



Rules for Achieving and Maintaining IATF Recognition – 4th Edition Frequently Asked Question (FAQ)

The *Rules for achieving and maintaining IATF recognition*, 4th Edition for ISO/TS 16949 (“Rules 4th Edition”), was published in October 2013 with an effective date of 1 April 2014. In response to questions from the IATF recognized certification bodies, the following questions and answers were agreed to by the IATF Global Oversight Offices.

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

FAQ # 1-28 issued in May 2014, [FAQ #29-32 in June 2014,](#)

Number	Rules reference	Question	Answer
1	Eligibility 1.0	Are special cars (e.g. race car, dump truck, cab-trailer combination, semi-trailers, cash carrying van, ambulances, recreational vehicles (RVs), police wagon, etc.) eligible for certification to ISO/TS 16949?	<p>Rules 1.0 defines the term “Automotive” as including the following: passenger cars, light commercial vehicles, heavy trucks, buses, and motorcycles.</p> <p>If a passenger car (e.g. police car, etc.), a light commercial vehicle (i.e. cash carrying vans, ambulances, RV’s, etc.) or a heavy truck (e.g. dump truck, semi-trailers, etc.) is “up-fitted” (or customized) by an IATF OEM, then the suppliers for the parts becoming an integral part on these vehicles are eligible for ISO/TS 16949 certification.</p> <p>If the parts for the special cars are not directly specified by an IATF OEM, the relevant supply chain and the “up-fitters” are not eligible for ISO/TS 16949 certification.</p>

Number	Rules reference	Question	Answer
2	Eligibility 1.0	<p>If a client performs a value-added activity (e.g. tire and wheel assembly, paint mixing and application, repairs, etc.) on the customer's site, is this activity eligible for ISO/TS 16949 certification?</p>	<p>No, this client is not eligible for a stand-alone ISO/TS 16949 certification.</p> <p>However, the activities performed at the customer's location by the client could be considered a remote supporting function and would be audited accordingly. The function would be identified as "Service" on the IATF certificate and in the IATF database. The address for the remote support location on the site certificate could be the customer's site address.</p>
3	Eligibility 1.0	<p>How to handle the eligibility of a "client" with multiple "sites" of which only some are having "automotive production"?</p> <p><u>Scenario 1:</u> A client (corporate organization with only one legal registration) has a total of 20 sites located in different cities / countries in which 9 of the 20 sites produce non-automotive products. Is it required to submit an application form for Rules 4th Edition 5.2 h) portion of site for the 9 sites?</p> <p><u>Scenario 2:</u> A client (corporate organization) has one site certified to ISO/TS 16949, but the client also owns a location (site 2) for non-automotive just across the street from the ISO/TS 16949 certified</p>	<p>No, in this situation, an application form for "portion of the site dedicated to automotive" is not required. The non-automotive site(s) of the client are not eligible for ISO/TS 16949 certification.</p>

Number	Rules reference	Question	Answer
		site. Is it required to submit an application form for Rules 4 th Edition 5.2 h) portion of site for non-automotive site across the street?	
4	Eligibility 1.0	If a production material is made at a manufacturing site certified to ISO/TS 16949 and the material is used to make a production part for an automotive customer, can the process to produce the production material be excluded from ISO/TS 16949 certification and certified only to ISO 9001?	<p>Rules 1.0 states ISO/TS 16949 is applicable to all sites of a client where customer-specified production parts and/or service parts are manufactured. “Manufacturing” shall be understood as “the process of making or fabricating production materials, production of service parts, assemblies, or heat-treating, welding, painting, plating or other finishing services of automotive-related parts”.</p> <p>All processes of a site have to be audited. If the production material is made at the same manufacturing site using the material to make the automotive production and/or service part, then the production material has to be included in the scope of ISO/TS 16949 certification for the site.</p>
5	Notice of changes by the client 3.2	Should the audit team issue a major nonconformity to the client if the client fails to inform the CB of any changes?	Yes, failure by the client to inform the CB of a change to their legal, commercial, ownership, address, scope of operations, IATF customer special status or management system/process is considered as a breach of the legally enforceable agreement and a major nonconformity should be issued. This may result in the withdrawal of the client’s ISO/TS 16949 certificate by the CB.
6	Notice of changes by the client 3.2	What happens if an already ISO/TS 16949 certified site moves to a different address?	<p>When a certified site moves from their current location to a new location, it is considered a full site move if all of the following conditions apply:</p> <ul style="list-style-type: none"> • 80% or more of the employees transfer from the previous certified site to the new location (i.e. “employees” includes include management, supervision, direct and indirect production workers).

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			<ul style="list-style-type: none"> • The equipment being used in the new location is the same equipment as in previous certified site with no new or revised processes being introduced. • The product(s) is (are) at the new location is (are) the same as at the previous certified site with no new product(s) being added. <p>If the above conditions apply, then the following process is implemented by the CB:</p> <ol style="list-style-type: none"> 1. Conduct an initial certification audit (no stage 1 readiness review required) equivalent in audit days to a recertification audit. Note: Client shall notify the CB of the relocation (per Rules 3.2), the details of the relocation disclosed, and the conditions agreed prior to the relocation taking place; otherwise, a full initial certification audit (including stage 1 readiness review) is required. 2. Upon successful completion of the stage 2 audit, the nonconformity management process and after a positive certification decision is made, the CB issues a new certificate to the client with a maximum of three (3) years validity. 3. The stage 2 audit and certificate are entered under the current client record in the IATF database. A note is added in the comment field of the stage 2 audit to explain the address change. 4. The original certificate is cancelled once the site move is complete.

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7	Notice of changes by the client 3.2	What happens if an already ISO/TS 16949 certified site moves to a different address and the new location is expanded compared to the former one?	<p>When a certified site moves from their current location to a new location, it is considered a partial site move if one or more of the following conditions apply:</p> <ul style="list-style-type: none"> • Less than 80% of employees transferred from the previous certified site to the new location (i.e. “employees” includes management, supervision and direct and indirect production workers). • The equipment being used is a combination of existing equipment (as in the previous certified site) with additional new/used equipment being introduced and/or revised processes, layout being introduced or not. • The product in the new site is the same as at the previous certified site with additional automotive-related product added (i.e. increase in the scope of certification) or not. <p>If the above conditions apply, then the following process is implemented by the CB:</p> <ol style="list-style-type: none"> 1. Conduct a full initial certification audit, including a stage 1 readiness review. NOTE: Client shall notify the CB of the relocation (per Rules 3.2), the details of the relocation disclosed, and the conditions agreed prior to the relocation taking place. 2. Upon successful completion of the stage 2 audit, the nonconformity management process and after a positive certification decision is made, the CB issues a new certificate to the client with a maximum of three (3) years validity. 3. The stage 2 audit and certificate are entered under the current client record in the IATF database. A note is added

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			<p>in the comment field of the stage 2 audit to explain the address change.</p> <p>4. The original certificate is cancelled once the site move is complete.</p>
8	<p>Onsite verification of corrective actions 5.2 d) 5.11.2 5.11.3</p>	<p>Is the onsite review of previous nonconformities only applicable to minor nonconformities?</p>	<p>Yes, the onsite verification of previous nonconformities is additional to the specified audit days [5.2 d)] and is only applicable to minor nonconformities.</p> <p>For major nonconformities, onsite verification of corrective actions is completed within a maximum of 90 calendar days from the closing meeting date.</p> <p>For nonconformities open, but 100% resolved, onsite verification of corrective actions is completed based upon the accepted corrective action plan dates and prior to the next audit.</p>
9	<p>Onsite verification of corrective actions 5.2 d) 5.11.3</p>	<p>If the CB verified the effective implementation of corrective actions for minor nonconformities during a special onsite audit, does the verification need to occur again at the next regularly scheduled audit?</p>	<p>If the CB already verified the effective implementation of the corrective actions for minor nonconformities during an onsite audit (i.e. together with issued majors), then the CB would not be required to schedule any additional time at the next regularly scheduled audit to verify the effective implementation of the corrective actions for same minor nonconformities again.</p>
10	<p>Use of a translator 5.2 f)</p>	<p>At what point in the calculation is the rounding of audit days required when a translator is used?</p>	<p>The rounding of audit days always occurs at the end of the audit day calculation result – see example below.</p> <p><u>Example:</u> Client’s key data: - single site with 225 employees</p>

Number	Rules reference	Question	Answer
	Rounding up the audit results 5.2p)		<ul style="list-style-type: none"> - non-design responsible - 9 monthly surveillance audit interval. <p>The next audit is the 2nd surveillance audit. A translator is needed for auditing in the manufacturing / production area only, which is estimated as 1.5 total hours (or 1.5 hours / 8 hours =.19 days) at the next audit.</p> <p>From the initial audit day Table 5.2, minimum audit days for 225 employees is equal to 8.0.</p> <p>The correct calculation (for a 9-monthly surveillance interval) is: 8.0 audit days – 15% discount = 6.8 days / 3 surveillance audits = 2.27</p> <p>2.27 (min. audit days) + .19 (for translation) = 2.46 rounded up to 2.5 days for the 2nd surveillance audit.</p>
11	Use of a translator 5.2 f)	What time is entered in the IATF Database when a translator is used?	In the example above, the total number of audit days to be entered in the IATF Database for the 2 nd surveillance audit of the site is a minimum of 2.5 days.
12	5.2 o)	Can a CB assign 2 audit team members for a 15 day audit?	Yes, this is acceptable. Of course the CB can also assign more than two auditors for a 15 day audit. Rules 5.2 o) requires the CB to appoint a team of two (2) auditors minimum if the total audit day calculation exceeds five (5) audit days.
13	Supporting activities 5.5	In Option 2, if the purchasing support function was audited by another CB at the first surveillance audit, does the site-auditing-CB at the second surveillance audit still need to	Yes, unless another audit of the purchasing department / activity was done prior to the audit of the site.

Number	Rules reference	Question	Answer
		receive and review the first surveillance audit report of the purchasing department (and keep record of it per 9.1 c)?	
14	Supporting activities 5.5	It is required that "additional audits of remote supporting functions may be necessary based on their demonstrated performance as seen at the site". However there is no requirement for the CB who audited the remote location to review the audit finding/results from the site-auditing-CB who may recommend additional audit of remote supporting functions. What is the site-auditing-CB's obligation in this situation?	It will be up to the site-auditing-CB to have the client contact the remote-support-auditing-CB to make a request for additional follow-up. This would include sending the site-auditing-CB a copy of the site audit report and any nonconformity issued. If the remote auditing CB fails to implement their request, the site-auditing-CB needs to explain the client that they have to go back to Option 1.
15	Establishing the audit team 5.6	Can a CB assign a different audit team member to conduct the on-site verification of nonconformities than the audit team member who conducted the original audit? If so, can this auditor be allowed to audit the client in the subsequent audit cycle?	The IATF's expectation is that a member of the current audit team is to conduct the onsite special audit to verify previous nonconformities. If the CB assigns a different auditor to conduct the onsite special audit (which is also to be entered into the IATF Database), then this auditor would be considered part of the current audit team for this audit cycle and therefore is not eligible to participate in the subsequent audit cycle.

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16	Establishing the audit team 5.6	Is it required to submit a waiver each time a new audit team member is appointed for a surveillance audit?	<p>Adopted from previously issued FAQ #13 for Rules 3rd Edition:</p> <p>If a different audit team member is appointed for a surveillance audit, the CB does not need approval from the relevant Oversight office if the auditor rotation is due to circumstances, such as, but not limited to:</p> <ul style="list-style-type: none"> - Termination, resignation, loss of CB sponsorship - Inactivation of the auditor in the ADP and IATF Database - Conflict of interest with the client - Personal issues (such as medical situations, death, etc.) - Force majeure <p>The CB is required to maintain a record of the reason for the change in auditors for the surveillance audit.</p>
17	Audit Plan 5.7.2	Is the 1 hour minimum on site prior to the opening meeting applicable to audits at remote support functions?	If a remote support function is subject to external customer performance data which is being reported to the remote support function directly, then the minimum one hour verification of changes is required in the audit plan.
18	Audit Plan 5.7.2	Assume the audit team has three auditors [A (lead), B & C]. While the lead auditor (A) is conducting the one hour onsite meeting to verify changes (per 5.7.2 a), can co-auditor (B) already verify previous audit minor nonconformities prior to opening meeting?	<p>Rules, section 5.7.2 does not require the entire audit team to be present at the 1 hour on site verification of changes meeting prior to the opening meeting of the audit. During the CB conference in November 2013, it was verbally recommended that co-auditors participating on Day 1 of the audit attend the 1 hour pre meeting, but it is not mandatory. The 1 hour meeting cannot be reduced by having more than 1 auditor participate in the meeting.</p> <p>A co-auditor can conduct the verification of previous minor nonconformities during the same time the one hour onsite verification of changes meeting is occurring.</p>

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		And can co-auditor (C) audit the night shift (i.e. 3 rd shift) production prior to opening meeting?	No member of the audit team can start any part of the audit prior to opening meeting.
19	Conducting on site audit activities 5.8	Is it possible to conduct one audit for ISO/TS 16949 together with other management system standards?	<p>Adopted from previously issued FAQ #1 for Rules 3rd Edition.</p> <p>Yes, under the following circumstances:</p> <ol style="list-style-type: none"> 1) If an IATF contracted CB conducts one audit to satisfy other management system standards in addition to ISO/TS 16949, the <i>IATF Rules for achieving and maintaining IATF Recognition 4th Edition for ISO/TS 16949</i> shall be met. 2) If a single audit plan is created, the audit plan should identify the relevant standard being audited at each process. 3) If a single audit report is written, the audit report should contain a distinctive part for ISO/TS 16949 and meet all requirements under Rules 4th Edition, section 5.10.
20	Conducting on site audit activities 5.8	Where a client and its supplier have common ownership, how is the supplier treated in the client's audit?	<p>Adopted from previously issued FAQ #2 for Rules 3rd Edition.</p> <p>Where the supplier is at the same physical location as the client, the supplier shall be audited as part of the client – see Rules 4th Edition, section 1.0.</p> <p>Where the supplier is at a different physical location to the client, the supplier shall be addressed within the client's quality management system as a supplier, per ISO/TS 16949 – 7.4 Purchasing requirements</p>

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21	Conduct on site audit activities 5.8	<p>The Rules 4th Edition contains a number of different requirements in section 5.8 for assessing and evaluating the IATF OEMs.</p> <p>5.8 g) applicable IATF OEMs scorecards, 5.8 j) process for gathering, communicating and implemented CSR's with priority to IATF OEMs, and 5.8k) evidence of CSR were audited with CSR shall be sampled over the three (3) year audit cycle with priority on IATF OEMs</p> <p>What is the expectation of how to audit these requirements?</p>	<p>The IATF's expectation is for the auditor to check the IATF OEM performance reports (i.e. scorecards) on line at each audit. If the client ships to four (4) IATF OEMS (e.g. GM, Daimler, Ford and VW) and one (1) non-IATF OEM (e.g. Honda), than all four (4) scorecards for IATF OEMs have to be reviewed on line at the audit providing the customer publishes the performance data online. The auditor also has to review customer satisfaction for all five (5) customers and investigate any complaints, including the client's responses per 5.8 g). When reviewing customer complaints, priorities shall be given to applicable IATF OEM's regardless of how large or small of a customer they are to the client.</p> <p>The auditor is required to sample the IATF OEM CSR for effective implementation over the three (3) year audit cycle. This is different than 5.8 g) and j) that is required to be performed at every audit.</p>
22	Conducting onsite audit 5.8 k) Audit report 5.10	<p>If all CSRs are sampled over the three year cycle (initial + all surveillance audits) per Rules 5.8 k), then what should be entered in the audit report per Rules 5.10 a) & c)?</p>	<p>The IATF's expectation is that the audit report [Rules 5.10 c)] contains a list of all automotive customers (IATF OEMs and non-IATF OEMs) and to list their customer specific requirement document (e.g. supplier quality manuals, contracts, CSRs specific for ISO/TS, etc.) with the latest version date, if any exist.</p> <p>Rules 5.10 a) requires the audit report to identify at which audit each of the CSRs (from Rules 5.10 c) were audited (e.g. entering audit date or audit type). The last surveillance audit report should show that all customer CSRs were sampled over the three (3) year audit cycle.</p>

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23	Audit termination 5.9 c)	When a recertification audit is terminated, can the client change to another CB before the existing certificate expires?	Yes, a client can change to another CB. However, the new CB cannot perform a transfer audit (Rules 7.1.1). The audit to be conducted is then a full initial audit (stage 1 readiness review and a stage 2 audit).
24	Onsite Verification 5.11.3	Are two onsite verification activities required when a <u>major</u> nonconformity is accepted as open, but 100% resolved (i.e. onsite within 90 days per 5.11.3 / 8.4 and onsite based on the date of the corrective action plan per 5.11.2.c)?	Yes, two onsite verifications are required. One onsite verification within 90 calendar days per 5.11.3 and one based on the date of the corrective action plan per 5.11.2 c.
25	Certification decision 5.12	Is it possible to make a certification decision on <u>day 61</u> for an audit with a major nonconformity if the onsite special audit was not conducted until <u>day 89</u> , per 5.11.3?	If the effective implementation of corrective action for a major nonconformity is accepted at day 61, the CB cannot conduct the certification decision until the onsite verification has been conducted. If a major nonconformity is accepted as 100% resolved at day 61 and based on the client's action plan the onsite special audit cannot be done before the maximum of 120 days (or before cert expires), than per Rules 5.12 d) a certification decision can be made at day 61, as long as, Rules 5.11.2 were met.
26	Certificate issuance 5.13	Can the CB certificate template include an additional "Originally Registered / Originally Certified" date?	No, the "originally registered" date is not allowed any longer on certificates. To ensure consistency in the certificate content between all IATF recognized certification bodies, Global Oversight is limiting the content of the certificates to only the items specifically listed in 5.13 a) – o).

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27	Letter of Conformance 5.14	<p>What is the difference between "active bid list" and "bid list"?</p> <p>How about an existing site on a bid list of customer A in year one and customer B in year 2 never demonstrate the "active" bid list. Is it allowed?</p>	Active bid list is defined by the customer. The supplier will have to show a dated list (or website) from the customer showing their name is still active on the list as being able to submit (or be considered for) new business. It is possible for them to be active, but not received any positive sourcing decision.
28	Transfer audit 7.0	<p>Does the new CB, conducting a transfer audit, have to verify effective implementation for minor nonconformities issued by the previous CB?</p> <p>Is the new CB required to verify effective implementation of major nonconformities?</p>	<p>The new CB is required to verify the effective implementation of any minor nonconformities issued by the previous CB, as long as, the previous CB has not conducted the verification. The process for verification should be the same regardless of which CB performs the next audit.</p> <p>The new CB is not required to verify the effective implementation of major nonconformities.</p>
29	5.2 b) Third shift work	If a client has two shifts (7:00am – 19:00pm and 19:00pm – 7:00am), can the audit team work more than 8 hours to audit the 2 nd shift since it operates outside of normal working hours of the site?	The answer is no. If the client only has two manufacturing shifts, than the CB cannot work longer than 8 hours to cover the 2 nd shift which may operate outside of the normal working hours (i.e. 19:00pm - 7:00am). The audit plan start or end times will need to be adjusted to ensure the 2 nd shift is covered in an 8 hour audit day.
30	5.11.3 Onsite Verification	When an accepted action plan for a major nonconformity is found to not be effectively implemented,	Both the special onsite audit and the audit where the major nonconformity was originally raised are changed to the audit status of “failed” in the IATF database.

Number	Rules reference	Question	Answer
		which audit in the IATF Database should be shown as “failed” audit result?	
31	Client information for audit planning 5.7.1 a) and f)	What level of detail shall the certification body require the client to provide as an input for developing an audit plan?	<p>The IATF’s expectation is that the client has to submit at least the following information to the certification body as part of 5.7.1 a) and 5.7.1 f):</p> <ul style="list-style-type: none"> - documented statements of a quality policy and quality objectives - a quality manual - documented processes - process map showing linkages and interactions of the processes - documented linkages between processes and ISO/TS requirements - summary of internal system, process and product audits conducted since the last certification body audit, including a summary of <ul style="list-style-type: none"> • the total no. of nonconformities by audit type • the classification of each nonconformity and • the relevant requirement (audit criteria) as applicable - management review output / action item list
32.	Special Audits 7.2	What status should be entered for a special audit in the IATF database in the case that the special audit was conducted for verifying effective implementation of a (major) nonconformity?	In the case that the certification body was able to verify the effective implementation of the nonconformity, the special audit should be entered as “acceptable”. However the original audit will still have the status “open, with corrective actions” until the certification decision is made.