



Certification Rules and Conditions for Management Systems Certification

ABS Quality Evaluations

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The Applicant hereby applies to ABS Quality Evaluations, Inc. (“ABS QE”) for certification of the management system to the designated standard(s) at the site(s) specified on the accepted quotation(s) and hereby agrees that such certification shall be based upon and subject to the following Certifications Rules and Conditions.

1.0 DEFINITIONS. The following terms, whether in the singular or plural thereof, shall have the meanings ascribed to them below.

ABS QE	ABS Quality Evaluations, Inc.
Applicant	Organization, Company or individual applying to ABS QE for certification of a management system
Certification	Decision by ABS QE that the Applicant’s management system meets the requirements of the specified standard
Management System Standard	Any recognized commercial, national or international standard governing management systems. When the term ‘Standard’ is used, it is understood that this references the most recently issued version of the standard.
Stage I Audit	Evaluation conducted by ABS QE to audit the Applicant’s management system documentation and assess the Applicant’s location and site-specific conditions to determine preparedness for a stage II audit
Stage II Audit	Evaluation conducted by ABS QE to audit the implementation and effectiveness of an Applicant’s management system. During this audit, ABS QE will determine the degree of compliance with the standard’s requirements, and report any non-conformances or potential non-conformances that the Applicant will have to correct before certification can be granted.
Certificate	Document issued upon certification to recognize that the management system has been assessed by ABS QE and found to meet the requirements of the designated standard. Reflects Applicant’s certification number.

2.0 CERTIFICATION

An Applicant company which is assessed by ABS QE and found to meet the specification designated is entitled to hold a Certificate. Certificates are valid for up to three-years (3), with sector specific exceptions, subject to the surveillance evaluation(s) conducted in accordance with the applicable standard. The Certification cannot be transferred or assigned to any other party.

3.0 REQUIREMENTS

3.1 The Applicant shall, with regard to each certified site:

- a. Document and maintain a management system in accordance with the selected

3.2 ABS QE shall with regard to management system certification(s):

- a. Initially review the Applicant’s top tier system manual and, during the audit



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standard as agreed between the Applicant and ABS QE.

- b. Inform ABS QE in writing of major changes to the management system and processes, including the standard elements (e.g., managerial organizational structure; production site; upgrade/downgrade of process capability, control or flow) and any changes relating to the scope of operations, contact address and location, legal, commercial, organizational status, or ownership, so that the changes may be evaluated by ABS QE and action taken as appropriate
- c. Allow ABS QE access to all certified site(s) during normal working hours and all relevant documentation, records and personnel in order to assess the management system to determine continuing compliance to the designated standard and provide information necessary for ABS QE to complete its evaluation. In the event this is not possible due to confidential information or other restrictions, then ABS QE and the Applicant shall agree to a suitable defined and documented methodology for verifying the necessary information or certification may not be issued.
- d. Provide escorts knowledgeable of all Applicant's rules and regulations regarding health, safety, security and the environment for ABS QE representatives while said representatives are in operating areas of Applicant's site(s).
- e. Nominate a representative and one or two alternates as the point of contact with ABS QE.
- f. Maintain a complete and accurate record of all complaints received regarding the quality of Applicant's products or services and the resolution thereof. For other certifications (ISO 14001, OHSAS 18001, SA 8000, etc.), maintain a record of all complaints received and remedial actions taken regarding environmental, health, safety, social, etc. management system.
- g. The Applicant cannot refuse an accreditation body witness audit of ABS Quality

process, the supporting documentation for compliance with the designated standard.

- b. Assess the Applicant's management system at the identified site(s) to the requirements of the designated standard.
- c. Conduct surveillance assessments at each certified site at least once in a year and as deemed necessary to verify compliance with the designated standard for which the Applicant's site is certified as identified on the Confirmation letter. The first surveillance assessment after the initial certification assessment shall be conducted no more than 12 months from the last day of the Stage 2 assessment activity or per Program Specific Requirements.
- d. Maintain and publish a Certified Companies Directory (CCD) listing all certified Applicants, sites, certification numbers and applicable standards. Certified Company Directory will be updated whenever Applicants certificates are placed under suspension or withdrawn.
- e. Maintain all information pertaining to the Applicant, other than that published in the Certified Companies Directory, as confidential and not release it to anyone other than ABS QE's Accreditors and/or program Regulatory Agencies without the written consent of the Applicant.
- f. Notify the Applicant of any complaints received by ABS QE relating to the Applicant's products, processes and services. In the event of a received complaint ABS QE will notify the Applicant of the need to complete a short-notice audit which is not considered part of the regular audit schedule.
- g. Notify the Applicant when pertaining information is made available to other bodies; e.g. accreditation body and agreement group of a peer assessment scheme.
- h. Comply with all applicable rules and regulations made known to them by Applicant's designated escorts while at Applicant's site. (Applicant shall not be liable for any loss or injury to ABS QE personnel



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Evaluations, Inc., and shall authorize access for such accreditation body representatives and/or delegates. Furthermore, the applicant cannot refuse the presence of an ABS Quality Evaluations, Inc., witness auditor.

- h. Make no use of the ABS QE Certification Mark and make no statements referencing certification which might be misleading or are not in accordance with ABS QE's Rules for Use of the Mark.
- i. Upon termination of the certification, return the Certificate to ABS QE and discontinue reference to the certification and use of accompanying marks in all advertising material or other documents. The Certification shall not be used as evidence of product certification, product endorsement or product approval.
- j. Audit days and site selections may be adjusted based on the current Industry/Accreditation Standards/Rules.
- k. A legal compliance evaluation must be completed prior to a certification audit for ISO 45001.

sustained while on premises to conduct certification activities.)

- i. Give its Certified Companies due notice of any changes to its requirements for certification.
- j. When conflicts or diverging opinions regarding audit findings or conclusions arise between the audit team and the Applicant during an audit, ABS QE will provide an appeal process to the Applicant.
- k. Audit days and site selections may be adjusted based on the current Industry/Accreditation Standards/Rules.
- l. Stage I and II audits can be conducted back to back, however this approach is not recommended. If the Stage I requirements are not fulfilled and the auditor cannot recommend proceeding to a Stage II then there may be travel related change fees and audit cancellation/change fees associated with rescheduling or cancelling the audit.
- m. Publish information with respect to the certification process and rules for use of the certification mark and certification claims.

4.0 AUDIT TEAM SELECTION

Assignment of auditors is made by ABS QE and variations in assignments may be made to broaden the objectivity of the auditors while maintaining continuity. Applicant may request replacement of an appointed audit team member for cause.

5.0 ASSIGNMENT

In performance of the services under the Agreement, ABS QE may designate one or more subcontractors (including its affiliated companies) to perform all or part of its duties hereunder, including, but not limited to conducting audits, surveillance audits, invoicing, collection of payment; etc.

6.0 APPEALS

If Applicant is aggrieved by any ruling, determination or action of ABS QE in any manner relating to certification pursuant to the provisions of the Certification Rules and Conditions, Applicant shall appeal to ABS QE, and such appeals shall be progressed through the organization and ultimately to the President of ABS QE until resolution is obtained. If resolution cannot be achieved, Applicant may submit the issue to arbitration (see General Terms & Conditions).

7.0 DEFAULT

In the event of a default in performance on the part of the Applicant or in the event of termination, all documentation, certificates and reports or any property of the Applicant in possession of ABS QE shall be subject to a lien for payment of all fees and expenses due and owing by virtue of this Agreement, the termination hereof, or default hereunder and ABS QE will have the right to withhold reports and certificates on any projects for the Applicant.



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8.0 PRIVACY

Any data or information provided by the Applicant to ABS QE may be used directly or indirectly in the performance of the services to be provided under this Agreement. ABS QE also collects personal data that you provide to us directly when you request information about our services; subscribe to our website services, email notifications and/or newsletters; make an enquiry through our different enquiry forms or carry out a transaction or place an order through our website.

Personal data collected may include:

- Identification and contact data such as name, surname, job title, phone number, email, and address
- Financial and transactional data such as credit card details
- Any information that you voluntarily share with us such as feedback, opinions or information provided via any of our surveys or customer request forms

Personal data may be used for the following different purposes:

- a. Necessary activities - The following processing activities may be conducted with your personal data in furtherance as is necessary to administer the performance of these services:
 - To communicate information being necessary to administer the contract and/or requested services
 - To respond to enquiries and comments and provide you with support via communication channels, such as customer or contact center support
 - To set up and manage your user account to access the Certified Clients Directory
- b. Opt-in consents. The Applicant to ABS QE additionally, chooses to opt-in to the following:
 - To send email and communicate with you via email regarding our services and events which may be of interest to you if this is in accordance
With your marketing preferences
 - To share it with other ABS Group companies so that they may offer you their products or services

ABS QE may share and transfer your personal data as described here and only in accordance with all privacy practices and local privacy requirements. The Applicant agrees to allow ABS QE to share non-personal, anonymized and statistical data with third parties for our own business purposes. This includes third party contractors and providers which perform certain functions on behalf of ABS QE. These parties only have access to such information as necessary to perform their functions and may not use it for any purpose other than to provide services to us.

ABS QE will retain your personal data for the period of time that is necessary to fulfil the original purposes for which it has been collected including performance of this Agreement. Please keep in mind that in certain cases a longer retention period may be required or permitted by law or to allow ABS QE to pursue its business interests, conduct audits, comply with our legal obligations, enforce our agreements or resolve any dispute.



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**APPENDICES - SECTOR SPECIFIC PROGRAM REQUIREMENTS
MANAGEMENT SYSTEM CERTIFICATION**

<u>Topic</u>	<u>Sector</u>	<u>Applies to</u>
APPENDIX I Automotive certification IATF 16949	Automobile	IATF 16949 clients
APPENDIX II Social Accountability SA8000	All	SA 8000 client
APPENDIX III Aerospace certification ISO/AS (AS9100, AS9120)	Aerospace	AS9100, AS9120, clients

NOTE: The sector specific program requirements identified in each Appendix contained or referenced herein may be not be added to, modified, superseded or otherwise altered except by written instrument signed by ABS QE. Any changes to these requirements will be communicated to the Applicant.



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APPENDIX I – AUTOMOTIVE PROGRAMS (IATF 16949)

IATF16949 is an automotive specification administered by the International Automotive Task Force (IATF). The IATF mark will appear on IATF16949 certificates.

The only use of the IATF logo related to the certification scheme is as displayed on the certificate. Any other use of the IATF logo separately or not, is prohibited.

Note: The Applicant can make copies of the IATF 16949 certificate bearing the IATF logo for marketing and advertising purposes.

The Applicant cannot refuse an IATF (International Automotive Task Force) witness audit of ABS Quality Evaluations, Inc. and cannot refuse the presence of IATF representatives and/or delegates. Furthermore, the Applicant cannot refuse the presence of an ABS Quality Evaluations witness auditor.

Once certified, the Applicant must notify ABS Quality Evaluations, Inc. of any changes that may affect the capability of the management system to continue to fulfill the requirements of the IATF 16949 certification. These may include, for example, changes relating to:

- Legal Status,
- Commercial Status (e.g. joint venture, sub-contracting with other organizations),
- Ownership status (e.g. mergers and acquisitions),
- Organization and management (e.g. key managerial, decision-making, or technical staff),
- Contact address or location,
- Scope of operations under the certified management system,
- IATF OEM customer special status
- Transfer to a new IATF-recognized certification body

Applicant agrees to pay the current Royalty fees associated with the IATF database.

Failure by the Applicant to inform ABS Quality Evaluations, Inc. of a change is considered as a breach of the legally enforceable agreement and may result in the withdrawal of the organization's IATF 16949 certificate.

Consultants to the Applicant cannot be physically present at the organization's site during the audit or participate in the audit in any way.

Information pertaining to the IATF 16949 scheme is confidential between ABS Quality Evaluations, Inc. and the IATF. Under the IATF 16949 sector scheme rules, IATF representatives and their delegates are authorized to access information and records relating to the Applicant's IATF 16949 certification.

The Applicant cannot refuse a request of ABS Quality Evaluations, Inc. to provide the final audit report to the IATF.



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APPENDIX II – SOCIAL ACCOUNTABILITY (SA 8000)

ABS QE will conduct SA 8000 audit process as per requirements outlined in SAAS Procedure 200.

Information obtained by ABS QE during the certification process and SA 8000 certification maintenance can be provided to SAAS and SAI (including, but not limited to the audit report), as part of the oversight system. SAAS and SAI will retain the information as confidential.

If there are complaints that a company is violating any requirement of SA 8000, ABS QE may conduct extraordinary, unannounced audits based on the criterion of ABS QE. Applicant is responsible for the costs associated with these unannounced visits. An invoice for the audit costs and travel expenses will be forwarded to the company following the audit.

ABS QE will conduct unannounced audits during every three-year certification cycle. The frequency of unannounced audits is increased as a result of complaints and reoccurring non-conformities.

The company shall ensure immediate access for ABS QE auditors into all facilities covered by the scope of certification during announced and unannounced audits, including all shifts, any type of activity being undertaken and all security activities.

The company shall ensure access to the organization by SAAS for the purposes of witness audits and other special audits as needed.

The company shall give permission to take copies of documents.

The company shall give permission to take photographs of non-proprietary processes and at locations around the site.

All Applicants must complete the Social Fingerprint Self-Assessment through the SAI on-line Training Center (<https://socialfingerprint.absorbtraining.com/#/login>) prior to the initial SA 8000:2014 Stage 1 audit and prior each subsequent Recertification audit.

In the case of multi-site certificates, if the certified organization demonstrates a systemic failure in meeting SA8000 requirements, then ABS QE will review whether the certified organization should have their multi-site certification cancelled.



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APPENDIX III – AEROSPACE PROGRAMS (AS9100, AS9120)

Audits will be conducted in accordance with ISO17021-1, AS9104/1 and AS9101.

Applicants upgrading from an ISO9001 certification to any AQMS series standard are required to have a full initial (stage 1 and 2) audit of all AQMS requirements prior to ABS QE approval for AQMS certificate. Note: there must be a minimum of 1 calendar day break between the stage 1 and stage 2 audits. The maximum time period between the stage 1 and stage 2 audits shall be six (6) months. Applicants failing to complete the stage 2 audit within six (6) months following the completion of the stage 1 audit will be required to be subject to a re-audit under stage 1.

Applicant and ABS QE shall agree on the on the appropriate Certification Structure assigned to their organization which will be reviewed during the stage 1 audit. Applicant shall notify ABS QE in writing if and when changes are made to the QMS, such as additional sites, changes to processes, or activities that could affect the Certification Structure that was previously assigned by Applicant and ABS QE. **Note: Assignment of a Complex Certification Structure will require ABS QE to submit the Applicant and ABS QE justifications to the IAQG Certification Structure Oversight Committee for final review and approval prior to assignment and the audit.**

ABS QE will upload all required audit reporting to the Online Aerospace Supplier Information Systems (OASIS) database per AS9104/1 and IAQQG Resolution instructions. ABS QE will upload 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, non-conformances, corrective actions and suspensions – private domain) to the OASIS database. Applicant shall provide access to tier 2 data in the OASIS database to the Aerospace, Space, and Defense (ASD) customers and Authorities upon request unless justification can be provided (e.g., competitor confidentiality, conflict of interest). Applicant may provide access to this data through the OASIS database or by providing the audit report directly to the customer. Applicants that lose their AQMS standard certification shall provide immediate notification to their ASD customers.

Applicant shall establish an OASIS database administrator for the purposes of managing the organization's site and contact information within the database. Initial site information, such as postal addresses, email addresses, contact personnel, telephone and fax numbers, website administrators (as applicable), and OASIS administrator(s), shall be entered into the database prior to the stage 1 audit (initial certification) and be maintained thereafter. OASIS database administrator responsibilities will include the management for each of the organization's site(s) information, managing additional OASIS users associated with the organization, providing external access to previous audit results to International Aerospace Quality Group (IAQG) member organizations, and management of feedback received within the database. ABS QE reserves the right to suspend the AQMS certificate during the certification cycle or delay the issuance of the recertification certificate should Applicant fail to maintain their OASIS database administrator.

Applicant shall notify ABS QE in writing if and when customers have downgraded their AQMS approval status i.e. Approval to Conditionally Approved, Suspended, or Withdrawn status.

ABS QE will conduct a special audit when determined to be necessary per AS9104/1/AS9101 requirements. Special audits are unscheduled audits that will be completed to investigate complaints, OASIS feedback notifications, client notifications of changes to organization, or downgrades of Applicant's AQMS approval status from their customers. Special audits will be scheduled and completed within 90 calendar days from receipt of the notification.

Applicant shall notify ABS QE of any classified materials or export control requirements. Records of disclosure and agreements regarding auditor access shall be maintained.

The scope of certification will not include processes that are not audited to sufficient depth to verify conformance with the applicable AS series standard. If processes are not audited and are deemed as "Not Applicable" from the scope of certification, any such process or requirement shall be limited to those processes that are documented with acceptable justifications for the NA designation.



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ABS QE quotations will include audit durations based on AS9104/1. AS9104/1 Table 2, 'Audit Duration Requirements' are minimum on-site audit durations (minimum audit time between the opening and closing meetings) and do not include activities such as travel, meals, extended break times, and audit reporting in accordance with AS9101. Additional audit duration will be added for areas identified with risk, complexity, increased scope, audit planning and reporting. ABS QE reserves the right to add an additional half audit day in addition to the original quoted audit duration when Applicant fails to provide this audit planning data a minimum of 4 weeks prior to the commencement of audit activity. Applicant agrees to pay the current initial and renewal fees associated with the OASIS database.

Auditing of the entire AQMS standard on all shifts is required for initial and recertification audits. Auditing during surveillance audits shall include coverage of multiple shifts when processes audited occur on multiple shifts.

Clients adding a new site to a valid AQMS certificate will be required to have an initial audit (stage 1 and stage 2) of the new site prior to the new site's being added to the existing certificate.

ABS QE lead auditors will be limited to a maximum of two consecutive certification cycles working as the lead auditor. IAQG resolution requires that when the two complete certification cycles are completed the auditor is required to work only as a team auditor for one certification cycle period. Team auditors will be rotated periodically by ABS QE client services. Applicant will not be permitted to request auditor changes unless issues such as auditor performance, ITAR, EAR requirements exist. Applicant will be required to document the change request before a change is permitted.

AQMS certificates will not be issued unless all major and minor nonconformities have been contained, satisfactorily corrected with root cause analysis and the corrective action is implemented, and reviewed, accepted and verified by the ABS QE auditor.

ABS QE will initiate the suspension process when the Client fails to demonstrate that the conformance (Correction activity) to the AQMS standard has been established within 60 days from the issuance of a Nonconformity Report (NCR).

Justifications must be thoroughly documented within Applicant's AQMS documentation.

The final audit reporting (AS9101 reporting) will be completed and available in the OASIS database within two (2) weeks of the audit closing meeting.

In addition to ISO17021-1 and applicable IAF mandatory documents, AQMS certificates will include data per AS9104/1. Text on the certificate will be in English. Text in another language may be added (bilingual certificate) at Applicant's request.

Transfer of AQMS certificates shall be in accordance with IAF MD 2 and AS9104/1. Only valid certificates issued by a Certification Body (CB) with a valid accreditation under the AS9104 series standards ICOP scheme are eligible for transfer. Transfer of a certificate cannot occur if there are open nonconformities from previous audit activity unless the previous CB has ceased its operations or is unable to close the nonconformities. Where open nonconformities exist, ABS QE will be required to close previous nonconformities before the transfer certificate can be issued. Transfer of an existing certificate expiring within 12 months shall require ABS QE to complete a stage 1 and stage 2 audit requiring initial audit duration from AS9104/1 table 2. ABS QE shall conduct a special audit (on site) per AS9101 to confirm the validity of the certification being transferred. A transfer certificate shall not be issued until all major and minor nonconformities have been verified on-site (except for corrective actions related to AQMS documentation) to ensure all containment, correction, root cause analysis and corrective actions have been successfully completed and implemented.

For the purpose of oversight witness audits to determine the effectiveness of the ABS QE auditing process, clients must provide right of access to representatives of the following organizations associated with ABS QE: Accreditation Bodies, Other Party Assessors, Customer Representatives, and Regulatory Authorities. Failure to provide access to these organizations will result in the withdrawal of Applicant's certificate.

Clients are required to notify their ASD Customers and Regulatory Authorities of their selection of certification structure to assure that the selection will not conflict with the customer's contract.