



ICOP Certification Scheme - TEDAE Operating Procedure Periodic Report on the Status of the Scheme in Spain

Procedure for
the Periodic Reporting
on the Status of
the Scheme in
Spain

TEDAE QC 9104-005

Edition 3

Date: 14/JUL/2020

Summary

This document:

- Outlines the operating procedure that applies to the preparation of reports containing essential information regarding the status of the Scheme in Spain, which are considered as “deliverables” to be submitted to various interested parties who request them (TEDAE EAQG OPMT, CBMC, CCT), with the purpose of unifying criteria and results in a way that leads to a single report that is valid for these interested parties.



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Revision Index

edition	revision	date	notes
1		01/JUN/2011	First edition
2		15/SEP/2016	New edition due to complete document revision
3		14/JUL/2020	Periodic revision

Distribution Index

- Certification Body Management Committee (CBMC).
- TEDAE Quality Committee (CCT).
- TEDAE CBMC Work Group.
- TEDAE AAB.



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Content

1	Purpose and Scope of Application	4
2	Standards for Reference	4
3	Terms & Definitions	4
4	Periodicity and Content	4
5	Data Collection and Completion	5
6	Records	5
ANNEX 1: Content of the Periodic Report on the Status of the Scheme		6

1 Purpose and Scope of Application

- 1.1 Outline the operating procedure that applies to the preparation of report containing essential information regarding the status of the Scheme in Spain, which is considered as a “deliverable” to be submitted to various interested parties who request it (TEDAE EAQG OPMT, CBMC, CCT), with the purpose of unifying criteria and results in a way that leads to a single report that is valid for these interested parties.
- 1.2 The latest monthly report shall be used for the report requests made by any interested party.

2 Standards for Reference

- 2.1 In addition to the reference documentation contained in standards EN9104-002, the following shall be considered to be standards for reference:
 - 2.1.1 Series 9104 standards.
 - 2.1.2 The resolutions contained in the “IAQG Resolutions Log.”
 - 2.1.3 The “Supplemental Rules” edited by the IAQG.
 - 2.1.4 EAQG OPMT Procedures.
 - 2.1.5 The Procedures, Notifications and Resolutions of the TEDAE CBMC.

3 Terms & Definitions

- 3.1 For the purposes of this procedure, in addition to the terms & definitions included or referenced in the following standards and procedures: ISO 9000, ISO 17000, ISO 19011 and series 9104 standards, the following shall apply:
- 3.2 CBMC, CBMC Work Group and AAB.
Within the scope of this document, any reference to the CBMC, the CBMC Work Group and the AAB shall be understood as referring to TEDAE’s CBMC, CBMC Work Group and AAB.

4 Periodicity and Content

- 4.1 The Spanish Scheme Status Report shall be issued monthly on the first week of the month following the one corresponding to the report. Considering that most of the data must be obtained from the OASIS Database, and that this database is live and constantly experiencing changes, with the purpose of maintaining the homogeneity of this data, it shall be extracted on the same date, and this date shall be specified in the report.
- 4.2 The report shall be edited by the CBMC Delegate or a person appointed by him/her, and distributed to the industrial members of the CBMC.
- 4.3 Report Format
 - 4.3.1 The report shall be formatted as per Form 551 of the EAQG OPMT “Other Party Management Team”, revision C of November, 2015 and adapted for the TEDAE CBMC.
- 4.4 Report Content
The content of the report, which is mostly of a descriptive statistical nature, shall be the following:
 1. CBMC
 - Structure and Organization
 - CBMC Meetings
 - AAB (Members and Meetings)
 - TPAB (Members and Meetings)

- **OP Assessors** (Members and Meetings)

2. National Oversight Status
 3. Status of the Oversight of the CBMC by the EAQG OPMT for the previous year
 4. Status of the Oversight of the CBMC by the EAQG OPMT for the current year
 5. Status of the International Oversight on behalf of the EAQG OPMT for the current year
 6. ICOP Scheme documents edited by the Spanish CBMC.
 7. Approved Accreditation Body and Certification Bodies.
 8. Approved Training Providers
 9. Training Plan
 10. Development of future requirements
 11. Summary of EAQG member participation
 12. Miscellaneous
 13. Annual Performance Review
- 4.5 The latest available report shall be used when reporting information to the EAQG OPMT

5 Data Collection and Completion


- 5.1 The information to be presented shall be the one obtained from the OASIS Database, complemented by the one obtained from the other identified sources. In the event of a discrepancy in this information, the discrepancy must be eliminated by adequately updating the source.
- 5.2 The procedure to record the information in the report is outlined in Annex 1 hereto.

6 Records

- 6.1 The Periodic Reports on the Status of the Scheme in Spain shall be considered to be records, and the CBMC Delegate shall be responsible for keeping them on file.

ANNEX 1: Content of the Periodic Report on the Status of the Scheme

Comentado [EC1]: Quitar las tablas, porque son diferentes??



Other Party Management Team

CBMC ICOP Scheme Report for Spain

Date:

Prepared by:

On behalf of:

Notes for completion:
1) Items in brackets () indicate suggested content for completion. Brackets may be deleted when completed.
2) Tables may be extended or reduced to contain actual content.
3) Changes or updates to content are to be shown in red.

EAQG OPMT Form 551 Page 1 of 21 CBMC Reporting Template Revision C - November 2015

Date: report date.

Prepared by: Name and surnames of the person who prepares the Report

On behalf of: TEDAE / Spanish CBMC

AAB – Participants and Meetings

Must include information corresponding to the TEDAE CBMC AAB. Information must be requested to the Head of the AAB to verify whether there have been changes in regard to the following Tables since the latest report.

AAB:	{Name}			
Participants:	Name:	Company:	Role:	Active Participant*
Summary:	Participants:	Voting Members:		Active Participants:

* Active Participation means having attended at least 50% of the planned events over the last 12 months

Notes:

AAB Meetings:	Date:	Location:	Planned or Completed:
This Year:	1	(dd/mm/yy)	
	2		
	3		
	4		
Next Year:	1	(dd/mm/yy)	
	2		
	3		
	4		

Keeping in mind that the work of the AAB is performed as part of a virtual process via e-mail messages and that face-to-face meetings only take place under special circumstances:

- a) In the 'participants' table, an active member shall be deemed to be one who has participated in at least two authentication/re-authentication processes within the previous twelve months.
- b) Unless a face-to-face AAB event has been held in the current year, which is to be recorded, the meetings table is to be left blank, stating the following in the notes:

Notes: Most of the AAB work is performed by electronic/virtual process based on e-mail communications. Face to face meetings are only under special circumstances or once a year. AAB issues discussed during the CBMC meetings.

TPAB – Participants and Meetings

Taking into account that there is no TPAB in the current TEDAE CBMC structure, these tables are to be left blank.

TPAB:	{Name}			
Participants:	Name:	Company:	Role:	Active Participant*
Summary:	Participants: {No.}	Voting Members: {No.}		Active Participants: {No.}

* Active Participation means having attended at least 50% of the planned events over the last 12 months

Notes:

TPAB Meetings:		Date:	Location:	Planned or Completed:
This Year:	1	{dd/mm/yy}		
	2			
	3			
	4			
Next Year:	1	{dd/mm/yy}		
	2			
	3			
	4			

Notes:

OP Assessors – Participants and Meetings

Must include information corresponding to the OP Assessors of the Spanish CBMC. Information is to be requested from the person in charge of Oversight to verify whether there have been changes in regard to the content of following Tables since the latest report.

OP Assessors:							
Name:	Company:	EAQG or NAIA Member: <small>(IAQG or NAIA)</small>	Form A: <small>(dd/mm/yy)</small>	Approved: <small>(dd/mm/yy)</small>	Re-Approved: <small>(dd/mm/yy)</small>	Expiry Date: <small>(dd/mm/yy)</small>	Active*? <small>(Y or N)</small>
Summary:		Active Participants:	Active EAQG Member Companies:	Other member Companies:			

* An active OP Assessor is one that has conducted at least one oversight in the last 12 calendar months

Notes:

OP Assessors Meetings:	Date:	Location:	Planned or Completed:
This Year:	1 <small>(dd/mm/yy)</small>		
	2		
	3		
	4		
Next Year:	1 <small>(dd/mm/yy)</small>		
	2		
	3		
	4		

Notes:

- Any OP Assessors who have performed at least one oversight during the last 12 months shall be identified as Active (Y).
- An I, E and/or N is to be used to specify whether the entry belongs to an IAQG, EQAG and/or TEDAE member.

The meetings planned/held by the OP Assessors for the year of the report and those planned for the following year are to be specified. The source of information shall be the meeting minutes for held meetings, and the documentation informing the existence of a planned event for planned meetings. The information must be confirmed with the person in charge of Oversight and the CBMC Delegate.

2. National Oversight Status

Must include information corresponding to the Oversight performed over the following organizations:

- The Certification Bodies accredited within the Spanish scheme.
- ENAC.
- AAB.
- CBMC

Information is to be requested from the person in charge of Oversight to verify whether there have been changes in the content of the following Table since the latest report.

2016_MASTER
TEMPLATE_SPAIN_06

Entity subject to Oversight:	OP Assessor Name {Joe ASSESSOR}	Office or Witness {Choose}	Audit Date(s)		No. of NC		AQMS Standard
			Planned {dd/mm/yy}	Actual {dd/mm/yy}	Raised {No.}	Closed {No.}	
{CB Name}							{91XX or NA}
See the file attached above							
{AB Name}		Office Witness					NA {CB Office / WA}
{AB Name}							
CBMC Internal Audit							
AAB							
TPAB							
{TP Name}							{A? 91XX}

Notes:

With the purpose of making it easier to complete this table, it is acceptable to embed in the report the Excel file corresponding to the oversight activities in Spain, updated to the date of the "Master Template," instead of filling out the table.

3. EAQG OPMT – TEDAE CBMC oversight – Status (for the year prior to the report)

Must include information corresponding to the oversight of the TEDAE CBMC for the year prior to that of the report. Information is to be requested from the person in charge of Oversight to verify whether there have been changes in the content of the following Table since the latest report.

3. EAQG OPMT Oversight of the CBMC: Status of 2015

Entity subject to Oversight:	Date of Oversight	Oversight Team			No. of NC		Date Closed
		Role	Name	Country	Raised	Closed	
Spanish CBMC		Lead OP Assessor			{No.}	{No.}	{dd/mm/yy}
		OP Assessor					

Notes:

4. EAQG OPMT – TEDAE CBMC oversight – Status (year of the report)

Must include information corresponding to the oversight of the TEDAE CBMC for the year of the report. Information is to be requested from the person in charge of Oversight to verify whether there have been changes in the content of the following Table since the latest report.

4. EAQG OPMT Oversight of the CBMC: Status of 2016

Entity subject to Oversight:	Date of Oversight	Oversight Team			No. of NC		Date Closed
		Role	Name	Country	Raised	Closed	
Spanish CBMC		Lead OP Assessor	{Name}		{No.}	{No.}	{dd/mm/yy}
		OP Assessor					

Notes:

5. Oversight on Behalf of the EAQG OPMT – Status (year of the report)

Must include information corresponding to the Oversight of the TEDAE CBMC on behalf of the EAQG OPMT for the year of the report. Information is to be requested from the person in charge of Oversight to verify whether there have been changes in the content of the following Table since the latest report.

5. Status of 2016 International Oversight on behalf of EAQG OPMT:

Oversight Team		CBMC subject to Oversight	Date(s) of Oversight	No. of NC		Date Closed
Role	Name			Raised	Closed	
Lead OP Assessor	{Name}	{Country of CBMC.}	{dd/mm/yy}	{No.}	{No.}	{dd/mm/yy}
OP Assessor	{Name}	{Country of CBMC.}	{dd/mm/yy}			

6. ICOP scheme documents edited by the TEDAE CBMC.

Must include information corresponding to current documents (Procedures, Guides and Forms) edited by the TEDAE CBMC along with the date of their edition. Information is to be requested from the CBMC Delegate to verify whether there have been changes in the content of the following Table since the latest report.

6. CBMC ICOP Scheme Documentation:

Document Name:	Document Issue:	Document Date:

7. Approved Accreditation Body and Certification Bodies.

Must include information related to Spanish ICOP Scheme approved Accreditation Body and Certification Bodies. Information is to be requested from the CBMC Delegate to verify whether there have been changes in the content of the following Table since the latest report.

7. AB and CBs:

AB:	Name: Entidad Nacional de Acreditación (ENAC)	Status: Approved	
CBs:	Name:	Standard: {9100/9110/9120}	Status: {Applicant / Accredited / Suspended / Withdrawn}
CBs Summary:	Date:	Applicant:	Accredited:
This Report:	12/02/2016		
Last Report:	07/09/2015		
		Suspended:	Withdrawn:

Accreditation Body

ENAC is to be specified as the approved Accreditation Body. It must be verified whether it is identified as such in the OASIS Database.

Certification Bodies

The accredited/approved Certification Bodies for the Scheme must be specified, while completing the information related to the AQMS standards for which they are accredited. For this purpose, the CBMC Delegate must use information from the ENAC Accreditation Bodies and the Technical Annexes found in ENAC’s website. It must be verified that they are identified as such in the OASIS Database.

8. **Approved Training Providers**

Taking into account that there are no Approved Training Providers in the current structure of the TEDAE CBMC, these tables are to be left blank.

8. Approved Training Providers:			
Approved Training Providers Summary:			
Total of EN 9104-3 Courses Approved:	9100	9110:	9120:
A1. Foundation Course	{No.}	{No.}	{No.}
A2. Standard Auditor Course			
A3. & A4. Industry Specific Course			N/A
A5. Self Study Examination	N/A	N/A	
Approved Training Providers Detail:			Status:

Name:					{Approved}
2009 Editions Approved Courses:	Date:	9100:	9110:	9120:	
Aerospace Auditor Transition Training (AATT)					
A2. Standard Auditor Course based on AATT Course					
EN 9104-3 Courses Approved:	Date:	9100	9110:	9120:	
A1. Foundation Course	{dd/mm/yy}	{dd/mm/yy}	{dd/mm/yy}	{dd/mm/yy}	
A2. Standard Auditor Course					
A3. & A4. Industry Specific Course				N/A	
A5. Self Study Examination		N/A	N/A		

Name:					{Approved}
2009 Editions Approved Courses:	Date:	9100:	9110:	9120:	
Aerospace Auditor Transition Training (AATT)					
A2. Standard Auditor Course based on AATT Course					
EN 9104-3 Courses Approved:	Date:	9100	9110:	9120:	
A1. Foundation Course	{dd/mm/yy}	{dd/mm/yy}	{dd/mm/yy}	{dd/mm/yy}	
A2. Standard Auditor Course					
A3. & A4. Industry Specific Course				N/A	
A5. Self Study Examination		N/A	N/A		

9. Training Plan

Must include information related to the Training Plan. Information is to be requested from several members of the CBMC to verify whether there have been changes in the content of the following Table since the latest report.

9. Training Plan:

Training Required:
 {List any details of training that may required but not yet planned for national CBMC participants and OP Assessors}

Training Planned:
 {List any details and dates of training that has been planned for national CBMC participants and OP Assessors}

Conferences:

Conference:	{Name and Dates of Event}			
Participants:	Name:	Company:	Role:	Active Participant*
Summary:	Participants: {No.}			Active Participants: {No.}

* Active Participation means involvement in the development or delivery of a conference at least once in the last three years

10. Development of future requirements

Must include information regarding the participants who are actively involved in the development of future requirements for the ICOP process as part of initiatives backed by the EAQG OPMT. This section must only take into account the development of series 9104 standards and the participation in specific development projects of the IAQG OPMT and EAQG OPMT. The development of series 9100 standards and the 9101 standard is not considered to be part of this activity and must not be included. Information is to be requested from several members of the CBMC to verify whether there have been changes in the content of the following Table since the latest report.

10. Development of Future Requirements:				
The following members and their companies are actively involved in the future development of future requirements for the ICOP process in initiatives endorsed by the EAQG OPMT:				
<small>Note: Only the development of 9104 series standards and participation in specific IAQG OPMT and EAQG OPMT development projects such as tactical Objectives will be considered for this section. Development of 9100 series and 9101 standards are not considered part of this activity and should not be included.</small>				
Initiative	Name:	Company:	Role:	Active Participant*
Summary:	Participants: {No.}			Active Participants: {No.}

* Active Participation means having actively participated in the team undertaking the initiative or being part of the development and/or delivery team for conferences and workshops for at least one of the planned events over the last 36 months.

11. Summary of EAQG member participation

Must include information related to the participants involved in CBMC supporting activities:

- a) CBMC management and maintenance, as per section 1 (CBMC/AAB/TPAB) of this Annex.
- b) Oversight Activities, as per section 1 (active OP Assessors) and sections 2 through 5 Oversight of this Annex.
- c) Development and Communication of the ICOP scheme sections 9 (Conferences) and 10 (Development) of this Annex.

Information is to be requested from persons in various positions within the CBMC to verify whether there have been changes in the following Table since the latest report.

11. EAQG Member Participation Summary:

The following Member companies are actively involved in the following activities supporting the CBMC:

Management and Maintenance of the CBMC (Item 1 CBMC and / or AAB and / or TPAB):

EAQG Member Company Name	EAQG Member Company Name	NAIA Member Company Name

Oversight Activities (Item 1 Active OP Assessors and Items 2 to 5 Oversight Status):

EAQG Member Company Name	EAQG Member Company Name	NAIA Member Company Name

ICOP Development and Communication (Item 9 Conferences and item 10 Development):

EAQG Member Company Name	EAQG Member Company Name	NAIA Member Company Name

12. Miscellaneous

Must include information that is not contained in the reporting form, and about which it is considered to be necessary to inform the EAQG OPMS. This information is to be requested from the members of the CBMC. The format of this information is not defined and will depend on the type of information.

13. Annual Performance Review

The summary for the year is to be presented to the EAQG OPMT.

Appeals and Complaints

Contains the appeals and complaints received by the CBMC. Information is to be requested from the persons in charge of the AAB and Oversight, and from the CBMC Delegate, to verify whether there have been changes in the content of the following Table since the latest report.

13. Annual Performance Review 2016:			
Appeals and Complaints:			
Appeals (Summary Description):	Entity subject of Appeal:	Number Raised:	Number Closed:
Complaints (Summary Description):	Entity subject of Complaint:	Number Raised:	Number Closed:

Oversight Metrics

Contains metrics for the oversight process. Information is to be requested from the person in charge of Oversight to verify whether there have been changes in the content of the following Table since the latest report.

Summary of the main Non-Conformities of the Oversight Process

Contains the categories whose % in relation to the other categories amounts to 20% or greater. Data from the table in the section above is to be used for this purpose.

Summary of Top 20% of NC reports raised during oversight:

Nonconformity Topic:	Number Raised:	% of Total NC Raised:

Notes:

Supplemental Oversight Summary

Must include information related to the Supplemental Oversight. Information is to be requested from the members of the CBMC and the CBMC Delegate to verify whether there have been changes in the content of the following Table since the latest report.

Supplemental Oversight Summary:

Reference:	Entity Conducting Supplemental Oversight:	Entity Subject to Supplemental Oversight:

Reference:	Nonconformity Topic:	Number Raised:	% of Total Suppl. NC Raised:

Examples of "Good Practices" observed during the oversight process.

(Self explanatory)

Examples of Effective Corrective Actions of the oversight process

(Self explanatory)

Recommendations related to potential improvements to the ICOP scheme process

(Self explanatory)

Summary comment (including any additional action).

(Self explanatory)