



IATF Oversight Certification Body Communiqué

Communiqué # 2010-005

DATE: April 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 numbers 10 & 11 and FAQ numbers 9, 10 & 11. 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 and New SI 5 December 2009, SI 6, SI 7, SI 8 & SI 9 issued February 2010 and **New SI 10 & 11 issued April 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	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.



Rules for Achieving IATF Recognition 3rd Edition FAQ's

The *Rules for Achieving IATF Recognition, 3rd Edition* was published in 2008. In response to questions from IATF recognized certification bodies, the following FAQ's were determined and approved by the IATF.

A FAQ is an explanation of an existing rule or requirement.

Revised text is shown in **blue**.

FAQs 1 – 4 were issued January, 2009, FAQ 5-7 issued May 2009, FAQ 8 October 2009 and FAQ 9 – 11 issued April 2010

Number	Rules reference	Question	Answer
1.	Certificate Content Requirements 5.13.m	Is it possible to conduct one audit for ISO/TS16949:2002 and other management system standards?	Previously Rules 2nd FAQ#26 regarding section 5 certification content requirements. If an IATF contracted certification body conducts one audit to satisfy management system standards in addition to ISO/TS16949:2002 the IATF Rules for Achieving IATF Recognition for ISO/TS16949:2002 shall be observed.
2.	Conducting On site Audit Activities 5.8	Where an organization and a supplier have common ownership, how is the supplier treated in the organization's audit?	Previously Rules 2nd FAQ#6 Where the supplier is at the same physical location as the organization, the supplier shall be audited as part of the organization see Rules 3rd edition 1.0. Where the supplier is at a different physical location to the organization, the supplier shall be addressed within the organization's QMS as a supplier (re: ISO/TS 16949:2002 – 7.4). "Supplier" in clause 7.4.1.2 of ISO/TS 16949:2002 refers to sites where production and/or service parts specified by the customer are

Number	Rules reference	Question	Answer
			<p>manufactured. See also the definition of “manufacturing”, 3.1.6 of ISO/TS 16949:2002.</p>
3.	<p>Audit planning all audits 5.7</p>	<p>When a client does not provide all the required information prior to the audit (Surveillance and Recertification) how should the certification body proceed?</p>	<p><i>The text of 5.7 has been revised February, 2009. The new text is below, and the changes are highlighted in blue.</i></p> <p>The certification body shall ensure that an audit plan is established for each audit (initial, surveillance, recertification and special) to provide the basis for agreement regarding the conduct and scheduling of the audit activities.</p> <p>The audit planning activity shall be undertaken prior to arrival on site and shall include as inputs to the plan a review of the following information supplied by the client:</p> <ul style="list-style-type: none"> a) all requirements of the client's quality management system implemented to meet the automotive requirements of those customers requiring ISO/TS 16949:2002 certification of their suppliers, even when these requirements go beyond ISO/TS 16949:2002 (i.e. customer specific requirements), b) the client processes taking into account their sequence and interactions, including remote support functions, c) current customer and internal performance data, internal audit and management review results, and the same information pertinent to any new customers since the previous audit, d) customer satisfaction and complaint summary, including verification of customer reports, scorecards and special status, e) follow up on issues from previous audits. <p>The certification body shall undertake an analysis of the information provided and based on actual or potential risk to the customer, product and processes in order to develop an audit plan demonstrating the prioritization of audit activities.</p> <p>In creating the audit plan consideration shall be given to timing of activities over consecutive days to give a sequence, which avoids unnecessary duplication of visits to one process.</p>

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			<p>Note: Guidance on audit planning can be found in ISO 19011:2002 and the IATF Auditor Guide for ISO/TS 16949.</p> <p>Following the audit planning activity the audit plan shall be communicated and the dates of the audit shall be agreed upon in advance with the client.</p> <p>In situations (surveillance and recertification audits) where all the information required is not provided by the client prior to the audit the on site audit shall commence with the planning of the audit through the review of all the required information with the management team. In these situations additional audit time should be added to the audit to enable the planning of the audit on site.</p> <p>Certification bodies' internal processes shall demonstrate the steps taken to obtain and review the data as part of their audit planning process prior to the audit.</p>
4.	Maintaining Auditor Certification 4.5	What methodology will IATF / Oversight use to judge the validity of continuing personal development hours?	<p>IATF / Oversight will accept Continuing Personal Development acquired in different ways ranging from informal self study to formal face to face class room training for both related subject matter (other management system) and directly related subject matter (automotive sector) see definitions in Rules 3rd 10.0. Based upon the following weighting system,</p> <ul style="list-style-type: none"> • Unstructured: 3 hours accepted as one CPD hour Including: open and distance learning which is not assessed and does not lead to a qualification, e.g. reading of professional and technical books or other publications and on the job training. • Semi-structured: 2 hours accepted as one CPD hour Including: open and distance learning which involves formal assessment and that result in the acquisition of a qualification e.g. IATF training modules within the auditor development process. The preparation and delivery of lectures and or training courses.

Number	Rules reference	Question	Answer
			<ul style="list-style-type: none"> • Structured: each hour is accepted as one CPD hour Including: open face to face training courses which result in the acquisition of a qualification. Active participation at professional body meetings and the participation in the development of standards. <p>The IATF restriction with regards unstructured CPD is that it cannot constitute more than 30% of the annual acceptable hours.</p> <p>Auditor CPD within the ADP System</p> <p>The training modules within the ADP shall be considered Semi-structured hours.</p> <ul style="list-style-type: none"> • ISO/TS16949: 4 hours completion = 2 hours CPD • NC Management: 4 hours completion = 2 hours CPD • Process Approach: 6 hours completion = 3 hours CPD • Auditing Core Tools & CSR's: 6 hours completion = 3 hours CPD
5.	Eligibility for certification to ISO/TS 16949: 2002 1.0	Is it allowed within the Rules 3 rd edition to issue a certificate to an OEM site which produces complete vehicles?	<p>Yes, it's allowed.</p> <p>For OEM vehicle assembly, "contract review" and the "contract" are represented by the internally documented marketing requirements for vehicle brand, mix and volumes.</p>
6.	Overall Decertification Process - 8.8	What is the definition of a special audit within the decertification process?	<p>A special audit is an on-site audit of a certified client to investigate a complaint, in response to changes at the client's site or to verify corrective actions for suspended client's ISO/TS 16949 certificate.</p> <p>For clarification, an onsite visit (audit to verify corrective actions as part of the nonconformity management process (see 5.11), often called a "follow-up audit"), is part of the initial, surveillance or recertification audit process and is not considered a special audit.</p>

Number	Rules reference	Question	Answer
			Pre-audit (see 6.3) and initial audit Stage 1-Readiness review (see 6.4) are not to be considered as special audits too.
7.	Overall Decertification Process 8.8 & Verification 8.4	Should special audits be entered in the IATF database?	<p>Yes. If a client's ISO/TS 16949 certificate is <u>suspended</u> due to :</p> <ol style="list-style-type: none"> 1. one of the following conditions: <ul style="list-style-type: none"> • 8.1 a) performance complaint against the client, or • 8.1 b) special status condition from an IATF subscribing customer, or • 8.1 c) surveillance audit containing nonconformities. 2. <u>and</u> a special audit is conducted on-site to verify the effective implementation of the corrective actions, the certification body shall enter this audit as special audit type in the IATF database within 120 calendar days from the start of the decertification process. <p>In the case where the certification body conducts the verification of corrective actions <u>offsite</u>, a special audit shall <u>not</u> be entered in the IATF database.</p>
8.	Maintaining Auditor Certification 4.5	Does the minimum CPD requirement of 20 hours apply to all auditors or only those auditors once they achieve "Green Status" in the ADP?	<p>Yes</p> <p>The minimum requirement for the auditor undertaking 20 hours continuing personal development per year which shall be a combination of directly related subject matter and related subject matter applies to all auditors.</p> <p>Therefore both the face to face training for new auditor qualification and the training modules within the ADP can be used to count towards the minimum hours based on the definitions in FAQ 4 above.</p>
9.	Certification decision 5.12	What happens if a certification decision is not made within the 120 day requirement?	If the certificate expires in less than 120 days from the last day of the recertification audit, then the certification decision shall be made prior to the expiration of the certificate (i.e., in less than 120 days).

Number	Rules reference	Question	Answer
		<p>What should be done to if a certificate was issued to the client?</p>	<p>If the certification decision is not made on time, the audit results in the IATF database is changed to “failed”. The client starts over with a new initial certification audit.</p> <p>If a certificate was issued improperly from a certification decision made after 120 days, the certificate needs to be withdrawn.</p>
10.	Transfer audit 7.0.a	What is the starting point for the previous three year period?	There must be a minimum of three years (-3 months), or 2 years 9 months minimum, between two transfer audits.
11.	Writing audit report 5.10	May a single audit report be issued for audits of multiple sites in a corporate audit scheme?	No. Each audit is understood to mean each site audit. In a corporate audit scheme, each site is considered as a separate site and therefore should receive its own audit report.