HISTORICAL REFERENCE DOCUMENT

Dated 1 February 2022

International Automotive Task Force

IATF GLOBAL WAIVERS AND MEASURES IN RESPONSE TO THE CORONAVIRUS PANDEMIC (COVID-19)

www.iatfglobaloversight.org

CONTENTS

POSTPONED AUDITS IN ACCORDANCE WITH THE REVISION 4 OF THE IATF GLOBAL WAIVERS AND MEASURES IN RESPONSE TO THE CORONAVIRUS PANDEMIC (COVID-19) DOCUMENT

Audits that will become due from **1 January 2021** forward can no longer apply the conditions and waivers described in the Revision 4 of this document (provided below for reference). Although all certificate expiration dates were extended 6 months in the IATF database, the timing requirements per IATF Rules 5th Edition for audits are not extended.

Nonconformities requiring a decision of acceptability after **1 January 2021** shall follow the requirements in IATF Rules, 5th Edition section 5.11.

For those clients with a postponed audit, the certification body shall either conduct an onsite or a remote audit. The timing of the audit (onsite or remote) shall not exceed the current extensions described in this section of the document. The certification body shall comply with all applicable requirements defined in the IATF Rules, 5th Edition.

As of **1 January 2021**, Monitoring events are no longer permitted.

This section of the document describes how to manage existing audits which were already postponed due to the COVID-19 pandemic prior to the release of Revision 5 of this document.

Stage 2 audits:

In cases where the stage 2 audit cannot be conducted within the specified ninety (90) calendar days from the last day of the stage 1 readiness review, the IATF is granting an additional extension of ninety (90) calendar days to commence the stage 2 audit.

In cases where an initial audit (stage 1 readiness review and stage 2 audit) is to be conducted to "upgrade" from a letter of conformance to an IATF 16949 certificate, the IATF is granting an additional extension of ninety (90) calendar days to commence with a maximum reduction of 50% in the stage 2 audit days after the expiration date of the letter of conformance.

As a result, the stage 2 audit shall commence within a maximum of one hundred and eighty (180) calendar days from the last day of the stage 1 readiness review.

In cases where an initial audit (stage 2 audit) is to be conducted to "re-apply for another letter of conformance", the IATF is granting an additional extension of ninety (90) calendar days to commence with a maximum of 50% reduction in the stage 2 audit days after the expiration date of the letter of conformance.

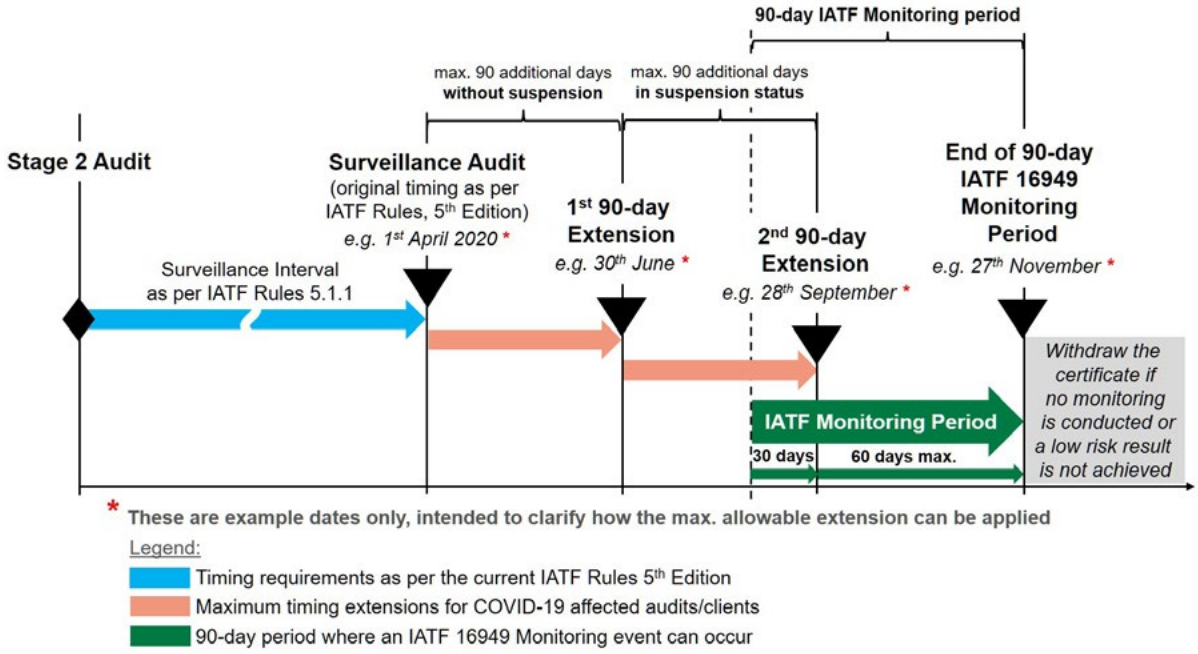
In situations where the remote supporting location cannot be audited prior to the manufacturing site, as required as per the IATF Rules 5th Edition section 5.5, the IATF-recognized certification body shall submit a waiver to the relevant IATF Oversight Office for consideration of approval.

Surveillance audits:

In cases where the required surveillance audit cannot be conducted within the allowable intervals and timing as per the IATF Rules, 5th Edition (Table 5.1: Surveillance interval), the IATF is granting an additional extension of ninety (90) calendar days to commence with the surveillance audit without initiating the decertification process. This is referred to as the "1st 90-day extension" in the graphic below. When this additional timing cannot be met, the decertification process shall be initiated in accordance with IATF Rules 5th Edition, section 8.1 e). This leads to an additional 90-day extension referred to as the "2nd 90-day extension" in the graphic below.

> *NOTE: during the suspension period the certificate remains valid and is still recognized by the IATF.*

In cases where the decertification process has already been initiated prior to 27 March 2020 as per IATF Rules, 5th Edition, section 8.1 e), the IATF-recognized certification body shall lift the already imposed suspension and follow the timing requirements in the paragraph above.



When an onsite surveillance audit cannot be conducted due to COVID-19, an IATF 16949 Monitoring is to be conducted as described above; also refer to the IATF 16949 Monitoring chapter of this document on page XX.

The IATF 16949 Monitoring shall be conducted in the period from 30 days prior to the end of the 2nd 90-day COVID-19 extension to 60 days after the end of the 2nd 90-day COVID-19 extension (i.e. the IATF 16949 Monitoring Period, see graphic above), and only if it becomes demonstrably evident that a regular onsite audit will not be possible to be conducted, see graphic above. IATF 16949 Monitoring is no longer applicable 60 days after the end of the 2nd 90-day COVID-19 extension.

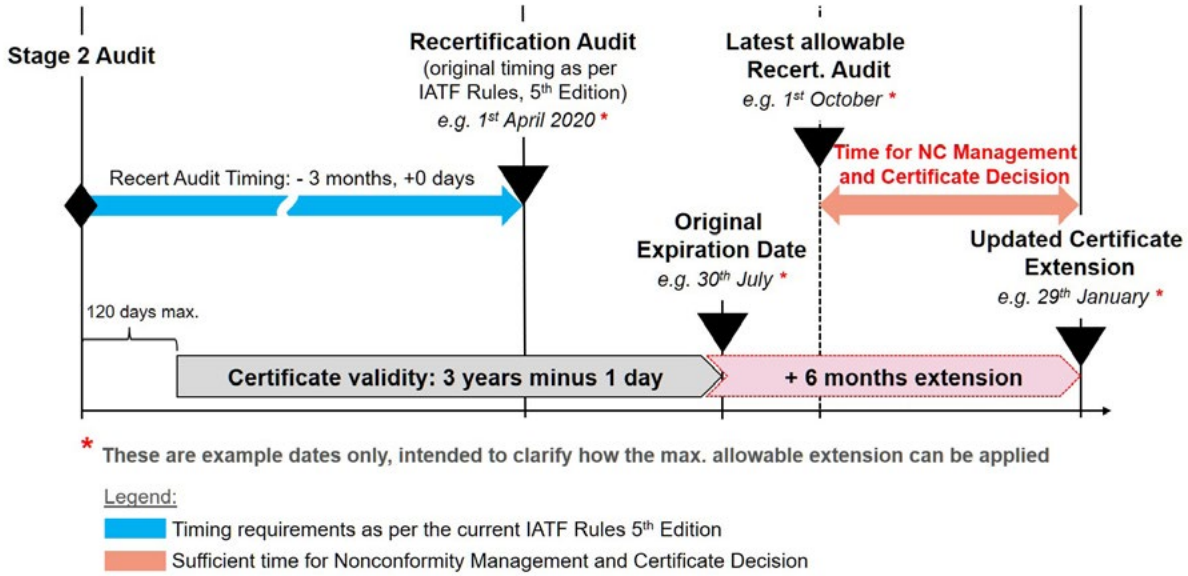
If an IATF 16949 Monitoring is conducted and low risk is identified (see the IATF 16949 Monitoring chapter), then the suspension is lifted.

The certificate is withdrawn for the two following conditions:

- If an IATF 16949 Monitoring event is not scheduled by the certification body to occur during the IATF 16949 Monitoring Period (see graphic above)
- IATF 16949 Monitoring is conducted during the IATF 16949 Monitoring Period, but a low risk assessment is not achieved before the end of the IATF 16949 Monitoring Period (see the IATF 16949 Monitoring chapter)

Recertification audits:

In cases where the required recertification audit cannot be conducted onsite within the allowable interval and timing as per the IATF Rules, 5th Edition section 5.1.1 for reasons that are directly linked to the COVID-19 pandemic, the recertification audit timing can be extended per the graphic below.



The scheduling of the onsite recertification audit shall provide sufficient time to close or 100% resolve any nonconformities that may be raised at the onsite recertification audit and the certification decision made prior to the prolonged expiration of the existing IATF 16949 certificate.

If there are no reasons directly related to the COVID-19 pandemic that prevent an onsite recertification audit within the allowable interval and timing as per the IATF Rules, 5th Edition section 5.1.1, then the CB shall conduct the recertification audit onsite at the manufacturing site and this extension shall not be applied.

Transfer audits:

In cases where a transfer audit is planned to take place at the planned recertification audit timing (see IATF Rules, 5th Edition section 7.1.1), the transfer audit shall be completed no later than 120 calendar days prior to the prolonged expiration date of the currently valid IATF 16949 certificate.

In cases where a transfer audit is planned to take place during the surveillance audit cycle, the new IATF-recognized certification body is still permitted to transfer the client as long as the global waiver conditions for not conducting the surveillance audit are met.

NOTE: if transfer requests were rejected during this extraordinary situation in the semi-automated transfer audit process of the IATF Database (refer to IATF Rules 5th Edition, section 7.1.1), the IATF-recognized certification body is requested to contact the relevant IATF Oversight Office.

Special audits:

In cases where a (required) on-site special audit cannot be conducted, the IATF is granting an additional extension of ninety (90) calendar days to commence with the special audit.

NOTE: the impact of the Coronavirus may affect the site or certification process at different timing periods; for a special audit to close the major nonconformity with extended timing and applicability of using open but 100% resolved, please see "NONCONFORMITY MANAGEMENT".

The IATF is also aware that an extension to conduct a required special audit will result in situations where a certificate suspension will exceed 110 calendar days. Also, in these situations the suspended certificate still remains valid and is still recognized by the IATF.

In all the above-mentioned situations the certification body is required to enter a comment in the IATF Database, i.e. in the relevant comment field of the affected audit and/or the affected certificate.

NONCONFORMITY MANAGEMENT

In cases where the client is unable to submit required documentation as per the timings of the IATF Rules 5th Edition, section 5.11.1 and/or 5.11.2 for reasons that are directly linked to the COVID-19 pandemic, the IATF is granting an additional extension of a maximum of ninety (90) calendar days for all the relevant required steps to be completed (including the timing requirements of the IATF Rules 5th Edition, section 5.11.3), as applicable.The additional extension is to be understood as a maximum potential extension to the overall process and not to be understood as a potential extension for every single step. This results in an overall extension of a maximum of ninety (90) calendar days to resolve the corrective action process.

In cases where the client is unable to complete the corrective action process defined by IATF Rules 5th Edition sections 5.11.1 or 5.11.2, or the CB is unable to complete an onsite special audit to verify the effective implementation of the corrective actions, for reasons that are directly linked to the COVID-19 pandemic, the CB can consider the nonconformity to be 100% resolved, if the following conditions have been met:

a) The nonconformity management 90-day extension has been exceeded, and

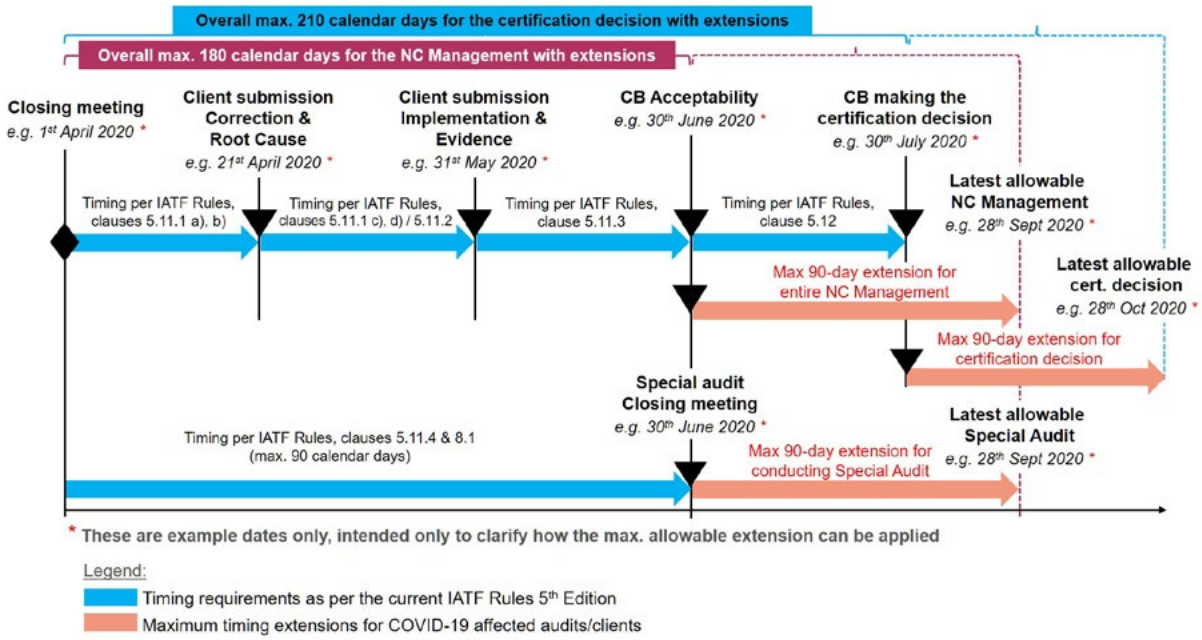
b) The client submits the evidence that meets the requirements of IATF Rules 5th Edition sections 5.11.3 a) and b)

When a major nonconformity is considered to be open but 100% resolved, the certification body schedules an onsite special audit as soon as onsite audits are permitted.

When a minor nonconformity is considered to be open but 100% resolved, onsite verification of the corrective action is at the discretion of the CB per IATF Rules 5th Edition 5.11.5. The certification body shall review the corrective action evidence submitted by the client and determine the next steps per the process for minor nonconformities in IATF Rules 5th edition 5.11.

NOTE: For minor nonconformities that are 100% resolved for reasons that are directly linked to the COVID-19 pandemic, an onsite special audit is not required prior to the next planned onsite audit. However, for major nonconformities, an onsite special audit is required when onsite audits are permissible.

In cases where the client cannot submit the required documentation or it is found not to be acceptable and the extension is exceeded, the final audit result shall be considered failed, the IATF database shall be updated and the certificate withdrawn.



CERTIFICATION DECISIONS

As described in the above sections “Special audits” and “Nonconformity management”, the IATF is granting an additional extension of ninety (90) calendar days for submitting data and conducting a special audit. Subsequently the IATF is granting an additional maximum extension of ninety (90) calendar days that can be applied to making a certification decision.

AUDITOR ASSIGNMENTS

In cases where the original audit team member(s) cannot be assigned to an on-site audit due to official travel restrictions, the IATF-recognized certification body may assign new audit team member(s) to an audit (see IATF Rules, 5th Edition section 5.6 – force majeure). The IATF-recognized certification body shall determine additional audit days, if required, based on experience with the client.

The newly assigned audit team member(s) are permitted to participate on the audit team for the subsequent three (3) year audit cycle.

CERTIFICATION BODY INTERNAL AUDITS

Section moved to the CB Communiqué no. 2020-008

IATF 16949 3RD PARTY AUDITOR WAIVERS

Section moved to the CB Communiqué no. 2020-008

IATF 16949 MONITORING

Definition

The IATF has developed and approved a monitoring method for IATF-recognized certification bodies and their certified clients that are affected by the current global COVID-19 pandemic. This method is named "IATF 16949 Monitoring" and is described in the following process.

This "IATF 16949 Monitoring" is a method for IATF-recognized certification bodies to request information from IATF 16949-certified clients to remotely monitor and assess the status of the client's certified Quality Management System (QMS) only if a regular onsite audit cannot be conducted for reasons that are directly linked to the COVID-19 pandemic.

Objective/Purpose:

The IATF 16949 Monitoring is not to be understood as a "remote audit". Its purpose is for the IATF-recognized certification body (CB) to remotely monitor the status of the client´s Quality Management System to assess the continued effectiveness of the client's Quality Management System to the requirements of IATF 16949 during this extraordinary period of the COVID-19 pandemic and to proactively identify potential risks with the certified Quality Management System of a certified client that could also constitute a risk to the client´s customers.

The IATF 16949 Monitoring event is not an audit, and therefore, nonconformities cannot be written as a result of identifying gaps or risks during an IATF 16949 Monitoring.

The IATF 16949 monitoring shall only occur when the following criteria are met:

a) The client is currently manufacturing automotive parts or products for customers (even if the volume of manufactured parts is significantly reduced), and

b) The IATF 16949 3rd party audit cannot be conducted onsite for reasons that are directly linked to the COVID-19 pandemic.

If the above criteria are not met, a regular onsite audit shall take place.

NOTE 1: An onsite audit is to be conducted by the certification body if the client is currently manufacturing automotive parts or products and the auditor is permitted to go onsite before the end of the 2nd 90 day extension (see surveillance section).

NOTE 2: Recertification, initial, special and transfer audits are excluded from this process.

The IATF 16949 Monitoring shall be scheduled only if it is demonstrably impossible for reasons that are directly linked to the COVID-19 pandemic to conduct a regular onsite audit and if the timing of the monitoring event is between 30 days prior to the end of the 2nd 90-day COVID-19 extension and 60 days after the end of the second 90-day COVID-19 extension (during the IATF 16949 Monitoring Period, see surveillance audit section).

IATF 16949 Monitoring Information

The certification body shall notify clients that the following information shall be available at the time of the IATF 16949 Monitoring event. The following information a) through t) shall include processes and performance results for both the manufacturing site and for any applicable Remote Support Location(s) linked to the manufacturing site.

a) the number of employees of the site and all associated remote support location(s);

b) the client's Quality Management System documentation, including evidence about conformity to IATF 16949 requirements and showing the linkages and interfaces to any remote support functions and/or outsourced processes;

c) customer and internal performance data since the previous audit;

d) customer satisfaction and complaint summary since the previous audit, including a copy of the latest customer reports and/or scorecards;

e) identification of any customer special status condition since the previous audit;

f) notification about any new customers since the previous audit;

g) results of internal audits and management review since the previous audit, including extraordinary measures due to COVID-19;

h) Start up verification plan/risks identified etc. (after medium term shut-downs [greater than 1 month] associated with the COVID-19 pandemic);

i) Equipment Maintenance status;

j) Measurement equipment calibration status;

k) Length of time the client was shut down (as applicable);

l) Resources lost due to COVID-19 pandemic;

m) List any processes distributed across different locations or regions impacted by the COVID-19 pandemic;

n) Changes in regulations or operating conditions due to the COVID-19 pandemic (including operator safety);

o) List of customer CSRs which cannot be met and corrective action plans to address the gap(s);

p) List of customers to the site identifying which are operational or not;

q) Major changes in the QMS since the prior onsite audit.

r) Identification of any new products or processes initiated just before the impact of the COVID-19 pandemic;

s) Whether or not the client has multiple customer programs, new program launches and stage/maturity of the launches; and

t) Whether or not the site has safety – critical commodities.

NOTE: Safety–critical parts or products are those which include characteristics identified by risk analysis (such as FMEAs) and to be important to meet customer/ regulatory safety requirements (such as being assigned a severity of 9 or 10 in FMEAs).

CBs shall analyze the client-provided information to assess the effectiveness of the client´s certified QMS. During the remote IATF 16949 Monitoring, per the CB analysis, the CB shall focus its questions to the client on that information which appears to pose the greatest risks and what is unclear.

Conducting an IATF 16949 Monitoring

The above event shall be conducted by a qualified 3rd Party IATF 16949 auditor, preferably the lead auditor of one of the audits in the current audit cycle. If the lead auditor is not available, the IATF 16949 Monitoring may be conducted by an auditor who was part of an audit team for the site in the current cycle.

The duration of the IATF 16949 Monitoring shall be a minimum of 1 working day (8 hours).

NOTE 1: The Certification body should consider the size of the organization when determining the number of days for the IATF 16949 Monitoring event.

NOTE 2: IATF reserves the right to witness any of the IATF 16949 Monitoring events. The client cannot refuse the witnessing of an IATF 16949 Monitoring event by an IATF witness auditor.

To ensure robust IATF 16949 Monitoring, the IATF 16949 certification body auditor and the client shall follow the guidance outlined in IAF ID 12 (Principles on Remote Assessment) and MD 4 (Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes).

IAF ID 12 (Principles on Remote Assessment)

IAF MD 4 (Use of ICT for Auditing/Assessment Purposes)

Output of an IATF 16949 Monitoring

The IATF 16949 certification body auditor conducting the IATF 16949 Monitoring activity shall analyze all information gathered during this IATF 16949 Monitoring and establish the conclusion.

The auditor shall identify any risks to the customer(s) and/or issues found with respect to the effective implementation of the quality management system related to the items a) through t) above.

The certification body shall issue a written report to the client.

The written report shall include a description of the auditor´s recommendation to the certification body.

Recommendation options made by the auditor based on risk are:

A) Incomplete IATF 16949 Monitoring due to not all items a) through t) above being available and presented during the IATF 16949 Monitoring

a) Additional IATF 16949 Monitoring event(s) required within the IATF 16949 Monitoring Period or the certificate is withdrawn

B) Low risk to the customer or to the QMS identified

a) The IATF 16949 Monitoring can replace the original surveillance manufacturing site audit

I) if the next audit is a surveillance audit, the audit days shall be equivalent to recertification audit days.

II) If the next audit is a recertification audit, the audit days shall be equivalent to stage 2 audit days.

C) High risk to the customer or to the QMS identified

a) Conduct additional IATF 16949 Monitoring event(s) during the IATF 16949 Monitoring Period to review the client's corrective action responses to the high risks identified, until low risk is achieved.

b) Withdraw the certificate if a low risk assessment is not achieved before the end of the IATF 16949 Monitoring Period.

NOTE: if high risk is initially assessed, all evidence for items a) through t) must meet the requirements for low risk (including current customer and other performance metrics) during a subsequent IATF 16949 Monitoring event; otherwise the certificate is to be withdrawn.

Low risk assessment means low likelihood throughout the client's operations of non-conforming product (to quality and delivery requirements) reaching the customer.

High risk assessment means high likelihood anywhere within the client's operations of non-conforming product (to quality and delivery requirements) reaching the customer.

The certification body shall issue the final written IATF 16949 Monitoring report within seven (7) calendar days of each IATF 16949 Monitoring.

The final written report of an IATF 16949 Monitoring shall contain the following information:

a) scope, products, and a list of all automotive customers whose performance information was reviewed and analyzed during this IATF 16949 Monitoring;

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;

f) information on the performance of each process audited (i.e., defined objectives, targets, and current performance);

g) names of the audit team and any technical expert or translator used, where relevant;

h) 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;

i) the auditor recommendation to the certification body decision function (e.g. qualified and approved Veto Power) for review;

j) 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;

k) any risks to the customer and/or issues found with respect to the effective implementation of the Quality Management System; and

l) Identification of risks to the Quality Management System and customer(s) associated with IATF 16949 Monitoring information items a) through t) above.

The certification body decision function shall make a decision on the recommendation of the auditor after reviewing the content of the written IATF 16949 Monitoring report. The decision shall be to confirm the level of risk assessed by the auditor, the identified risks and any recommended subsequent actions. Before a decision is made, the certification decision function may require additional information in order to clarify any aspect of the auditor's final written IATF 16949 Monitoring report.

A decision shall be made within a maximum of twenty (20) calendar days from the last day of the IATF 16949 Monitoring event.

The certification body shall enter the IATF 16949 Monitoring in the IATF database, including the IATF 16949 Event recommendation and a summary of the risks in the comment field, within twenty (20) calendar days of the IATF 16949 Monitoring.

FREQUENTLY ASKED QUESTIONS (FAQ)

Frequently asked questions no longer appropriate with the publication of Revision 7 of the IATF GLOBAL WAIVERS AND MEASURES IN RESPONSE TO THE CORONAVIRUS PANDEMIC (COVID-19) document are moved to this historical reference document.

4 If the organization is on a 6-month surveillance audit interval and the next surveillance audit (e.g. April 2020) was delayed due to COVID-19 pandemic, can the two 6-month surveillance audits (e.g. April 2020 and October 2020) be combined into a single annual surveillance audit?

Yes. The two surveillance audits can be combined into a single annual surveillance audit. The new combined surveillance audit shall be scheduled based on the allowable timing and intervals in IATF Rules 5th Edition, 5.1.1. for the second surveillance audit (e.g. October 2020). No waiver is required to change the interval. The duration of the combined surveillance audit is based on the total number of audit days that would have been conducted with the two separate surveillance audits.

6 Is the certification body required to complete the Annex 3 (Table for documenting the output of the audit planning process) document, per IATF Rules 5th Edition, section 5.7.2, for each the IATF Monitoring event?

No. The IATF Monitoring event is not an audit and therefore Annex 3 is not required. However, it is up to the certification body to determine if the Annex 3 or an equivalent document should be used by the audit team to organize the Monitoring event information received from the client.

NOTE: since the Monitoring information items a) through t) are not required to be submitted to the CB ahead of the monitoring event, and if Annex 3 is used as described above, the first three items in Annex 3 may not be applicable.

9 Is it possible to transfer a client whose previous audit was replaced with a IATF Monitoring event?

Yes. However, the new certification body shall also apply the increase in audit days identified for a low risk assessment recommendation. The onsite audit days for the transfer audit would be equivalent to stage 2 audit days.