Areas of impact for client consideration taken from the Rules for achieving and maintaining IATF recognition 4th Edition for ISO/TS 16949

1st February 2014

Rules 4th edition		Area of impact	Rules 4th edition content
	Foreword		
	Introduction	**X**	*The IATF recognizes certification bodies to conduct audits to ISO/TS 16949 and issue certificates to clients. The IATF OEM members only recognize certificates issued by recognized certification bodies carrying the IATF logo and specific IATF number. Public information about the validity of IATF-recognized certificates can be found in www.iatfglobaloversight.org.*
1.0	**Eligibility for certification to ISO/TS 16949**	**X**	*Only manufacturing sites where production and/or service parts are manufactured and supplied to automotive customers are eligible for certification….*
2.0	**IATF requirements for certification bodies**		
2.1	**IATF for certification body recognition requirements**		
2.2	**Management of impartiality**	**X**	*The certification body's decisions shall be based on objective evidence of conformity (or nonconformity) obtained by the certification body and the decisions shall not be influenced by other interests or by other parties.*
2.2.1	**Threats to impartiality**		
2.3	**IATF contractual requirements**		
2.3.1	**Certification body's contracted office**		
2.4	**IATF ongoing recognition requirements**		
2.4.1	**Witness audits**		
2.4.2	**Office assessments**		
2.4.3	**Non conformity management**		
2.5	**Certification body de-recognition process**		
2.6	**Management system requirements**		
2.7	**Management review**		
2.7.1	**Management review inputs**		
2.7.2	**Management review outputs**		
2.8	**Certification body internal system audits**		

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2.9	**Appeals and complaints**	**X**	*The certification body shall have a process for addressing appeals from the client and complaints from any interested parties. The process shall include the following activities where appropriate:* *a) receiving, validating, investigating,* *b) determining the root cause,* *c) ensuring that any appropriate correction and systemic corrective actions are taken,* *d) providing progress reports and the outcome,* *e) maintaining the records of appeals, claims, and actions taken.* *The appeals process shall not impact the timings related to nonconformity management (see section 5.11) or the certificate decertification process (see section 8.0).*
2.10	**Notice of changes by a certification body**		
3.0	**Certification body contract requirements with the client**		
3.1	**Certification agreement with the client**	**X**	*The certification body shall have a legally enforceable agreement for the provision of certification activities to its client….* *The contract between the certification body and the client shall address the following items:* *a) the client shall notify the certification body of any changes (see section 3.2),* *b) the client cannot refuse an IATF witness audit of the certification body,* *c) the client cannot refuse the presence of a certification body internal witness auditor,* *d) the client cannot refuse the presence of an IATF representative or their delegates,* *e) the client cannot refuse the request of the certification body to provide the final report to the IATF,* *f) the only use of the IATF logo related to this certification scheme is as displayed on the certificate issued by the certification body. Any other use of the IATF logo, separately or not, is prohibited,* *g) consultants to the client cannot be physically present at the client's site during the audit or participate in the audit in any way.*

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3.2	**Notice of changes by a client**	**X**	*The certification body shall have legally enforceable agreement to ensure that the client informs the certification body, without delay, of matters that may affect the capability of the management system to continue to fulfill the requirements of the ISO/TS 16949 certification. These include, for example, changes relating to:* *a) legal status,* *b) commercial status (e.g. joint venture, sub-contracting with other organizations),* *c) ownership status (e.g. mergers and acquisitions),* *d) organization and management (e.g. key managerial, decision-making, or technical staff),* *e) contact address or location,* *f) scope of operations under the certified management system,* *g) IATF subscribing OEM customer special status (see section 8.0),* *h) major changes to the management system and processes.* *Failure by the client to inform the certification body of a change is considered as a breach of the legally enforceable agreement and may result in the withdrawal of the client's ISO/TS 16949 certificate by the certification body*
4.0	**Resource requirements**		
4.1	**Veto power qualification**		
4.2	**Application process and criteria for ISO/TS 16949 auditors**		
4.3	**Auditor qualification process**		
4.3.1	**Initial qualification process**		
4.3.2	**Requalification process**		
4.4	**Certification body internal witness audit process**		
4.5	**Maintaining auditor certification**		
4.5.1	**Maintaining minimum audits and audit days**		
4.5.2	**Continuing personal development (CPD)**		

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4.6	**Certification body internal system auditor qualification**		
5.0	**ISO/TS 16949 audit process general requirements**		
5.1	**Audit and certificate cycles**	**X**	*The audit programme has a three (3) year audit cycle and a three (3) year certificate cycle, as shown in diagram 5.1.*
5.1.1	**Audit cycle**	**X**	*Surveillance audits shall be scheduled from the last day of the initial stage 2 audit or the last day of a recertification audit in accordance with table 5.1. In situations where the surveillance audit timing is likely to be exceeded, the certification body shall initiate the decertification process (see section 8.1 e).* *Once established, the surveillance interval as detailed in table 5.1 shall be maintained for the three (3) year audit cycle.* *The last day of the first recertification audit shall not exceed three (3) years (-3 months, +0 days) from the last day of the initial stage 2 audit. If the timing is exceeded, the client shall start over with an initial certification audit (stage 1 and stage 2). The scheduling of the recertification audit shall provide sufficient time to close or 100% resolved any nonconformities that may be raised at the recertification audit and the certification decision made prior to the expiration of the existing ISO/TS 16949 certificate.* *The last day of the subsequent recertification audit shall not exceed three (3) years (-3 months, +0 days) from the last day of the previous recertification audit. If the timing is exceeded, the client shall start over with an initial certification audit (stage 1 and stage 2).*
5.1.2	**Certificate cycle**	**X**	*The recertification decision shall be made before the expiration date of the existing certificate. The recertification decision date shall be the issue date of the new certificate.* *A certificate, once issued, remains valid until it expires or is superseded, cancelled, or withdrawn.*

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5.2	**Audit days determination**	**X**	*…5.2 h) if a portion of the site is dedicated to automotive, then the headcount from that portion can be used to determine audit time when the following conditions are met:* • *approval from the relevant Oversight office is received prior to implementation,* • *all automotive manufacturing processes are physically separated from non-automotive manufacturing (e.g. separate building, permanent barrier in between the automotive and non-automotive lines/machines, etc.)* • *personnel working in the automotive manufacturing process areas are completely dedicated,* • *all support activity personnel are included in the headcount.* *Note: if automotive manufacturing processes are integrated on the manufacturing floor with non automotive processes, then this requirement cannot be applied.* *5.2 q) when the total number of employees on site changes prior to or during the audit…and the minimum number of audit days increases…the changes shall be applied to the current audit.*
5.3	**Audit day determination--corporate audit scheme**	**X**	*Each site in the corporate audit scheme shall have a… separate certificate. A single certificate listing all the sites or a corporate certificate is not permitted*
5.4	**Audit day determination--permitted reductions**		
5.5	**Supporting activities**		
5.6	**Establishing the audit team**		
5.7	**Audit planning--all audits**		

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5.7.1	**Client information for audit planning**	**X**	*The certification body shall require the client to provide the following information to be used as input for developing an audit plan:* *a) the client's quality management system documentation, including evidence about conformity to ISO/TS 16949 requirements and showing the linkages and interfaces to any remote support functions and/or outsourced processes,* *b) customer and internal performance data since the previous audit,* *c) customer satisfaction and complaint summary since the previous audit, including a copy of the latest customer reports and/or scorecards,* *d) identification of any customer special status condition since the previous audit,* *e) notification about any new customers since the previous audit, and* *f) results of internal audits and management review since the previous audit.*
5.7.2	**Audit plan**	**X**	*In situations where all of the required information is not provided by the client prior to the issuance of the audit plan, the audit plan shall include time allocated to collect and review the missing information prior to the start of the opening meeting with the site management team or the decertification process shall be initiated (see section 8.1 g)…* *Each audit plan shall identify a minimum of one (1) hour on site, prior to the opening meeting, for verification of changes to current customer and internal performance data, including a review of current online customer reports and/or scorecards. The audit team will adjust the audit plan based upon any new information collected, if required.* *The audit plan shall be communicated to the client prior to the start of the audit.*
5.8	**Conducting onsite audit activities**		

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5.9	**Audit findings**	**X**	*The audit team shall identify and report any nonconformity and its supporting audit evidence to the client. When nonconformities are identified, the audit team shall classify each nonconformity as either major or minor according to the definitions in section 10.0* *The audit team shall not recommend to the client specific solutions to address the identified nonconformities. In case of conformity, opportunities for improvement may be identified (see section 10.0).* *Major nonconformities (see section 10.0) may provide the basis for termination of any audit by the audit team leader in consultation with the client and the certification body. If the client agrees to terminate the audit, the audit team leader shall stop the audit immediately and an audit report shall be prepared and issued to the client (see section 5.10).* *a) if a stage 2 audit is terminated, the client shall start over with a stage 1 readiness review,* *b) if a surveillance audit is terminated, the certificate shall be suspended (see section 8.1 f) and a full repeat surveillance audit shall be conducted within ninety (90) calendar days of the closing meeting,* *c) if a recertification audit is terminated, the client shall have another recertification audit in accordance with section 5.1.1 If the timing is exceeded, the client shall start over with an initial certification audit (stage 1 readiness review and stage 2),* *d) if a transfer audit is terminated, the client shall start over with an initial certification audit (stage 1 readiness review and stage 2).*
5.10	**Writing audit report**		
5.11	**Nonconformity management**	**X**	*The client and the certification body have responsibility for managing the effective closure of nonconformities as detailed below.*
5.11.1	**Client responsibility**	**X**	*The certification body shall require the client to submit, within a maximum of sixty (60) calendar days from the closing meeting of the site audit, evidence of the following:…* *a) implemented correction,* *b) root cause including methodology used, analysis, and results,* *c) implemented systemic corrective actions to eliminate each nonconformity, including consideration of the impact to other similar processes and products,* *d) verification of effectiveness of implemented corrective actions.*

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5.11.2	**Certification body responsibility**	**X**	*The certification body shall review the submitted information and make a decision regarding acceptability within a maximum of ninety (90) calendar days from the closing meeting of the site audit.* *If found acceptable, the nonconformity shall be closed and certification body shall verify the effective implementation at the next audit.* *If found not acceptable, the certification body shall resolve the outstanding issues with the client within a maximum of ninety (90) calendar days from the closing meeting of the audit. If resolution cannot be completed, the final audit result shall be considered failed... The certification decision shall be negative and the client shall start over with an initial certification audit (stage 1 readiness review and stage 2). The current valid certificate shall be immediately withdrawn.* *The certification body shall verify the effective implementation of the identified corrective actions at the next audit (see section 5.2). In cases where the accepted corrective action plan is found to be not effectively implemented, a new major nonconformity shall be issued against the corrective action process (see ISO/TS 16949, section 8.5.2) and the previous minor nonconformity reissued as a major nonconformity.*
5.11.3	**Onsite verification**	**X**	*A major nonconformity shall require onsite verification of the corrective action...and be completed within a maximum of ninety (90) calendar days from the closing meeting of the site audit.* *In cases where the accepted corrective action plan for a major nonconformity is found to be not effectively implemented, the audit result shall be considered failed, the IATF database shall be updated, and the certificate withdrawn (see section 8.4).* *In cases where the accepted corrective action plan for a minor nonconformity is found to be not effectively implemented, a new major nonconformity shall be issued against the corrective action process (see ISO/TS 16949, section 8.5.2) and the previous minor nonconformity reissued as a major nonconformity…*
5.12	**Certification decision**		
5.13	**Certification and certificate issuance**	**X**	The content of the certificate shall… *A postal box (i.e. P.O.) as the address is not permitted…* *Client logos are not permitted on the certificate…*
5.14	**Letter of conformance**		

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5.14.1	**Letter of conformance decision**	**X**	*The certification body may issue a letter of conformance after:* *a) the client is able to supply the information required for the stage 1 readiness review (see section 6.5), including internal and external performance data and one full cycle of internal audits and management review but not twelve (12) months of internal audits and performance data,* *b) the relevant site has completed an initial audit (stage 1 readiness review and stage 2) with no open nonconformity, and* *c) approval by the veto power.*
5.14.2	**Letter of conformance content**		
5.14.3	**Reapplying for a letter of conformance**	**X**	*…the client may reapply for another letter of conformance…*
5.14.4	**Eligible for certification**	**X**	*Once the client has twelve (12) months performance data for the new site or if the client on an active bid list receives a contract from the customer requiring ISO/TS 16949 certification, the certification process shall proceed by the same certification body with an initial audit (stage 1 readiness review and stage 2)*
6.0	**Audits**		
6.1	**Application for ISO/TS 16949 certification**	**X**	*The certification body shall require an authorized representative of the applicant client to provide the necessary information to enable the certification body to establish a complete quotation based on the following:* *the desired scope of the certification…*
6.2	**Application review**		
6.3	**Pre-audit**	**X**	*The certification body may conduct at the request of the client a "pre-audit or pre-assessment"…*
6.4	**Initial audit**		
6.5	**Stage 1 readiness review activities**		

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6.5.1	**Stage 1 planning**	**X**	*The certification body shall require the client to provide the necessary documentation for review, including the following:* *a) description of remote location and support they provide or receive as part of the ISO/TS 16949 4.2.2.c,* *b) description of processes showing the sequence and interactions, including the identification of remote supporting functions and outsourced processes,* *c) key indicators and performance trends for the previous twelve (12) months, minimum,* *d) evidence that all the requirements of ISO/TS 16949 are addressed by the client's processes,* *e) quality manual, including the interactions with support functions on site or remote,* *f) evidence of one full cycle of internal audits to ISO/TS 16949 followed by a management review,* *g) list of qualified internal auditors and the criteria for qualification,* *h) list of automotive customers and their customer-specific requirements, if applicable,* *i) customer complaint summary and responses, scorecards, and special status, if applicable.*

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6.5.2	**Stage 1 activities**	**X**	*The stage 1 shall be performed:* *a) to evaluate the client's management system documentation, including the relationship and linkages to any remote supporting functions and outsourced processes,* *b) to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the readiness for the stage 2 audit,* *c) to evaluate the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives, and operation of the management system,* *d) to collect necessary information regarding the scope of the management system, processes, and location(s) of the client as well as related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.),* *e) to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit,* *f) to provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects,* *g) to evaluate whether the internal audits and management review are being planned and performed and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit,* *h) to verify that both client and design subcontractors have appropriate capability to meet ISO/TS 16949 clause 7.3 requirements in totality, including interfaces between client and subcontractors.*
6.5.3	**Stage 1 decision**	**X**	*If the audit team determines the client "not ready" to proceed to a stage 2 audit, the client shall have another stage 1 readiness review.*
6.6	**Stage 2 audit**		
6.6.1	**Stage 2 audit activities**	**X**	*The purpose of the stage 2 audit is a process based evaluation of the implementation, including effectiveness, of the client's management system.*
6.6.2	**Information for granting initial certification**		

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6.7 **6.7.1**	**Surveillance audit** **Surveillance activities**	**X**	*Surveillance activities shall include onsite audits assessing the certified client's management system's fulfillment of specified requirements, but not necessarily a full systems audit.* *When a nonconformity is identified by the certification body, then the decertification process shall be initiated on the last audit day (see section 8.1.c). For a major nonconformity, the certification body shall require the client to identify the root cause and implement correction within twenty (20) calendar days from the closing meeting date of the audit (see sections 8.2 and 8.3).*
6.8 **6.8.1**	**Recertification** **Recertification activities**	**X**	*The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole and its continued relevance and applicability for the scope of certification.* *When a nonconformity is identified by the certification body, then the decertification process shall be initiated on the last audit day (see section 8.1.c).* *For a major nonconformity, the certification body shall require the client to identify the root cause and implement correction within twenty (20) calendar days from the closing meeting date of the audit (see sections 8.2 and 8.3)….*
6.8.2	**Information for granting recertification**		
7.0	**Other audit types**		
7.1	**Transfer audit**		
7.1.1	**Activities prior to the start of the transfer audit**	**X**	*Prior to the start of the transfer audit, the following conditions shall be met:* *e) the client cannot have their current ISO/TS 16949 certification in suspension status,…* *g) the client shall provide the new certification body with the audit reports from the previous three (3) years,…*
7.1.2	**Activities following completion of the transfer audit**		
7.2	**Special audits**	**X**	*It may become necessary for the certification body to conduct audits of certified clients to investigate performance complaints (see section 8.1 a/b) in response to changes to the client's quality management system (see section 3.2), significant changes at the client's site,…*
8.0	**Certificate decertification process**		

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8.1	**Initiation of the decertification process**	**X**	*The start date of the decertification process shall be the date of any of the following:* *a) …* *b) the client advises the certification body of a special status condition from an IATF subscribing OEM. Notification from the client to the certification body shall occur within ten (10) calendar days from receipt of the special status condition or otherwise specified by the customer…* *c) the closing meeting date of a surveillance or recertification audit containing nonconformities,* *d) the client voluntarily requests suspension due to significant changes of ownership or interruption of the manufacturing of product meeting the applicability for certification,* *e) the surveillance audit is not conducted within the allowable intervals and timing,* *f) the surveillance audit is terminated,* *g) failure to supply the required information to the certification body to undertake effective audit planning .*
8.2	**Analysis of situation**		
8.3	**Certificate suspension decision**	**X**	*…If the initiation of the certification decertification process is related to 8.1.c (a major nonconformity) or 8.1.e (surveillance audit not conducted on time), the certificate decision shall be to suspend the client certificate.* *…The decision to suspend the certificate shall be communicated to the relevant IATF Oversight office and certified client within ten (10) calendar days of the decision and the IATF database shall be updated.*
8.4	**Verification**	**X**	*The certification body shall verify the effective implementation of the identified corrective actions from the certified client within a maximum of ninety (90) calendar days from the start of the decertification process.* *In situations where the corrective actions are not effectively implemented, the audit team shall recommend withdrawal of the certificate.*
8.5	**Reinstatement/withdrawal decision**	**X**	*…The decision shall be communicated to the relevant IATF Oversight office and certified client within ten (10) calendar days of the decision.*
8.6	**Certificate reinstatement**	**X**	*When the decision is taken by the certification body to reinstate the certificate, the certification body shall:* a) *notify their certified client, and…*
8.7	**Certificate withdrawal**	**X**	*When the decision is taken by the certification body to withdraw the certificate, the certification body shall:* a) *notify their certified client,*

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8.8	**The overall decertification process**	**X**	***See diagram***
9.0	**Record required of the certification body**		
9.1	**Certification records**		
9.2	**Personnel records**		
10.0	**Terms and definitions**		
	Aftermarket parts	**X**	*Replacement parts not procured or released by OEM for service part applications which may or may not be produced to original equipment specifications.*
	Audit program		
	Audit team		
	CPD subject matter categories		
	Cancellation of a certificate	**X**	*An action to nullify a certificate when the certified company …*
	Certificate scope	**X**	*The scope statement displayed on the ISO/TS 16949 certificate …*
	Certificate withdrawal	**X**	*The definitive interruption of the validity of the certificate as a sanction from the certification body following a client's noncompliance with the certification contract.*
	Certification activities		
	Client	**X**	*The entire entity (including all related manufacturing sites and remote supporting locations) applying for ISO/TS 16949 certification.*
	Consulting	**X**	*The provision of training, documentation development, or assistance with implementation of management systems to a specific client.*
	Correction	**X**	*Action to eliminate a detected nonconformity.*
	Corrective action	**X**	*Action to eliminate the systemic cause of the detected nonconformity.*
	Customer-specified production parts	**X**	*Parts that are an integral part of a vehicle.*
	Fabless manufacturing	**X**	*The design and distribution of production parts while the fabrication or "fab" of the production parts is outsourced to a specialized manufacturer…*
	Granting of a certificate	**X**	*A certificate is issued by a certification body, with a defined period of validity and with a defined scope of certification.*

	Installation	**X**	*The fitting of a component or accessory, designed and manufactured to OEM specifications, by the OEM dealer network prior to delivery to the customer.*
	Maintaining a certificate	**X**	*A certificate's validity is subject to the ongoing surveillance audits, re-certification audits, and other conditions defined in the contract with the certification body.*
	Major nonconformity	**X**	*One or more of the following:* • *The absence of or total breakdown of a system to meet an ISO/TS 16949 requirement…*
	Manufacturing	**X**	*The process of making or fabricating production materials, production of service parts, assemblies, or heat treating, welding, painting, plating, or other finishing services of automotive-related parts*
	Minor nonconformity	**X**	*A failure to comply with ISO/TS 16949 that, based on judgment and experience is not likely to result in the failure of the quality management system or reduce its ability to ensure controlled processes or products…*
	Opportunity for improvement	**X**	*An opportunity for improvement is a situation where the evidence presented indicates a requirement has been effectively implemented,...*
	Permanent employees		
	Scope of audit	**X**	*The determination of the physical location(s), organizational unit(s), activities, and processes as well as the time required to audit the client´s quality management system.*
	Service parts	**X**	*Replacement parts manufactured to OEM specifications which are procured or released by the OEM for service part applications including remanufactured parts.*
	Supporting function	**X**	*A facility on site or remote at which non-production processes occur and that supports one or more manufacturing site(s) of the same client.*
	Technical expert	**X**	*Person who provides specific knowledge or expertise to the auditors of the audit team.*