



POLICY FOR AUDITING & CERTIFICATION TO AS 9100, AS 9110 & AS 9120

In addition to the General Policy which applies to all Standards, this policy describes interpretations of the requirements for auditing and certification of ASD Standards, AS 9100, AS 9110 & AS 9120 made by TQCSI's Certification Approval Panel. It complements TQCSI Work Instruction 58 (AS 9100/9110/9120 – AQMS) which should also be referred to by auditors when auditing clients' quality management systems.

A **minor nonconformance** is to be raised where:

- a single system failure or lapse in conformity to meet a 9100-series standard requirement, customer QMS requirement, or documented information defined by the organisation
- a discrepancy which has the potential to have a significant impact on the effectiveness of the quality management system
- a serious discrepancy or a number of like discrepancies indicate there is a breakdown in part of the quality management system or the quality of end product is jeopardised
- the objectives of the quality management system are not established and monitored
- there is a significant breach of legislation or a regulatory requirement.

A **major nonconformance** is to be raised where:

- a nonconformity where the effect is judged to be detrimental to the integrity of the product or service
- the absence of or total breakdown of a system to meet a 9100-series standard requirement, a customer QMS requirement, or documented information defined by the organization
- any nonconformity that can result in the probable delivery of nonconforming product or service
- a condition that can result in the failure or reduce the usability of the product or service and its intended purpose
- the agreed action plan to address a minor nonconformance has not been implemented
- there is a very significant breach of legislation or a regulatory requirement.

Nonconformity management:

After issuing a nonconformity, the audit team leader is to:

- require the organisation to analyse the root cause and report the specific correction and corrective actions taken, or planned to be taken, to eliminate the detected nonconformities on the Nonconformity Report
- agree with the organisation on correction, corrective action(s), and corrective action plans within a maximum of 30 calendar days from the end of the on-site audit

- initiate the client certification suspension process, when an organization fails to demonstrate that conformance to the applicable standard has been re-established within 60 days from the issuance of a Nonconformity Report.

When the nature of the nonconformity needs immediate containment action, the audit team leader is to require the organisation to:

- describe the immediate actions ('fix now') taken to contain the nonconforming situation/conditions and to control any identified nonconforming products – correction is always to be recorded
- report within 7 calendar days, after the audit, the specific containment actions, including correction, and reach agreement on those actions with the audit team leader within the next 14 calendar days.

Evaluation and closing of the corrective action plan and associated corrective actions relating to a nonconformity is not to be performed during the audit in which the nonconformity was issued.

Verification activities are to be carried out as determined by the audit team leader. Verification must be carried out on-site, if the verification of the corrective action cannot be carried out based on a review of the documentation and supporting objective evidence provided by the organisation. A completed Nonconformity Report is to be recorded in the OASIS database, after verification.

No certificates to AQMS standards may be issued, unless all major and minor nonconformities have been contained; satisfactorily corrected with root cause analysis; and the corrective action has been implemented, reviewed, accepted and verified.

General Policies:

- Quality (business) related objectives must be identified, documented and reviewed in a plan.

Approved: *original signed*

Craig Bates
Managing Director & President, TQCSI

Date: 21 August 2025