



ACOT Oversight Process

Purpose/Summary:

This procedure provides the process to establish, revise, and maintain the Americas Aerospace Quality Group (AAQG) Americas Certification Oversight Team (ACOT) oversight process and ensure conformance with the International Aerospace Quality Group (IAQG) harmonized approach to oversight contained in AS9104/2, “Requirements for Oversight of Aerospace Quality Management System Registration/Certification Programs” and AS9104/1, “Requirements for Certification of Aviation, Space, and Defense Quality Management System.”

Definitions:

See AS9104 series documents for definitions.

Acronyms:

AAB	Auditor Authentication Body
AAQG	Americas Aerospace Quality Group
AB	Accreditation Body
ACOT	Americas Certification Oversight Team (replaces “RMC”)
CB	Certification Body
COI	Conflict of Interest
COT	Certification Oversight Team
IAQG	International Aerospace Quality Group
ICOP	Industry Controlled Other Party
OP	Other Party
RMC	Registration Management Committee (replaced by “ACOT”)
SMS	Sector Management Structure
TP	Training Provider
TPAB	Training Provider Approval Body

Process Flow:

N/A

Requirements:

1. AAQG Sector Requirements

- 1.1. The ACOT shall ensure conformance with all Sector Management Structure (SMS) requirements contained in AS9104/1, AS9104/2, and AS9104/3
- 1.2. The ACOT has established an Oversight Sub-team that will manage all ACOT oversight activities
- 1.3. An Oversight Sub-team Chair shall be nominated by the sub-team and



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approved by ACOT voting members. The chair is expected to declare any Conflict of Interest (COI), prior to acceptance of the position

- 1.4. All participating AAQG member companies shall share assessment assignments. Once the schedule has been established, any schedule changes will be coordinated with all affected parties. The Oversight Sub-team Chair shall assure the posted schedule is updated within 30 days of the change. The final revision of the schedule shall be maintained on the ACOT repository for that year. The schedule shall not be considered an oversight record.

NOTE: AAQG member companies may choose to take an active role in the selection of witness audit candidates by providing a list of potential candidates to the AB for consideration.

- 1.5. When an AAQG member company is unable to support or find a replacement to support a scheduled ACOT oversight activity they will have the responsibility to find a replacement (another AAQG member OP assessor) or assign one of their OP assessors to conduct an independent assessment without AB participation

1.6. OP Assessment by Another SMS

- 1.6.1. Where the ACOT decides to request assistance with an OP assessment, the ACOT shall contact the SMS of the local country or sector to provide a qualified OP assessor to support the assessment. The ACOT shall provide a summary of requirements for the oversight assessment to the local OP assessor and provide information on the specific assessment to the AB and the applicable CB to allow coordination by all affected parties.
- 1.6.2. The local OP assessor shall provide a report of the assessment findings, in accordance with the summary provided and the requirements defined in 9104-2 and this report shall be provided to the ACOT.
- 1.6.3. The ACOT shall remain responsible for the oversight assessment and shall review the oversight report and findings produced by the OP assessor. When necessary, the ACOT shall address and resolve any findings that constitute nonconformity to the 9104 series standards with the AB or CB as if they had conducted the assessment.



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- 1.7. If the ACOT is unable to arrange for an OP assessor outside of the Americas sector's region and is required to complete oversight outside of the Americas due to a CB operating outside of the Americas, the ACOT can levy a fee on the CB for additional cost of oversight incurred.
- 1.8. At least annually, AAQG member companies shall provide summary results of any supplemental oversight activities to the ACOT. AAQG member supplemental oversight activities shall be conducted in accordance with AS9104/2. In addition, AAQG member companies may choose to share resources to conduct supplemental oversight.
- 1.9. At least annually, the AAQG Oversight sub team shall request Certification Body OASIS feedback metrics linked to the "Customer-Identified Major QMS NCR Collaboration Process". The Certification Body feedback metrics will include:
 - 1.9.1. Total Occurrences
 - 1.9.2. Status (Open/Closed)
 - 1.9.3. Response Time
 - 1.9.4. Closure Time
 - 1.9.5. Escalations to AB
- 1.10. These metrics will be used to determine if additional process guidance should be developed, or if follow up should occur during the next Certification Body Office Assessment.
- 1.11. Evidence of the review and actions shall be documented in ACOT Meeting Minutes.

2. Oversight Assessment Team Leader

- 2.1. The Oversight Sub-team will meet annually to review and develop a schedule for shared oversight activities. Scheduling will be based on data analysis, AAQG member companies' recommendations, and the minimum requirements defined in AS9104/1 and AS9104/2 including monitoring for potential conflicts of interest.
- 2.2. The Oversight Sub-team shall ensure all participants in the ACOT shared oversight process understand their roles and responsibilities. The roles and responsibilities of AB and AAQG member representatives during Joint Team Assessment activities are defined within AS9104/2.
- 2.3. The Oversight Sub-team chair will track NCRs from independent



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- assessments. It is still the OP Assessor's responsibility to ensure timely closure.
- 2.4. Closed NCR's from independent assessments will be assigned by the Oversight Sub-team Chair to a member of the Oversight Sub-team for review.
 - 2.5. The Oversight Sub-team Chair will accumulate issues from these reviews for consideration to include in future OP Assessor training events.
 - 2.6. If, at an ad hoc meeting of the Oversight Sub-team, the consensus of the team is that additional corrective action is needed, the Oversight Sub- team Chair is responsible for entering this feedback.
 - 2.7. The Oversight Sub-team Chair will provide status of oversight activities at each ACOT face-to-face meeting. This will also include an annual summary report of oversight results, AAQG member participation, and recommendations for process improvements, open NCR's (for independent assessments), and additional oversight activities.
 - 2.8. At least annually, the Oversight Sub-team Chair or ACOT Chair shall provide a summary of the AAQG shared oversight results to the IAQG COT.

3. Oversight Team Members

- 3.1. When assigned a closed NCR from an independent assessment, the reviewing member shall work directly with the OP Assessor to make corrections to the NCR form, when possible. NCRs shall not be re-opened. Any feedback on adequacy will be directed to the OP Assessor and copied to the Oversight Sub-team chair. Should the reviewer believe that additional corrective action is required by the assessed organization, the reviewer shall request that the Oversight Sub-team Chair call an ad hoc meeting of the sub-team. The reviewer shall present the issue and the sub-team, through consensus, will determine if corrective action is to be requested through the OASIS feedback process.
- 3.2. The team shall meet at least annually to plan the following year's oversight.
- 3.3. When scheduled by the Chair, the team shall meet to review NCRs from independent assessments when requested.



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4. OP Assessor Requirements

- 4.1. ACOT members and Other Party (OP) assessors shall complete an AS9104-2 Form A, Other Party (OP) Assessor Industry Controlled Other Party (ICOP) Declaration Form prior to participation in an ACOT shared oversight assignment. The applicable person shall retain copies of the completed declaration forms until the end of their oversight assessment efforts. These completed forms shall be submitted to the Oversight Sub-team Chair for review and record retention for a minimum of 10 years.
- 4.2. OP Assessors are required to attend the IAQG COT OP Assessor Sanctioned Training and to hold a certificate of completion prior to participation in an oversight activity. OP Assessors are responsible to complete any delta training as mandated by the IAQG COT and maintain evidence of that completion.
- 4.3. OP Assessor's conducting independent assessments will track for timely closure (90 days) of any NCR's generated for each assessment.
- 4.4. OP Assessor is responsible to escalate any NCRs greater than 90 days for initiation of the suspension process in accordance with AS9104/2 Table 2, Complaint Resolution Escalation.
- 4.5. Each assessor will be responsible for coordinating and booking travel with the ACOT approved travel agency prior to the assessment, there is no reimbursement process. ACOT will pay for airfare and hotel expenses incurred while conducting assessment activities.
- 4.6. The OP Assessor designated as audit team leader will be responsible for validating any potential conflicts of interest for all team members participating in the assessment.

5. General

- 5.1. 9104-002 Forms generated in support of these processes shall be maintained in OASIS and, for a joint assessment, by the AB designated as the Oversight Assessment Team Lead. These forms provided to the Team Lead shall be provided electronically, within 7 days of the end for the joint assessment. (These may be forms completed as Word documents, pdf versions of the Word document, legibly handwritten and scanned, etc.) OP Assessor Declaration Forms will be retained in the ACOT repository. The listing of OP Assessor Declaration Forms is maintained as a convenience. The Forms are the official record.
- 5.2. Access to this repository will be managed and controlled by the ACOT,



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and the designated ACOT website focal. The ACOT meeting minutes will include all status reports; any status reports containing sensitive information will be retained on the ACOT repository. The records shall be maintained for a minimum period of 10 years unless specified otherwise.

- 5.3. Any complaints or issues that are identified and unresolved during the assessment shall be handled in accordance with AS9104/2.
- 5.4. When auditor competency issues have been identified, the ACOT shall share the results of the aerospace witness assessment and associated data with the AAB responsible for the subject auditor's AQMS authentication.
- 5.5. Any NCR not managed by an AB lead assessor will be entered into OASIS with the assessment entry and managed and closed in that system.

6. Records

6.1. Records associated with this procedure are as follows:

Record Description	Location	Responsible Holder	Retention Period
Annual CB and AB oversight Schedule	ACOT Repository	Oversight Chair	10 Years
Completed Declaration Forms	ACOT Repository	Oversight Chair	10 Years
Authenticated OP Assessors	OASIS	OASIS	
Completed AS9104/2 Audit Forms	OASIS	OASIS	10 Years
NCR's resulting from oversight activities	OASIS	OASIS	10 Years



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7. Revision History

Revision	Date	Comments
A	10-Sep-2008	Original Release
B	04-May-2012	
C	20-Mar-2014	
D	26-Apr-2016	
E	25-Aug-2016	
F	28-Oct-2016	
G	15-Nov-2017	
H	07-Jun-2022	Revised to address requirements of AS9104-1A:2022
I	16-Feb-2023	Removed "RMC" and replaced with "ACOT" throughout.