Automotive certification scheme for ISO/TS 16949:2002

Rules for achieving IATF recognition

2nd edition for ISO/TS 16949:2002

final draft – May 31, 2004

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The IATF consists of automotive OEMs and industry associations. The IATF recognizes certification bodies to conduct audits and issue certificates to Organizations that will be recognized by its members through IATF Oversight Offices. The IATF Oversight Offices contract with the certification bodies and conduct evaluations of certification body performance. The IATF Recognition Scheme is defined in ISO/TS 16949:2002, the following Rules for achieving IATF recognition, and any Frequently Asked Questions (FAQs) and Sanctioned Interpretations (SI) that are issued by the IATF.

- a FAQ is an explanation of an existing rule or requirement.
- A SI changes the interpretation of a rule or a requirement which itself then becomes the basis for a nonconformity

Frequently Asked Questions and Sanctioned Interpretations are posted on the Oversight Office web sites at the following addresses :

> www.iaob.org
>
> www.vda-qmc.de
>
> www.anfia.it
>
> www.smmt.co.uk
>
> www.iatf-france.com

The requirements herein referred to as "Rules", with regard to ISO/TS 16949:2002 implementation include criteria for certification body recognition, certification body audit process, certification body auditor qualifications and, certificates. These requirements are binding on certification bodies recognized by IATF for ISO/TS 16949:2002 certification. Should a certification body be uncertain regarding the application of these rules they should refer to their IATF Oversight Office.

These rules are subject to periodic review and may be modified at any time at the sole discretion of IATF after consultation with appropriate stakeholders.

All the Annexes included in this document shall be considered as normative, that is part of the requirements and not just for information.

Note : Within this document :
- the use of the term certification is synonymous with registration, and.
- in order to be consistent with ISO 9001:2000, the term "organization" replaces the term "supplier".

1   Certification Body

1.1   The certification body shall be accredited for ISO 9001:2000 certification activities by a national accreditation body. The application process for certification bodies to achieve IATF recognition is maintained by the IATF Oversight Offices and is not included in these Rules.

The certification body shall conduct ISO/TS 16949:2002 certification activities in accordance with the scope defined in their ISO 9001:2000 accreditation.

The certification body shall include in their operating procedures a description of their processes, their sequence and interactions. The certification body shall perform internal audits using a process approach.

Breach of these rules by any part of a certification body organization shall initiate the de-recognition process and may result in cancellation of the IATF recognition.

1.2   Where a certification body has multiple offices involved in the ISO/TS 16949:2002 certification process, the following conditions shall be fulfilled.
- The certification body shall use a common quality management system including the same procedures for all the local offices.
- One of the offices shall be designated to interface with IATF, and be approved by IATF, as the contracted office for the certification body. This contracted office will be the only contact between IATF and the certification body and will be responsible for the control of all ISO/TS 16949:2002 certification related activities.

1.3   The certification body shall conform to ISO/IEC Guide 62:1996, "General requirements for bodies operating assessment and certification of quality systems", and these rules. These apply in particular but are not limited to customer and organization complaints.

1.4   The certification body procedure for customer and organization complaints shall encompass at a minimum a documented corrective action process (including root cause analysis and systemic corrective action) and a record of complaint resolution.

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May 31, 2004	

1.5 In order to avoid conflict of interest, certification bodies that have provided management system consulting services or site-specific auditor training within the prior two years to a particular company shall not contract as a certification body for that company or its sites.

This restriction includes related bodies of the same parent company or affiliates, where the validity or reliability of an audit can be questioned because of a consulting relationship.

Note : Consulting is the provision of training, documentation development, or assistance with implementation of management systems to a specific organization.

Training open to the public, not organization specific, and held at a public forum is not considered consulting.

1.6 The certification body may perform a "pre-audit"/"pre-assessment" which is an audit prior to the Stage 1 – readiness review that generates non-binding findings at the organization's sites without recommending solutions.

In order to perform this pre-audit, the certification body shall nominate an auditor agreed to by the organization.

The following rules shall be respected :

- The pre-audit shall not be considered as part of the initial audit,

- The pre-audit shall be conducted during a single visit to the site,

- The duration of the pre-audit shall not exceed 80% of the days for the Stage 2 site audit (see Annex 3),

- The auditors used shall not be part of the audit team for the initial certification audit,

- Time dedicated to the pre-audit will not reduce audit days requirement (see Annex 3),

- More than one pre-audit on any one site in the same company shall be considered consulting.

1.7 The scope of certification shall include all manufacturing (see ISO/TS 16949:2002 clause 3.1.6) meeting the applicability of ISO/TS 16949:2002 supplied to customers subscribing to ISO/TS 16949:2002.

The scope of certification may also include, at the decision of the organization, manufacturing (see ISO/TS 16949:2002 clause 3.1.6) meeting the applicability of ISO/TS 16949:2002 supplied to customers not subscribing to ISO/TS 16949.

1.8 The certification body shall have at least one member of those responsible for their certification decision making function who shall exercise veto power with regard to all ISO/TS 16949:2002 certification decisions made by the certification body. This individual shall not be a participant in the audits for which they are participating in the certification decision.

These persons with veto power shall be approved by the contracting IATF Oversight Office.

1.9 The certification body shall have an internal witness audit process that has the initial and continuing authority for approval or rejection of their auditors.

This process shall be approved by the IATF Oversight Office.

1.10 Each certification body contracted by IATF for ISO/TS 16949:2002 certification shall enter the required information in the IATF data base within one week after the certificate has been issued for an initial or recertification audit, and within 2 weeks of the completion of a surveillance audit. This information shall be in the specified format, in English.

1.11 Records

Certification bodies shall maintain the following records:

   a. copies of scheduled audits showing time and assigned auditors,

   b. auditor qualification records (full-time and sub-contract),

   c. the quotation file to the organization, including the audit days and audit day fee,

   d. the report of readiness review, including the evidence that all the requirements of ISO/TS 16949:2002 are addressed by the organization's processes,

   e. the audit plan (agenda) demonstrating process approach, including coverage of customer-specific requirements where applicable,

   f. the final audit report, including lead auditor recommendation regarding certification,

   g. copies of all findings issued, surveillance audit reports, follow up reports, and other documentation leading to correction of the non-conformities,

   h. audit logs as maintained by each audit team member (e.g. IRCA),

   i. copy of the certification decision,

   j. copy of the certificate issued,

   k. auditors initial approval (see 1.9) and continuous performance evaluation.

All the records specified above may be stored in hard copy or electronically and accessible during an office assessment. The records specified above shall be retained for the life of the associated ISO/TS 16949:2002 certificate plus at least 3 years.

Records shall remain legible, readily identifiable and retrievable. The certification body shall establish a documented procedure that defines the controls for the identification, storage, protection, retrieval, retention time and disposition of records.

2   Audit Process

The initial certification audit shall be conducted in two stages : stage 1 - readiness review (one or two days on site) and stage 2 – site audit (see Annex 1).

   -   Stage 1 - Readiness review : see ISO/IEC DIS 17021 Annex A except paragraph A.3.

   -   Stage 2 - Site audit : see ISO/IEC DIS 17021 Annex B.

The stage 2 site audit days requirements are illustrated in Annex 3 and certification bodies shall apply the audit days calculator software program provided by their IATF Oversight Office.

2.1   The certification process shall address all ISO/TS 16949:2002 requirements according to Annex 1 which incorporates requirements from ISO/IEC DIS 17021 :

   Note 1 : For exclusions, see clause 1.2 of ISO/TS 16949:2002.

   Note 2 : For OEM vehicle assembly, "contract review" and the "contract" are represented by the internally documented marketing requirements for vehicle brand, mix and volumes.

2.2   Any "site" may elect to pursue third party certification to ISO/TS 16949:2002, however, such "sites" shall have demonstrated capability to conform with all ISO/TS 16949:2002 requirements. (See Annex 1). For corporate audit scheme all sites shall be audited, the sampling of sites is not allowed.

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May 31, 2004	

Conformance with ISO/TS 16949:2002 for third party certification shall be based on objective evidence of meeting each applicable requirement, including customer specific requirements, at the time of audit.

If during the stage 2 site audit, it becomes evident from the number of major non conformities identified that certification will not be achieved, the audit team leader in discussion with the organization may conclude that the audit should be terminated (see Annex 1). When this occurs, any re-audit shall commence from the beginning of the process.

2.3   Supporting functions on site or remote, e.g., engineering, contract review, purchasing, warehouses, shall be included in the initial and ongoing surveillance audits. Audit planning and execution shall take into account all supporting functions, and the interfaces between them shall be defined and audited. The certification body audit plan shall address all applicable processes at each location. Where an organization also has manufacturing activities that do not meet the applicability of ISO/TS 16949:2002, the audit shall focus upon product and services that do meet the applicability.

For the initial audit, remote supporting functions shall be audited prior to the manufacturing site. The audit plan of remote supporting functions shall be such that process sequences and interfaces are appropriately addressed.

Supporting functions shall be audited as they support a site but cannot obtain independent ISO/TS 16949:2002 certification.

The design function, on site or remote, shall undergo surveillance audits at least once within each consecutive 12-month period. Other remote or support functions shall be audited as required to support the "site," but shall be audited at the initial (or re-certification) audit and at least once more during the life of the certificate. Additional audits of remote or support functions may be necessary based upon their demonstrated performance as seen on the site(s) it supports.

In situations where remote supporting functions support many production sites, and these sites are audited by more than one certification body, the organization has two options :

-   First, each certification body may audit the remote supporting locations.

-   Second, a certification body may accept the audit by another recognized certification body of the remote supporting locations subject to the following provisions:

    o   the audit by the other certification body shall cover the complete product scope of those functions, consistent with the process based audit approach,

    o   the organization shall provide to the certification body a copy of the audit plan, audit report, all findings, all corrective actions, and all verification actions by the other certification body. This information shall be in the language agreed between the organization and the other certification body,

    o   the information shall confirm during the readiness review that all the interfaces between the remote supporting location and the site were adequately audited by the other certification body,

    o   copies of all surveillance and re-certification audits reports of the remote supporting location by the other certification body shall be provided by the organization to the certification body,

    o   verification of the organization's corrective actions shall be conducted by the certification body that audited the remote supporting location. Copies of all on site verification activities will be provided by the organization to the certification body.

2.4 A letter of conformance may be issued by the certification body for a maximum of twelve months only in the following situations :

   a) a new site exists.

      After 12 months production, the certification process will proceed by the same certification body with a Readiness Review and initial audit with a maximum 50% possible reduction in audit days.

   b) an organization that can demonstrate it is on an active bid list for a customer requiring ISO/TS 16949:2002 certification or compliance.

      If a contract has not been issued within 12 months, the organization may re-apply for another letter of conformance.

   The letter of conformance may be issued by the certification body, after :

   - the organization is able to supply the information required for the Readiness Review including internal and external performance data and one full cycle of internal audits and management review, but not twelve months of internal audits and performance data, and

   - the relevant site has been audited to ISO/TS 16949:2002 and found compliant.

2.5 The entire quality management system shall be assessed at a minimum of once every three years.

   The audit cycle shall be based upon the dates of the initial certification audit. The time interval between initial certification and re-certification audit or between two re-certification audits shall not exceed 3 years.
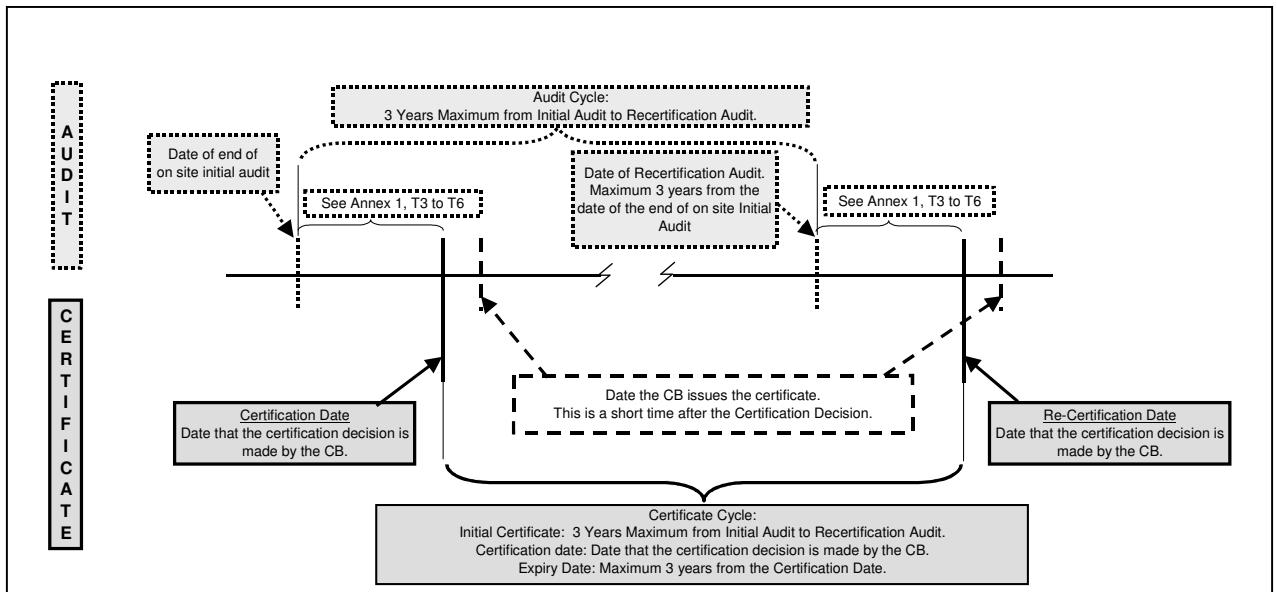
2.6 Audits by the certification body shall be conducted according to the process approach. (see Annex 5)

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Page 7
of 46

2.7 Utilizing the process approach, all requirements of ISO/TS 16949:2002 and all applicable customers specific requirements shall be audited during the stage 2 site audit, during the surveillance audit cycle, and during the re-certification audit.

Each on-site audit (initial, surveillance, and recertification) shall include an audit of :

    a) implementation of requirements of new customers since last audit,

    b) customer complaints and organization response,

    c) organization internal audit and management review results and actions,

    d) progress made toward continual improvement targets,

    e) effectiveness of the corrective actions and verification since the last audit,

    f) effectiveness of the management system with regard to achieving both customer and organization objectives.

Every audit shall include auditing on all shifts [see Annex 3, item 6)]. Manufacturing activities shall be audited on all shifts where they occur.

Each surveillance audit shall be planned around the processes of the organization, taking into account 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. Items a) and b) above, are recommended to be obtained during surveillance audit planning.

Each surveillance audit shall re-examine some of the organization processes so that all processes and all customer specific quality management system requirements have been re-examined within each three year cycle. The audit report shall clearly show the part of the system that was audited.

Every re-certification audit shall re-assess the effective inter-action between all the processes defined in the quality management system and the overall effectiveness of the management system in its entirety taking into consideration internal and external changes which may have affected the quality management system.

2.8 An audit finding shall have three distinct parts:

    - a statement of nonconformity,

    - the requirement, or specific reference to the requirement,

    - the objective evidence observed that supports statement of nonconformity.

2.9 A major nonconformity is one or more of :

    - the absence of or total breakdown of a system to meet an ISO/TS 16949:2002 requirement. A number of minor nonconformities against one requirement can represent a total breakdown of the system and thus be considered a major nonconformity.

    - any noncompliance that would result in the probable shipment of nonconforming product. A condition that may result in the failure or materially reduce the usability of the products or services for their intended purpose.

    - a noncompliance that judgment and experience indicate is likely either to result in the failure of the quality management system or to materially reduce its ability to assure controlled processes and products.

A minor nonconformity is a failure to comply with ISO/TS 16949:2002 which based on judgment and experience is not likely to result in the failure of the quality management system or reduce its ability to assure controlled processes or products. It may be one of the following :

- a failure in some part of the organization's quality management system relative to ISO/TS 16949:2002.

- a single observed lapse in following one item of a company's quality management system.

All non-conformities shall be recorded and shall not be closed during the audit. The certification body shall require the organization to submit root cause analysis and evidence of systemic corrective action for each non-conformity issued.

2.10   Quality management systems shall not be certified to ISO/TS 16949:2002 if open minor or major non-conformities to ISO/TS 16949:2002 exist.

After certification, when a nonconformity is identified by the certification body, then the de-certification process shall be initiated (see Annex 4).

> Note : Such identification can occur as a result of a customer complaint.

2.11   The audit plan shall be based upon the processes of the organization, and shall include all requirements of the organization's quality management system implemented to meet   the automotive requirements of those customers recognizing ISO/TS 16949:2002 certification of their suppliers, even when these requirements go beyond ISO/TS 16949:2002.

2.12   The audit plan shall include evaluation of all of the organization's quality management system requirements for effective implementation of ISO/TS16949:2002 as well as for effectiveness in practice. Assessment shall evaluate the effectiveness of the system, its linkages, its requirements and its performance. Part of the evidence required is process based internal audits of these processes followed by a management review.

> Note : Effectiveness of the system should consider how well the system is deployed, as demonstrated by the measures defined by the organization to meet customer satisfaction and company objectives.

3   Audit Team

3.1   Auditors

The certification body shall evaluate all auditor candidates and shall have evidence available to demonstrate competence as required in Annex 2 as follows :

a. be employed by or under contract to an IATF contracted certification body,

b. be qualified ISO 9001:2000 auditors (See Annex 2, Section 1),

c. be competent in automotive core tools knowledge (See Annex 2, Section 2),

d. have conducted at least 3 ISO 9001:2000 third party audits as a lead auditor in manufacturing industries (see Annex 2, Section 3),

e. meet the work experience requirements outlined in Annex 2, Section 3.

Auditor candidates shall be sponsored for and pass the IATF Sanctioned Automotive Training and any subsequent re-qualification specified by IATF(see Annex 2, Section 4).

Upon successful completion of the sanctioned training, the auditor will be issued an IATF identification card.

The sponsoring certification body will be issued a certificate for the auditor. Additional certification bodies wishing to employ the auditor shall apply to the training organization named on the certificate for a duplicate certificate bearing their name.

Both certificates and card are the property of the IATF and must be returned upon request.

Achieving IATF qualification shall be followed by the certification body internal development of auditors leading to evaluation of competence in the field. When auditors are employed by multiple certification bodies, each certification body is responsible for ensuring that the auditor is competent in that certification body's processes.

Auditors shall conduct a minimum of three (3) ISO/TS 16949:2002 audits, with a minimum total of six (6) audit days, per year. Failure to do so will result in withdrawal of the auditor credentials.

3.2 All ISO/TS 16949:2002 audit teams, including surveillance, shall satisfy the following :

- consist of IATF qualified auditors to conduct audits in the name of the certification body,

  Note : The audit team may use external technical experts as necessary. This will be additional to the audit days requirement. (See Annex 3 :"Audit days requirements")

- at least one team member shall have relevant sector specific experience for all commodity codes which apply to the scope of certification at that site,

- no member of the audit team shall have provided consultancy for the organization in the two years prior to the audit.

3.3 At least one auditor of the initial audit team should participate in all audits of the three year audit cycle. For each subsequent audit cycle, different auditors should be used.

3.4 The certification body shall annually evaluate auditor performance in determining effective implementation of ISO/TS 16949:2002 requirements, including the internal witness audit process (see 1.9). Such evaluations shall also include feedback from IATF witness audits, post-audit surveys, and feedback from organizations audited and their customers.

3.5 The audit team shall provide a full report on the operations audited consistent with the content of Annex 1 "Rules for auditing quality management systems according to ISO/TS 16949:2002" to the organization audited within 15 working days of each initial, surveillance, and re-certification audit unless otherwise agreed by the organization.

3.6 The contract between the certification body and the organization shall contain the following items :

- The organization shall notify the certification body of any changes relating to legal, commercial, organizational status or ownership,

- The organization cannot refuse an IATF witness audit of the Certification Body,

- Access authorization for IATF representatives or their delegates,

- Authorization to provide the final report (see Annex 1, section 3) to the IATF,

- The only use of the IATF logotype related to this certification scheme is as displayed on the certificate issued by the certification body.

4   Other Requirements

4.1   Consultants to the organization cannot participate in the audit.

4.2   The certification body shall support the IATF activities.

4.3   The certification body shall neither violate copyright of any IATF documents , nor violate the copyright of or infringe the trademarks of any IATF members.

The only use of the IATF logotype related to this certification scheme by the certification body is on the certificate as defined in section 5 of this document.

4.4   Before the certification body can issue any certificate, they shall satisfy the IATF recognition process.. Corrective actions required during this recognition process shall be verified for effectiveness before certification activities continue.

> Note : The document review of the certification body's procedures in compliance with these Rules shall be conducted prior to the recognition witness audit. This witness audit shall occur during one of the five first ISO/TS 16949:2002 audits conducted by the certification body. This should be a product design responsible organization audit. The recognition office assessment will usually follow this witness audit and will review implementation of the processes of the certification body for ISO/TS 16949:2002.

4.5   Ongoing recognition of the certification body shall be verified through IATF oversight activities :

-    Conduct ongoing surveillance witness audits, according to Table 4.5 below;

-    Develop an audit schedule for these ongoing surveillance witness audits of its ISO/TS 16949:2002 recognized certification body offices taking into account all countries where ISO/TS 16949:2002 certificates are issued by each certification body;

-    Schedule ongoing surveillance witness audits to observe as many different auditors as possible across all certification bodies.

Table 4.5:

Annual Assessments of Certification Body

Annual number of ISO/TS16949 Certificates	≤ 30	31-100	101-250	251-500	501-750	> 750
Minimum number of annual :						
Office Assessments *	1	1	1	1	1	1
Witness Audits **	1	2	3	4	5	6

*   Office assessments of the ISO/TS 16949:2002 recognized certification body are to be conducted at the contracted office. Results may lead to assessments of other offices. Office assessments shall review certification body conformance with all requirements of the Agreement, "Rules", and all Annexes. (e.g. timely notification of certifications and changes to the IATF database).

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Page 11
of 46

** Witness audits are to be conducted, at a site, witnessing an audit team from a certification body during an ISO/TS 16949:2002 audit to verify certification body conformance with all requirements of ISO/TS 16949:2002, including the "Rules", Annexes, and any ISO/TS 16949:2002 sanctioned interpretations subsequently issued. The global distribution of these witness audits should be in proportion to the certificates issued by region. The certification body shall provide a schedule of audits upon request from the contracting IATF Oversight Office. Pre-requisite for the witness audit is the provision of the readiness review documents of the organization by the certification body including information as detailed in Annex 1.

All non-conformities issued during witness audits or office assessments shall be closed by the certification body within 60 days. The IATF Oversight Office shall verify the effective implementation of the corrective action taken. Such verification may occur at a follow-up audit or at the next office assessment or witness audit. When a certification body cannot close issued non-conformities within 60 days, the IATF Oversight Office may extend the period with special monitoring activities. If a major non-conformity remains open after 60 days, the certification body de-recognition process shall begin.

The above table is the basis of IATF witness audits of the IATF certification scheme. IATF reserves the right to undertake additional activities in response to corrective action follow up, or based upon performance.

4.6   The certification body shall not operate as both a quality management system certification body and as a quality management system accreditation body.

4.7   Certificates to ISO/TS 16949:2002 shall only be issued by IATF contracted certification body offices for a maximum validity of three years (see 2.5).

4.8   The certification body shall not subcontract audits to ISO/TS 16949:2002. No activity except the use of auditors shall be sub-contracted.

4.9   An upgrade audit is an initial audit, and all the requirements of an initial audit apply except as modified below.

Existing certification(s)			Conditions for upgrading certification to ISO/TS 16949:2002
QS9000	VDA6.1	ISO 9001:2000	
		YES	INITIAL AUDIT DAYS MAY BE REDUCED TO THE AUDIT DAYS OF A RECERTIFCATION AUDIT defined in the Annex 3 *
YES		YES	INITIAL AUDIT DAYS MAY BE REDUCED BY NO MORE THAN 50% OF THE AUDIT DAYS OF AN INITIAL AUDIT defined in the Annex 3 *
	YES	YES	INITIAL AUDIT DAYS MAY BE REDUCED BY NO MORE THAN 50% OF THE AUDIT DAYS OF AN INITIAL AUDIT defined in the Annex 3 *
YES			INITIAL AUDIT DAYS MAY BE REDUCED BY NO MORE THAN 30% OF THE AUDIT DAYS OF AN INITIAL AUDIT defined in the Annex 3 *

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Page 12
of 46

- * If the scope is unchanged, only the 4 cases above can have reduced audit days. Consistent with the process approach, all additional requirements between the existing certification and ISO/TS16949:2002 shall be addressed, during "upgrade" audits..

- * If the scope is expanded, the audit days reduction of the table above can not be applied. 100% of the required audit days for the initial audit shall be applied.

- * The certification body shall be the same for the former certification and for the new ISO/TS 16949:2002 certification. In no case can an upgrade audit be performed prior to the first surveillance audit following a certificate transfer between certification bodies.

  Note : Whenever the 4.9 upgrade percentage reduction is applied, the maximum possible audit day reduction (when combined with non-product design responsible and corporate scheme) will be 50%.

4.10 If an organization certified to ISO/TS16949:2002, by a recognized certification body elects to change of certification body and to continue certification to ISO/TS16949:2002, then the following steps must be followed, in sequence

  - The new certification body must be recognized by IATF,

  - The existing certificate must be valid, with no open non-conformities,

  - The new certification body must perform a review of the previous audit report and all findings issued by the existing certification body,

  - The new certification body must perform a basic document review and a review of key indicators of quality management system performance,

  - The new certification body shall conduct an audit, the equivalent of a re-certification audit,

  - The new certification body must notify IATF of the change in certification,

  - The process must in all cases continue to meet the "Rules",

  - The new certification body shall enter the previous IATF certificate number into the IATF data base. This is to trigger the transfer of the historical certification data in the IATF data base.

4.11 IATF reserves the right to send a delegate to the executive management committee of the certification body to review the decision making process for ISO/TS16949:2002 certificates.

  If a certification body places an existing ISO/TS 16949:2002 certified organization on suspension (see Annex 4) because of quality management system non-conformities or a violation of the rules of certification, the certification body shall enter the information in the IATF data base and notify their IATF oversight office by email or fax, within 10 working days.

  If an organization is put on suspension because of a customer concern :

  - the date of suspension shall be the date of the customer concern, not the date of notification by the organization or the date of action by the certification body,

  - the certification body shall verify, on site, the effective implementation of corrective action before removing them from suspension.

  If a certification body withdraws the ISO/TS 16949:2002 certificate, the certification body shall:

  - enter the information in the IATF database,

  - notify the IATF by email or fax within 10 working days,

- require the organization to return its IATF certificate,

- require the organization to send out a written notice that it is no longer certified to its customers requiring ISO/TS 16949 certification.

4.12   The certification body shall report to IATF any change in status of its management system accreditation(s).

4.13   Cancellation of IATF recognition of a certification body for ISO/TS 16949:2002 may occur upon :

- Violation of any provision of the contract,

- Violation of these Rules,

- Loss of ISO 9001 accreditation,

- Failure to conduct a minimum of twenty-five (25) ISO/TS 16949:2002 site audits (initial, surveillance or recertification) per calendar year,

- Inadequate performance as identified by IATF.

In the event of loss of IATF recognition, the certification body is responsible for the remedies for their ISO/TS 16949:2002 certified organizations affected, including transfer of existing certifications to one of the IATF recognized certification bodies of the organization's choice (see 4.10).

5   ISO/TS 16949:2002 Certificate Content Requirements.

a. Certificates may be issued in the local language of the organization. However, an English version shall be available upon request,

b. Scope statement(s) including only all manufacturing activities for related products and services meeting the applicability of ISO/TS 16949:2002 (see 1.7) ,

c. Issue of the ISO/TS 16949:2002 edition , date of certification (date that the certification body makes the certification decision) and date of expiration (date of certification plus 3 years maximum), and permitted exclusions as defined in the clause 1.2 Application of ISO/TS 16949:2002,

d. List on the front page the company name and address. Any appendix/schedules that are a part of the certificate, must note that more pages are included, e.g. Page 1 of 3 and be endorsed with the certificate number,

e. Include any remote supporting functions , e.g. design centers, purchasing, contract review, etc., which are part of the quality management system and have been audited, including both their locations and scopes. If a remote supporting function supports more than one site, the remote supporting function shall appear on each site certificate,

f. Include the name of the contracted office of the certification body, (city / state / country) ,

g. List on a separate appendix any customers whose specific quality management systems requirements were included in the audit,

   Note : This appendix shall be reissued after a surveillance audit if the list changes,

h. The IATF logo (equal prominence with other marks),

i. For corporate site certificate, each site shall receive a separate certificate, with a common certification body certificate number plus suffix,

j. Have both the certification body certificate number and the IATF certificate number.

Certificates shall not reference other documents for which the certification body is not recognized by IATF (e.g. ISO 9001:2000).
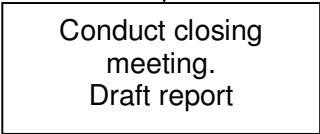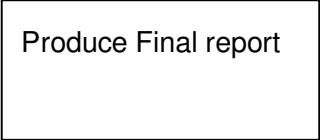
Annex 1 Rules for initial certification audit of quality management systems according to ISO/TS16949:2002

Phase description	Time sched.	Who	What
1. Activities before the site audit **Application and application review** *See ISO/IEC DIS 17021 9.2.1/2*	T_0 (starting point)	Organization	The Organization applying for the certification shall provide the certification body with the following information and documentation: Sufficient information on which to base a quotation for certification in accordance with the ISO/TS16949:2002 Certification Scheme Rules, including : • Number of employees, address, etc. • Scope of the certification • Product Design responsibility • Sites to be registered • Support functions remote or not • Quality management systems certifications obtained
DESIGN RESPONSIBILITY Contract between certification body and organization			**DESIGN RESPONSIBILITY** : For product design responsibility determination only 2 options are permitted: • Organization responsibility (including subcontracted design) • Customer responsibility In the case of subcontracted design, the auditor must verify that both organization and design subcontractors have appropriate capability to meet clause 7.3 requirements in its totality, including interfaces between organization and subcontractors.

Phase description	Time sched.	Who	What
  Establish Audit team		Certification body	The certification body shall comply with the audit team requirements according to the present "Rules" document, section 3, and Annexes 2 and 3 and : • Team of 2 auditors minimum if auditor-days requirements exceed 5. (see audit days table in Annex 3) • Language capability shall be adequate. When a translator is used, the audits days requiring translations shall be increased by a minimum of 20%.
Stage 1 audit - Readiness review S*ee ISO/IEC DIS 17021 Annex A*		Organization	The organization shall provide the following documentation to the audit team for review, and for use in planning the audit (see format in the IATF Guidance to ISO/TS 16949:2002): • Description of processes showing the sequence and interactions, including key indicators and performance trends for the previous 12 months, minimum • Evidence that all the requirements of ISO/TS 16949:2002 are addressed by the organization's processes • Quality manual (for each site to be audited) • Internal audit and management review planning and results from previous twelve months • List of qualified internal auditors • List of customer specific requirements • Customer satisfaction and complaints status, including customer reports and scorecards
	T_1 = approval of the readiness review	Certification body	The audit team shall determine : • The appropriate scope of the certification • Readiness for stage 2 site audit

Phase description	Time sched.	Who	What
Can the Stage 2 onsite audit be conducted ? →no→ **No site visit. Maintain Record** / yes		Certification body	If there is insufficient readiness to conduct the stage 2 site audit, the certification body and the organization can agree to stop the process. The certification body shall record this and the certification process shall start at stage T_0. Stage 1 audit results shall be documented and communicated to the client organization including identification of any areas of concern that could be classified as nonconformity during the stage 2 audit.
2. Audit planning Site audit days calculation		Certification body	The certification body shall comply with specified requirements for on-site audit days considering : • Number of employees including all staff and all shifts for all activities (see audit days in Annex 3) • The stage 2 site audit shall be completed within a 90 days period from the approval of readiness review.
Define Audit plan		Audit team leader	Audit team leader shall prepare the audit plan based upon information derived from the readiness review prior to site audit and communicate it to the organization.

May 31, 2004

Phase description	Time sched.	Who	What
3. Audit Stage 2 Site audit *see ISO/IEC DIS 17021 Annex B* **Hold opening meeting** Complete initial certification audit	T_2 = start of on site audit Within 90 days from T_1	Audit team	Initial certification audit activities shall be conducted according to the following rules : • Use the Automotive Process Approach (see Annex 5) • At each site included in certification scope, all relevant processes shall be audited • Within the process audit all ISO/TS 16949:2002 clauses shall be covered • Review effectiveness of the implementation of the ISO/TS 16949:2002 requirements and for effectiveness in practice, related to planned and achieved quality performance.
Provide feedback Continue the audit? —no→ Audit stopped. Maintain Record yes		Audit team	There should be regular communication between organization and the audit team regarding progress and results of the audit. All non-conformities shall be identified to the organization when detected by the auditor. Major nonconformities may provide a basis for termination of the audit by the audit team Leader in consultation with the organization. In this case the audit team Leader will stop the certification process immediately : a report will be prepared for the certification body (copy for the Organization). The certification body will record the reasons for termination and report to their IATF Oversight Office. When this occurs, any re-audit shall commence from T_0.

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Page 18 of 46

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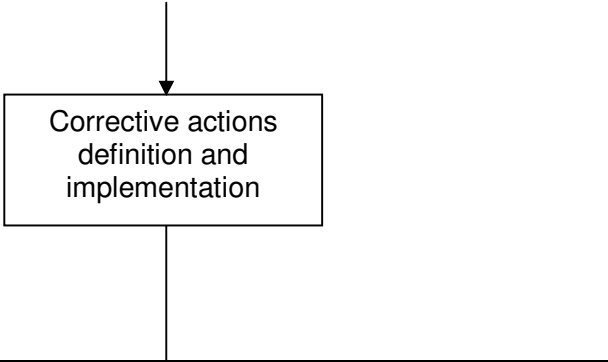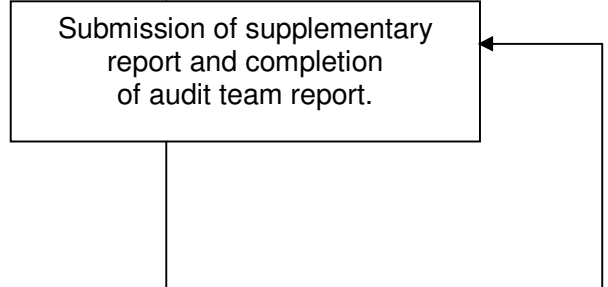
Phase description	Time sched.	Who	What
Conduct closing meeting. Draft report	T_3 = end of site audit T_2 + number of days as programmed	Audit team leader	At the end of the site audit, the audit team Leader conducts the final presentation and releases a draft report including : • description of all nonconformities • audit team recommendation to certification committee
Produce Final report	T_4 = issue of the final report within 15 working days from T_3	Audit team leader Audit team	Audit team leader within 15 working days after the end of the site audit will send to the organization and the certification body the final report in accordance with ISO19011 clause 6.6.1 and ISO/IEC DIS 17021 clause 9.2.4 and detailing the following: • Scope – products – list of all the customer specific requirements with issue level included in the audit • Summary of audited processes and related results • Non-conformities as evidenced during the audit process • Audit team (plus additional technical experts if any) • Cross-references of non-conformities to both the relevant clause of ISO/TS 16949:2002 and the organization's quality management system Issue the final report for acknowledgment by the organization whose representative will sign the report and receive a copy of it.

Phase description	Time sched.	Who	What
4. Nonconformities management Corrective actions definition and implementation Submission of supplementary report and completion of audit team report.	T_5 Within 90 days from T_3	Organization Audit team Audit team	Nonconformities shall be acknowledged by the organization. For each nonconformity the Organization shall perform a root cause analysis and define corresponding systemic corrective actions to be implemented as soon as possible, in any case within 90 days from the end of the site audit. The organization will inform the audit team of corrective actions and target date for implementation. The audit team may propose to the certification body a follow-up visit in order to verify the implementation of corrective actions. Upon verification of corrective action, a supplementary report shall be issued by the audit team to accompany the final audit report. The audit report is completed, if appropriate, by the submission to the certification body of the supplementary report detailing verification of corrective actions.

May 31, 2004

Phase description	Time sched.	Who	What

5. Certification issue

		Certification body	The certification body may require additional information in order to clarify any aspect of the audit team final report, before a certification decision can be made. The audit team leader shall report on all specific issues raised by the certification function.
Certification decision / *no* / *Supplement information needed ?* / *yes* / *no*		Audit team leader	Audit team leader shall submit the required information to the certification body within 7 days.
Conduct follow-up verification / No certification. Maintain Record / *yes* / *yes*		Certification body	Certificates will be issued only if there is 100% compliance to requirements, and nonconformities found during the audit are 100% resolved. 100% resolved means the following : • Containment of the condition to prevent risk to the customer • A documented evidence such as action plan, instructions, records to demonstrate the elimination of the non conformity condition, including assigned responsibilities or verification follow-up visit • This must have been achieved within 90 days of the end of the site audit.

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May 31, 2004

Phase description	Time sched.	Who	What
Certificate issued **enter in IATF database**	T_6 = certification decision date	Certification body	The certification body shall inform the organization of the decision. In case of positive decision, the certification body shall record the certificate information in the IATF database.

Surveillance activities :

Sections 2, 3 and 4 of the above flow chart shall be applied for surveillance audits in line with the requirements described in ISO/IEC DIS 17021 clause 9.3

Re-certification activities :

Sections 2, 3, 4 and 5 of the above flow chart shall be applied for re-certification audits in line with the requirements described in ISO/IEC DIS 17021 clause 9.4

Annex 2 Criteria for third party auditor qualification to ISO/TS 16949:2002

	Qualification Criteria
1) **ISO 9001:2000 Auditor Qualification**	▪ qualified according to ISO 19011 and the relevant accreditation body rule ▪ competency in : - ISO quality standards - audit management - team work techniques and presentation - interview techniques
2) **Automotive Industry specific skills**	Automotive core tools knowledge and competence
3) **Minimum work experience**	Have related ISO 9001:2000 auditing experience : At least 3 (three) ISO 9001: 2000 third party audits as a lead auditor in manufacturing industries. Note : Automotive manufacturing first or second party auditing experience may be considered. AND in addition: Six (6) years full time appropriate practical experience (including 2 years dedicated to Quality Assurance activities) in the past ten (10) years in an organization meeting the applicability of ISO/TS 16949:2002 (see 1.7) . Note : Experience in industries with similar scopes of applicability in chemical, electrical or metallic commodities may be considered .

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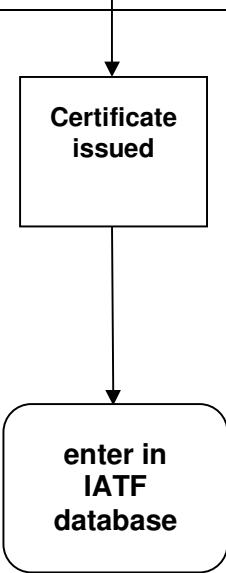© 2004 - DaimlerChrysler, © 2004 - Ford Motor Company, © 2004 - General Motors Corp.
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Page 23
of 46

4) **IATF Sanctioned Automotive Training for ISO/TS 16949:2002**	- Auditor training is only open to an auditor sponsored by a IATF contracted certification body, accreditation body witness auditor or IATF nominees. - To apply to attend an IATF training session, the sponsoring certification body shall provide to the IATF for each candidate a file containing a copy of their existing qualifications including records demonstrating audit and work experience. This is contained in the auditor application form. This document expands the IATF requirements. - Only candidates with an accepted file will be allowed to attend the training and qualification course. Note : abbreviated IATF sanctioned automotive training courses are allowed for auditors previously qualified to ISO/TS 16949:1999. - All auditors must successfully complete the common IATF ISO/TS 16949:2002 sanctioned auditor examination, irrespective of existing qualification. - An auditor qualification certificate will be valid for a period of three years. Auditor re-certification is required within this period. - Failure to conduct a minimum of three (3) ISO/TS 16949:2002 audits with a minimum total of six (6) audit days, per year, will result in withdrawal of the qualification certificate.

May 31, 2004

Annex 3 Audit days for certification to ISO/TS 16949:2002

Table of minimum audit days for initial certification stage 2 audit and re-certification audit

Initial certification Stage 2 site audit

Audited entity : Number of employees	Minimum audit days for Stage 2 site audit
1 – 6	2.0
7 – 11	2.5
12 – 18	3.0
19 – 27	3.5
28 – 39	4.0
40 – 54	4.5
55 – 71	5.0
72 – 93	5.5
94 – 117	6.0
118 – 146	6.5
147 – 179	7.0
180 – 216	7.5
217 – 257	8.0
258 – 304	8.5
305 – 348	9.0
349 – 422	9.5
423 – 507	10.0
508 – 602	10.5
603 – 711	11.0
712 – 832	11.5
833 – 968	12.0
969 - 1119	12.5
1120 – 1286	13.0
1287 – 1470	13.5
1471 – 1673	14.0
1674 – 1895	14.5
1896 – 2138	15.0
2139 – 2402	15.5
2403 – 2688	16.0
2689 – 2999	16.5
3000 – 3334	17.0
3335 – 3695	17.5
3696 – 4084	18.0
4085 – 4502	18.5
4503 – 4949	19.0
4950 - 5427	19.5
5428 – 5937	20.0
5938 – 6482	20.5
6483 – 7061	21.0
7062 – 7676	21.5
7677 +	22.0

Re-certification audit

Audited entity : Number of employees	Minimum audit days for re-certification audit
1 – 14	2.0
15 – 28	2.5
29 – 49	3.0
50 – 80	3.5
81 – 122	4.0
123 – 176	4.5
177 – 246	5.0
247 – 332	5.5
333 – 436	6.0
437 – 562	6.5
563 – 710	7.0
711 – 883	7.5
884 – 1082	8.0
1083 – 1310	8.5
1311 – 1569	9.0
1570 – 1860	9.5
1861 – 2187	10.0
2188 – 2551	10.5
2552 – 2953	11.0
2954 – 3398	11.5
3399 – 3886	12.0
3887 – 4419	12.5
4420 – 5001	13.0
5002 – 5632	13.5
5633 – 6317	14.0
6318 – 7057	14.5
7058 +	15.0

When calculating audit days, the result shall be rounded up to the nearest half day.

An audit day is typically a full normal working day of 8 hours. The number of audit days may not be reduced by programming longer hours per work day. The only exception is on days when shift working is being covered, see item 6 below.

A maximum of 10 % of the total audit time may be allocated to writing the audit report.

Requirements on audit days

1. Audited entity in the table above means site and supporting functions remote or not covered by the certification scope. The number of employees is the total of those on site and in supporting activities.

2. Initial certification audit includes audit stage 1 - readiness review (one or two days on site) and audit stage 2 – site audit (see table above), but not pre-audit time.

3. On-site review of corrective actions arising from previous audits will be additional to the specified audit days.

4. The only deviations permitted from the calculation illustrated in the table is either upgrade from the current third party certifications as detailed in 4.9 or adoption of the "corporate" scheme detailed below.

5. In cases such as simple processes, or demonstrated performance, the specified audit days of the table shall be applied for the initial and re-certification audit, but if in the light of certification body experience a good case can be made for reduced audit days for the balance of the cycle, application shall be made prior to the next surveillance audit to the IATF Oversight Office.

6. Each audit shall include auditing on all shifts. If crews are dedicated and non-rotating, then all crews shall be audited.

7. Non product design responsible organizations (see definition of design responsibility in Annex 1) may reduce on-site audit days by 15 %.

8. If a portion of the site is dedicated to automotive and completely separated in terms of "employees' activity" then and only then can this portion of the head count be used for the days calculation after application to, and approval from the IATF oversight office. In this case the same ratio should be applied to support staff head count.

9. The number of surveillance audit days during the period of validity of the certificate shall be the number of initial audit days in the calculation illustrated in the table above. There shall be at least one surveillance audit per year (minus three months, plus one month). Surveillance audits shall be of equal duration and rounded up to the nearest half day.

10. When a translator is used, the audits days requiring translation shall be increased by a minimum of 20%.

May 31, 2004

Corporate Audit scheme

A "Corporate" Audit Scheme can be applied where multiple manufacturing sites are assessed together with supporting locations to be provided corporate site certificates.

The following additional rules apply before a certification body can apply a "Corporate" audit scheme for ISO/TS 16949:2002.

In order to adequately assess the quality management system, it is necessary to audit every site but it is the responsibility of the certification body to develop an audit plan whose total days are based upon the minimum calculation. How the days are distributed between the site(s) and any supporting functions remote or not is the responsibility of the certification body. If the certification body moves significantly from the base head count distribution calculation, an explanation is required in the audit plan documents.

The conditions required of the organization for a "Corporate audit scheme" include :

a) The quality management system must be centrally structured and managed, and subjected to regular ISO/TS 16949:2002 compliant internal audits at all sites.

b) The quality management system must comply with ISO/TS 16949:2002.

c) The balance of activities which could be centrally managed include:

    1) strategic planning, policy making;

    2) contract review, where local acceptance of orders is permitted;

    3) approval of suppliers;

    4) evaluation of training needs (activity may have local aspects);

    5) quality management system documentation (Level 1 and Level 2) and changes in same;

    6) management review;

    7) evaluation of corrective actions;

    8) internal audit planning and evaluation of the result;

    9) quality planning and continuous improvement activities (activity may have local aspects); and

    10) design activities.

      Note : Variations are acknowledged due to size and/or organizational structure.

The certification body must establish, during the quotation process, how the multiple site company falling under the "Corporate" audit scheme meets these requirements.

Audit days adjustment for "Corporate" Audit Scheme

"Corporate" schemes apply only to multiple site certifications based on a "corporate" quality management system. As a minimum, for a "corporate" site certificate, the percentage reduction in the calculation of on-site audit days per site shall not be more than the percentage in table below. The same logic applies to the surveillance audit days calculation. Remote functions, e.g. Engineering, Purchasing, must be audited as they support a site(s).

Table : Audit days Adjustment for "Corporate" Audit scheme

Number of sites	Percent reduction
2 to 9	20
10 to 19	30
20 and above	40

The certification body shall treat these audit days as true minimums.

The cumulative effects of the reductions allowed for a non-product design responsible organization, up-grading audits and corporate scheme can not exceed 50% of the full initial audit days.

Deviations proposals shall be approved by IATF prior to commencement to the audit.

The actual on-site initial audit days must be reported in the audit report.

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Page 28
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Annex 4 Decertification process to ISO/TS 16949:2002

In addition to the documented process already existing in clause 2.1.5.3 of the ISO/IEC Guide 62 :1996 (or EN 45012) which content is :

"The certification/registration body shall have procedures to

      a) grant, maintain, withdraw and, if applicable, suspend certification/registration ;

      b) extend or reduce the scope of certification/registration ;

      c) conduct reassessment in the event of changes significantly affecting the activity and operation of the organization (such as change of ownership, changes in personnel or equipment), or if analysis of a complaint or any other information indicates that the certified/registered organization no longer complies with the requirements of the certification/registration body."

All IATF recognized ISO/TS 16949:2002 certification bodies shall apply the following definitions and documented process as explained below and in the associated flow chart *:*

Decertification process : actions or decisions to be taken by the certification body when events occur indicating that the initial conditions of the issue of the ISO/TS 16949:2002 certificate to a organization are no longer satisfied. The starting point could be information coming from the organization (significant changes of ownership, interruption of activity,…), from the certification body (non conformity observed during a surveillance audit, delayed surveillance audits requested by the organization, non-compliance with a clause of the certification contract by the organization,…), from an ISO/TS16949:2002 recognizing customer (poor quality performance of the organization, …) or from claims from other customers of the organization or information from the field.

Granting of a certificate : A certificate is issued by a certification body, with a defined period of validity and with a defined scope of certification.

Maintaining a certificate : A certificate's validity is subject to the ongoing surveillance audits, re-certification audits, and other conditions defined in the contract with the certification body.

Suspension : Suspension is a temporary status not exceeding 120 days (unless approved by the IATF oversight office) which can only end by the full reinstatement, or withdrawal of the certificate. During the suspension period, the certificate remains valid and is still recognized by the IATF.

Withdrawal of a certificate : definitive interruption of the validity of an ISO/TS 16949:2002 certificate, as a sanction from the certification body following a organization non-compliance of the certification contract.

Cancellation of a certificate : action to nullify a certificate at the request of the certified company to interrupt the certification contract, or by decision of the certification body after verification of the definitive end of the certified activity, for example when an organization that has been certified no longer has products or services that meet the applicability for a period of 12 months, the certification body shall cancel the certificate. This is not a sanction.

In the case of withdrawal or cancellation, the previously certified entity is delisted from the current certified data base of the certification body

Corporate Site Certification : In the event of corporate site certification, if a single corporate site loses its certificate based upon performance issues, then all related corporate sites also lose their certification.

Time	IATF Oversight Office	IATF recognized ISO/TS 16949:2002 Certification body	ISO/TS 16949:2002 Certified organization

Starting point

Customer claim

- Field information,
- postponed surv. audit
- Non conformity,…

Organization request

Analysis

No action — Suspension Decision

10 days max

yes

+ 30 days max — notification

Corrective action plan

Verification of corrective actions — When needed → Unscheduled audit

+ 110 days — decision

10 days max

withdrawal

reinstatement

+ 120 days max — notification

Any deviation from this process is to be submitted for approval to the IATF Oversight Office before application .

Annex 5 :   Automotive Process Approach auditing

IATF expects ISO/TS 16949:2002 auditors to audit based upon the customer oriented processes defined by the organization. This model was introduced further to ISO 9001:2000 and refers to the fact that any organization needs customer input to comply to specified and expected needs of the customer (output) in order to achieve customer satisfaction. This is accomplished by value adding processes of product realization and appropriate support processes, both enabled by management processes and provided resources.

The Automotive Process Approach to auditing for ISO/TS 16949:2002 must not be driven by a "clause" or a "section" driven checklist

The Process Model and the introductory sections of ISO 9001:2000 and ISO/TS 16949:2002,the Technical Specification requirements, and the "Rules" specify the need to define an organization's processes.

> **Any ISO/TS 16949:2002 auditor therefore must be capable of understanding the**
> **IATF Automotive Process Approach**
> **as well as the process approach and process map of the audited entity.**

Automotive Process Approach auditing includes the following activities:

- Identification of the organization's processes based on quality management system documentation and any additional information provided by the organization (see section 4.1 a) of ISO/TS 16949:2002), including evidence that all the requirements of ISO/TS 16949:2002 are addressed by the organization's processes
- Analysis of processes according to the criteria
  - Products and/or services provided to customer
  - Risks to the customer
  - Interfaces (inputs/outputs)
  - Identification of group processes for economical and effective audit
- Prioritization of audit activities considering
  - Customer requirements, including customer-specific quality management system requirements
  - Follow up issues of prior audits (external and internal)
  - Customer satisfaction and complaints status, including customer reports and scorecards
  - Key indicators trends for the previous 12 months, minimum
  - Value (add) to audited organization
- Finalization of audit plan including sequence / process steps, timing, interview partners and application of Rules for achieving IATF recognition.
- Conducting the audit considering the following :
  - The organization's definition of their processes including their sequence and interactions
  - Where practical, the auditor shall examine processes where they occur
  - Objective evidence of both compliance and noncompliance with requirements shall be recorded

During creation of the audit plan consider the IATF Automotive Process Approach, "customer oriented processes", support processes, "octopus", and "turtle" models utilized during the IATF training/qualification course for third party auditors. See also, 1 Scope -1.1 General, and Readiness Evaluation Worksheet, IATF Guidance to ISO/TS 16949:2002.

For review of the audit the following reference table or equivalent shall be used to verify the completeness of the audit.

Table for verification of the completeness of the process oriented auditing versus ISO/TS 16949:2002 requirements

Process	4.1	4.2	5.1	5.2	5.3	5.4	5.5	5.6	6.1	6.2	6.3	6.4	7.1	7.2	7.3	7.4	7.5	7.6	8.1	8.2	8.3	8.4	8.5

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Annex 6 – Selection from ISO/IEC DIS 17021

The content of this annex is an excerpt from the ISO/IEC DIS 17021 dated 2004-04-23.

ISO retains its copyright on this wording and notes that the wording may be subject to change .

5.1.2   Certification agreement

The certification body shall have a legally enforceable agreement for the provision of certification services to its client organisations. In addition, where there are multiple offices of certification bodies or multiple sites of a certified client, the certification body shall ensure there is a legally enforceable contractual relationship between the certification body granting certification and issuing a certificate, and the certified client.

7.2.5   The certification body shall have a process for ensuring that the auditors it uses (including audit team leaders) are competent both as auditors in the generic sense and for auditing in specific technical areas as defined by the certification body. Appropriate documented requirements to this effect shall be based on the guidance provided in ISO 19011, Clause 7.

9.1.1   The certification body shall have a process for selecting and appointing the audit team, including the audit team leader taking into account the competence needed to achieve the objectives of the audit. This process shall be based on the guidance provided in ISO 19011, 6.2.1 and 6.2.4, transformed into appropriate documented requirements.

9.2 Initial audit and certification

9.2.1   Application

The certification body shall require an authorised representative of the applicant organization to provide the necessary information to enable it to establish:

a)   the desired scope of the certification;

b)   the general features of the applicant organization, including its name, address(es) of its physical location(s)

c)   general information, relevant for the field of certification applied for, concerning the applicant organization such as its activities, human and technical resources, functions and relationship in a larger corporation, if any; and

d)   the standards or other requirements for which the applicant organization is seeking certification; and

e)   information concerning the use of consultancy relating to the management system.

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9.2.2 Application review

9.2.2.1 Before proceeding with the audit, the certification body shall conduct a review of the application and supplementary information for certification to ensure that:

a) the information about the applicant organization and its management system is sufficient for the conduct of the review;

b) the requirements for certification are clearly defined, documented and have been provided to the applicant organization;

c) any known difference in understanding between the certification body and the applicant organization is resolved;

d) the certification body has the competence and ability to perform the certification service. Scope of certification sought, location and number of the applicant organization's operations, time required to complete audits and any other points influencing activities or the certification process shall be considered (language, safety conditions, threats to impartiality, etc.). Based on this review, the certification body shall determine the competences it needs to include in its audit team (see 7.2.5);

e) records of the justification for the decision shall be maintained.

9.2.2.2 Where a certification body is taking account of certifications or other audits already granted to the applicant organization, it shall collect sufficient, verifiable information to justify and record any adjustments to the audit programme.

9.2.2.3 After having conducted the application review, the certification body shall notify the applicant that it is accepting or not accepting the application. The reasons of non-acceptance must be conveyed to the applicant.

9.2.2.4 Before commencing the audit, an agreement (see 5.1.2 and 8.6.1.1d) shall be established between the certification body and the applicant organization which:

a) defines the scope of work to be undertaken, including the intended scope of certification and site details;

b) requires the applicant organization to supply any information needed for its intended certification;

c) requires the applicant organization to conform to the requirements for certification.

9.2.2.5 The certification body shall, in response to an application for extension to scope of a certification already granted, undertake a feasibility review and audit activities necessary to determine whether or not the extension may be granted.

9.2.2.6 The audit team shall be appointed (see 9.1.1) and composed of auditors (and technical experts as necessary) who, between them, have the totality of the competences identified by the certification body as set out in 9.2.2.1d) for the certification of the applicant organization. The selection of the team shall be performed with reference to the designations of competence of auditors and technical experts made under Clause 7.2.5, and may include use of both internal and external human resources.

9.2.3 Initial certification audit

The initial certification audit of a management system shall be conducted in two stages, which are described in normative Annexes A and B.

9.2.4 Initial certification audit reports

9.2.4.1 The certification body shall have documented reporting procedures. The stage 1 audit report shall include comments on the adequacy of the management system documentation, the organization's analysis of key performance or significant aspects and whether the level of implementation of the management system indicates that it is ready for the stage 2 audit. The stage 1 audit report shall report on the requirements in A.2. The stage 2 audit report shall be based on the guidance provided in ISO 19011, Clause 6.6.1.

9.2.4.2 As a minimum these documented procedures shall ensure that a written audit report is promptly provided to the audited organization, including audit findings and conclusions, positive and negative, on fulfilment, including effectiveness, of the management system (in particular, referencing the effectiveness of the internal audit process and achievement of policy commitments) with all requirements of the standard, including identifying any nonconformities.

9.2.4.3 Ownership of the audit report shall be maintained by the certification body.

9.2.5 Post-audit activities

9.2.5.1 The audited organization shall be requested to describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities and their causes, within a defined time, to remedy any identified nonconformities.

9.2.5.2 The audited organization shall be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits), will be needed to ensure effective correction and corrective actions.

9.2.5.3 Correction and corrective actions by the audited organization shall be reviewed by the audit team leader (and if necessary other members of the audit team) to determine if the actions are sufficient and, if already implemented, effective.

9.3 Surveillance activities

9.3.1 Surveillance

9.3.1.1 The certification body shall have an established programme for carrying out periodic surveillance audits at sufficiently close intervals to confirm that the certified management system continues to fulfil all certification requirements. The certification body shall conduct audits, as necessary, to confirm the continued conformity and effectiveness of the management system.

9.3.1.2 The certification body shall develop its surveillance activities so that representative areas and functions covered by the scope of the management system are audited on a regular basis.

9.3.1.3 The audit plan shall include, as a minimum, the information in ISO 19011, 6.4.1, a-g.

9.3.1.4 Surveillance activities shall include periodic on-site surveillance audits assessing the certified client's fulfilment of specified requirements with respect to the standard against which the certification is granted, and may also include:

a) enquiries from the certification body to the client on aspects concerning the certification;

b) reviewing the client's declarations with respect to its operations;

c) requests to the client to provide documents and records (on paper or electronic media);

d) other means of monitoring the certified client's performance.

9.3.1.5 The date of the first surveillance audit, following initial certification, shall be programmed from the end of stage 2 of the initial audit.

9.3 2 Surveillance audit

9.3.2.1 On-site surveillance audits are normally less comprehensive in scope than initial certification audits and recertification audits, but shall be planned together with the other surveillance activities, so that the certification body can maintain confidence that the certified management system continues to fulfil requirements in between recertification audits.

9.3.2.2 The certification body shall have a process for conducting surveillance audits based on the guidance provided in ISO 19011, 6.5, transformed into an appropriate requirement. Irrespective of other surveillance activities, on-site surveillance audits shall be conducted at least once a year.

9.3.2.3 Surveillance activities shall include a review of any changes to the certified client and management system. Surveillance audits shall include:

   a)   internal audits and management review;

   b)   complaints;

   c)   effectiveness of the management system with regard to achieving the certified client's objectives;

   d)   progress of planned activities aimed at continual improvement; and

   e)   use of marks or any other reference to certification.

9.3 3 Surveillance audit report

9.3.3.1 For surveillance audits, the report from the audit team to the certified client and to the certification body shall reflect the requirements of the management system reviewed, and comments on the fulfilment of certification requirements, including effectiveness, of the audited organization's management system. This report shall be based on the guidance provided in ISO 19011, 6.6.1, transformed into appropriate documented requirements.

9.3.3.2 When, during a surveillance audit, instances of nonconformity or lack of evidence of conformity are identified, the certification body shall define time limits for correction and corrective actions to be implemented.

NOTE   It is recommended that time limits be based on the severity of the nonconformity and its impact.

9.3.3.3 The surveillance audit report shall contain a report on the review and verification of the continued effective implementation of corrective action for every nonconformity from the present surveillance audit and the previous audit.

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Page 36
of 46

9.4 Recertification

9.4.1 Recertification cycle

The time interval between the initial certification audit and re-certification audit or between two re-certification audits shall not exceed 3 years.

9.4.2 Recertification audit plan

9.4.2.1 A recertification audit shall be planned and conducted to evaluate the requirements of the relevant normative document. The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification.

9.4.2.2 The recertification audit shall also provide for a review of the performance of the management system over the period of certification, and include at least the points listed in a surveillance audit (9.3.2).

9.4.2.3 Recertification audit activities may require a separate stage 1 audit for significant changes.

9.4.2.4 In the case of multiple sites or multiple management system certifications being provided by the certification body, the planning for the audit shall ensure adequate on-site audit coverage to provide confidence in the certification.

9.4.2.5 The results of recent surveillance audits and the certified client's internal audit(s) should be taken into account. The audit plan shall include, as a minimum, the information in ISO 19011, Clause 6.4.1, a-g.

9.4.3 Recertification audit

The recertification audit shall include an on-site audit (which may replace or extend a regular surveillance audit). This recertification audit shall address the following management system requirements:

a) the effective interaction between the processes of the management system;

b) the effectiveness of the management system in its entirety in the light of internal and external changes;

c) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;

d) that the operation of the certified management system contributes to the achievement of the organization's policy and objectives.

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Page 37
of 46

9.4.4 Recertification audit report

9.4.4.1 For re-certification audits, the report from the audit team to the certified client and to the certification body shall reflect the management system reviewed, and comments on the fulfilment of certification requirements, including effectiveness, of the audited organization's management system. This report shall be based on the guidance provided in ISO 19011, Clause 6.6.1, transformed into appropriate documented requirements.

9.4.4.2 When, during a recertification audit, instances of nonconformity or lack of evidence of conformity are identified the certification body shall define time limits for correction and corrective actions to be implemented.

NOTE   It is recommended that the time limits reflect the severity of the nonconformity and its impact.

9.4.4.3 The recertification audit report shall contain a report on the review and verification of the continued effective implementation of corrective action for every nonconformity from the previous audit.

9.4.5 Recertification decision

9.4.5.1 The certification body shall ensure that the persons or committees that make the recertification decisions are different from those who carried out the audits.

9.4.5.2 The individual or group that makes the decision on renewing the certification shall include a level of knowledge and experience sufficient to evaluate the audit processes, results, and recommendations of the audit team (see 7.2.9).

9.4.5.3 The certification body shall make decisions on renewing certification based on the results of re-certification audit as well as the results of the review of the system over the period of certification and the complaints received from users of certification.

Annex A Stage 1 audit

A.1   Stage 1 audits shall have an audit plan (see 9.1.3) that address the points defined in A.2. Normally the certification body shall perform the stage 1 audit of a client organization's management system on-site. In exceptional cases stage 1 could be carried out without a visit. The decision not to carry out a site visit should be justified, documented and the client should be informed that planning of stage 2 audit might not be accurate. Such justification should be based on the organizations size, location, risk considerations, previous knowledge, etc.

A.2   The stage 1 audit shall be performed to:

a)   evaluate the applicant organization's location and site-specific conditions and to undertake discussions with the client organization's personnel to determine the preparedness for the stage 2 audit;

b)   review the client organization's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;

c)   collect necessary information regarding the scope of the management system, processes and location(s) of the client organization, and related statutory, regulatory aspects and compliance, e.g. quality, environmental, legal aspects of the applicant organization's operation, associated risks etc;

d)   review the allocation of resources for stage 2 and agree with the client organization on the details of the stage 2 audit;

e)   provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the management system, site operations in the context of possible significant aspects of the applicant organization's management system;

f)   evaluate if the internal audits and management review are being planned and performed effectively and that the level of implementation of the management system substantiates that the client organization is ready for the stage 2 audit.

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Page 39
of 46

Annex B Stage 2 audit

B.1   Stage 2 audits shall have an audit plan (see 9.1.3). The plan shall follow the guidance as detailed in ISO 19011, 6.4.1 a-g.

The stage 2 audit shall take place at the site(s) of the client organization. The purpose of the stage 2 audit is to evaluate the implementation and effectiveness of the client's management system.

B.2   The audit team shall conduct the stage 2 audit to gather audit evidence that the management system conforms to the standard and other certification requirements.

B.3   The audit team shall audit a sufficient number of examples of the activities of the client organization in relation to the management system and activities to get a sound appraisal of the implementation, including effectiveness, of the management system.

B.4   As part of the audit, the audit team shall address a sufficient number of the staff, including top management and operational personnel of the audited facility, to provide assurance that the system is implemented and understood throughout the client organization.

B.5   The audit team shall analyse all information and audit evidence gathered during the stage 1 and stage 2 audits to determine the extent of fulfilment with all certification requirements and decide on any nonconformity. The audit team may suggest possible areas for improvement, to be presented to the client organization as opportunities for improvement, but shall not recommend specific solutions.

B.6   The stage 2 audit shall cover an examination of the organization's processes which address at least the following:

a) information and evidence about conformity to all requirements of the applicable normative document;

b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets;

c) the system organization and performance as regards legal compliance;

d) operational control;

e) internal auditing and management review;

f) management responsibility for the client organization's policies;

g) links between policy, performance objectives and targets.

B.7   Post-audit activities shall cover at least the following:

a) a record of any identified and agreed nonconformities shall be left with the client prior to departure from the audit site;

b) establishing the audit report specified in 9.2.4.

Annex 7 - Main changes from the Rules 1st edition dated March 19, 2002

Was in the Rules for ISO/TS 2002 1st edition		Is now in the Rules for ISO/TS 2002 2nd edition	
0	Cover	**0**	Cover
0.1	Cover back	**0.1**	**Addition** of summary of IATF works and roles.
0.2	Foreword	**0.2**	Wording improved. **Addition** of normative precision for annexes.
1	**Certification body**	**1**	**Certification body**
1.1	General	**1.1**	**Addition** of precision on application process not included in the Rules. **Addition** of description of CB processes and internal audits with process approach.
	Multiple offices CB	**1.2**	Split into 2 bullets with simplified wording.
1.2	Conformity to guide 62	**1.3**	No change.
1.3	Complaints procedure	**1.4**	**Addition** of details added on corrective action process.
1.4	Conflict of interest, consulting, pre-audit	**1.5**	Wording improved.
		1.6	**New** : rules for pre-audit.
1.5	Certification scope	**1.7**	Wording improved to be consistent with applicability of ISO/TS 16949:2002.
1.6	Veto power	**1.8**	Wording improved.
		1.9	**New** :requirement of CB's internal witness audit process.
1.7	IATF data base inputs	**1.10**	**Addition** of precisions added about data base entries.
		1.11	**New** : Requirements about CB's records.
2	**Audit process**	**2**	**Audit process**
			New : Reference to the 2 stages audit defined in the future ISO 17021. **New** : Use of audit days calculator software.
2.1	Certification process	**2.1**	**Addition** of reference to ISO 17021.
2.2	Conformance	**2.2**	**Addition** of NO sampling for corporate scheme coming from 2.3 of 1st edition. **Addition** of precisions on termination of an audit.
2.3	Supporting functions	**2.3**	**Addition** of precisions when also activities out of scope, about sequence of audits, and frequency of audits of supporting functions. **New** : addition of precisions when supporting functions support many sites. **New** : conditions when several CB audit the support functions.
2.4	Letter of conformance	**2.4**	**Revised** conditions : new site or supplier on a bid list only.

May 31, 2004

2.5	3 year cycle	**2.5**	**Addition** of details and of the audit/certificate diagram cycles.
		2.6	**New** :audit according to process approach.
2.6	Audits content	**2.7**	**New** : precisions on each audit content. **Addition** of 2.11 of 1st edition.
2.7	CB checklist		**Deleted** : NO more reference to any checklist.
		2.8	**New** : definition of audit finding.
2.8	MAJOR NC and minor nc	**2.9**	No change to the definitions. **Addition** of non closure during the audit and requirements for closure.
		2.10	**New** : Conditions to certification and start of decertification.
2.9	Audit plan	**2.11**	Improved wording.
2.10	QMS effectiveness	**2.12**	**Addition** of internal audits process based.
2.11	Content of audits		Moved to 2.7.
3	**Audit team**	**3**	**Audit team**
	Auditors requirements	**3.1**	**New** : Auditors requirements.
3.1	Audit team	**3.2**	Simplified wording.
3.2	Auditor/audit cycle	**3.3**	Improved wording.
3.3	Auditor performance evaluation	**3.4**	Improved wording, **Addition** of internal witness audit process.
3.4	Audit report	**3.5**	Simplified wording, **Deletion** of opportunities for improvement.
3.5	Certification contract	**3.6**	**Addition** of notification of changes and only authorized use of IATF logo.
4	**Other requirements**	**4**	**Other requirements**
4.1	Consultants and audit	**4.1**	No change.
4.2	Support to IATF oversight activities	**4.2**	No change.
4.3	IATF copyright and logo	**4.3**	**Addition** of precisions.
4.4	Initial witness audit	**4.4**	**Additions** of precisions and improved wording.
4.5	On going witness audits	**4.5**	Extension of the table. **Addition** of assessments to other offices, requirements of schedule of audits and documents. **Addition** of NC closure conditions.
4.6	CB / AB	**4.6**	Improved wording.
4.7	ISO/TS certificates issuance	**4.7**	No change.
4.8	Subcontracted audits	**4.8**	Simplified wording
4.9	Upgrading conditions	**4.9**	**Updated** conditions according to still existing certifications. **Addition** of condition of upgrading after a transfer of certificate and of a Note with limits of cumulative reductions.

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Page 42
of 46

4.10	CB Change and Transfer after ISO/TS certification	**4.10**	**Addition** of conversion audit conditions and entry in the data base.
4.11	IATF right and certificate suspension	**4.11**	**Addition** of actions to take when suspension and withdrawal.
		4.12	**New** : report of change in QM accreditation.
4.12	Cancellation of recognition	**4.13**	Precisions on conditions, and consequences.
5	**Certificate content requirements**	**5**	**Certificate content requirements**
		5a	**New** : language precisions.
5a	Scope statement	**5b**	Wording adapted to ISO/TS applicability.
5b	Dates and exclusions	**5c**	**Changes** on issue and expiration dates.
5c	Reference to the Rules		**Deleted.**
5d	Name, address	**5d**	No change.
5e	Multi sites		**Deleted.**
5f	Remote locations	**5e**	Location **replaced** by supporting function.
5g	Name of CB's contracted office	**5f**	No change.
5h	List of customer specific requirements	**5g**	List of customers with specific requirements **instead of** list of the requirements.
5i	IATF logo	**5h**	No change.
5j	Multi sites	**5i**	Multiple sites **replaced by** corporate, and **Addition** of One certificate for each site.
5k		**5j**	Improved wording.
6	**Forms and tables**		
6.1	Reports by CBs		**Deleted.**
6.1.1	Data on certification activities		**Deleted.**
6.1.2	Data on auditors		**Deleted.**
6.1.3	Activity of auditors		**Deleted.**

Annex 1	Rules for auditing QMS according to ISO/TS 16949 : 2002.	Annex 1	Rules for initial certification audit of QMS according to ISO/TS 16949 : 2002.
Annex 1 – 1		**Annex 1 – 1**	
Box 1	Request for certification	**Box 1**	**Addition** of reference to ISO 17021, Simplified wording.
Box 2	Certification contract	**Box 2**	No change.
		Box 3	Establish audit team **moved** from Annex 1 – 2 Box 2 of the 1st edition **Addition** of translation increased audit days.
Box 3	Readiness review	**Box 4**	**Addition** of definition of T1. **Addition** of reference to ISO 17021 stage 1 audit. **Addition** of process description in required documentation. Deletion of pre-audit as not part of the ISO/TS certification process.
Box 4	Certification audit	**Box 5**	Improved wording.
Annex 1 – 2		**Annex 1 – 2**	
Box 1	Audit days calculation	**Box 1**	Wording adapted to 2 stages audit.
Box 2	Establish audit team		**Moved** to Annex 1 – 1 Box 3.
Box 3	Define audit plan	**Box 2**	No change.
Box 4	Monthly audit schedule		**Deletion** as not part of the certification process.
Annex 1 – 3		**Annex 1 – 3**	
Box 1	Site audit	**Box 1**	**Addition** of definition of T2. **Addition** of reference to ISO 17021 stage 2 audit. **Deletion** of use of the checklist. **Addition** of new precisions.
Box 2	Provide feedback	**Box 2**	Improved wording.
Box 3	Conduct closing meeting	**Box 3**	**Addition** of definition of T3. **Deletion** of opportunities for improvement.
Box 4	Produce final report	**Box 4**	**Addition** of references to ISO 19011 and 17021. **Deletion** of opportunities for improvement.
Annex 1 – 4		**Annex 1 – 4**	
Box 1	Non-conformities management	**Box 1**	T5 **changed** starting point was T4 is now T3. **Addition** of acknowledgment of NC. **Addition** of proposal of follow up audit coming from Box 2 of 1st edition.
Box 2	Supplementary report	**Box 2**	**Addition** of verification of corrective action coming from Box 1 of 1st edition.
Annex 1 – 5		**Annex 1 – 5**	
Box 1	Certification decision	**Box 1**	**Change** to the 90 days period end date.

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May 31, 2004

Page 44
of 46

Box 2	Certificate issue	**Box 2**	**Addition** of definition of T6. **Deletion** of the 2nd bullet.
			New : addition of content of surveillance activities.
			New : addition of content of re-certification activities.
Annex 2	**Criteria for third party auditor qualification to ISO/TS 16949:2002**	**Annex 2**	**Criteria for third party auditor qualification to ISO/TS 16949:2002**
Box 1		**Box 1**	**Deletion** of reference to ISO 10011.
Box 2		**Box 2**	No change.
Box 3		**Box 3**	**Change**s in ISO 9001 audit experience and in industry experience. **Deletion** of condition B) related to automotive auditors. **Deletion** of last sentence about waivers.
Box 4		**Box 4**	**Addition** of precision about application form.
Annex 3	**Audit days for certification to ISO/TS 16949 :2002t**	**Annex 3**	**Audit days for certification to ISO/TS 16949 :2002t**
	Table	**Table**	**New** : table with reduced steps. **Addition** of precision for use.
	Requirements on audit days		**Requirements on audit days.**
		1	**New** : Entity explanation, coming partly from 7) of the 1st edition.
1		**2**	Wording **adapted** to 2 stages audit.
2		**3**	Previous replaces initial.
3		**4**	No change.
4		**5**	Improved wording.
5		**6**	Improved wording.
6		**7**	No change, reference to annex A1 added.
7		**8**	**New** : site partly working for automotive.
		9	**New** : definition of surveillance audit days.
		10	**New** : Increased audit days when translation.
	Corporate considerations		**Corporate audit scheme**
	Audit plan responsibility		**Addition** of precisions.
	Conditions required		**New** 1) strategic planning and policy making 2) where organization **is replaced** by suppliers.
	Audit days adjustment		Improved wording. Table **changed** to give the % reduction. **Addition** of limits for cumulative reductions.

Annex 4	Decertification process to ISO/TS 16949:2002	Annex 4	Decertification process to ISO/TS 16949:2002
	Decertification process		**Deletion** of "major" before NC, **Addition** of "surveillance" before audit.
	Granting a certificate		No change.
	Maintaining a certificate		No change.
	Probation		Suspension **replaces** Probation. Improved wording for definition of suspension.
	Withdrawal		No change.
	Cancellation		**Addition** of example.
	Corporate certificates		Wording adapted to new corporate sites certificate.
	Flow chart		**Change** : maximum time is now 120 days.
		Annex 5	**Automotive process approach audit**
			New : text based on the wording of chapter one of the checklist document (now dead).
		Annex 6	**Selection from ISO/IEC DIS 17021**
			New : excerpt of the future ISO/IEC 17021.
		Annex 7	**NEW : The present document.**