104/1 revision increases the maximum permitted ICT audit duration from 30% to 50% per site. This retains all the benefits of AS 9100-series ICT audits, such as:

- flexibility and reduced disruption
- involving your teams concurrently, no matter where they're based, such as process owners and senior management
- access to BSI's global network of experts

[Find out about AS 9100-series remote audits >](#)

4. Introduction of Integrated Management Systems (IMS)

Organizations that integrate their management systems benefit from better internal cooperation and shared culture. This flows through the supply chain too if suppliers integrate their systems.

For example, the data protection requirements in AS 9100-series can be met by ISO/IEC 27001 Information Security Management, so your information security and data management systems are linked to the QMS.

Similarly, Health, Safety and Wellbeing (HSW) can be managed with ISO 45001 and ISO 45003. These will drive human factors, which in turn can make a big difference to operational effectiveness and product safety. The IAQG President remarked recently that 83% of the workforce feels overwhelmed, overburdened, and has cognitive overload, emphasising the benefits of integrating HSW into your management system.

The ability to deliver integrated audits of integrated management systems reaffirms the recognition of the benefits:

- efficiencies and cost savings by meeting all standard requirements with one set of policies and procedures
- demonstrating your compliance with all these flowed-down requirements to your current and potential customers
- sharing of ideas and improvements across management systems
- mutual support across your systems and teams
- reduced duplication, disruption, and resource demand
- potentially reduced audit durations

5. Introduction of PBSRP (Performance Based Surveillance/Recertification Programme)

Advanced Surveillance and Recertification Program (ASRP) no longer exists under the IAF accreditation rules. Instead, the IAQG has developed its own version called Performance Based Surveillance / Recertification Programme (PBS/RP).

To be eligible, the organization must:

- be assessed in OCAP as low or medium risk
- use internal auditors that are trained to AS/EN 9104-3 requirements
- deliver thorough and robust internal audits
- consistently meet customer requirements for On Time Delivery (OTD) and product conformity for at least one audit cycle (3 years)
- consistently meet internal KPIs for at least one audit cycle
- meet specific customer expectations

Subject to meeting these entry and maintenance criteria, an organization may be able to reduce its 3rd party audit duration.

6. Scope of certification and applicability – selection and certification to the correct standard(s)

Organizations must be certified to the right 9100-series standard(s), as each serves a specific purpose.

The correct selection of standard(s) and scope is based on whether the organization supplies its own product (within the scope of the certified AQMS) or supplies products from sources outside the certified AQMS.

Guidance on Organization Certification Analysis Process (OCAP)

Before each audit, in accordance with the new 9104/1, your Client Manager will carry out a detailed OCAP with you. This will confirm the structure, risk, audit duration and audit time.

You'll need to provide details for these characteristics which are defined in the standard:

- Resources for the audit program
- Frequency, method, and scope of audit
- Audit program driven by risk and data
- Effectiveness of corrective action program

You'll also need to provide client satisfaction information based on these metrics:

- On time delivery
- Conformity of delivered product or service
- Customer satisfaction rating

The detailed plan for every audit will use the above sets of information from you (which must be provided at least 90 days before the audit is due to start) to carry out the OCAP.

We recognize that this is a significant change, and your BSI Client Manager will work with you to help you understand the changes, and to collaborate in the OCAP process.

When and how do I transition?

The revised AS 9104/1 was published in Q1 2022, and the regional versions are expected in early 2023. The accreditation bodies (UKAS, ANAB, DAkkS, etc.) and certification bodies (BSI), must transition in turn. Thereafter, CBs (BSI) will transition you. This will be at your first scheduled audit once BSI transitions.

The transition rules are issued as IAQG Supplementary Rule 004 (SR004). These are subject to revision by the IAQG, so keep checking back on the link above.

We'll support your transition, which will vary depending on your structure, and provide you with all the information needed to understand the changes. We'll partner with you to work through the OCAP to determine your audit durations and support your transition.

Why choose BSI?

BSI is ideally placed to help you through the transition process and achieve the additional business opportunities the changes bring.

- Our Global Head of Aerospace, Brendon Hill, has been part of the AS 9104/1 / EN 9104-001 revision writing committee, so we understand the changes first hand
- We've been successfully delivering remote audits in aerospace since 2020, with over 10,000 remote audit days delivered for AS 9100-series standards
- We have the expertise, scale, and global reach to deliver integrated management systems audits

Contact us

Talk to your BSI lead office for support with the transition:

- [UK Office](#) for UKAS accredited certification,
- [Germany office](#) for DAkkS accredited certification
- [USA Office](#) for ANAB accredited certification