



## **Appendix A STR-Registrar LLC Procedure for Registration**

### **1.0 Scope**

Registration is opened to all applicants: This procedure describes the events, which occur during the registration process. The purpose of the registration process is to assess the extent of any applicant's organizational compliance with the applicable Standards to which they are making application. All organizations that utilize STR-Registrar assessment services are guided by these procedures and are required to comply with all of the relevant provisions contained herein."

The organization shall make all necessary arrangements for the conduct of the assessment, including provisions for examining documentation and the access to all areas, records, and personnel for the purpose of audits, surveillance, re-registration, and resolution.

### **2.0 Application**

Application for Quality Management System registration (ISO 9000, AS9100, etc.) shall be on forms supplied by STR-R. All information, which is requested on the application and questionnaire, shall be in the English language.

A Request for Quote will be forwarded to the applicant upon request. This form will be used as the application form. Submitting the completed Request for Quote is the first step in the registration process. The Request for Quote may be filled out on behalf of an organization by an STR-R representative utilizing information provided by the organization to STR-R.

Submission of the completed Request for Quote form by the Organization and acceptance by STR-R of the completed form is not binding on the Organization or STR-R. The purpose of the form is simply to start the quotation process.

STR-R will attempt to schedule pre-assessments and assessments on mutually acceptable dates with the Organization. If this is not possible, assessments will be scheduled at the earliest possible date acceptable to the Organization that STR-R personnel are available.

If the Organization is currently registered with another registrar or is seeking a joint registration with another registration entity and wishes to coordinate



registration activities with STR-R, a letter requesting such an arrangement should be included with the Request for Quote.

Should the organization desire, in advance of their planned assessment activities, to evaluate their Quality Management System on the basis of the checklist that will be utilized by STR-R's audit team, they may do so by: (a) requesting a copy of the ISO 9001 checklist from STR-R directly; or (b) purchasing a copy of the AS9101 checklist from SAE International at [www.sae.org](http://www.sae.org), as applicable.

### **3.0 Pre-Assessment (non-mandatory)**

At the option of the Organization, a pre-assessment meeting may be scheduled at the Organization's location. The Organization may use this meeting to gather specific information on the registration process.

The pre-assessment will allow STR-R the opportunity to gain additional information about the Organization's size, nature of operations, readiness for a final assessment and expertise. The size of the assessment team used for the final registration assessment may be determined at this time.

The pre-assessment may include the following activities:

- (a) an assessment of the requested scope of registration;
- (b) an on-site desk top review of the Organization's Quality Manual;
- (c) a tour of the Organization's facility;
- (d) an on-site verification that the Organization's procedures exist and addresses the elements and activities described in the Quality Manual;
- (e) a written report to the Organization's management, when requested by the Organization.

The decision, by the Organization, to request a pre-assessment depends upon the Organization's knowledge and experience with quality management systems.

The Organization's quality manual and implementing procedures should be as near complete as possible prior to the pre-assessment. A full system pre-assessment will be limited to two within a one-year period. There shall be at least six months between full system pre-assessments. STR-R will not perform any more than two complete and full system pre-assessments over the life of the contract. Phased or partial system pre-assessments may be conducted at the request of the Organization.



#### **4.0 Documentation Review**

The Quality Systems Standards require the Organization to document and maintain a quality system, therefore a quality manual is required for registration.

An off-site documentation review will be conducted to appraise the Organization's quality manual and quality system procedures to determine conformance with the following applicable standard:

- (a) ISO 9001:2000 - ANSI/ISO/ASQ Q9001-2000
- (b) SAE AS9100

Pending no significant omissions or deviations from the requirements of the above referenced Standards, a detailed documentation review will be completed. After this review, a final assessment will be scheduled. The on-site assessment will include the review of results of one complete internal audit and management review cycle.

In the event that the off-site documentation review reveals significant omissions or deviations, STR-R, will notify the Organization, in writing, of such deviations in order to allow them time to make necessary corrections and implement those changes prior to the Assessment Process described in paragraph 5.0 below.

#### **5.0 Assessment Process**

The purpose of the assessment is to determine that the Organization has implemented an acceptable quality management system, which meets the applicable Standard. In order to ensure a successful outcome to the assessment, the Organization shall:

- (a) have completely implemented the entire documented quality system
- (b) have completed one complete cycle of management reviews;
- (c) have completed one complete round of internal quality audits
- (d) have appointed a management representative who is responsible for ensuring complete implementation of the quality system and who will assist the team during the assessment process;
- (e) have arranged to see that the assessment team has access to all parts of the Organization's facility, subcontractors facilities, relevant documentation, and personnel for which the scope of registration is being sought;
- (f) phased assessment may be carried out over a specified time frame as agreed upon in the service contract.



Prior to commencing the assessment, the audit team will meet with the Organization's Management to conduct an opening meeting. This is the first stage in the on-site assessment process.

The opening meeting ensures that:

- (a) the Organization has a clear understanding of the assessment process;
- (b) confirms the scope of activity for which application has been made;
- (c) establishes an official link between the assessment team and the Organization;
- (d) clarifies points of any misunderstanding, defines areas which are sensitive in nature and reinforces the procedures regarding the registrars process of confidentiality;
- (e) management's commitment to the assessment process is discernible.

Upon completion of the opening meeting, an in depth appraisal of the quality system will be conducted by the assessment team in order to determine the adequacy of the Organization's program implementation. An assessment that has already commenced may be aborted when, for example:

- The safety of the audit team is in question,
- The Organization refuses to cooperate during the audit process,
- The Organization requests that the audit be stopped,
- The Lead Auditor determines that the Organization's quality system has not been fully implemented.

After completion of the assessment, the assessment team will identify deficient areas of the quality system including implementation, which require Organization corrective action.

The closing meeting is conducted to:

- (a) present a summary of the assessment team's activities to the Organization's management;
- (b) present the assessment team's objective evidence, if any;
- (c) review and agree upon corrective actions which may be taken, if any;
- (d) present the assessment team's scoring as appropriate and recommendation concerning the issuance of the Certification of Conformity;
- (e) answer any questions concerning the assessment team's findings and recommendation(s) to be made to the Certification Committee;



- (f) request the Organization to make any written comments or observations to the President of STR-R for consideration on improving the registration process.

A final assessment team report will be issued to the Organization within a reasonable amount of time, not exceeding 30 days after the closing meeting. A copy of the report is issued to the Certification Committee along with other appropriate documents in order to make a decision whether to grant the requested registration to the Organization. The Organization shall not use the report nor any part thereof in a misleading manner.

## **6.0 The Registration Process**

The purpose of STR-R Certification Committee is to review the assessment team's recommendation(s) concerning the issuance of the STR-R Certificate of Conformity. The assessment team's report is a recommendation only and it is the responsibility of the Certification Committee to grant or withhold issuance of the certificate.

If registration is granted and all fees have been paid, STR-R will:

- (a) notify the Organization that a registration has been granted for a three (3) year period provided the Organization continues to comply with this Procedure For Registration;
- (b) provide the Organization with a Certificate of Conformity;
- (c) include the Organization's registration status in the next available edition of Quality Systems Update as well as the STR-R official publication entitled STR-R Registered Company Listing database.
- (d) authorize the Organization to use the STR-R Mark, subject to the provisions stated for its use in paragraph 14.0 and (e). below
- (e) use of the STR-R mark and Certificate of Conformity will be granted at the time of award of the Certificate only after the Organization signs an agreement governing the use of the Mark (s) and Certificate.

If the Certification committee denies granting of a registration, the Organization shall be notified, in writing, of the findings on which that decision was based and will provide information relating to reconsideration or appeal of the decision in accordance with paragraph 15.0.

## **7.0 Ongoing Surveillance & Maintenance Of Registration**



After a registration has been granted, the Organization is subject to surveillance audits to assure continued compliance with their documented quality system.

Surveillance audits shall be conducted at least semi-annually or annually at the Organization's location. These audits shall be conducted only after the Organization has been notified, in writing, of the pending audit. Each applicable element of applicable standard (ISO 9001:2000, AS9100) will be assessed during the three-year cycle of surveillance assessments. This also applies to multi-site situations.

## **8.0 Renewal Of Registrations**

The Certificate of Conformity is valid for a three-year period after which time the Certificate will expire. STR-R will notify the Organization approximately three (3) to six (6) months prior to the expiration of the Certificate of Conformity. To ensure the continuity of the registration, the Organization must apply for a renewal of (8) weeks prior to the expiration of the Certificate of Conformity.

## **9.0 Modifications To The Registration Scope**

A registered Organization may not revise the scope of its previously approved Registration scope without the written approval of STR-R. STR-R will consider requests for changes to the scope of the Certificate of Conformity and inform the Organization of its acceptance or rejection.

The Certificate of Conformity is only valid at the location(s) that appears on the Certificate or certification addendum. If Organization changes locations, the Organization may be subject to a surveillance audit in order to maintain the validity of the Certificate. After all fees have been paid, a revised Certificate of Conformity will be issued to the Organization.

## **10.0 Quality System Revisions**

All proposed revisions to the registered Organization's Quality Management System, or changes in ownership, key personnel, changes in facilities, or if analysis of a complaint or if any other information indicates that the registered Organization no longer complies with the Procedures for Registration, STR-R will determine if the proposed changes are acceptable, or require an additional surveillance audit to determine acceptability, or will deem the changes are found unacceptable and paragraph 12 of this document.



After changes are found acceptable, unacceptable, or audit required, STR-R will, within ten (10) working days from the date of written request for the change, notify the Organization, in writing, that approval or disapproval to implement the changes has been granted or denied and that a surveillance audit may or may not be required.

## **11.0 Complaints**

The Organization must maintain records of all complaints received from purchasers or other interested parties concerning its registered program. These records should be maintained in a separate file in order to review and evaluate the effectiveness of the Organization's registration system and to take corrective measures to preclude those problems from recurring in the future.

The Organization shall within fifteen (15) working days of receipt of such complaints notify STR-R of any irregularity in the Organization's registered program.

Where and to the extent that it is necessary, the Organization shall prepare a corrective action plan for evaluation and acceptance by STR-R.

## **12.0 Withdrawal, Maintaining, Extending, & Suspending Of a Registration**

A registered Organization may, at any time, terminate its certificate and responsibility with STR-R. If a company wishes to terminate its certification, the Organization shall notify STR-R, in writing, and return the Certificate of Conformity and applicable Mark(s) computer files and/or camera-ready copy.

The Organization's client file maintained by STR-R becomes the property of STR-R and may not be released to other parties unless otherwise agreed upon between the Organization and STR-R.

STR-R may, at its discretion, withdraw, reduce, or suspend the registration of an Organization for cause, such as violating the terms of registration listed in this Procedure For Registration.

STR-R maintains an impartial and nondiscriminatory appeals program to evaluate the consideration of appeals against its decision to terminate an Organization's registration. The STR-R disputes and appeals policy is available upon request.



STR-R may terminate its registration program at any time provided that all registered companies are notified at least six (6) months in advance.

In the event of withdrawal (revocation) of STR-R's AS9100 qualification or QMS accreditation, STR-R will assist its affected customers in the transfer of their registrations to another appropriately qualified QMS registrar and cooperate fully with that registrar in the transfer of the client's registration file information.

### **13.0 Registration Criteria Changes**

If necessary, STR-R may revise this Procedures For Registration at any time. When substitutive changes are made to the registration process, STR-R will notify those organizations of the change(s) and if necessary, of the effective date and allow them time to implement those change(s).

### **14.0 Use Of Certificates Of Conformity And Marks**

The STR-R Certificate of Conformity and Mark are the sole property of STR-R and are on loan to the registered Organization for its use in accordance with this Procedure For Registration. STR-R requires that all Organizations, which it registers, maintain **a procedure to control the use of the Certificate of Conformity and registration Mark.**

Use of the Mark and Certification will be allowed only after the Organization signs the agreement governing their use. An appropriate person, within the organization, shall be in control of the Certificate and the registration Mark.

The registration Mark is a registered trademark of STR-R and the ANAB both of which shall retain the exclusive rights therein. Permission to use the trademark(s) may be granted or withdrawn at the discretion of STR-R. Permission to use the Mark(s) is limited to announcements that accurately represent the scope for which registration has been granted.

The registration Mark(s) shall not be applied and/or displayed on any product or on product labels containers or packaging and shall not be used in any way as to imply product certification. When applying and/or displaying the ANAB Mark, this Mark shall be applied and/or displayed along side the STR-R mark.

The Organization may refer to their registration status in professional, technical, trade, or other business publications; however, such references must not imply product endorsement based on the STR-R registration process.



## 15.0 Disputes And Appeals

STR-R maintains disputes and appeals procedures describing due process whereby an applicant, registered Organization, or other organization or individual may dispute any, assessment, registration, or surveillance activity. Further, any other organization or individual may dispute any decision rendered by STR-R and has the right to object to Appeal Committee membership.

## 16.0 Confidentiality

STR-R maintains confidentiality at the levels of its organization concerning information obtained in the course of its business. No information will be disclosed to any third party unless in response to legal process, in which case the company will notify the client prior to disclosing the information. Notwithstanding the foregoing, the client authorizes STR-R to make records of its work available for review by the accreditation body during the course of their periodic surveillance.

## 17.0 Witnessed Audits

The ANSI-ASQ National Accreditation Board (ANAB) periodically monitors and evaluates STR-R's conformity to the accreditation criteria throughout the term of its accreditation. This activity includes periodic witnessing of STR-R's audit team conducting a QMS audit to ISO 9000 and AS9100.

Those organizations that are issued an ANAB accredited registration certificate, or an organization being audited for the purpose of being issued an ANAB accredited registration certificate, shall permit STR-R's audit team to be accompanied by ANAB accreditation auditors for the purpose of witnessing STR-R's audit team.

Should an organization refuse to allow for an ANAB witnessed audit, the ANAB shall be notified. If the organization chooses to transfer to another registrar to avoid having its audit witnessed, an ANAB accredited certificate may not be issued. ANAB will also notify IAF member accreditation bodies.

**NOTE:** ISO 9001:2000 allows that, in some cases, certain quality system requirements may be excluded due to the nature of the organization's product, customer requirements or the applicable regulatory requirements. While such exclusions may reduce the complexity of the system and the resources required, they may not affect the organization's ability, or absolve it of its responsibility, to provide a product or service



that meets customer and applicable regulatory requirements. Any such exclusion that is claimed must be clearly defined and justified in the Quality Manual and identified in the Scope of Registration. At the time of audit, should any claimed exclusions be found inappropriate, additional time may be required on-site and/or the registration audit may be unsuccessful.

**NOTE: All services are performed according to the General Terms and Conditions for Certification Services.**