



IATF - International Automotive Task Force

Rules for achieving and maintaining IATF Recognition

IATF Rules 5th Edition – **Sanctioned Interpretations**

The *Rules for achieving and maintaining IATF Recognition 5th Edition for IATF 16949* (“**Rules 5th 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 2-5	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.
SI 9-10	issued in May 2020, effective 1 June 2020.
SI 2	revised and reissued in August 2020, revisions effective 1 January 2021.
SI 11-21	issued in August 2020, effective 1 January 2021.



SI 11 & 14 revised and reissued in December 2020, effective 1 January 2021.
SI 22-25 issued in December 2020, effective 1 January 2021.
SI 2 revised and reissued in February 2021, effective 1 March 2021
SI 26-28 Issued in February 2021, effective 30 June 2021



NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION
<p style="text-align: center;">1 Revised</p>	<p style="text-align: center;">Application process and criteria for IATF 16949 auditors 4.2</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"> a) is qualified according to ISO/IEC 17021 and the relevant accreditation body rule to perform ISO 9001 audits; b) has conducted at least six (6) ISO 9001 third-party audits in manufacturing industries, with at least three (3) as audit team leader; <p>Note: Automotive manufacturing first- or second-party system auditing experience may be considered.</p> <ul style="list-style-type: none"> c) has knowledge of automotive core tools; and d) has four (4) years full time appropriate practical experience (including two (2) years dedicated to Quality Assurance and/or Quality Management activities) in within the past fifteen (15) ten (10) years in an automotive manufacturing organization. Meeting the applicability of IATF 16949 (see section 1.0).¹ <p>NOTE: Experience in industries with similar scopes of applicability (e.g., Aerospace, Telecommunications, Rail, Industrial Off-Road equipment, etc.) in chemical, electrical, or metallic commodities may be considered.¹</p> <ul style="list-style-type: none"> e) 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 process² <p>Rationale for change:</p> <p>¹<i>Allow for additional automotive auditor capacity to support the IATF 16949:2016 transition. (Issued June 2017)</i></p> <p>²<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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<p style="text-align: center;">2 Revised</p>	<p style="text-align: center;">Special audits 7.2</p>	<p>It may become necessary for the certification body to conduct special audits of certified clients:</p> <ul style="list-style-type: none"> - to investigate performance complaints (see section 8.1 a) and 8.1 b); - in response to changes to the client’s quality management system (see section 3.2); - significant changes at the client’s site; - as a result of a suspended certificate (see section 8.3); - to verify the effective implementation of identified corrective actions for major nonconformities (see section 5.11.4); - to verify the effective implementation of identified corrective actions for nonconformities considered open accepted² open³ but 100% resolved (see section 5.11.3 c); - to verify the implemented corrective actions are showing improvement in the achievement of the customer performance indicator(s)¹; - as a result of a withdrawn certificate (see section 8.7). <p>Special audits shall not be terminated.</p> <p>The certification body shall issue a written report for each special audit (see section 5.10 and 5.11.4) including any identified nonconformity (see section 5.9).²</p> <p>A special audit and the reason for the special audit shall be entered into the IATF database within twenty (20) calendar days from the closing meeting of the audit. A special audit of a remote supporting function shall not be entered into the IATF database.</p> <p>The certification body shall make known to the client in advance the conditions under which these special audits are to be conducted.</p> <p><i>Rationale for change:</i></p> <p>¹<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</i></p>



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		<p><i>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> <small>(Issued October 2017)</small></p> <p>²<i>Aligned 100% resolved terminology with that used by CARA.</i></p> <p><i>Clarified that each special audit requires an audit report to be issued to the client and the special report is created using the IATF CARA (Common CB Audit Report Application) tool.</i></p> <p><i>Included last three paragraphs of section 7.2 that were missing from the original SI.</i> <small>(Issued August 2020)</small></p> <p>³<i>Administrative change to revert to the original terminology</i> <small>(Issued February 2021)</small></p>

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3	<p>Initial qualification process 4.3.1</p>	<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, the auditor will be issued an IATF certification body auditor identification card, and 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>The certification body shall ensure that the auditor enters the online IATF auditor development process within sixty (60) days of the initial qualification.</p> <p>Rationale for change:</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>



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4	<p align="center">Requalification process 4.3.2</p>	<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, the auditor will be issued a new IATF certification body auditor identification card, and 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>Rationale for change:</p> <p><i>The issuance of the auditor certificate demonstrates qualification rendering the auditor card redundant.</i></p>
5	<p align="center">Supporting activities 5.5</p>	<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>Rationale for change:</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>

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6	<p>Maintaining auditor certification 4.5</p>	<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> <ul style="list-style-type: none"> a) monitoring and control of the IATF auditor development process, including assessment results and development progress; b) ongoing monitoring and measurement of the performance and continuing development, which shall include: <ul style="list-style-type: none"> - timeliness of final audit report submission (see section 5.10); - timeliness of final audit report submission which includes the decision regarding the acceptability of client nonconformities (see section 5.11.3); - results of certification decision (see section 5.12); - results of IATF witness audits; - individual nonconformity analysis; - results of certification body internal witness audits; - results of post-audit surveys; - feedback from clients and their customers c) completion of the minimum number of audits and audit day requirements (see section 4.5.1); d) completion and approval of the minimum CPD (continuing personal development) hours (see section 4.5.2); e) records (a) – (d) above for all sponsored auditors shall be maintained at the contracted office. <p>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.</p> <p>The certification body shall notify the relevant Oversight office if fraudulent activity is discovered related to a sponsored auditor.</p> <p>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</p>



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		<p>the certification body.</p> <p>Rationale for change:</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>
<p>7</p>	<p>Eligibility for Certification to IATF 16949 1.0</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, and floor mats, owner’s manuals, and warning triangles and reflective vest.</p> <p>Rationale for change:</p> <p><i>Same as the warning triangles, most national regulation / standards require reflective vest for the vehicle.</i></p>
<p>8</p>	<p>Establishing an audit team 5.6</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"> - termination, resignation, or loss of CB sponsorship; - inactivation of the auditor in the ADP and IATF Database; - conflict of interest with the client; - personal issues (such as medical situations, death, etc.); - force majeure. <p>Rationale for change:</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>



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9	Foreword	<p>This document has been originated by the International Automotive Task Force (IATF), whose original members consist of the following eight (8) OEMs: BMW Group, FCA US LLC, Daimler AG, FCA Italy Spa, Ford Motor Company, General Motors, Groupe PSA Group, Groupe Renault, and Volkswagen AG, and the following five (5) national associations: ANFIA, AIAG, FIEV, SMMT, and VDA.</p> <p>In October 2019, IATF welcomed Jaguar Land Rover (JLR) Limited as a new OEM member of the IATF.</p> <p>All other paragraphs in the Foreword are unchanged by this SI.</p> <p>Rationale for change:</p> <p><i>Align the IATF OEM company names with the most current names, add JLR as a new member, and combine FCA into one company in line with the IATF website member list.</i></p>
10	Conducting onsite audit activities 5.8	<p>Each onsite audit (stage 2, surveillance, recertification, and transfer) shall include the assessing and evaluating of at least the following</p> <p>a)...j)</p> <p>k) information and evidence about the customer-specific requirements, including customer-specific quality management system requirements audited. The customer-specific requirements shall be sampled for effective implementation over the three (3) year audit cycle and specific records of the requirements audited shall be retained. Priority shall be given to customer-specific requirements issued by the IATF OEM members (BMW Group, FCA US LLC, Daimler AG, FCA Italy Spa, Ford Motor Company, General Motors, Jaguar Land Rover (JLR) Limited, Groupe PSA Group, Groupe Renault, and Volkswagen AG);</p> <p style="padding-left: 40px;">Note: These IATF OEM customer specifics could be published as IATF OEM specifics, contract terms, service level agreements, SQA procedures, etc.</p> <p>l)...r)</p> <p>All other paragraphs in section 5.8 remain unchanged by this SI.</p> <p>Rationale for change:</p> <p><i>Align the IATF OEM company names with the most current names. Incorporate JLR into this Rules requirement.</i></p>



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<p style="text-align: center;">11 Revised</p>	<p style="text-align: center;">Writing the audit report 5.10</p>	<p>The audit team shall use the IATF CARA (Common Audit Report Application) reporting tool when creating a draft and/or final audit report¹. All mandatory fields shall be completed.²</p> <p>The audit team shall analyze all information and audit evidence gathered during the audit and agree on the audit conclusion. The certification body shall issue a written audit report (draft or final) to the client at the closing meeting of each site or remote support location. The draft audit report shall include a description of all nonconformities, opportunities for improvement (see section 5.9), and the audit team recommendation to the certification body decision function. In situations where major nonconformities are issued, the audit team shall inform the client of the required next steps and timings of the certificate decertification process, as applicable.</p> <p>The certification body shall issue the final audit report within fifteen (15) calendar days of each audit with the link to the IATF CARA Nonconformity (NC) management application. The final audit report shall be acknowledged (e.g., with a handwritten signature, dated email, etc.) by the client management representative.</p> <p>The final audit report shall be based on relevant guidance provided in ISO 17021 and contain the following information:-</p> <ul style="list-style-type: none"> a) scope, products, and a list of all automotive customers whose requirements were audited during the audit cycle; b) total number of employees on site, including permanent, part time, contract, the average number of daily workers, and temporary employees. For a single site with an extended manufacturing site certificate structure, the total number of employees at each site shall be identified separately; c) list of all automotive customers and, if applicable, the latest date of their customer-specific requirements; d) list of IATF OEM supplier codes of the client manufacturing site; e) summary of the client's performance (i.e., product quality, delivery, and special status) to the IATF OEM customers and written information on actions implemented when performance has not been met; f) summary of audited processes (see table in Annex 1.1) and written information on the performance of each process audited (i.e., defined objectives, targets, and current



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		<p>performance), including a written description of interactions with supporting / supported processes at other site(s) and/or remote location(s) that were audited;</p> <p>g) summary of manufacturing processes audited (see table in Annex 1.2);</p> <p>h) nonconformities and opportunities for improvement as evidenced during the audit process;</p> <p>i) name of the audit team and any technical expert or translator used, where relevant;</p> <p>j) cross-references of nonconformities to both the relevant clause of IATF 16949 and the client's quality management system;</p> <p>k) if a remote support location is included as a part of this report, the report shall include their address, their functions, a list of the sites it supports, and a written description of the interactions that were audited;</p> <p>l) written summary regarding the validation of the conditions in Rules 5.2.h being met, as applicable;</p> <p>m) the audit team recommendation to the certification body decision function;</p> <p>n) a copy of the final audit plan (see section 5.7.2); and</p> <p>o) for a single site with an extended manufacturing site certification structure, the report shall include the complete address of all sites, including the identification of the main manufacturing site and the complete scope of the certification covering all sites. The report shall include the justification for the single site with extended site certification structure and validation of current conditions (see section 5.8 r).</p> <p>The final audit report for a remote support location shall also include a list of the sites it supports and a written description of the interactions that were audited.¹</p> <p>Rationale for change:</p> <p>¹The details of the report have been deleted since all the report content will be managed automatically with the release of the IATF Common Audit Report Application (CARA).</p> <p>²To ensure Certification Bodies understand there are mandatory content requirements in the</p>



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		<i>CARA audit report.</i>
12	Audit Findings 5.9	<p>The audit team shall record both conformity and, when detected, nonconformity with audit criteria to support the certification decision process (see section 5.12).</p> <p>The audit team shall identify and report any nonconformity and its supporting audit evidence to the client using the IATF Nonconformity (NC) Management form inside the CARA (Common Audit Report Application) tool. When nonconformities are identified, the audit team shall classify each nonconformity as either major or minor according to the definitions in section 10.0. Identified nonconformities shall not be reported as opportunities for improvement and shall not be closed during the audit.</p> <p>A nonconformity shall be documented in three four distinct parts:</p> <ol style="list-style-type: none"> 1. a statement of nonconformity; 2. the requirement, or specific reference to the requirement; 3. the objective evidence that supports the statement of nonconformity; and justifies the nonconformity classification 4. justification for the nonconformity classification. <p>Note: A nonconformity may cover more than one “shall” requirement within the same IATF 16949 clause.</p> <p>The audit team shall not recommend to the client specific solutions to address the identified nonconformities. In case of conformity, it is at the discretion of the certification body to allow the audit team to identify any positive aspect or any opportunities for improvement may be identified (see section 10.0).</p> <p>Rationale for change:</p> <p><i>Updated to align with the release of the IATF CARA (Common CB Audit Report Application) tool. Note modified because CARA does not allow more than one IATF clause to be selected for each NC.</i></p>



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13	<p>Nonconformity management 5.11,</p> <p>Client responsibility for a major nonconformity 5.11.1, and</p> <p>Client responsibility for a minor nonconformity 5.11.2</p>	<p>5.11 Nonconformity management</p> <p>The client and the certification body have responsibility for managing the effective closure of nonconformities as detailed below. The IATF CARA Nonconformity (NC) Management form and application tool shall be used to exchange the responses between the CB audit team and the client for each nonconformity.</p> <p>5.11.1 Client responsibility for a major nonconformity</p> <p>The certification body shall require the client to submit, within a maximum of twenty (20) calendar days from the closing meeting of the site audit, evidence of the following:</p> <ul style="list-style-type: none"> a) implemented correction; b) root cause including methodology used, analysis, and results; <p>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:</p> <ul style="list-style-type: none"> 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. <p>5.11.2 Client responsibility for a minor nonconformity</p> <p>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:</p> <ul style="list-style-type: none"> 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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		<p>Rationale for change:</p> <p><i>Updated to incorporate the use of the IATF CARA (Common CB Audit Report Application) and IATF CARA NC management tool. Rules 5.11.1 and 5.11.2 remain unchanged by the implementation of CARA.</i></p>
<p>14 Revised</p>	<p>Certification body responsibility 5.11.3</p>	<p>The certification body shall review the submitted information in the IATF CARA Nonconformity form provided by the client¹ and make a decision regarding acceptability within a maximum of ninety (90) calendar days from the closing meeting of the site audit.</p> <p>If found acceptable, the nonconformity shall be considered as accepted and² closed and the certification body shall verify the effective implementation of the identified corrective actions at the next audit (see section 5.2 and 5.11.5), unless a special audit was conducted (see section 5.11.4 and 7.2).</p> <p>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 nonconformity shall be considered as rejected. The¹ final audit result shall be considered failed and the IATF database shall be updated accordingly¹. The certification decision shall be negative (see section 5.12 a-d) and the client shall start over with an initial certification audit (stage 1 readiness review and stage 2). The current valid certificate shall be immediately¹ withdrawn.</p> <p>In exceptional case(s) where the implementation of corrective actions cannot be completed within a maximum of ninety (90) calendar days from the closing meeting of the site audit, the certification body shall consider the nonconformity open¹ accepted open² but 100% resolved when the following conditions have been met:</p> <ul style="list-style-type: none"> a) containment of the condition to prevent risk to the customer has been taken, including a review of the systemic impact on the client’s process; b) documented evidence of an acceptable action plan, instructions, and records to demonstrate the elimination of the nonconformity condition, including a review of the systemic impact on the client’s process; c) scheduled onsite special audit based on the accepted action plan and prior to the next audit (see section 7.2);



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		<p>d) in situations where 100% resolution has been determined, the certification body shall maintain records of the justification.</p> <p>The certification body shall verify the effective implementation of the identified corrective actions at the next audit (see section 5.2).</p> <p>Rationale for change:</p> <p>¹Updated to align with the release of the IATF CARA (Common CB Audit Report Application) and IATF CARA NC management tool. Update 100% resolved terminology since in CARA term is “accepted but 100% resolved”, not the current term of open, but 100% resolved.</p> <p>²Administrative change to revert to the original terminology</p>
<p style="text-align: center; font-size: 24pt; font-weight: bold;">15</p>	<p style="text-align: center; font-weight: bold;">Onsite verification of a major nonconformity 5.11.4</p> <p style="text-align: center; font-weight: bold;">and</p> <p style="text-align: center; font-weight: bold;">Onsite verification of a minor nonconformity 5.11.5</p>	<p>5.11.4 Onsite verification of a major nonconformity</p> <p>In cases of a major nonconformity, the certification body shall conduct an onsite special audit (see section 7.2) for the verification of the corrective action and shall complete the special audit within a maximum of ninety (90) calendar days from the closing meeting of the site audit.</p> <p>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).</p> <p>The certification body shall issue a supplemental special audit report to the client after verification of corrective action is complete, which shall include the verification details of each nonconformity.</p> <p>5.11.5 Onsite verification of a minor nonconformity</p> <p>Onsite verification of the corrective action for a minor nonconformity within a maximum of ninety (90) calendar days from the closing meeting of the site audit is at the discretion of the certification body based on knowledge and experience.</p> <p>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 IATF 16949, section 10.2) and the previous minor nonconformity reissued as a major nonconformity.</p>



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		<p>The certification body shall issue a supplemental special audit report to the client after verification of corrective action is complete, which shall include verification details of each nonconformity.</p> <p>Rationale for change:</p> <p><i>Updated to align with the release of the IATF CARA (Common CB Audit Report Application) and IATF CARA NC management tool.</i></p>
<p style="text-align: center;">16</p>	<p style="text-align: center;">Audit day determination 5.2</p>	<p>The certification body shall have a documented process for determining the minimum number of audit days, and for each client the certification body shall determine the days needed to plan and accomplish a complete and effective audit of the client’s management system.</p> <p>The certification body shall use table 5.2 to determine the minimum audit days for the initial certification stage 2 audit and for each surveillance audit. Table 5.2 shall be used to determine the minimum audit days for a recertification audit. The total number of audit days determined by the certification body and the justification for the determination shall be recorded for each audit.</p> <p>In determining the number of audit days, the certification body shall consider, among other things, the following aspects:</p> <ul style="list-style-type: none"> a) ... f) g) within the total audit days, a maximum of 40% 15% may be allocated to writing the audit report; h) ... q). <p>Rationale for change:</p> <p><i>Updated to align with the use of the IATF CARA (Common CB Audit Report Application) and IATF CARA NC management tool. Rules 5.2 a) – f), h) – q) and Table 5.2 remain unchanged.</i></p>
<p style="text-align: center;">17</p>	<p style="text-align: center;">Certification records 9.1</p>	<p>The certification body shall maintain records on the audit and other certification activities for all clients, including all organizations that submitted applications and all clients audited, certified, or with certification suspended, withdrawn, or cancelled.</p> <p>The certification body shall maintain the following records:</p> <ul style="list-style-type: none"> a) application information, including quotation, audit days, and audit day fee;

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19	Annex 1.2	<p>Annex 1.2 – Example table for verifying the auditing of manufacturing on all shifts</p> <table border="1" data-bbox="779 357 1986 603"> <thead> <tr> <th rowspan="2">Manufacturing process name</th> <th rowspan="2">Operational Shifts</th> <th colspan="6">Audit cycle</th> </tr> <tr> <th>Initial / Recert</th> <th>1st surv audit</th> <th>2nd surv audit</th> <th>3rd surv audit</th> <th>4th surv audit</th> <th>5th surv audit</th> </tr> </thead> <tbody> <tr> <td>Stamping</td> <td>1,2,3</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Welding</td> <td>1,2,3</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Heat Treating</td> <td>1,2,3</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Painting</td> <td>1,2,3</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Assembly</td> <td>1,2,3</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>For this example, shift times are:</p> <ul style="list-style-type: none"> • shift 1 (6.00 a.m. – 2.00 p.m.) • shift 2 (2.00 p.m. – 10.00 p.m.) • shift 3 (10.00 p.m. – 6.00 a.m.) <p>Note 1: The certification body shall indicate which shift was audited for each manufacturing process at each audit of the three (3) year audit cycle.</p> <p>Note 2: An equivalent version of Annex 1.2 table is embedded into the IATF CARA (Common CB Audit Report Application) tool and required to be completed in CARA.</p> <p>Rationale for change:</p> <p><i>Equivalent version of Annex 1.2 table is embedded into the new IATF CARA (Common CB Audit Report Application) tool.</i></p>	Manufacturing process name	Operational Shifts	Audit cycle						Initial / Recert	1st surv audit	2nd surv audit	3rd surv audit	4th surv audit	5th surv audit	Stamping	1,2,3							Welding	1,2,3							Heat Treating	1,2,3							Painting	1,2,3							Assembly	1,2,3						
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20	Letter of conformance decision 5.14.1	<p>The certification body may issue a letter of conformance after:</p> <ol style="list-style-type: none"> 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; the relevant site has completed an initial audit (stage 1 readiness review and stage 2) using the IATF CARA (Common Audit Report Application) tool with no open nonconformity; and 																																																						

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		<p>c) approval by the veto power (see section 4.1).</p> <p>Rationale for change: <i>Updated to align with the release of the IATF CARA (Common CB Audit Report Application) tool.</i></p>
<p>21</p>	<p>TERMS AND DEFINITIONS 10.0</p>	<p>10.0 TERMS AND DEFINITIONS</p> <p>Positive aspect</p> <p>A positive aspect is a strength/good practice observed within the client Quality Management System by the CB auditor whilst undertaking an IATF 16949 audit.</p> <p>Rationale for change: <i>Created a new definition to align with the release of the IATF CARA (Common CB Audit Report Application) tool which allow for positive aspects to be recorded.</i></p>
<p>22</p>	<p>Nonconformity Management 2.4.3</p>	<p>A nonconformity can be issued at either an office assessment, a witness audit, or as a special nonconformity due to performance-related issues, complaints received from IATF members, or any violation of these “Rules”.</p> <p>The certification body shall follow the requirements of the IATF CB Problem-solving Manual to address any nonconformities issued to them by their relevant Oversight office.</p> <p>When nonconformities are issued, the certification body shall undertake immediate investigation of the problem and risk-based analysis of the situation. The analysis (problem investigation) shall include a review of the nonconformity and its impact across all of the certification body’s regional offices, all auditors, and all audited clients.</p> <p>For major nonconformities, this the problem investigation and analysis shall include lead to the identification and definition of problem statement(s), corrections, (containment) containment action(s) as necessary and be completed within a maximum of twenty (20) calendar days from the issue date of the nonconformity and submitted to the relevant IATF Oversight office.</p> <p>Within a maximum of ninety (90) calendar days from the issue date of the nonconformity, the certification body shall submit evidence of the following analysis (problem investigation),</p>



NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION
		<p>correction (if necessary), root cause analysis, systemic corrective actions, and verification of effective implementation to the relevant IATF Oversight office for approval:</p> <ul style="list-style-type: none"> - problem investigation (for minor nonconformities); - identification and definition of problem statement(s) (for minor nonconformities); - correction and containment action(s) as necessary (for minor nonconformities); - root cause analysis (for major and minor nonconformities); - corrective action(s) (for major and minor nonconformities) and - verification of effective implementation of corrective action(s) (for major and minor nonconformities). <p>The relevant IATF Oversight office shall verify the effective implementation of the corrective actions taken. Verification may occur at a special audit, at the next office assessment, or at a witness audit.</p> <p>When a certification body cannot provide evidence of implemented corrective actions or a major nonconformity cannot be closed within ninety (90) calendar days from the issue date of the nonconformity, the relevant IATF Oversight office shall initiate the certification body de-recognition process (see section 2.5) and perform special monitoring activities, unless the relevant IATF Oversight office has granted extension of the timing requirements under exceptional and justified circumstances.</p> <p>IATF reserves the right to undertake additional activities (e.g., special witness audits or office assessments) in response to corrective action follow-up or based upon performance.</p> <p>Note: “Based upon performance” shall be understood as direct requests from IATF OEM members to undertake an audit that is to be witnessed by the relevant IATF Oversight office.</p> <p><i>Rationale for change:</i></p> <p><i>To add a reference to the published IATF CB Problem-solving Manual, designed to improve the timeliness and acceptability of the certification body responses to nonconformities issued by the relevant IATF Oversight office and reworded to align the Rules with its requirements.</i></p>
<p style="text-align: center;">23</p>	<p style="text-align: center;">Management system requirements 2.6</p>	<p>The certification body’s contracted office shall be responsible for establishing a documented process for effective nonconformity management, including corrective and preventive action plans. This process shall be initiated following customer complaints, internal complaints, internal witness and system audits, and external audits, and shall include specific requirements for the management of nonconformities issued by the relevant IATF Oversight office (see section 2.4.3).</p> <p>All other paragraphs in section 2.6 remain unchanged by this SI</p>



NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION
		<p><i>Rationale for change:</i></p> <p><i>To clarify that, the certification body shall include specific requirements for the management of nonconformities issued by the relevant IATF Oversight office, in its documented nonconformity management process.</i></p>
<p style="text-align: center;">24</p>	<p style="text-align: center;">Review Inputs 2.7.1</p>	<p>The input shall include information specific to all offices involved in the IATF 16949 certification process and shall include information related to:</p> <ul style="list-style-type: none"> a) fulfillment of objectives; b) results of internal and external audits, including timeliness, and effectiveness of corrective actions and performance data relating to acceptability and timeliness of problem-solving responses to nonconformities issued by the relevant IATF Oversight office; c) feedback from clients, interested parties, and IATF OEMs; d) number, timeliness, and status of appeals and complaints; e) summary of issues found during monthly IATF database accuracy checks (see section 9.1); f) status of IATF database KPIs; g) status and results of certification decisions; h) status of auditors meeting the continued personal development (CPD) requirement; i) status and results of internal witness audits; j) analysis of number and classification of nonconformities (i.e., major/minor) raised per audit and actions to address evidence of soft auditing and soft grading; k) analysis of waiver requests; l) status of preventive and corrective actions; m) feedback from the committee for safeguarding impartiality; n) internal or external changes that could affect the management system;

NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION
		<p>o) status of actions from previous management reviews.</p> <p>Rationale for change:</p> <p><i>Objectives of the IATF CB Problem-solving Manual include the improvement of the timeliness and acceptability of the certification body responses to nonconformities issued by the relevant IATF Oversight office. It is therefore necessary that the certification body includes the relevant performance data as an input in its management review and initiate appropriate improvement actions when required.</i></p>
<p>25</p>	<p>Resource Requirements 4.0</p>	<p>The certification body shall have a process to determine the competence required for each function involved in the IATF 16949 certification activities appropriate to each geographic area in which it operates. The certification body shall determine the means for the demonstration of competence prior to carrying out specific functions, including but not limited to:</p> <ul style="list-style-type: none"> a) persons with veto power; b) IATF 16949 auditor (including applicants); c) IATF database entry personnel; d) internal witness auditor; e) internal system auditor; f) technical expert; g) personnel involved in the nonconformity management process (see section 2.4.3). <p>Rationale for change:</p> <p><i>To ensure that the certification body determines the competence requirements and provide appropriate training for any personnel involved in the nonconformity management process to address the nonconformities issued by the relevant IATF Oversight office.</i></p>

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26	Audit day determination – 5.2	<p>a) ... p) and all other paragraphs of section 5.2 remain unchanged</p> <p>q) when the total number of employees on site changes prior to or during the audit, the minimum number of audit days shall be recalculated. If the minimum number of audit days increases or decreases, the change shall be applied to the current audit. A record shall be maintained.</p> <p>r) when the client does not meet the IATF OEM quality and/or delivery targets specified in the IATF OEM scorecard(s), the certification body shall increase the total audit days by the hours listed in the table below. The increased audit time shall be used to review the corrective actions associated with the IATF OEM quality and/or delivery targets not being met and the associated risk to similar processes / products. The only exception is if the client can provide evidence of effective implementation of the corrective actions for the quality and/or delivery performance issues, then no increase is applied. This increased audit time shall be determined after all permitted reductions have been applied, but before the rounding per 5.2 p). The increase shall be applied to the current audit.</p> <table border="1" data-bbox="869 917 1877 1222" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th data-bbox="869 917 1111 999"></th> <th colspan="2" data-bbox="1111 917 1877 999" style="text-align: center;">Number of IATF OEM customers where quality and/or delivery targets are not being met</th> </tr> <tr> <th data-bbox="869 999 1111 1077" style="text-align: center;">Number of employees</th> <th data-bbox="1111 999 1494 1077" style="text-align: center;">1 – 2 IATF OEMs</th> <th data-bbox="1494 999 1877 1077" style="text-align: center;">3 or more IATF OEMs</th> </tr> </thead> <tbody> <tr> <td data-bbox="869 1077 1111 1125" style="text-align: center;">< 500</td> <td data-bbox="1111 1077 1494 1125" style="text-align: center;">4 hours</td> <td data-bbox="1494 1077 1877 1125" style="text-align: center;">6 hours</td> </tr> <tr> <td data-bbox="869 1125 1111 1173" style="text-align: center;">500 - 3000</td> <td data-bbox="1111 1125 1494 1173" style="text-align: center;">5 hours</td> <td data-bbox="1494 1125 1877 1173" style="text-align: center;">7 hours</td> </tr> <tr> <td data-bbox="869 1173 1111 1222" style="text-align: center;">> 3000</td> <td data-bbox="1111 1173 1494 1222" style="text-align: center;">6 hours</td> <td data-bbox="1494 1173 1877 1222" style="text-align: center;">8 hours</td> </tr> </tbody> </table> <p style="text-align: center; margin-top: 10px;">Table of minimum audit hours added to the normal audit days</p> <p>Note 1: The increase in audit days applies only to surveillance, transfer or recertification audits.</p> <p>Note 2: This requirement does not apply if the audited organization is an IATF OEM.</p>		Number of IATF OEM customers where quality and/or delivery targets are not being met		Number of employees	1 – 2 IATF OEMs	3 or more IATF OEMs	< 500	4 hours	6 hours	500 - 3000	5 hours	7 hours	> 3000	6 hours	8 hours
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NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION
		<p>Note 3: In a Corporate audit scheme, the increase in audit days applies only to the manufacturing site(s) where the IATF OEM quality and/or delivery targets are not being met.</p> <p>Rationale for change:</p> <p><i>To support risk-based audit day calculation methodology, the IATF has decided to implement changes for certified organizations. This allows the certification body to dedicate more time to focus on performance issues that have posed a risk to the organization’s customers, in support of IATF Rules 5th Edition requirements 5.8 h).</i></p>
<p>27</p>	<p>Audit plan – 5.7.2</p>	<p>The certification body shall undertake an analysis of the required information (see section 5.7.1) provided by the client to determine critical areas to be prioritized based upon risk to the customer, performance trends, and criticality of the process(es).</p> <p>The analysis may result in an adjustment to the audit days (see 5.2 r).</p> <p>The remainder of 5.7.2 remains unchanged</p> <p>Rationale for change:</p> <p><i>To support risk-based audit day calculation methodology, the IATF has decided to implement changes for certified organizations. This update to the Audit Plan section is in support of the new section 5.2 r, per SI 26.</i></p>

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<p>28</p>	<p>Table for Documenting the Output of Audit Planning Process Annex 3</p>	<p>ANNEX 3 – TABLE FOR DOCUMENTING THE OUTPUT OF THE AUDIT PLANNING PROCESS</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: center; font-weight: normal; font-size: small;">Information to be Completed by the Auditor ONLY</th> </tr> </thead> <tbody> <tr> <td style="width: 50%; font-size: x-small;">Date(s) the client submitted the pre-planning information</td> <td style="width: 50%; font-size: x-small;">Date(s):</td> </tr> <tr> <td style="font-size: x-small;">Did the client supply you with all of the required pre-planning information prior to issuing the audit plan (see Rules section 5.7.1)?</td> <td style="font-size: x-small;"> <input type="checkbox"/> Yes, the client supplied complete data prior to issuance of the audit plan. <input type="checkbox"/> No, the client did not supply all the required information before the audit plan was issued. Time is required to be added prior to the opening meeting to evaluate the missing information. This activity shall be shown on the audit plan and is in addition to the total audit days and in addition to the normal eight (8) hour workday. </td> </tr> <tr> <td style="font-size: x-small;">Date audit plan was issued</td> <td style="font-size: x-small;">Date:</td> </tr> <tr> <td style="font-size: x-small;">Internal performance data (since the last audit)</td> <td style="font-size: x-small;">Details:</td> </tr> <tr> <td style="font-size: x-small;">Customer performance data (since the last audit)</td> <td style="font-size: x-small;">Details:</td> </tr> <tr> <td style="font-size: x-small;">Customer satisfaction and complaint summary (since the last audit).</td> <td style="font-size: x-small;">Details:</td> </tr> <tr> <td style="font-size: x-small;">Any special customer status conditions (since the last audit)?</td> <td style="font-size: x-small;">Details:</td> </tr> <tr> <td style="font-size: x-small;"><i>Did the client provide the latest IATF OEM reports and/or scorecard information showing the status of quality and delivery performance?</i></td> <td style="font-size: x-small;"><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable</td> </tr> <tr> <td style="font-size: x-small;"><i>Were the IATF OEM objectives/targets met? If not, see Rules 5.2 r) for potential recalculation of audit days</i></td> <td style="font-size: x-small;"><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable</td> </tr> <tr> <td style="font-size: x-small;">Internal audit results</td> <td style="font-size: x-small;">Details:</td> </tr> <tr> <td style="font-size: x-small;">Management review results</td> <td style="font-size: x-small;">Details:</td> </tr> <tr> <td colspan="2" style="font-weight: normal; font-size: x-small;">REMOTE AUDITS ONLY</td> </tr> <tr> <td style="font-size: x-small;"><i>Did the client submit the additional audit planning information related to COVID-19?</i></td> <td style="font-size: x-small;"><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td style="font-size: x-small;"><i>Were all the IATF Remote Audit Requirements for audit planning completed?</i></td> <td style="font-size: x-small;"><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td style="font-size: x-small;">RE-CERTIFICATION AUDITS ONLY. Review the surveillance audit reports from the current audit cycle and identify any areas that need to be prioritized.</td> <td style="font-size: x-small;">Details:</td> </tr> <tr> <td style="font-size: x-small;">Describe how the pre-planning impacted your audit plan and list the issues to be prioritized.</td> <td style="font-size: x-small;">Issues to be investigated:</td> </tr> </tbody> </table> <p>Rationale for change:</p> <p><i>To align the audit planning output with the risk-based audit day calculation methodology in Rules 5.2 r) and use of remote audits per the IATF COVID-19 Measures document Revision 5.</i></p>	Information to be Completed by the Auditor ONLY		Date(s) the client submitted the pre-planning information	Date(s):	Did the client supply you with all of the required pre-planning information prior to issuing the audit plan (see Rules section 5.7.1)?	<input type="checkbox"/> Yes, the client supplied complete data prior to issuance of the audit plan. <input type="checkbox"/> No, the client did not supply all the required information before the audit plan was issued. 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If not, see Rules 5.2 r) for potential recalculation of audit days</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	Internal audit results	Details:	Management review results	Details:	REMOTE AUDITS ONLY		<i>Did the client submit the additional audit planning information related to COVID-19?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<i>Were all the IATF Remote Audit Requirements for audit planning completed?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	RE-CERTIFICATION AUDITS ONLY. Review the surveillance audit reports from the current audit cycle and identify any areas that need to be prioritized.	Details:	Describe how the pre-planning impacted your audit plan and list the issues to be prioritized.	Issues to be investigated:
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