



# IATF - International Automotive Task Force

## Rules for achieving and maintaining IATF Recognition

### IATF Rules 5<sup>th</sup> Edition – **Sanctioned Interpretations**

The *Rules for achieving and maintaining IATF Recognition 5<sup>th</sup> Edition for IATF 16949* (“**Rules 5<sup>th</sup> Edition**”) was published in November 2016 and is effective 1 January 2017. 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 in June 2017, effective 1 July 2017.

SI 2 to 5 issued in October 2017, effective 1 October 2017.

SI 6-7 issued in November 2018, effective 12 November 2018.

**SI 8 issued in October 2019, effective 1 November 2019.**

**SI 1 revised and reissued in October 2019, effective 1 January 2020.**



NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION
<p style="text-align: center;"><b>1</b> <b>Revised</b></p>	<p style="text-align: center;"><b>Application process and criteria for IATF 16949 auditors 4.2</b></p>	<p>The certification body shall have a process for selecting new auditor candidates for admission into the IATF auditor qualification process. The contracted office of the sponsoring certification body shall submit for each candidate a completed application form and relevant supporting information to the relevant IATF Oversight office for approval and access to the IATF auditor qualification process.</p> <p>The auditor candidate shall meet the following selection criteria:</p> <ul style="list-style-type: none"> <li>a) is qualified according to ISO/IEC 17021 and the relevant accreditation body rule to perform ISO 9001 audits;</li> <li>b) has conducted at least six (6) ISO 9001 third-party audits in manufacturing industries, with at least three (3) as audit team leader;</li> </ul> <p>Note: Automotive manufacturing first- or second-party system auditing experience may be considered.</p> <ul style="list-style-type: none"> <li>c) has knowledge of automotive core tools; and</li> <li>d) has four (4) years full time appropriate practical experience (including two (2) years dedicated to Quality Assurance and/or Quality Management activities) <b>in within</b> the past <b>fifteen (15) <del>ten (10)</del></b> years in an <b>automotive manufacturing</b> organization. <b>Meeting the applicability of IATF 16949 (see section 1.0).</b><sup>1</sup></li> </ul> <p>NOTE: Experience in industries with similar scopes of applicability (<b>e.g., Aerospace, Telecommunications, Rail, Industrial Off-Road equipment, etc.</b>) in chemical, electrical, or metallic commodities may be considered.<sup>1</sup></p> <ul style="list-style-type: none"> <li>e) <b>shall observe a minimum of one (1) complete IATF 16949 third-party audit (excluding special audits) with a minimum duration of two (2) days before attending the New Auditor Training and Evaluation process</b><sup>2</sup></li> </ul> <p><b>Rationale for change:</b></p> <p><sup>1</sup><i>Allow for additional automotive auditor capacity to support the IATF 16949:2016 transition. (Issued June 2017)</i></p> <p><sup>2</sup><i>Increase the auditor’s knowledge and experience of the IATF scheme prior to attending the New Auditor Training and Evaluation process. (Modified October 2019)</i></p>



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2	<p style="text-align: center;"><b>Special audits 7.2</b></p>	<p>It may become necessary for the certification body to conduct special audits of certified clients:</p> <ul style="list-style-type: none"> <li>- to investigate performance complaints (see section 8.1 a) and 8.1 b);</li> <li>- in response to changes to the client’s quality management system (see section 3.2);</li> <li>- significant changes at the client’s site;</li> <li>- as a result of a suspended certificate (see section 8.3);</li> <li>- to verify the effective implementation of identified corrective actions for major nonconformities (see section 5.11.4);</li> <li>- to verify the effective implementation of identified corrective actions for nonconformities considered open but 100% resolved (see section 5.11.3 c);</li> <li>- <b>to verify the implemented corrective actions are showing improvement in the achievement of the customer performance indicator(s);</b></li> <li>- as a result of a withdrawn certificate (see section 8.7).</li> </ul> <p><b>Rationale for change:</b></p> <p><i>The IATF has seen situations where a certification body issues a major nonconformance to a client for not achieving their customer’s performance indicators (i.e. delivery and/or quality) or due to an IATF OEM special status condition. The certification body suspends the client’s IATF 16949 certificate and conducts an onsite special audit. During the onsite special audit, the certification body can verify effective implementation of the identified corrective actions, but not enough time has passed to see the actions have led to the achievement/improvement of the customers performance indicator(s). This new requirement gives the certification body flexibility to revisit the client’s site within a reasonable timeframe after the first special audit to verify sustainable improvement in the customer reports/scorecards.</i></p>



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3	Initial qualification process 4.3.1	<p>Once granted access to the IATF auditor qualification process, the new auditor candidate shall demonstrate technical competence through successful completion of the IATF mandatory face-to-face initial qualification process. Upon successful completion of the initial qualification process, <del>the auditor will be issued an IATF certification body auditor identification card, and</del> the sponsoring certification body will be issued a certificate that shall have a two (2) year validity period to formally allow the auditor to conduct audits for the certification body.</p> <p><del>The certification body shall ensure that the auditor enters the online IATF auditor development process within sixty (60) days of the initial qualification.</del></p> <p><b>Rationale for change:</b></p> <p><i>The issuance of the auditor certificate demonstrates qualification rendering the auditor card redundant. Auditor candidates are now required to enter the IATF ADP prior to the initial face to face qualification instead of entering within sixty (60) days after initial qualification.</i></p>
4	Requalification process 4.3.2	<p>The certification body shall ensure that the auditor completes the initial knowledge and application assessments in the online IATF auditor development process within two (2) years of the initial qualification.</p> <p>Upon successful completion of the requalification process, <del>the auditor will be issued a new IATF certification body auditor identification card, and</del> the sponsoring certification body will be issued a certificate to formally allow the auditor to continue to conduct audits for the certification body.</p> <p><b>Rationale for change:</b></p> <p><i>The issuance of the auditor certificate demonstrates qualification rendering the auditor card redundant.</i></p>



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5	Supporting activities 5.5	<p>The certification body shall enter the information about each audited support function (i.e. audited location name, audit dates, auditor name(s) and audit days for each auditor) in the comment field under a manufacturing site’s audit. If a remote support function supports more than one manufacturing site, the certification body shall enter the audit information under a single manufacturing site. The information shall be in the specified format, in English.</p> <p><b>Rationale for change:</b></p> <p><i>To clarify the process for entering the audits of remote support locations into the IATF database to ensure consistency between certification bodies and to streamline the current process observed.</i></p>
6	Maintaining auditor certification 4.5	<p>Each certification body shall have a process for the continuing approval and rejection of each sponsored auditor, which shall include the following provisions:</p> <p>a) monitoring and control of the IATF auditor development process, including assessment results and development progress;</p> <p>b) ongoing monitoring and measurement of the performance and continuing development, which shall include:</p> <ul style="list-style-type: none"> <li>- <b>timeliness of final audit report submission (see section 5.10);</b></li> <li>- <b>timeliness of final audit report submission which includes the decision regarding the acceptability of client nonconformities (see section 5.11.3);</b></li> <li>- <b>results of certification decision (see section 5.12);</b></li> <li>- <b>results</b> of IATF witness audits;</li> <li>- <b>individual</b> nonconformity analysis;</li> </ul>

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		<ul style="list-style-type: none"> <li>- <b>results of</b> certification body internal witness audits;</li> <li>- <b>results of</b> post-audit surveys;</li> <li>- feedback from clients and their customers</li> </ul> <p>c) completion of the minimum number of audits and audit day requirements (see section 4.5.1);</p> <p>d) completion and approval of the minimum CPD (continuing personal development) hours (see section 4.5.2);</p> <p>e) records (a) – (d) above for all sponsored auditors shall be maintained at the contracted office.</p> <p><b>If an acceptable level of performance is not achieved or maintained, the certification body shall define what actions shall be implemented to improve the auditor’s performance.</b></p> <p><b>The certification body shall notify the relevant Oversight office if fraudulent activity is discovered related to a sponsored auditor.</b></p> <p><b>The IATF can issue a warning to, suspend, or permanently withdraw the credentials of an IATF 16949 auditor due to performance. In such cases, the certification body shall immediately limit, or cease, the use of the IATF 16949 auditor. While in suspension, an IATF 16949 auditor shall not perform any IATF 16949 audits. If the IATF 16949 auditor’s credentials are withdrawn, the auditor shall be turned inactive by both the relevant Oversight office and the certification body.</b></p> <p><b><i>Rationale for change:</i></b></p> <p><i>To improve the criteria certification bodies shall use to monitor and measure the performance of their auditors and to require their process to define an acceptable level of performance for IATF 16949 auditors. Also, to explain the IATF can impose sanctions against any IATF 16949 qualified auditor based on their performance or if fraudulent activity is discovered.</i></p>



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7	<p align="center"><b>Eligibility for Certification to IATF 16949 1.0</b></p>	<p>“Customer-specified production parts” shall be understood as parts that are an integral part of a vehicle. The only customer-specified parts that do not meet this requirement but are to be included are the following: fire extinguisher, car jacks, <b>and</b> floor mats, owner’s manuals, <b>and</b> warning triangles and <b>reflective vest</b>.</p> <p><b>Rationale for change:</b></p> <p><i>Same as the warning triangles, most national regulation / standards require reflective vest for the vehicle.</i></p>
8	<p align="center"><b>Establishing an audit team 5.6</b></p>	<p>The certification body shall appoint at least one auditor from the stage 2 audit team to participate in each surveillance audit of the three (3) year audit cycle.</p> <p>Note: If a different audit team member is appointed for a surveillance audit, the CB does not need approval from the relevant Oversight office if the auditor rotation is due to circumstances, such as:</p> <ul style="list-style-type: none"> <li>- termination, resignation, or loss of CB sponsorship;</li> <li>- inactivation of the auditor in the ADP and IATF Database;</li> <li>- <b>conflict of interest with the client;</b></li> <li>- personal issues (such as medical situations, death, etc.);</li> <li>- force majeure.</li> </ul> <p><b>Rationale for change:</b></p> <p><i>If auditor rotation is required due to a conflict of interest between the CB auditor and the client, Oversight wants to be notified through the waiver approval process.</i></p>

