Company:		Date:	

Certification Rules and Conditions (認証の規則及び条件)

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 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, ISO 45001, 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 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 of obligations must be completed prior to a certification audit for ISO 14001, ISO 45001 and Responsible Care programs.

l. Notify ABS QE in writing of non-compliance with the applicable legal requirements and/or regulatory authorities ISO 14001, ISO 45001 and Responsible Care programs.

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 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 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. Follow requirements set forward by the International Accreditation Forum (IAF) which publishes Mandatory Documents that are required to be used by certification bodies to assure that they operate their programs in a consistent and equivalent manner. Determination of audit time, site selection and application of these IAF Mandatory Documents are based on required ISO 17021 accreditation requirements and can be found at https://www.iaf.nu/articles/Mandatory_Documents_/38

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).

Company:		Date:	

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.

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.

-----以下に社名・日付・氏名・役職・署名をローマ字又は日本語でご記入の上返送してください-----

社名 Company Name: _____ 日付 Date: _____

氏名 Printed Name: _____ 役職 Title: _____

署名 Signature (authorized signing officer): _____

返送先：㈱日本エイ・ビー・エス・キュイー
郵送の場合／ 221-0052 神奈川県横浜市神奈川区栄町 1-1 KDX 横浜ビル 10 階
FAX の場合／ 045-451-2775 メールの場合／ qej@abs-gr.co.jp （1、2 ページ共）

*当用紙は弊社受領後に貴社への返送はいたしませんので、お送りいただく前にコピー等貴社の控えをお取りください。

APPENDICES - SECTOR SPECIFIC PROGRAM REQUIREMENTS

MANAGEMENT SYSTEM CERTIFICATION

	Topic	Sector	Applies to
APPENDIX I	Automotive certification IATF 16949	Automobile	IATF 16949
APPENDIX II	Social Accountability SA8000	All	SA 8000
APPENDIX III	Aerospace certification ISO/AS	Aerospace	AS9100, AS9120, AS9110

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.

APPENDIX I – AUTOMOTIVE PROGRAMS (IATF 16949)

ATF16949 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.

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.

The company shall ensure immediate access for ABS QE auditors into all facilities covered by the scope of certification during announced, semi-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 Self-Assessment through the SAI Platform prior to the initial SA 8000:2014 Stage 1 audit and prior each subsequent Recertification audit.
ABS-QE will conduct Maturity Declarations during the cycle of certification for Initial (stage 1 and stage 2) and annual surveillance audits and each subsequent Recertification audit.
The minimum window to start Stage 1 audit is 2 weeks after the quote is accepted and Contract signed by Applicant.
In compliance with SAAS Procedure 200 requirements, ABS-QE will carry out 02 semi-announced audits annually in the 3 years certification cycle.
Surveillance Semi-Announced Audit 1 is prior to 6 months after cert decision, with a follow-up review prior to 12 months.
Surveillance Semi-Announced Audit 2 is prior to 18 months after cert decision, with a follow-up review prior to 24 months. Re-Certification Fully Announced Audit is prior to 30 months after cert decision, with a follow-up review prior to 33-35 months.

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.

· Semi-Announced Audit: An on-site surveillance audit that is delivered on any day(s) in the usual manner, during a pre-advised 6-week window. The SA8000 Certified Client is advised 8 weeks before the first day of the 6-week audit window of the start and finish dates of that window. Without previously advising the chosen audit date(s), the audit team visits the certified company's premises to perform the audit on a date within that window
· Follow-Up Review: Monitoring activity performed in between Surveillance Audits. Follow-up Review is typically conducted via remote electronic communication with the certified organization's representatives. Follow-up Review ought to be conducted on-site and/or over a longer period when review of evidence demands it.

APPENDIX III – AEROSPACE PROGRAMS (AS9100, AS9120, AS 9110)

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.

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).

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. 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.

Company:		Date:	

認証の規則及び条件 [参考和訳] (Certification Rules and Conditions)

当社(申請者)は見積書上に示されている施設でのマネジメントシステムの認証を ABS QE に申請する。また、認証は以下に述べる規則及び条件に基づき実行されることに同意する:

1.0 定義 下記の用語は、単数又は複数であろうと、下記に規定された意味を持つものとする。:

ABS QE	ABS Quality Evaluations, Inc.
申請者	ABS QE にマネジメントシステムの認証を申請した会社(組織)、又は個人。
認証	申請者のマネジメントシステムが適用規格の要求に適合しているという ABS QE の決定。
マネジメントシステム規格	マネジメントシステムを定める広く認知された、商業、国、又は国際的な規格。「規格」という用語が使われた場合には直近に発行された規格の版を指すこととする。
第 1 段階審査	マネジメントシステム文書の審査、申請者の所在地及び事業所固有の条件を確認し、第 2 段階審査への準備状況を判定する為に ABS QE が行なう評価。
第 2 段階審査	ABS QE が申請者のマネジメントシステムの運用と有効性を審査するために行う評価。この審査の期間において、ABSQE は棄却要求事項への適合の程度を決定する、また、申請者が認証証書を受ける前に修正しなければならないすべての不適合もしくは不適合の可能性のあるものを文書で報告する。
認証証書	マネジメントシステムが ABS QE により審査され、その適用規格の要求に適合するという認証に基づき発行される文書。申請者の認証番号が表示される。

2.0 認証

ABS QE が審査し、当該適用規格に適合しているとみなした申請者は認証証書を保持することができる。業界に固有な規格の例外を除き、証書は 3 年間有効であるが、適用規格に従って継続審査が必要である。認証は第三者に移行、又は譲渡することはできない。

3.0 実行

3.1 申請者は、認証を受ける各々の施設に関して:

a. 申請者と ABS QE とで合意した適用規格に従ったマネジメントシステムを文書化し、それを維持する。

b. 規格の要求事項を含むマネジメントシステム及びプロセスへの重要な変更(例:マネジメント組織の変更、生産現場の変更、プロセスの生産能力の増減、管理手法、或いは工程変更等)、及び認証範囲の業務内容、連絡先住所、所在地、法律上、商業上、組織上の状態、又は経営権に関する重要な変更は、ABS QE が変更を評価でき、且つ適切な処置がとれるように文書をもって ABS QE に通知する。

c. マネジメントシステムの適用規格に対する継続した適合の評価が行えるよう、通常の業務時間内に認証された全施設への ABS QE の立ち入り、関連書類・記録類の閲覧、及び要員へのインタビュー等を許可し、ABS QE が審査を完了できるように必要な情報を提供する。社外秘、又は他の規制のよりにこれが可能でない場合には、ABS QE と申請者は必要な情報を確かめるために、適切に定義され、文書化された手順に同意する。それができない場合は認証証書は発行されない。

d. ABS QE の審査員が申請者の稼働中の施設にいる間は、健康、安全、保安、環境に関する申請者の内部規則及び規制について熟知している案内役を ABS QE の審査員に付ける。

e. 経営者の代表を指名し、さらに 1 名もしくは 2 名の担当者を ABS QE との連絡先として通知する。

f. 申請者の製品もしくはサービスについての全ての苦情と、その処置の完全且つ正確な記録を保持する。他の認証(ISO14001、ISO45001、SA8000 等)に関してはしては、環境、労働安全衛生、企業の社会的責任等のマネジメントシステムに関する苦情及びその是正処置の記録を保持する。

g. 申請者は、認定機関が ABS QE の審査に立ち会うことを拒否することはできない、同時に、認定機関の代表者及びメンバー等が審査が行なわれるサイトへの立ち入りを認めること。また、申請者は ABS QE の立会審査員が審査に立ち会う場合にもこれを拒否できない。

h. ABS QE の認証マーク使用規定に従わない ABS QE の認証マークの使用や、誤解を引き起こすような認証を引用した発表をしない。

i. 認証の取消しの場合は、証書は ABS QE に返却し、広告やその他の書類における認証の引用、又は認証に伴う認定マークの使用を中止する。認証は商品認証の証拠、或いは商品の許認可に使用しない。

j. 審査工数及びサンプリングサイトの選択は現行の工業規格及び認定規則に基づき調整される。

k. ISO14001、ISO45001 及びレスポンシブルケアプログラムの認証審査の前に法令順守評価を完了する必要があります。

l. 該当する法的要件及び/または規制当局の ISO14001、ISO45001 及びレスポンシブルケアプログラムへの違反を書面で ABSQE に通知する。

3.2 ABS QE は、マネジメントシステムの認証に関連し、次のことを行う権限を有します:

a. 始めに申請者の上位のシステムマニュアルを、そして審査の過程で関連する書類を、適用規格への適合性について審査する。

b. 申請者の特定された施設におけるマネジメントシステムを、適用規格要求に対して審査する。

c. 確認書(1 ヶ月前お知らせ)に記載の申請者の認証された施設が特定の規格との適合性を保っているかを検証するために最低暦年ごと 1 回、そして必要と思われる時に、各施設において継続審査を実施する。初回審査後初めての継続審査は、規格固有の要求事項でない限り、初回第 2 段階審査の最終日から 12 ヶ月を超えて実施してはならない。

d. 全ての認証された申請者、施設、認証番号、及び適用規格を掲載した認証企業リスト(CCD)を維持、発行する。申請者の認証が一時停止、又は認証撤回となった場合には、認証企業リストを更新する。

e. 認証企業リストに掲載された以外の申請者に関する全ての情報は秘密扱いとし、且つ申請者の書面による同意なくしてはその情報を他者に公開しない。但し、ABS QE が認定機関及び／又はプログラムの規制機関の監査を受ける場合は例外とする。

f 申請者の製品、プロセス及びサービスに関して ABS QE が受けたいかなる苦情も申請者に通知する。苦情を受けた場合、ABS QE は申請者に通常の審査スケジュールには含まれない特別な審査を緊急に実施することを通知する。

g. 認定機関及び相互認証のグループに対し、関連する情報を提供する場合は申請者に通知する。

h. 申請者の施設にいる間は、申請者が指定した案内役によって知らされる全ての規定、規則を順守する。(申請者は認証業務遂行上、ABS QE の審査員が受けるいかなる損失や傷害に対しても責任を有しない。)

i. 認証の要求事項に変更があった場合は認証された組織に対し通知する。

j. 審査中に審査チームと申請者間において審査所見または結論に不一致または意見の相違が発生した場合、ABS QE は異議申し立て手続きについて申請者に案内する。

k. 一貫して同等な方法でマネジメントシステム認証を運用することを確実にするために、認証機関が使用する基準文書を発行する国際認定フォーラム(IAF)が規定する要求事項に従う。IAF MD 文書にて規定されている審査の工数、対象となる事業所及びどの IAF 基準文書を適用するかの決定は、以下のサイトに掲載されている ISO17021 認証要求事項に基づいている。https://www.iaf.nu/articles/Mandatory_Documents_/38

l. 第一段階審査及び第二段階審査は順番に継続して実施する。しかしながら、この決まりは、もし第一段階審査の要求事項が満足されず、審査員が第二段階審査に進むことを推奨しない場合は、適用しない。この場合、審査のキャンセル、再実施計画、などに関する費用を申請者に請求することがある。

m. 認証プロセス及び認証マークの使用並びに認証に関するクレームについての規則を公開する。

4.0 審査チーム

審査員の任命は ABS QE によって行われる。 任命の変更は、継続性を保ちながらも客観性を広げることを目的とする。申請者は正当な理由があれば、予定された審査チームの変更を要求する事ができる。

5.0 要員の指名

本契約のサービスを実行する上で、ABS QE は審査業務、請求業務、支払い業務等の関連する一部、又は全ての業務を委託する、又は複数の外部契約者(関連会社を含む)を指名することができる。

6.0 抗議

申請者が認証規格の条項に基づく認証業務に関わる ABS QE の判定、決定、又は行為によって不当にその権利を損なわれた場合、申請者は ABS QE に抗議することができ、そうした抗議は、解決がつくまで最終的には ABS QE の社長まで ABS QE 内にて順次持ち上げる事ができる。それでも解決に至らない時は、申請者は事態を調停に持ち込むことができる。(一般条項参照)

7.0 不履行

申請者側の約束不履行や解約に対しては、ABS QE が保管している申請者の全ての書類、証書、報告書、又は所有物は、この契約、又は解約によって発生する料金や経費の支払を確保するための担保として保管する。また、ABS QE は申請者のプロジェクトの報告書や証書を差し押さえる権利を有する。

8.0 プライバシー

申請者が ABS QE に提供するデータまたは情報は、当同意書に基づいて提供されるサービスに直接的または間接的に使用されます。ABS QE は申請者が ABS QE のサービスに関する情報を要求した時、ウェブサイトを閲覧した時、お知らせをメールでした時、我々の書式を使用し問い合わせをした時、またはウェブサイトを通して申し込みまたは発注をした時、我々に提供された個人情報を収集します。

個人情報は以下を含みます。:

- 名前、役職、電話番号、電子メール、住所など連絡先データ
- クレジットカード情報などの財務及び取引データ
- アンケートまたは顧客リクエストフォーム等を使用して、申請者より提供されたフィードバック、意見、情報など、申請者が自発的に ABS QE と共有する全ての情報

個人情報は以下の目的のためにも使用されます。:

a. 必要な活動 - 以下はサービス向上のため、お客様の個人情報を通して行われます。
   - 契約及び/またはご希望するサービスの管理のために必要な情報を伝達すること
   - お客様からのお問い合わせへの対応やご意見に対するサポートの提供
   - 認証顧客登録簿にアクセスするためのユーザーアカウントの設定及び管理

b. ABS QE への申請者の次のことへの同意:
   - お客様の利益になると考えられる当社のサービスやイベント情報のメール送信をすること
   - 当社のグループ会社よりお客様に合った製品やサービスの提案及び/または提供を許可するために情報を共有すること

ABS QE は、全てのプライバシー慣行及びプライバシーに関する法令の許容する範囲に従い、この文書に述べた範囲において、お客様の個人情報を共有します。

申請者は、ABS QE が個人を特定できない、匿名および統計的なデータを当社のビジネス目的で第三者と共有することに同意します。

第三者には ABS QE に代わり特定のサービスを行う請負業者及びプロバイダが含まれます。

これらの第三者はサービスを提供するための必要な情報にのみアクセスすることができ、その目的以外に使用することはできません。

ABS QE は、本契約の履行を含む本来の目的を果たすために必要な期間において、お客様の個人情報を保持します。

特定のケースでは、お客様情報のより長期間の保持が必要になったり、また、それが法律により、または ABS QE が事業上の利益を確保し、審査を実施し、その法的義務を遵守し、契約を順守し、または紛争を解決するために許可になる場合があります。

----- 「英文」の認証の規則及び条件 (Certification Rules and Conditions) の用紙にご署名をお願いいたします。
当参考和訳へのご署名及び返送は不要です -----

社名	日付
氏名	役職
署名	

APPENDICES - SECTOR SPECIFIC PROGRAM REQUIREMENTS

MANAGEMENT SYSTEM CERTIFICATION

	Topic	Sector	Applies to
APPENDIX I	Automotive certification IATF 16949	Automobile	IATF 16949
APPENDIX II	Social Accountability SA8000	All	SA 8000
APPENDIX III	Aerospace certification ISO/AS	Aerospace	AS9100, AS9120

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.

付属文書 I –自動車業界セクター規格 (IATF 16949)

IATF16949 は自動車産業用の規格で、International Automotive Task Force（IATF）により管理・運用されています。IATF16949 の証書には、IATF のロゴマークが表示されます。

認証スキームに関する IATF マークの使用は、認証証書上の表示のみに限定されています。IATF マークの他のいかなる使用、切離しても、切離していなくとも、は禁止されています。

注記：申請者は、マーケティング及び広告のために、IATF ロゴマークの表示された IATF16949 認証証書をコピーすることはできます。

申請者は、ABS QE に対する IATF (International Automotive Task Force) 立会審査を拒否することはできません。また、IATF の代表者、又はその委託を受けた者を拒否することはできません。更には、ABS QE の立会審査員の同席を拒否することもできません。

認証後は、申請者は IATF16949 認証要求事項を継続して満たすというマネジメントシステム能力に影響を及ぼし得る事項の変更について、遅滞なく ABS QE に通知しなくてはなりません。影響を及ぼし得る事項の例は以下参照。

- 法的地位
- 提携状況（例：合弁事業、他の組織の下請け）
- 所有権（例：合併及び買収）
- 組織及びマネジメント（例：重要な経営管理者、意思決定者、または専門スタッフ）
- 連絡先住所または所在地
- 認証されたマネジメントシステムに含まれる事業活動の範囲
- IATF を支持する自動車メーカーの特別状況
- IATF より承認されている他認証機関への認証移転

申請者は IATF のデータベースに関連する最新の使用料を支払うことに同意します。

申請者が ABS QE への変更の報告を怠った場合、法的拘束力のある契約の違反と見なされ、申請者の IATF16949 認証が取り消される可能性があります。

申請者のコンサルタントは、審査中に当該組織の事業所に滞在することは出来ません。また、いかなる形であっても審査に参加することはできません。

IATF16949 の審査スキームに関連する情報は、弊社と IATF の間で機密事項となっております。IATF の代表者、又はその委任を受けた者は、IATF16949 の審査スキームに基づき受審される貴組織の IATF16949 の認証に関わる情報及び記録類を閲覧する権限を有しています。

申請者は最終審査報告書を IATF へ提出するという ABS QE の要請を拒否することは出来ません。

訳は Rev3 より未確認。
万が一 IATF の新規顧客があった場合は
確認してから送ること

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.

The company shall ensure immediate access for ABS QE auditors into all facilities covered by the scope of certification during announced, semi-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 Self-Assessment through the SAI Platform prior to the initial SA 8000:2014 Stage 1 audit and prior each subsequent Recertification audit.

ABS-QE will conduct Maturity Declarations during the cycle of certification for Initial (stage 1 and stage 2) and annual surveillance audits and each subsequent Recertification audit.

The minimum window to start Stage 1 audit is 2 weeks after the quote is accepted and Contract signed by Applicant.
In compliance with SAAS Procedure 200 requirements, ABS-QE will carry out 02 semi-announced audits annually in the 3 years certification cycle.

Surveillance Semi-Announced Audit 1 is prior to 6 months after cert decision, with a follow-up review prior to 12 months. Surveillance Semi-Announced Audit 2 is prior to 18 months after cert decision, with a follow-up review prior to 24 months. Re-Certification Fully Announced Audit is prior to 30 months after cert decision, with a follow-up review prior to 33-35 months.

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.

· Semi-Announced Audit: An on-site surveillance audit that is delivered on any day(s) in the usual manner, during a pre-advised 6-week window. The SA8000 Certified Client is advised 8 weeks before the first day of the 6-week audit window of the start and finish dates of that window. Without previously advising the chosen audit date(s), the audit team visits the certified company's premises to perform the audit on a date within that window

· Follow-Up Review: Monitoring activity performed in between Surveillance Audits. Follow-up Review is typically conducted via remote electronic communication with the certified organization's representatives. Follow-up Review ought to be conducted on-site and/or over a longer period when review of evidence demands it.

APPENDIX III – AEROSPACE PROGRAMS (AS9100, AS9120, AS 9110)

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.

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).

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. 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.