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
FAQ 9 and 10 issued in December 2022
FAQ 2 and 3 withdrawn without replacement in December 2022

NUMBER	RULES REFERENCE	QUESTION AND ANSWER
1	**Clause 3.2: Notice of changes by the client**	**QUESTION:** **What happens if an already IATF 16949 certified site changes its name only?** **ANSWER:** 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. *NOTE: to conduct a special audit is at the discretion of the certification body based on the provided information of the client.*
2	**Clause 3.2: Notice of changes by the client *WITHDRAWN***	FAQ 2 withdrawn without replacement.
3	**Clause 3.2: Notice of changes by the client *WITHDRAWN***	FAQ 3 withdrawn without replacement.

NUMBER	RULES REFERENCE	QUESTION AND ANSWER
4	**Clause 3.1: Certification agreement with client**	**QUESTION:** **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.)?** **ANSWER:** 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. 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.
5	**SI 6: Maintaining auditor certification**	**QUESTION:** **What is the definition of fraudulent activity?** **ANSWER:** 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.

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6	**Clause 2.3.1: Certification body's contracted office**	**QUESTION:** **Does the certification body need to notify the relevant Oversight office quarterly even if there is no change to the regional office matrix?** **ANSWER:** Yes, notification to the relevant Oversight office is required to confirm there have been no changes to the regional office matrix within the quarter.
7	**5.2: Audit day determination**	**QUESTION:** **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?** **ANSWER:** 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.

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8	**SI 26: Audit day determination**	**QUESTION:** **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?** **ANSWER:** 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. 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. 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.

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9	**5.2: Audit day determination**	**QUESTION:** **How should Rules SI 26 be applied prior to the audit and how should the additional audit time be used?** **ANSWER:** The following key steps should be employed for effective planning for and use of the additional audit time for clients not meeting IATF OEM quality or delivery performance targets: • Request all IATF OEM scorecards from the organization 3 months ahead of the planned audit date • Analyze IATF OEM scorecards for not meeting IATF OEM quality or delivery performance targets per IATF Quick Reference Guides or other appropriate references • Using the specific cases (parts, programs, time scales, type of quality or delivery performance issue, etc.) identified through the scorecard analysis, follow trails to ensure effective implementation of corrective actions necessary to prevent recurrence, in accordance with the automotive process approach • Allocate the additional time throughout the regular audit plan as appropriate • The additional time could be conducted during a special audit if it is not possible to increase audit time during the regularly scheduled audit • Using the automotive process approach, focus on the key topics listed in the table below (prioritized by risk to customer satisfaction):

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<tr><th>NUMBER</th><th>RULES REFERENCE</th><th>QUESTION AND ANSWER</th></tr>
<tr><td>9
(cont.)</td><td>5.2:
Audit day determination</td><td>
<table>
<tr><th><u>Topic or area</u></th><th><u>Potential trails to consider determining the root cause of where the QMS failed resulting in the unacceptable performance</u></th></tr>
<tr><td>Interfaces</td><td>Focus on interface between remote support processes and production site (e.g., headquarters, Product / Process Design, Management Review, Supplier Management, etc.) using documents or outputs from the remote support locations used by that specific manufacturing plant.</td></tr>
<tr><td>Corrective Actions</td><td>Review the problem statements for accuracy and completeness in describing the problem. Look at other complaints and related examples, selected based on risk to the customer, not suggested by the client, for at least 3 samples of corrective action investigation, look for systemic issues, and full details for the history of the problem solving and corrective action process, including poka yoke methods. Look for which process(es) failed in the QMS, including competence, product / process validation etc. An OEM acceptance of a corrective action or plan is not sufficient to address the root cause of the QMS issues.</td></tr>
<tr><td>Investigation scope</td><td>Identify areas in the organization where similar failure modes could occur. Do not focus on just the specific problems identified in the customer score cards or complaint(s). Look for the systemic issue in the QMS and the relevant suppliers which permitted the unacceptable performance to occur, do not just focus on the initially identified problems. Identify processes audited (e.g., supplier management, corrective actions, etc.)</td></tr>
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<tr><td>Read Across</td><td>Ensure use of read across of the permanent corrective actions to other lines, to other products, other sites, including corrections into QMS foundation documents – APQP, program management, control plans, FMEA etc.</td></tr>
<tr><td>Management leadership</td><td>Look for senior management leadership driving a culture which ensures that permanent corrective actions are maintained over time, sustaining the long-term improvement activities. There is always a root cause which led to the problem which leads back to a process within the control of the organization. Even external issues have a required escalation process.</td></tr>
<tr><td>Internal audits</td><td>Validate that the supplier is covering the same topics (interfaces, corrective actions, scope, read across, prevention of recurrence, etc.) in its internal audits to ensure effective problem solving and permanent corrective action implementation.</td></tr>
<tr><td>Validation of implementation and prevention</td><td>Ensure the supplier used objective data to validate that the permanent corrective action implemented did eliminate the root cause, the actions preventing the recurrence of the problem and that the data collected (including product validation) was for a time appropriate for the problem (type, severity, duration, detection methods, etc.)</td></tr>
<tr><td>Standard Process</td><td>Look for use of standardized problem-solving and corrective action processes as well as how the permanent corrective action is integrated into the QMS and daily work instructions / processes to ensure sustained prevention of recurrence.</td></tr>
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<tr><td>Trails</td><td>Create audit trails from the information and data reviewed during the Risk-Based audit time and continue to follow the trails as part of the regular audit, including appropriate training materials.</td></tr>
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<tr><td>10</td><td>Clause 3.2:
Notice of changes by the client</td><td>
<u>QUESTION:</u>
What happens if an already IATF 16949 certified site moves or relocates to a new physical location?

<u>ANSWER:</u>
When an IATF 16949 certified site moves or relocates from its current physical location to a new physical location, it is considered a <u>site relocation</u> if the following condition applies:

• The site relocation coincides with the definitive end of automotive production at the original IATF 16949 certified site.

If the above condition applies, the certification body shall:

1. conduct a full initial certification audit, including a stage 1 readiness review and a stage 2 audit at the relocated site;
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NUMBER	RULES REFERENCE	QUESTION AND ANSWER
10 (cont.)	**Clause 3.2: Notice of changes by the client**	NOTE 1: The client is required to notify the certification body of the site relocation (per Rules 3.2), the details of the site relocation, and the conditions agreed prior to the site relocation taking place; 2. issue a new IATF 16949 certificate to the client with a maximum of three (3) years validity after a positive certification decision is made; NOTE 2: the relocated site will need to be added as a new record in the IATF Database leading to the assignment of a new IATF Unique Site Identifier (IATF USI). Additionally, the IATF USI of the original site (i.e., the "old IATF USI") is recorded for reference in the new site record and a note is to be added in the comment field of the audit to explain the site relocation. 3. set the IATF 16949 certificate of the original site manually to "cancelled" no later than the issue date of new the IATF 16949 certificate of the relocated site. Additionally, the status change reason "client's definitive end of production" is to be selected. NOTE 3: This FAQ is not applicable to all other scenarios of partial site moves where some automotive equipment or production is moved from one site to another new or existing site. These scenarios are <u>not</u> considered a site relocation within the IATF 16949 certification scheme.