



IATF Oversight Certification Body Communiqué

Communiqué # 2010-008

DATE: July 2010

	Yes	No
Confidential		X
Mandatory content	X	

SUBJECT: Rules 3rd Edition Sanctioned Interpretations (SIs) & Frequently Asked Questions (FAQs)

The purpose of this communiqué is to advise IATF certification bodies of the release of Rules 3rd Edition SI number, a revised SI 9 and a new SI 12. The changes are effective immediately.

The Rules for achieving IATF Recognition – Sanctioned Interpretations (SIs) and Frequently Asked Questions (FAQs) adobe files are attached. The document can also be located on the IATF Global Oversight website www.iatfglobaloversight.org



Rules for Achieving IATF Recognition 3rd Edition Sanctioned Interpretations

The *Rules for Achieving IATF Recognition, 3rd Edition*, was published in 2008. The following Sanctioned Interpretations were determined and approved by the IATF. Unless otherwise indicated, Sanctioned Interpretations are applicable upon publication.

Revised text is shown in **blue**.

A Sanctioned Interpretation changes the interpretation of a rule or a requirement which itself then becomes the basis for a nonconformity.

SI 1 issued February 2009, SI 2 issued May 2009, correction to SI 2 issued June 2009, SI 3 & SI 4 issued October 2009, SI 1 revised & SI 5 December 2009, SI 6, SI 7, SI 8 & SI 9 issued February 2010, SI 10 & 11 issued April 2010 and Revised SI 9 & New SI 12 July 2010

Number	Rules reference	Sanctioned Interpretation
1.	Certification agreement with the client 3.1	New additional requirement “ <i>Consultants to the organization cannot participate in the audit</i> ” this was previously the Rules 2 nd edition 4.1 requirements. By cannot participate in the audit shall be understood as cannot attend the audit.
2.	Transfer Audit 7.0	New requirement The new certification body shall complete all transfer activities (including a – g above) and a transfer audit prior to the next scheduled surveillance audit with the previous certification body or the next scheduled recertification audit with the previous CB. When, during a transfer audit, instances of nonconformity are identified, the certification body shall follow the relevant requirements in the nonconformity management (see section 5.11).

Number	Rules reference	Sanctioned Interpretation
		<p>The certification decision shall be made based upon the relevant requirements in section 5.13 and the certification decision shall be made within a maximum of 120 calendar days from the last day of the transfer audit and prior to the expiration date of the existing valid certificate.</p> <p>This was previously The new certification body shall complete all transfer activities (including a – g above) and a transfer audit including closure of any nonconformities and a certification decision prior to the next scheduled surveillance audit with the previous certification body or the expiration of the existing valid certificate.</p>
3.	Various pages	All references to ISO/TS 16949:2002 are superseded by ISO/TS 16949:2009, released on 15 June 2009.
4.	Audit Days Determination 5.2 m)	the total number of surveillance audit days in the first, second and third year (dependent on the agreed interval see table 5.1) of any three year audit cycle shall be equal to the number of initial audit days in the calculation illustrated in table 5.2 and shall be of equal duration. There shall be at least one surveillance audit per year,
5.	Maintaining Certification 4.5	<p>Change of requirement from</p> <p>The auditor shall be responsible to conduct a minimum of one (1) ISO/TS 16949:2002 audit per three month period within a minimum total of ten (10) audit days within any twelve (12) month period from the date of qualification.</p> <p>To</p> <p>Within each full calendar year, the auditor shall be responsible to conduct</p> <p>a) a minimum of one (1) ISO/TS 16949 audit per quarter</p> <p>b) a minimum total of ten (10) audit days per year</p>

Number	Rules reference	Sanctioned Interpretation
6.	IATF Contractual requirements 2.2	<p>New paragraph beneath 2.2 f)</p> <p>The certification body shall cooperate with the relevant IATF Oversight office in performing activities in support of the IATF Certification Scheme.</p>
7.	IATF ongoing recognition requirements 2.3	<p>Current – Rules 2.3 (3rd paragraph)</p> <p>Witness audits are conducted, at a site, witnessing an audit team from a certification body during an ISO/TS 16949:2002 audit to verify the certification body’s conformance with all requirements of ISO/TS 16949:2002, including the “Rules”, Rules Sanctioned Interpretations (SI), Rules Frequently Asked Questions (FAQ’s), CB Communiqué, any ISO/TS 16949:2002 sanctioned interpretations subsequently issued.</p> <p>Change to;</p> <p>Witness audits are conducted, at a site, witnessing an audit team from a certification body during an ISO/TS 16949:2002 audit to verify the certification body’s conformance with all requirements of ISO/TS 16949:2002, including the “Rules”, Rules Sanctioned Interpretations (SIs), Rules Frequently Asked Questions (FAQs), CB Communiqués, ISO/TS 16949:2002 sanctioned interpretations, the certification body’s key processes and operating procedures (see Rules 2.5).</p> <p>Current – Rules 2.3 (5th paragraph)</p> <p>Office assessments shall review the certification body’s conformance with the “Rules”, Rules Sanctioned Interpretations (SI), Rules Frequently Asked Questions (FAQ’s), and CB Communiqué, subsequently issued.</p> <p>Change to;</p> <p>Office assessments shall review the certification body’s conformance with the “Rules”, Rules Sanctioned Interpretations (SIs), Rules Frequently Asked Questions (FAQs) and CB Communiqués,</p>

Number	Rules reference	Sanctioned Interpretation
		the certification body's key processes and operating procedures (see Rules 2.5).
8.	IATF certification body recognition requirements 2.1	A certification body shall be able to demonstrate that it has evaluated the risks arising from its certification activities and that it has adequate arrangements (e.g. insurance or financial reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates. A certification body shall be compliant with the regulations of each country in which it operates.
9.	Nonconformity management 5.11 & Surveillance Audit 6.8	All references to ninety (90) days shall be understood to mean ninety (90) calendar days
10.	Audit Team 5.6	The audit team shall be composed of IATF qualified auditors (and technical experts, as necessary) with a valid certificate to conduct audits in the name of the certification body as recorded in the IATF database. The auditors, between them, shall have relevant sector specific experience for all commodity codes which apply to the scope of certification at the site.
11.	Transfer Audit 7.0	Change of requirement from The new certification body shall conduct the transfer audit, which is equivalent in audit days to a recertification audit (see table 5.2). To A transfer audit is the equivalent of a recertification audit. The audit days of the transfer audit are equivalent to a recertification audit (see table 5.2). The audit planning and conduct of the transfer audit shall comply with all requirements defined in section 6.9.

Number	Rules reference	Sanctioned Interpretation
12.	Establishing the audit team 5.6	<p>Change of requirement from</p> <p>The certification body shall appoint at least one auditor from the initial audit team to participate in all surveillance audits of the three (3) year audit cycle. For each subsequent recertification and surveillance audit cycle different auditors shall be used. The certification body shall request prior approval from the relevant IATF Oversight Office if these requirements cannot be met.</p> <p>To</p> <p>The certification body shall appoint at least one auditor from the initial audit team to participate in all surveillance audits of the three (3) year audit cycle. For each subsequent recertification and surveillance audit cycle different auditors shall be used. The certification body shall request prior approval from the relevant IATF Oversight Office if these requirements cannot be met.</p> <p>The certification body may appoint one auditor from the current audit cycle to participate as a member of the audit team at the subsequent recertification audit to ensure an effective transition to a new audit team.</p>