



IATF - International Automotive Task Force

Rules for Achieving and Maintaining IATF Recognition

IATF Rules 5th Edition – Frequently Asked Questions

The *Rules for achieving and maintaining IATF Recognition 5th Edition for IATF 16949* (“**Rules 5th Edition**”) was published in November 2016 and is effective 1 January 2017. In response to questions from the IATF recognized certification bodies, the following questions and answers were agreed to by the IATF Global Oversight Offices.

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

FAQ 1, 2 and 3 issued in January 2017

FAQ 4 issued in October 2017

FAQ 5-6 issued in October 2019

FAQ 7 issued in February 2021

FAQ 8 issued in April 2022



NUMBER	RULES REFERENCE	QUESTION AND ANSWER
1	<p style="text-align: center;">Clause 3.2: Notice of changes by the client</p> <p style="text-align: center;">NEW</p>	<p><u>QUESTION:</u> What happens if an already IATF 16949 certified site changes its name only?</p> <p><u>ANSWER:</u> When a certified site changes only its name (demonstrated by a changed/revised legal registration document), the certification body is permitted to issue a revised certificate with the new site name. All previous information of the certificate shall remain unchanged and the certificate is uploaded in the IATF database.</p> <p><i>NOTE: to conduct a special audit is at the discretion of the certification body based on the provided information of the client.</i></p>
<p style="text-align: center;">Please note that the following FAQ no. 2 and FAQ no. 3 were originally created for the IATF Rules 4th Edition for ISO/TS 16949.</p> <p style="text-align: center;">The IATF is currently working on a revision of these FAQs, to re-issue them as Sanctioned Interpretations (SIs). Therefore, FAQs no. 2 and no. 3 will be withdrawn and replaced by Sanctioned Interpretations in 2018.</p> <p style="text-align: center;">Until then FAQs no. 2 and 3 remain effective for ISO/TS 16949 and IATF 16949 audits.</p>		



NUMBER	RULES REFERENCE	QUESTION AND ANSWER
2	<p style="text-align: center;">Clause 3.2: Notice of changes by the client</p> <p style="text-align: center;">REVISED</p>	<p><u>QUESTION:</u></p> <p>What happens if an already ISO/TS 16949 or IATF 16949 certified site moves to a different address?</p> <p><u>ANSWER:</u></p> <p>When a certified site moves from their current location to a new location, it is considered a <u>full site move</u> 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 management, supervision, direct and indirect production workers). • The equipment being used in the new location is the same equipment as in previous certified site with <u>no</u> 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 <u>no</u> new product(s) being added. <p>If the above conditions apply, then the following process steps shall be initiated by the certification body:</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: The client shall notify the CB of the relocation (as required per Rules 3.2), the details of the



NUMBER	RULES REFERENCE	QUESTION AND ANSWER
<p style="text-align: center;">2 cont.</p>		<p>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.</p> <ol style="list-style-type: none"> 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 for an IATF 16949 certificate or up to the 14 September 2018 for ISO/TS 16949 certificate. 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 site move / address change. 4. The original certificate will automatically be superseded in the IATF database once the new certificate is issued.



NUMBER	RULES REFERENCE	QUESTION AND ANSWER
3	Clause 3.2: Notice of changes by the client REVISED	<p><u>QUESTION:</u> What happens if an already ISO/TS 16949 or IATF 16949 certified site moves to a different address and the new location is expanded compared to the former one?</p> <p><u>ANSWER:</u> When a certified site moves from their current location to a new location, it is considered a <u>partial site move</u> 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.



NUMBER	RULES REFERENCE	QUESTION AND ANSWER
<p style="text-align: center;">3 cont.</p>		<p>If the above conditions apply, then the following process shall be 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: The client shall notify the CB of the relocation (as required 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 for an IATF 16949 certificate or up to the 14 September 2018 for ISO/TS 16949 certificate. 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 site move / address change. 4. The original certificate will automatically be superseded in the IATF database once the new certificate is issued.



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4	<p align="center">Clause 3.1: Certification agreement with client</p>	<p><u>QUESTION:</u> Is the customer allowed to be onsite to observe a third-party audit? What is the definition of the “customer” (e.g. only the IATF OEM, Tier 1, etc.)?</p> <p><u>ANSWER:</u> If the certified organization has an IATF OEM member as a customer, then according to the legally enforceable agreement between the certification body and the organization (i.e. their client), the organization is required to allow the IATF OEM (or their delegate) to observe the audit, if requested.</p> <p>If the certified organization has other automotive customers, then the observation of the third-party audit by these automotive customers is at the discretion of the certified organization.</p>
5	<p align="center">SI 6: Maintaining auditor certification</p>	<p><u>QUESTION:</u> What is the definition of fraudulent activity?</p> <p><u>ANSWER:</u> Fraudulent activity is defined as activities undertaken by an individual that are carried out in a dishonest, deliberate, and/or deceitful manner and are designed to give an advantage to the individual or organization.</p>



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6	<p>Clause 2.3.1: Certification body's contracted office</p>	<p><u>QUESTION:</u> Does the certification body need to notify the relevant Oversight office quarterly even if there is no change to the regional office matrix?</p> <p><u>ANSWER:</u> Yes, notification to the relevant Oversight office is required to confirm there have been no changes to the regional office matrix within the quarter.</p>
7	<p>5.2: Audit day determination</p>	<p><u>QUESTION:</u> Is it necessary to add time to a transfer audit to follow up on nonconformities issued by the previous certification body that have not been verified on site?</p> <p><u>ANSWER:</u> Yes, Rules 5th 7.1.1 states 'A transfer audit and audit days shall be the equivalent of a recertification audit' and Rules 5.2 d) states 'onsite review of corrective actions arising from previous audits shall be additional to the specific audit days...' Therefore, time would need to be added to undertake an onsite review of corrective actions arising from a previous audit, even if this previous audit was undertaken by another certification body.</p>



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8	SI 26: Audit day determination	<p><u>QUESTION:</u> Should additional audit time be added if poor OEM scorecard performance is caused by the semiconductor chip shortage and was not the result of failures of the organization’s processes?</p> <p><u>ANSWER:</u> No, while there can always be external factors which prevent organizations from meeting customer requirements, the organizations still have a responsibility to communicate all such issues to their customers to reduce the impact on their customers’ facilities. Clause 9.1.2.1 of IATF 16949 requires continual evaluation of internal and external indicators to ensure compliance with customer requirements, including quality and delivery.</p> <p>A global shortage of semiconductor chips continues to be well known to all stakeholders in the automotive industry, and organizations will know if they are affected, and by how much, leading to estimates of effect on their customers. The organizations should work with their customers to inform their customers of any part or product shortages or other effects due to semiconductor supply shortages. This will allow their customers to adjust delivery or other associated score deductions caused by the semiconductor shortage.</p> <p>However, lack of managing supply shortages and lack of customer notification identifies possible process gaps in 6.1.2.1, 6.2.2.1, 8.4.2.1, 8.5.1.7 of IATF 16949 and other aspects of risk analysis and planning, justifying the additional audit time.</p>

