AUTOMOTIVE CERTIFICATION SCHEME FOR ISO/TS 16949:2002

Rules for achieving IATF recognition

3rd Edition for ISO/TS 16949:2002

1 October 2008

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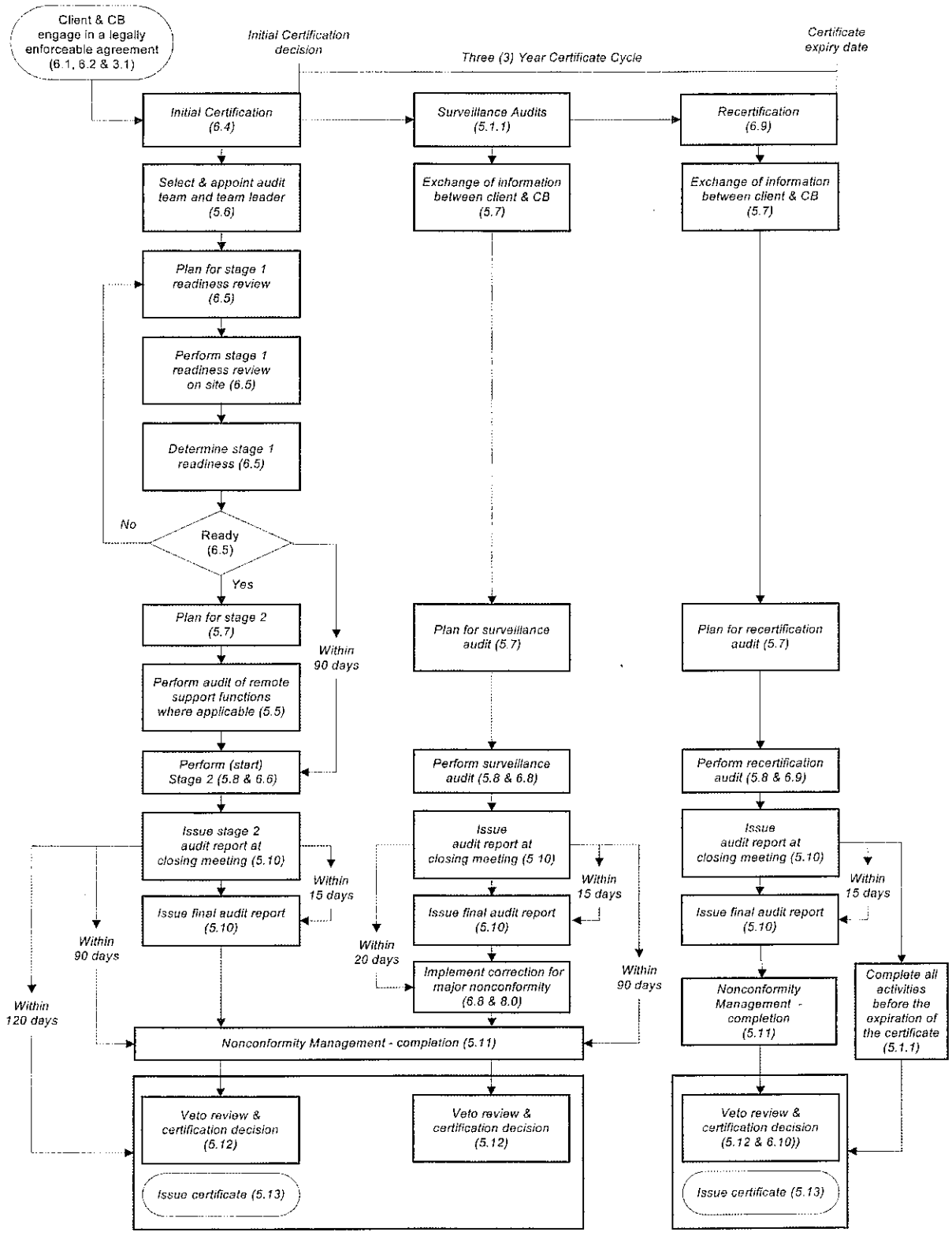
Global overview of the first 3 year ISO/TS 16949: 2002 certification cycle:



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Foreword

This document has been originated by the International Automotive Task Force (IATF) whose members consist of the following nine (9) OEMs: BMW Group, Chrysler LLC, Daimler AG, Fiat Group Automobiles, Ford Motor Company, General Motors Corporation, PSA Peugeot Citroën, Renault, and Volkswagen AG and the following five (5) national associations: ANFIA, AIAG, FIEV, SMMT, and VDA.

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http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=29343, or from any national standard body member of ISO.

ISO/IEC 17021: 2006 is the international standard used by IATF as the basis to define the automotive sector specific requirements to manage its certification scheme to ISO/TS 16949:2002. The specific needs of the automotive sector have resulted in requirements supplemental to ISO/IEC 17021: 2006 (e.g. ISO/IEC 17021 has the general requirement in 9.1.4 that the certification body shall have documented procedures for determining audit time, whereas the IATF requires the use of the audit days tables and all considerations given in section 5.2).

IATF approves and supports the content and requirements of ISO/IEC 17021: 2006 with the exception of the following clauses:

ISO/IEC 17021	ISO/IEC 17021 Content	IATF position
7.5	Outsourcing part of the certification activities.	Outsourcing is not allowed by IATF. Only the use of licensed and contracted auditors is permitted. In addition, external technical experts described in ISO/IEC 17021 7.3 are allowed by IATF.

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ISO/IEC 17021	ISO/IEC 17021 Content	IATF position
9.1.5	Multi-site sampling for the audit of a client's management system covering the same activity in various locations is allowed.	Corporate scheme site sampling is not allowed by IATF (see section 5.3).
9.6.3	Under suspension, the certificate is temporarily invalid.	During suspension, the ISO/TS 16949:2002 certificate remains valid (see section 8.3).

Introduction

The membership of the International Automotive Task Force (IATF) consists of automotive OEMs and national automotive industry associations representing the suppliers. The IATF established five Oversight offices to implement and manage its ISO/TS 16949:2002 certification scheme. Public information related to IATF and their Oversight offices can be found on www.iatfglobaloversight.org.

The IATF Certification Scheme is defined in ISO/TS 16949:2002, the following Rules for achieving IATF recognition, and any Rules Sanctioned Interpretations (SIs) and Rules Frequently Asked Questions (FAQs) and CB Communiqués that are issued by the IATF.

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

Rules Sanctioned Interpretations and Rules Frequently Asked Questions are posted on the IATF global Oversight office web site at: www.iatfglobaloversight.org.

The IATF recognizes certification bodies to conduct audits to ISO/TS 16949:2002 and issue certificates to clients. The IATF OEM members only recognize certificates issued by recognized certification bodies carrying the IATF logo and specific IATF number.

Note: The IATF recognized certification body is herein referred to as "certification body".

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 and any Annexes are binding on certification bodies recognized by IATF for ISO/TS 16949:2002 certification scheme and, therefore, shall be understood by any client seeking ISO/TS 16949:2002 certification. Where a certification body is uncertain regarding the application of these "Rules" they shall refer to their relevant IATF Oversight office. Clients of IATF certification bodies shall direct all questions regarding these Rules to their certification body.

Note: Within this document:

- the use of the term "certification" is synonymous with registration, and
- in order to be consistent with ISO/IEC 17021:2006, the term "client" replaces the term "organization" used in the previous Rules 2nd edition, ISO 9001:2000 and ISO/TS16949:2002.

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.

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1.0 Eligibility for certification to ISO/TS 16949:2002

ISO/TS 16949:2002 defines the quality management system requirements for the design and development, production and, when relevant, installation and service of automotive-related products.

ISO/TS 16949:2002 is applicable to sites of a client where customer-specified production parts and/or service parts (see section 10.0), are manufactured. "Automotive" shall be understood **to include** the following: Passenger Cars, Light commercial vehicles, Heavy Trucks, Buses, Motorcycles and to **exclude** the following: Industrial, Agricultural, Off-Highway (Mining, Forestry, Construction, etc).

Note: Aftermarket parts (see section 10.0) are excluded.

Only manufacturing sites where production and/or service parts are manufactured and supplied to customers subscribing to ISO/TS 16949:2002 are eligible for certification. ISO/TS 16949:2002, section 3.1.6, defines manufacturing as the process of making or fabricating production materials, production or service parts, assemblies, or heat treating, welding, painting, or other finishing services and section 3.1 defines site as a location at which value-added manufacturing processes occur. Sites producing automotive-related products and/or service parts manufactured and supplied to customers not subscribing to ISO/TS 16949:2002 are eligible for certification at the discretion of the client.

Supporting functions, whether located at the manufacturing site or remote from a manufacturing site, are not eligible for independent ISO/TS 16949:2002 certification but shall be included in the scope of certification.

All manufacturing in the scope of certification shall meet the applicability of ISO/TS 16949:2002 for product supplied to customers subscribing to ISO/TS 16949:2002.

At the request of the client to the certification body, the scope of certification may also include manufacturing meeting the applicability of ISO/TS 16949:2002 for products supplied to customers not subscribing to ISO/TS 16949:2002.

2.0 IATF requirements for certification bodies

2.1 IATF certification body recognition requirements

A certification body shall be contracted and recognized by the International Automotive Task Force (IATF) before it can issue an ISO/TS 16949:2002 certificate to a client and use the IATF logo on the certificate. The application and recognition process to achieve IATF recognition is maintained by IATF and is not included in these "Rules". The list of IATF recognized certification bodies is available at www.iatfglobaloversight.org.

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

A certification body shall be a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its certification activities.

A certification body shall be able to demonstrate that it has evaluated the risks arising from its certification activities and that it has adequate arrangements (e.g. insurance or financial reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates.

2.2 IATF contractual requirements

Where a certification body has multiple offices involved in the ISO/TS 16949:2002 certification process, 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 shall be the only contact between IATF and the certification body responsible for the control of all ISO/TS 16949:2002 certification-related activities.

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The certification body contracted office shall provide to the relevant IATF Oversight office a list of regional offices (including their specific activities) involved in ISO/TS 16949:2002 certification activities. The certification body contracted office shall notify the relevant IATF Oversight office of any changes.

The contracted office and all offices of the certification body responsible for certification decision and certificate issuance activities shall be accredited to ISO/IEC 17021:2006 by a national accreditation body. Those offices shall conduct ISO/TS 16949:2002 certification activities in accordance with the scope defined in their ISO 9001:2000 accreditation.

The certification body shall notify the relevant IATF Oversight office of any changes related to its:

a) legal status,

b) ownership status (e.g. mergers, acquisitions of other certification bodies),

c) commercial status (e.g. partnership agreement, sub-contracting with other certification bodies),

d) organizational status (e.g. management structure, reporting relationships),

e) expansion of management system accreditations,

f) loss of management system accreditations.

The certification body shall neither violate copyright of any IATF documents nor violate the copyright of or infringe the trademarks of any IATF member. The certification body shall only use the IATF logo on the ISO/TS 16949:2002 certificate.

Subcontracting any part of the certification activities on behalf of the certification body shall not be permitted. Use of individual auditors and technical experts does not constitute subcontracting.

The certification body shall permit a representative of the IATF to attend the executive management committee of the certification body to review the decision making process for ISO/TS 16949:2002 certificates.

2.3 IATF ongoing recognition requirements

The ongoing recognition of the certification body shall be verified through the relevant IATF Oversight office activities.

The relevant IATF Oversight office shall schedule witness audits according to table 2.3 below.

Witness audits are conducted, at a site, witnessing an audit team from a certification body during an ISO/TS 16949:2002 audit to verify the certification body's conformance with all requirements of ISO/TS 16949:2002, including the "Rules", Rules Sanctioned Interpretations (SI) and Rules Frequently Asked Questions (FAQ's), CB Communiqué, and any ISO/TS 16949:2002 sanctioned interpretations subsequently issued. Witness audits are selected to observe as many different certification body auditors as possible and to sample from the different audit types (initial certification [stage 1 and/or stage 2], surveillance and recertification). The global distribution of these witness audits should be in proportion of ISO/TS 16949:2002 activities performed by region. The certification body shall provide a schedule of audits upon request from the relevant IATF Oversight office.

Office assessments are to be conducted annually at the contracted office. Results from the Office assessment may lead to additional assessments at the contracted office or other regional offices. If a certification body has multiple offices responsible for certification decision, those offices should be audited within a three (3) year period. Other offices (e.g. sales) may be audited at the discretion of the relevant IATF Oversight office.

Office assessments shall review the certification body's conformance with the "Rules", Rules Sanctioned Interpretations (SI) and Rules Frequently Asked Questions (FAQ's) and CB Communiqué subsequently issued.

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When nonconformities are issued at either a witness audit or an Office assessment, the certification body shall submit root cause analysis, correction (if necessary), systemic corrective actions and evidence of implementation to the relevant IATF Oversight office for approval within a maximum of ninety (90) calendar days from the closing meeting date of the audit. The relevant IATF Oversight office shall verify the effective implementation of the corrective actions taken. Verification may occur at a special or the next Office assessment or witness audit.

When a certification body cannot provide evidence of implemented corrective actions within ninety (90) calendar days, the relevant IATF Oversight office shall perform special monitoring activities.

If a major nonconformity remains open after ninety (90) calendar days, the certification body derecognition process shall begin.

IATF reserves the right to undertake additional activities in response to corrective action follow-up or based upon performance.

Table 2.3

Number of audit days for a calendar year recorded in the IATF database	Minimum number of Witness Audits to perform during the next calendar year
≤ 150	1
151-500	2
501-1250	3
1251-2000	4
2001-3000	5
3001-4000	6
4001-5200	7
5201-6400	8
6401-7600	9
7601-8800	10
8801-10000	11
10001-11200	12
11201-12400	13
12401-13600	14
13601-14800	15
14801-16000	16

Note: With each increase of 1,500 over 16,000 audit days, there shall be an increase of one (1) additional witness audit.

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2.4 Loss of IATF certification body recognition

The de-recognition of an IATF certification body shall be initiated upon:

a) violation of any provision of the contract with IATF,

b) violation of these "Rules",

c) loss of ISO/IEC 17021:2006 accreditation to perform ISO 9001:2000 certification of any of the offices included in the list required in section 2.2,

d) failure to conduct a minimum of twenty-five (25) ISO/TS 16949:2002 site audits (initial, surveillance or recertification) in the first twelve (12) months following the recognition date and per calendar year thereafter,

e) inadequate performance as identified by the relevant IATF Oversight office,

f) lack of IATF database accuracy, integrity and timeliness,

g) failure to ensure the integrity of the auditor development process (see section 4.5).

Derecognition of an IATF certification body results in cancellation of the IATF contract.

2.5 Operating system requirements

The certification body shall document its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees. When the certification body is a defined part of a legal entity, the structure shall include the line of authority and the relationship to other parts within the same legal entity. In situations where an IATF recognized certification body is affiliated with one or more certification bodies through joint venture(s) due to national or local regulation, the structure shall include all lines of authority associated with ISO/TS 16949:2002 certification activities.

The certification body shall define its key processes and operating procedures, their sequence, interactions, measures of effectiveness and efficiency including appropriate objectives.

Where a certification body has multiple offices involved in the ISO/TS 16949:2002 certification process, the following conditions shall be fulfilled:

a) a common quality management system, including the same procedures for all offices,

b) the contracted office shall be responsible for the control of all ISO/TS 16949:2002 certification related activities regardless of where those activities occur.

The certification body shall identify the top management (board, group of persons, or person) having overall authority and responsibility for each of the following:

a) development of policies relating to the operation,

b) supervision of the implementation of the policies and procedures,

c) supervision of the finances,

d) development of management system certification services and schemes,

e) monitoring the effectiveness and efficiency of the key processes against objectives,

f) performance of audits and certification, and responsiveness to complaints,

g) decisions on certification,

h) delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf,

i) contractual arrangements,

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j) provision of adequate resources for certification activities,

k) internal audits.

2.6 Notice of changes by a certification body

The certification body shall give its clients due notice of any changes related to certification activities and requirements. The certification body shall verify that each client complies with the new requirements.

The certification body shall notify its clients of changes in ownership or loss of IATF recognition.

2.7 Certification body internal system audits

The certification body shall have a process for internal audits to verify the effective implementation of the defined key processes and operating procedures (see section 2.5) to meet the requirements of these "Rules".

The internal audit program shall be planned annually to cover the contracted office and all other regional offices involved in ISO/TS 16949:2002 certification activities, taking into consideration the importance of the processes implemented and the results of previous audits.

Internal audits shall be performed at least once every twelve (12) months. The frequency of internal audits may be reduced if the certification body can demonstrate that its management system continues to be effectively implemented according to these "Rules".

The certification body IATF contracted office shall manage the internal audit program to ensure that:

a) internal audits are conducted by qualified personnel (see section 4.7),

b) internal audits are undertaken using a process approach,

c) auditors are selected to ensure impartiality and objectivity,

d) personnel responsible for the processes audited are informed of the outcome of the audit,

e) any actions resulting from internal audits are taken in a timely and appropriate manner,

f) internal audit results for all offices involved in ISO/TS 16949:2002 related activities are reported to the contracted office for inclusion in the management review process.

2.8 Appeals and complaints

The certification body shall have a process for addressing appeals from the client and complaints from any interested parties. The process shall include the following activities where appropriate:

a) receiving, validating, investigating,

b) determining the root cause,

c) ensuring that any appropriate correction and systemic corrective actions are taken,

d) providing progress reports with identified timing and responsibilities,

e) maintaining the records of appeals, claims and actions taken.

The certification body shall ensure that adequate resources are available and the persons engaged in the process are different from those who carried out the audits and made the relevant certification decisions.

2.9 Management of impartiality

The certification body shall require personnel, internal and external, to reveal any situation known to them that may present them or the certification body with a conflict of interests. The certification body shall use

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this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them, and shall not use such personnel, internal or external, unless they can demonstrate that there is no conflict of interest.

Note: A relationship that threatens the impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission or other inducement for the referral of new clients, etc.

The certification body shall take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations.

The certification body, its auditors (full time or contractors) and any part of the same legal entity shall not offer or provide management system consultancy, site specific auditor training or internal audits to its certified clients within two years prior to contracting as their certification body. 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.

The provision of training, documentation development, or assistance with implementation of any management system and related training such as core tools, six sigma and lean manufacturing to a specific client is considered consulting.

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

3.0 Certification body contract requirements with the client

3.1 Certification agreement with client

The certification body shall have a legally enforceable agreement for the provision of certification activities to its client. In addition, where there are multiple offices of a certification body or multiple sites of a client, the certification body shall ensure there is a legally enforceable agreement between the certification body granting certification and issuing a certificate, and all the sites covered by the scope of the certification.

The contract between the certification body and the client shall address the following items:

a) the client shall notify the certification body of any changes (see section 3.2),

b) the client cannot refuse an IATF witness audit of the certification body,

c) the client cannot refuse the presence of a certification body internal witness auditor,

d) the client shall authorize access for the IATF representatives or their delegates,

e) the client shall authorize the certification body to provide the final report to the IATF,

f) the only use of the IATF logo related to this certification scheme is as displayed on the certificate issued by the certification body. Any other use of the IATF logo separately or not is prohibited.

Note: The client can make copies of the ISO/TS 16949:2002 certificate bearing the IATF logo for marketing and advertising purposes.

3.2 Notice of changes by a client

The certification body shall have a legally enforceable agreement to ensure that the client informs the certification body, without delay, of matters that may affect the capability of the management system to continue to fulfill the requirements of the ISO/TS 16949:2002 certification. These include, for example, changes relating to:

a) legal status,

b) commercial status (e.g. joint venture, sub-contracting with other organizations),

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c) ownership status (e.g. mergers and acquisitions),

d) organization and management (e.g. key managerial, decision-making or technical staff),

e) contact address or location,

f) scope of operations under the certified management system,

g) IATF subscribing OEM customer special status (see section 8.0),

h) major changes to the management system and processes.

4.0 Resource requirements

The certification body shall have a process to determine the competence required for each function involved in the ISO/TS 16949: 2002 certification activities. The certification body shall determine the means for the demonstration of competence prior to carrying out specific functions including but not limited to:

a) persons with veto power,

b) ISO/TS 16949:2002 auditor (including applicants),

c) IATF database administrator,

d) internal witness auditor,

e) internal system auditor,

f) technical expert.

The certification body shall ensure that personnel have appropriate knowledge relevant to the geographic areas in which it operates.

4.1 Veto power qualification

The certification body shall nominate individuals for veto power function (see section 5.12) having demonstrated technical competence to their relevant IATF Oversight office for approval.

Technical competence shall be demonstrated through the successful completion of the examination within the IATF auditor development process.

4.2 Application process and criteria for ISO/TS16949: 2002 auditors

The certification body shall have a process for selecting auditor candidates for admission into the IATF auditor qualification process. The auditor candidates shall meet the following selection criteria:

a) be qualified according to ISO 19011:2002 and the relevant accreditation body rule to perform ISO 9001:2000 audits,

b) have conducted at least six (6) ISO 9001:2000 third party audits with at least three (3) as audit team leader in manufacturing industries,

Note: Automotive manufacturing first or second party system auditing experience may be considered.

c) be knowledgeable in automotive core tools,

d) have six (6) years full time appropriate practical experience (including two (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 section 1.0).

Note: Experience in industries with similar scopes of applicability in chemical, electrical or metallic commodities may be considered.

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The sponsoring certification body shall submit for each candidate a completed application form and relevant supporting information to their relevant IATF Oversight office for approval and access to the IATF auditor qualification process.

4.3 Auditor qualification process

Once granted access to the IATF auditor qualification process, the auditor candidate will be provided access to background information for preparation and shall be required to complete the assessment and qualification event.

If the auditor candidate successfully completes the assessment and the qualification event, the candidate will be issued an IATF certification body auditor identification card and the sponsoring certification body will be issued a certificate to formally allow the auditor to conduct audits for the certification body. The auditor shall successfully complete an internal certification body witness audit (see section 4.4) before functioning as the audit team leader.

Additional certification bodies wanting to utilize the auditor shall apply to their relevant IATF Oversight office for a duplicate certificate bearing their certification body name.

If the auditor candidate fails the assessment and qualification event, the auditor candidate will be permitted to re-take the assessment subsequent to further training and development based on the qualification results and coordinated by the sponsoring certification body.

Once qualified, the auditor shall be granted access to the IATF auditor development process.

Details of both the IATF auditor qualification and development process can be found on: www.iatfglobaloversight.org.

> Note: IATF retains the right to change, modify or amend the auditor qualification and development process, which may require new events.

4.4 Certification body internal witness audit process

The certification body shall have a process for internal witness audits. This process shall be approved by the relevant IATF Oversight office and shall include the following provisions:

a) an annual audit schedule. All auditors conducting ISO/TS 16949:2002 audits are included in the witness audit schedule, whether full-time or sub-contract,

> Note: Auditors employed by more than one certification body shall be witnessed by each certification body.

b) each auditor is witnessed within six (6) months of the original qualification and at least once in every three (3) year period. Any additional sponsorship shall be considered as an original qualification for the newly sponsoring certification body,

c) focus on basic auditing skills and technical competencies related to automotive process approach, ISO/TS 16949:2002, Rules for Achieving IATF Recognition, automotive core tools and the certification body's processes,

d) adequately sample from all audits (stage 2, surveillance and recertification). Stage 2 audits shall be no less than two (2) days in duration. Surveillance and recertification witness audits shall be no less than one (1) day in duration,

e) place a priority on witness auditor independence and objectivity. Witness auditors shall be independent of the audit team members being witnessed unless approved by the relevant IATF Oversight office,

f) witness audits from other organizations (e.g. IATF, National Accreditation Bodies, etc.) are not be

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considered as part of the certification body witness audit process,

g) a written report that includes feedback to the auditor relative to areas of strength and weakness,

h) the output of the witness audit process is part of the annual auditor development plan (see section 4.5).

4.5 Maintaining auditor certification

The responsibility for maintaining IATF auditor certification shall be shared between the auditors and their sponsoring certification bodies.

The certification body shall have a process for the continuing approval and rejection of their auditors and audit team leaders. The process shall include monitoring and control of the IATF auditor development process, including examination, development progress, and integrity of results for each licensed IATF auditor sponsored by or working on the certification body's behalf.

The certification body shall obtain approval of this process from the relevant IATF Oversight office. Failure to implement these requirements and maintain this process shall result in a withdrawal of auditor credentials and initiate the loss of IATF certification body recognition (see section 2.4).

Note: Certification bodies who are main sponsors of contracted auditors are responsible for the auditor's development in accordance with this process.

The process shall include the ongoing monitoring and measurement of the performance and continuing development of each auditor sponsored by the certification body.

The process shall include a combination of the results of the IATF auditor competency profile, IATF witness audits, certification body internal witness audits, post-audit surveys, feedback from clients and their customers.

The auditor shall be responsible to conduct a minimum of one (1) ISO/TS 16949:2002 audit per three month period within a minimum total of ten (10) audit days within any twelve (12) month period from the date of qualification. Failure to meet this requirement shall result in withdrawal of their auditor credentials and the auditor shall be turned inactive in the IATF database.

The auditor shall be responsible to complete an annual development plan based on the competency profile generated from the auditor development process. This plan shall be made available to all certification bodies sponsoring the auditor.

The auditor shall be responsible for undertaking 20 hours continuing personal development per year which shall be a combination of directly related subject matter and related subject matter (see section 10.0).

4.6 Certification body internal witness auditor qualification

The certification body shall nominate as internal witness auditors individuals having demonstrated technical competence (as listed in section 4.4.c) to their relevant IATF Oversight office for approval.

Note: Technical competence should be demonstrated by taking the examination within the IATF auditor development process.

4.7 Certification body internal system auditor qualification

The certification body shall ensure that internal system audits are conducted by qualified personnel knowledgeable in certification, auditing and the requirements of these "Rules".

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5.0 ISO/TS 16949:2002 audit process general requirements

5.1 Audit and certificate cycles

The audit programme has a three (3) year audit cycle and a three (3) year certificate cycle, as shown in diagram 5.1.

5.1.1 Audit cycle

The first audit cycle shall include a two stage (stage 1 and stage 2) initial audit, surveillance audits in the first, second and the third years (dependent on the agreed interval table 5.1), and a recertification audit in the third year.

The first three (3) year audit cycle starts from the last day of the initial stage 2 audit.

Each subsequent audit cycle starts from the last day of the recertification audit.

Surveillance audits shall be scheduled from the last day of the initial stage 2 audit or the last day of a recertification audit in accordance with table 5.1.

Once established, the surveillance interval as detailed in table 5.1 shall be maintained for the three (3) year audit cycle. In situations where the surveillance audit timing is likely to be exceeded, the certification body shall either initiate the decertification process (see section 8.0) or request a waiver from the relevant IATF Oversight office.

Table 5.1

Surveillance interval	**6 months**	**9 months**	**12 months**
Number of audits per 3 year cycle	5	3	2
Allowable timing	-1 month / +1 month	-2 months / +1 month	-3 months / +1 month

The date of the first recertification audit shall not exceed three (3) years (-3 months, +0 months) from the last day of the initial stage 2 audit unless approved by the relevant IATF Oversight office. The scheduling of the recertification audit shall provide sufficient time to close or 100% resolve any nonconformity that may be raised at the recertification audit and the certification decision made prior to the expiration of the existing ISO/TS 16949:2002 certificate.

The time between two recertification audits shall not exceed three (3) years (-3 months, +0 months) from the last day of the previous recertification audit.

5.1.2 Certificate cycle

The three (3) year certification cycle begins with the date of the certification decision. This date shall be the issue date of the certificate.

A new three (3) year certification cycle begins with the date of the recertification decision. This date shall be the issue date of the certificate. The existing certificate is therefore superseded on this date.

The expiration date of the certificate shall be a maximum of three years minus one (1) day from the certification and or recertification decision date. A certificate once issued remains valid until it expires or is superseded, cancelled or withdrawn.

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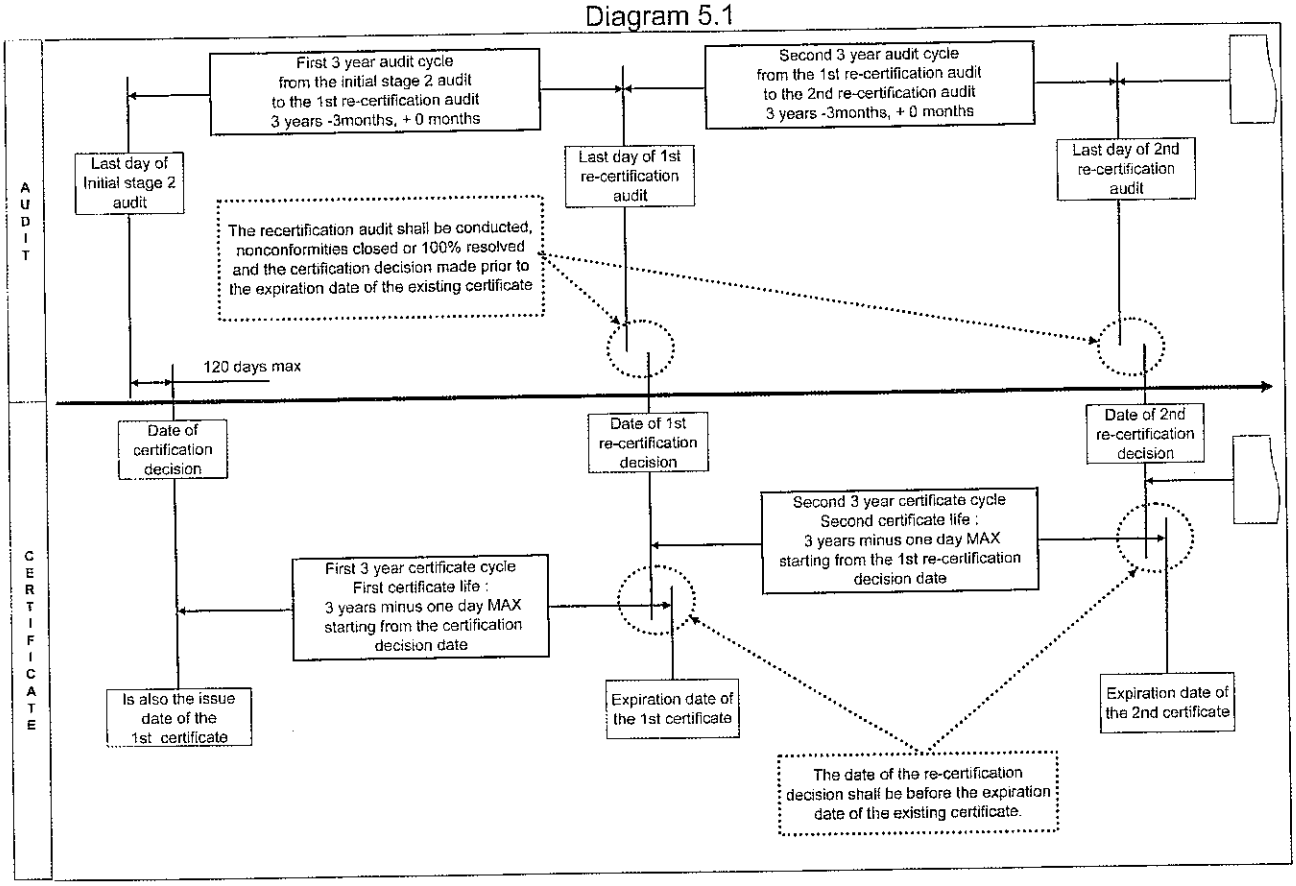
Diagram 5.1



5.2 Audit days determination

The certification body shall have a process for determining the minimum number of audit days, and for each client the certification body shall determine the days needed to plan and accomplish a complete and effective audit of the client's management system.

The certification body shall use table 5.2 to determine the minimum audit days for the initial certification stage 2 audit and for each surveillance audit. Table 5.2 shall be used to determine the minimum audit days for a recertification audit. The total number of audit days determined by the certification body, and the justification for the determination shall be recorded.

In determining the number of audit days, the certification body shall consider, among other things, the following aspects:

a) an audit day is typically a full normal working day of eight (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 section 5.2.e below),

b) complexity of product and the number of customers,

c) any outsourcing of any activities included in the scope of the certification,

d) on-site review of corrective actions arising from previous audits shall be additional to the specified audit days,

e) each audit shall include auditing on all shifts. Manufacturing shall be audited on all shifts where it occurs,

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f) the audited entity includes:

- the total number of employees on site, including any manufacturing extensions of the site (including permanent, part time, contract, and temporary employees), and
- the number of relevant employees in supporting activities (remote or on site). Employees from the support functions shall be apportioned to each site as demonstrated in Annex 2 – Audit day calculation examples.

g) consider the impact of multiple certification bodies involved in the auditing of the support locations (see section 5.5),

h) if a portion of the site is dedicated to automotive and completely separated in terms of "employee activity", that portion of the headcount can be used to determine audit time. In this case, relevant IATF Oversight office approval is required prior to implementation. If approved, the same ratio should be applied to the support activity head count,

i) when the certification body auditor is not fluent in the languages spoken on site, a translator shall be used. In this case that portion of the audit where the translator is used shall be increased by a minimum of 20%,

j) within the total audit days a maximum of 10% may be allocated to writing the audit report,

k) the stage 1 readiness review (1 to 2 days on site) shall be additional days to the stage 2 audit days as defined in table 5.2,

l) the pre-audit days, where performed, shall not be included as part of the total audit days (see section 6.3),

m) the total number of surveillance audit days in the first, second and third year (dependent on the agreed interval--see table 5.1) of any three year audit cycle shall be equal to the number of initial audit days in the calculation illustrated in table 5.2. There shall be at least one surveillance audit per year,

n) the only audit day reductions permitted are listed in section 5.3 and section 5.4,

o) if the scope of certification is expanded at the surveillance or recertification audit, the certification body shall increase the audit days,

p) the certification body shall plan the audit to ensure that each audit team member audits for a minimum of 0.5 days,

q) the certification body shall appoint a team of two (2) auditors minimum if the audit day requirement exceeds five (5) audit days,

r) when calculating audit days, the result shall be rounded up to the nearest half day (see Annex 2 – Audit day calculation examples).

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Table 5.2 : Minimum audit days for initial certification stage 2 audit and recertification 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

Recertification audit

Audited entity: Number of employees	Minimum audit days for recertification 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

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5.3 Audit day determination - corporate audit scheme

A "corporate" audit scheme can be applied where multiple manufacturing sites are audited collectively with common supporting locations.

A "corporate" audit scheme applies only to multiple manufacturing sites based on a "corporate" quality management system meeting the following conditions:

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

b) the quality management system shall comply with ISO/TS 16949:2002, and

c) the balance of activities which could be centrally managed include, as applicable:

   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),

   10) design activities.

In order to adequately assess the quality management system, all sites shall be audited. The sampling of sites is not allowed. It is the responsibility of the certification body to develop an audit plan whose total days are based upon the minimum calculation (see table 5.2 and Annex 2). 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.

Table 5.3: Audit days Reduction for "Corporate" Audit scheme

Number of sites	Percent reduction for initial and recertification audits only
2 to 9	20
10 to 19	30
20 and above	40

The percent reduction shall only be applied to the initial and recertification audit day calculation. Subsequent surveillance audit days are based on this reduced initial audit day calculation.

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5.4 Audit day determination – permitted reductions

In determining the number of audit days, a reduction may be granted for the following situations:

a) non-product design responsible (see section 6.1) client entities (site including remote support functions) may reduce on-site audit days by 15%,

b) upgrade to ISO/TS 16949:2002 from both VDA 6.1 and ISO 9001:2000 existing certifications. The initial stage 2 audit days may be reduced by no more than 50% of the audit days as defined within table 5.2,

c) upgrade to ISO/TS 16949:2002 from ISO 9001:2000. The initial stage 2 audit days may be reduced by no more than 30% of the audit days as defined within table 5.2,

- If the scope is expanded, the audit days reduction cannot be applied, 100% of the required audit days for the initial audit shall be applied.
- The certification body shall be the same for the existing 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.

d) adoption of a "corporate" audit scheme (see section 5.3),

e) multiple certification bodies involved with support functions. The certification body that does not audit the remote supporting function may reduce the audit days up to the amount that it would have used to audit the remote supporting function,

f) in cases such as simple processes, or demonstrated performance. The specified audit days of table 5.2 shall be applied for the initial stage 2 and recertification 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 relevant IATF Oversight office.

When combining reductions for non-product design responsibility, upgrading from existing certifications (see section 5.4.b and c above) and corporate audit scheme the maximum possible audit day reduction is 50%.

5.5 Supporting activities

Supporting functions on site or remote (e.g. product design, contract review, purchasing, warehouse, etc.) shall be audited as required to support a site, but shall be included in the initial stage 2 audit at least once more during the surveillance audit cycle and the recertification audit. Any exceptions to this requirement at the recertification audit shall be justified, documented and shall be submitted to the relevant IATF Oversight office for review and approval prior to audit.

When planning the initial stage 2 audit, the remote supporting function(s) shall be audited prior to the site. Additional audits of remote supporting functions may be necessary based upon their demonstrated performance as seen at the site(s) it supports.

The certification body shall ensure clients with product design responsibility have their design function(s), on site or remote, audited at least once within each consecutive twelve (12) month period.

The certification body shall document how the days are distributed between the site(s) and any supporting functions on site or remote.

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

- Option 1: each certification body may audit the remote supporting location(s).

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- Option 2: a certification body may accept the audit by another certification body of the remote supporting locations subject to the following conditions:

  1) the audit was conducted to ISO/TS 16949:2002 by an IATF recognized certification body,

  2) the audit covered the complete product scope of those functions, consistent with the process based audit approach,

  3) the client provides prior to the audit 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 client and the other certification body,

  4) the information confirms during the stage 1 readiness review that all the interfaces between the remote supporting location and the site were adequately audited by the other certification body,

  5) verification of the client's corrective actions is conducted by the certification body that audited the remote supporting location. Copies of all onsite verification activities reports shall be provided by the client to the certification body.

  When the conditions above cannot be met, the certification body shall notify the client and go back to Option 1.

In Option 2 above, the certification body's process for determining audit days shall require the total number of employees at the remote support function to be apportioned to each site it supports.

5.6 Establishing the audit team

The certification body shall have a process for selecting and appointing the auditors of the audit team, including the audit team leader, taking into account the competence needed to achieve the objectives of the audit.

The audit team shall be composed of IATF qualified auditors (and technical experts, as necessary) with a valid certificate to conduct audits in the name of the certification body as recorded in the IATF database.

Technical experts are persons who provide specific knowledge or expertise to the auditors of the audit team. Where technical experts are used, their time shall be additional to the audit day requirements.

The certification body shall appoint at least one auditor from the initial certification audit team to participate in all surveillance audits of the three (3) year audit cycle. For each subsequent recertification and surveillance audit, different auditors shall be used. The certification body shall request prior approval from the relevant IATF Oversight office if these requirements cannot be met.

The certification body shall comply with specified requirements for audit teams when calculating audit days (see section 5.2).

5.7 Audit planning – all audits

The certification body shall ensure that an audit plan is established for each audit (initial, surveillance, recertification and special) to provide the basis for agreement regarding the conduct and scheduling of the audit activities.

The audit planning activity shall be undertaken prior to arrival on site and shall include as inputs to the plan a review of the following information supplied by the client:

a) all requirements of the client's quality management system implemented to meet the automotive requirements of those customers requiring ISO/TS 16949:2002 certification of their suppliers, even when these requirements go beyond ISO/TS 16949:2002 (i.e. customer specific requirements),

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b) the client processes taking into account their sequence and interactions, including remote support functions,

c) 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,

d) customer satisfaction and complaint summary, including verification of customer reports, scorecards and special status,

e) follow up on issues from previous audits.

The certification body shall undertake an analysis of the information provided and based on actual or potential risk to the customer, product and processes in order to develop an audit plan demonstrating the prioritization of audit activities.

In creating the audit plan, consideration shall be given to timing of activities over consecutive days to give a sequence, which avoids unnecessary duplication of visits to one process.

Note: Guidance on audit planning can be found in ISO 19011:2002 and the IATFAuditor Guide for ISO/TS 16949.

Following the audit planning activity, the audit plan shall be communicated and the dates of the audit shall be agreed upon in advance with the client.

5.8 Conducting on site audit activities

The certification body shall have a process for conducting on site audits, taking into consideration the relevant guidance provided in ISO 19011:2002, the IATF Auditor Guide for ISO/TS 16949 and utilizing the automotive process approach.

The automotive process approach ensures that priority is given to:

a) questioning the clients' processes, the sequence and interactions, and performance against the measures defined, with focus on the processes which directly impact the customer,

b) questioning the process objectives/targets, with focus on where targets are not being met, and focus on issues that have the greatest impact on the customer,

c) questioning what plans are in place to ensure targets are met, and corrective action plans where objectives are not being met,

d) following audit trails to linkages between customer concerns, performance against objectives and relevant process documents (e.g. control plan, FMEA, etc.),

e) questioning the clients' process for gathering, communicating and implementing customer -specific requirements.

Each onsite audit (stage 2, surveillance, and recertification) shall include at least the following:

a) information and evidence about conformity to ISO/TS 16949:2002 requirements. All requirements shall be audited for effective implementation at the stage 2 audit, during the surveillance audit cycle and at the recertification audit,

b) review of any changes in the clients' organization or management since the last audit,

c) implementation of requirements for new customers since the last audit,

d) review of customer complaints and the client's responses since the last audit (for recertification see section 6.9),

e) the client's management system and performance since the last audit (for recertification see section 6.9),

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

g) performance monitoring, measuring, reporting and reviewing against key customer and internal performance objectives and targets, including continual improvement,

h) operational control of the client's processes,

i) process based internal auditing and management review results and actions,

j) management responsibility for the client's policies,

k) links between the policy, performance objectives and targets, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions,

l) auditing on all shifts. Manufacturing shall be audited on all shifts where it occurs,

m) examination of the processes, when practical, where they occur,

n) information and evidence about the customer specific requirements, including customer-specific quality management system requirements to be audited. The customer-specific requirements shall be sampled for effective implementation over the three (3) year audit cycle. Priority shall be given to customer-specific requirements issued by the IATF OEM members (BMW, Chrysler, Daimler AG, Fiat, Ford, General Motors, PSA Peugeot Citroën, Renault, Volkswagen AG).

Note: These IATF OEM customer specifics could be published IATF OEM specifics, contract terms, service level agreements, SQA procedures, etc.

The audit team shall regularly communicate with the client during the audit regarding the progress of the audit.

The audit team shall record objective evidence of both compliance and noncompliance with requirements.

5.9 Audit findings

Audit findings can indicate either conformity or nonconformity with audit criteria.

Audit findings which are nonconformities shall not be reported as opportunities for improvement.

The audit team shall record all findings of nonconformity when detected and identify the nonconformities to the client. The identified nonconformities shall not be closed during the audit.

When findings of nonconformity are identified, the audit team shall classify the nonconformity according to the definitions in section 10.0.

A nonconformity shall be documented in three distinct parts:

a) a statement of nonconformity,

b) the requirement, or specific reference to the requirement,

c) the objective evidence observed that supports statement of nonconformity.

Note: A nonconformity may cover more than one "shall" requirement.

Major nonconformities (see section 10.0) may provide a basis for termination of the audit by the audit team leader in consultation with the client and the certification body. If the client agrees to terminate the audit, the audit team leader shall stop the audit immediately and an audit report shall be prepared. The certification body shall record the reasons for termination in the IATF database and report the termination and the impact on the certification process to the relevant IATF Oversight office. If a stage 2 audit is terminated, the client shall start over with a stage 1 readiness review.

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The audit team shall not recommend to the client specific solutions to address nonconformities.

Note: In cases of conformity, opportunities for improvement may be identified (see section 10.0).

5.10 Writing audit report

The audit team shall analyze all information and audit evidence gathered during the audit and agree on the audit conclusion. The certification body shall issue a written audit report (draft or final) to the client at the closing meeting. The draft audit report shall include a description of all nonconformities, opportunities for improvement (see section 5.9) and the audit team recommendation to the certification body decision function. The written audit report shall be acknowledged by the client.

The certification body shall issue the final audit report within fifteen (15) working days of each audit.

The final audit report shall be based on relevant guidance provided in ISO 19011:2002 and contain the following information:

a) scope, products and list of all the customers whose requirements were audited,

b) list of IATF OEM supplier codes of the client manufacturing site,

c) summary of audited processes (see Annex 1 table) and related performance results,

d) nonconformities and opportunities for improvement as evidenced during the audit process,

e) name of each audit team member, technical expert and translator, when relevant,

f) cross-references of nonconformities to both the relevant clause of ISO/TS 16949:2002 and the client's quality management system,

g) the audit team recommendation to the certification body decision function.

5.11 Nonconformity management

The certification body shall require the client to determine the root cause and describe the specific correction and systemic corrective actions implemented to eliminate the reported nonconformity.

The certification body shall review the correction, root cause analysis and corrective actions submitted by the client to determine if these are acceptable. If the submission is not acceptable, the certification body shall resolve any areas requiring further clarification with the client. This activity shall be completed within ninety (90) days from the end of the site audit.

In the case where the implementation of corrective actions cannot be completed within ninety (90) days from the end of the site audit, the certification body shall consider the nonconformity open but 100% resolved when the following conditions have been met:

a) containment of the condition to prevent risk to the customer has been taken,

b) documented evidence of an acceptable action plan, instructions, and records to demonstrate the elimination of the nonconformity condition, including assigned responsibilities or verification follow-up visit.

The certification body shall verify the effective implementation of the identified corrective actions.

A major nonconformity should require onsite verification within the ninety (90) days. Onsite verification of any minor nonconformity within the ninety (90) days is at the discretion of the certification body based on knowledge and experience. If onsite verification is not necessary, the minor nonconformity shall be verified at the next audit (see section 5.2.d).

The certification body shall issue a report to the client after verification of corrective action is complete. The report shall include the verification details of each nonconformity.

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5.12 Certification decision

The certification body shall have at least one member of the certification decision function who shall exercise veto power on the certification decision. These persons shall be approved by the relevant IATF Oversight office (see section 4.1).

Certification decisions include the following situations:

a) granting initial certification after the initial audit,

b) maintaining certification after each surveillance or special audit,

c) granting recertification after the recertification audit,

d) granting certification after the conclusion of a transfer audit.

The certification decision function shall confirm, prior to making a certification decision, that:

a) the information provided by the audit team final report is sufficient with respect to the certification requirements and the scope for certification,

b) any opportunities for improvement issued are supported by documented objective evidence of conformity (see section 10.0) rather than nonconformities misclassified as opportunities for improvement or written in terms that can be viewed as consulting or recommendations to address a nonconformity.

Note: The IATF considers the misuse or inappropriate application of opportunities for improvement to be a major nonconformity against the certification body.

c) closed nonconformities have been reviewed and accepted and the effectiveness of the correction, root cause analysis and corrective action was verified,

d) open nonconformities judged to be 100% resolved have been reviewed and the client's planned correction, root cause analysis and corrective action were accepted.

The certification decision function shall make the certification decision on the basis of an evaluation of the audit findings and conclusions and any other relevant information (e.g. public information, comments on the audit report from the client, etc.). Before a certification decision is made, the certification decision function may require additional information in order to clarify any aspect of the audit team final report.

The certification decision shall be made within a maximum of 120 calendar days from the last day of the stage 2 or recertification audit (see section 5.1).

The certification body shall ensure that the people involved in the certification decision function that makes the initial certification, surveillance or recertification decisions are different from those who carried out the audits.

5.13 Certification and certificate issuance

Certificates shall be issued only if there is:

a) 100% compliance to requirements,

b) nonconformities found during the audit are either closed or open but 100% resolved.

The certification body shall provide a certificate to the certified client.

The certificate issue date is the date of the certification decision. The certification decision and the issuance of the certificate shall be completed within a maximum of 120 calendar days from the last day of the stage 2 or recertification audit. Certificates to ISO/TS 16949:2002 shall only be issued by the IATF contracted certification body office or an approved regional office under control of the IATF contracted certification body office.

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The content of the certificate shall:

a) be issued in the language specified by the client; however, an English version shall be available upon request,

b) include only all manufacturing activities for related products and services meeting the applicability of ISO/TS 16949:2002 in scope statement,

c) include the issue edition of the ISO/TS 16949:2002, date of certification (date that the certification body makes the certification decision) and date of expiration (date of certification plus 3 years minus 1 day),

d) include permitted exclusions as defined in the clause 1.2 Application of ISO/TS 16949:2002,

e) list on the front page the client's name and address. Multiple names for a single site are permitted,

f) include page numbers (i.e. page 1 of 3) if an appendix/schedules are included as part of the certificate and each appendix shall be endorsed with both the IATF and certification body certificate numbers. A release date or use of a footer may be added to control the revision level of certificates and appendices,

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

h) include on the appendix to the certificate, manufacturing site extensions (when they exist) which are part of the quality management system and have been audited, including both their location and a description of the activities undertaken,

i) include the name and address of the contracted office of the certification body (city / state / country),

j) include the IATF logo (equal prominence with other marks),

k) issue a separate certificate for each site in a corporate site scheme with a common certification body certificate number plus suffix,

l) include both the certification body certificate number and the IATF certificate number,

m) not include references to other documents for which the certification body is not recognized by the IATF (i.e. ISO 9001:2000).

5.14 Letter of conformance

The purpose of the letter of conformance is to confirm that processes exist which satisfy the requirements of ISO/TS 16949:2002 and these "Rules".

A client may be eligible to receive a letter of conformance in the following two situations:

1) a new site exists, or

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

The certification body may issue a letter of conformance after:

a) the client is able to supply the information required for the stage 1 readiness review (see section 6.5) including internal and external performance data and one full cycle of internal audits and management review, but not twelve (12) months of internal audits and performance data,

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b) the relevant site has completed an initial audit (stage 1 readiness review and stage 2) with no open nonconformity,

c) approval by veto power.

A letter of conformance issue date is the date of the positive decision and is valid for a maximum period of twelve (12) months. The IATF logo and an IATF certificate number shall not appear on the letter of conformance; therefore no record of the audit and the letter of conformance shall be entered into the IATF database.

After twelve (12) months for the new site or if the client on an active bid list receives a contract from the customer requiring ISO/TS 16949:2002 certification, the certification process shall proceed by the same certification body with an initial audit (stage 1 readiness review and stage 2), with a maximum reduction of 50% possible in audit days for the stage 2 audit.

If a contract from the customer requiring ISO/TS 16949:2002 certification has not been issued within 12 months, the client may re-apply for another letter of conformance. No stage 1 readiness review is required and a maximum reduction of 50% in the stage 2 audit days is allowable.

6.0 Audits

6.1 Application for ISO/TS 16949:2002 certification

The certification body shall require an authorized representative of the applicant client to provide the necessary information to enable the certification body to establish a complete quotation based on the following:

a) the desired scope of the certification,

b) the general features of the applicant client, including its name and the address(es) of the site and all associated remote support location(s), significant aspects of its process and operations, and any relevant legal obligations,

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

d) information concerning all outsourced processes used by the client that should affect conformity to requirements,

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

f) information concerning product design responsibility,

g) information on automotive customers, including IATF OEM supplier codes,

h) total number of employees, including full time, part time, temporary, or contract.

When determining product design responsibility, the certification body shall allow two options:

1) Client responsibility, including subcontracted design, or

2) Customer responsibility.

If the client is not design responsible, the certification body shall exclude ISO/TS 16949:2002, 7.3 Product Design from the client's audit scope.

Based on the information provided by the applicant client, the certification body shall determine if the desired scope of certification meets the applicability requirements for ISO/TS 16949:2002 (see section 1.0).

The certification body shall maintain documentation demonstrating the requirements in this section are met.

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6.2 Application review

Before proceeding with a legally enforceable agreement (see section 3.1) the certification body shall conduct a review of the existing quotation and supplementary information for certification to ensure that:

a) the information about the applicant client and its management system is sufficient for planning of the audit,

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

c) any known difference in understanding between the certification body and the applicant client is resolved,

d) the certification body has the competence and ability to perform the certification activity,

e) the scope of certification sought, the location(s) of the applicant clients' operations, time required to complete audits and any other points influencing the certification activity are taken into account (e.g. language, safety conditions, threats to impartiality, etc.),

f) records of the justification for the decision to undertake the audit are maintained.

Based on the application review, the certification body shall determine the competences it needs to include in its audit team (see section 5.6) and for the certification decision.

6.3 Pre-audit

The certification body may conduct a "pre-audit or pre-assessment" prior to the stage 1 readiness review. The pre-audit is an audit but is not part of the initial audit (stage 1 readiness review and stage 2).

The pre-audit shall:

a) be conducted in a single visit to one site of a client. If more than one pre-audit is conducted at any site in the same client, it is considered management system consultancy,

b) be less than 80% of the audit time calculated for the stage 2 initial audit (see section 5.2),

c) not reduce the audit time calculated for the initial audit (stage 1 readiness review and stage 2) (see section 5.2).

The certification body shall select an auditor agreed to by the client. Any auditor assigned to the pre-audit shall not be part of the audit team for the initial audit (stage 1 readiness review and stage 2).

The pre-audit may generate non-binding findings without recommending solutions.

6.4 Initial audit

The initial audit shall be conducted in two stages: stage 1 – readiness review and stage 2 – site audit, including any remote support functions (see section 5.5).

The certification body shall conduct the stage 1 readiness review in one (1) or two (2) days on the client site. For a corporate audit scheme, the certification body shall conduct the stage 1 readiness review at each of the client sites and each stage 1 readiness review shall be one (1) or two (2) days. The stage 1 readiness review should not include a visit of the remote support locations.

In exceptional cases, the certification body may apply for approval from the relevant IATF Oversight office:

a) to complete all required stage 1 activities without a visit to the client site, or

b) to complete all required stage 1 activities without a visit to all sites of a corporate audit scheme.

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The decision not to complete a visit shall be justified, documented and approved by the relevant IATF Oversight office. Such justifications should be based upon the client size, location, risk considerations, previous knowledge, and identical processes in multiple sites, and the client shall be informed that planning of the stage 2 site audit may not be accurate.

6.5 Stage 1 readiness review activities

The stage 1 shall be performed by a member of the audit team established for the stage 1 and 2 audit, preferably the audit team leader.

Stage 1 planning

The certification body shall require the client to provide the necessary documentation for review including the following:

a) description of processes showing the sequence and interactions, including the identification of outsourced processes,

b) key indicators and performance trends for the previous 12 months, minimum,

c) evidence that all the requirements of ISO/TS 16949:2002 are addressed by the client's processes,

d) quality manual, including the interactions with support functions on site or remote,

e) evidence of one full cycle of internal audits to ISO/TS 16949:2002 followed by a management review,

f) list of qualified internal auditors and the criteria for qualification,

g) list of automotive customers and their customer-specific requirements if applicable,

h) customer complaint summary and responses, scorecards and special status.

Stage 1 activities

The stage 1 shall be performed:

a) to evaluate the client's management system documentation,

b) to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the readiness for the stage 2 audit,

c) to evaluate the client'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,

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

e) to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit,

f) to provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects,

g) to evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit,

h) to verify that both client and design subcontractors have appropriate capability to meet ISO/TS

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16949:2002 clause 7.3 requirements in its totality, including interfaces between client and subcontractors.

Stage 1 decision

Based upon the information gathered during the audit, the audit team shall determine if the client has sufficient readiness to proceed to a stage 2 audit. The site shall be judged "ready" unless the audit team concludes:

a) the required items are not present and complete, or

b) an issue which could result in a major nonconformity at the stage 2 with respect to the effective implementation of the management system.

The audit team shall communicate the decision to the client in the stage 1 written report. The report shall also include the stage 1 results, including identification of any areas of concern that could be classified as major or minor nonconformity during the stage 2 audit. Nonconformities shall not be issued.

If the audit team determines the client "not ready" to proceed to a stage 2 audit, the client shall have another stage 1 readiness review.

The stage 2 audit plan shall be developed based upon information evaluated at the stage 1 readiness review.

6.6 Stage 2 audit

Stage 2 audit activities

The purpose of the stage 2 audit is a process-based evaluation of the implementation, including effectiveness, of the client's management system. The stage 2 audit shall be conducted on site.

The certification body shall comply with specified requirements in section 5.0.

In determining the time interval between stage 1 readiness review and stage 2 audit, consideration shall be given to the needs of the client to resolve areas of concern identified during the stage 1 readiness review. The stage 2 audit shall commence within ninety (90) calendar days from the approval of stage 1 readiness review.

The certification body shall enter all the required audit data in the IATF database within twenty (20) calendar days from the closing meeting of the stage 2 site audit. This information shall be in the specified format, in English.

6.7 Information for granting initial certification

The information provided by the audit team to the certification body decision function shall include, as a minimum:

a) the written reports (stage 1 readiness review and stage 2 audit),

b) the nonconformities and the correction, root cause analysis and the corrective actions taken by the client,

c) a recommendation whether or not to grant certification together with any conditions or observations.

The certification decision shall be made based upon the requirements in section 5.13.

The certification body shall inform the client of the certification decision and issue the certificate to the client. This information shall be entered in the IATF database within seven (7) calendar days of the certification decision and shall be in the specified format, in English.

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6.8 Surveillance audit

Surveillance activities

Surveillance activities shall include on-site audits assessing the certified client's management system's fulfillment of specified requirements, but not necessarily a full systems audit.

Surveillance audits shall comply with specified requirements in section 5.8. When a nonconformity is identified by the certification body, then the decertification process (see section 8.0) shall be initiated.

For a major nonconformity the certification body shall require the client to determine root cause and implement correction within twenty (20) days from the end of the site audit (see section 8.0). The certification body shall review the correction and determine if the certificate shall be suspended (see section 8.0).

The certification body shall maintain certification based on demonstration that the client continues to satisfy the requirements of ISO/TS 16949:2002. It may maintain a client's certification based on a positive conclusion by the certification body decision function.

The certification body shall enter the audit data and any change in the certificate status in the IATF database within twenty (20) calendar days from the date of the closing meeting of the surveillance audit. This information shall be in the specified format, in English.

6.9 Recertification

Recertification activities

A recertification audit shall be planned and conducted to evaluate the continued fulfillment of all the requirements of ISO/TS16949:2002. 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.

The audit team leader shall establish an audit plan as defined within section 5.5. The recertification audit plan shall consider the performance of the management system over the period of certification, and include the review of previous surveillance audit reports.

The recertification audit shall include an on-site audit that addresses the following:

a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification,

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

c) whether the operation of the certified management system contributes to the achievement of the client's policy and objectives,

d) the effective interaction between all the processes defined in the quality management system and the overall effectiveness of the management system.

When, during a recertification audit, instances of nonconformity are identified, the certification body shall follow the relevant requirements in the nonconformity management (see section 5.11).

The certification body shall define time limits for correction and corrective actions to be implemented prior to the expiration of certification.

The certification body shall enter all the required audit data in the IATF database within twenty (20) calendar days from the closing meeting of the recertification audit. This information shall be in the specified format, in English.

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6.10 Information for granting recertification

The certification body shall make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification.

The certification decision shall be made based upon the requirements in the section 5.12.

The certification body shall inform the client of the certification decision and issue the certificate to the client. This information shall be entered in the IATF database within seven (7) calendar days of the certification decision and shall be in the specified format, in English.

7.0 Other audit types

Transfer audit

A transfer audit occurs when an ISO/TS 16949:2002 certified client decides to change certification bodies. The transfer audit process shall, in all cases, continue to meet the "Rules".

Prior to the start of the transfer audit, the following conditions shall be met:

a) the certification body shall ensure that clients applying for transfer have not transferred from another IATF recognized certification body within the previous three (3) year period,

b) the new certification body shall be recognized by IATF,

c) the existing certificate shall be valid, with all existing nonconformities considered to be 100% resolved,

d) the client cannot be in any IATF OEM special status condition, or have their current ISO/TS 16949:2002 certification in suspension, cancelled or withdrawn status,

e) the client shall provide the new certification body with the previous audit report and all findings issued by the existing certification body for the site and any remote support functions,

f) the new certification body shall perform a review of the provided audit report and all findings,

g) the new certification body shall perform a basic document review and a review of key indicators of quality management system performance,

h) the new certification body should ensure the audit team members, if subcontracted, have not previously audited the client.

The new certification body shall advise the client not to cancel the contract with the existing certification body prior to the completion of all the transfer activities.

The new certification body shall complete all transfer activities (including a – g above) and a transfer audit including closure of any nonconformities and a certification decision prior to the next scheduled surveillance audit with the previous certification body or the expiration of the existing valid certificate.

The new certification body shall conduct the transfer audit, which is equivalent in audit days to a re-certification audit (see table 5.2).

Upon satisfying all the requirements for certification, a certificate is issued by the new certification body and a three (3) year audit and certification cycle begins. The new certification body shall notify the relevant IATF Oversight office of the change in certification. The new certification body shall enter the certificate information, including the previous IATF certificate number, in the IATF database within seven (7) calendar days of the certification decision. The information shall be in the specified format, in English.

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8.0 Certificate decertification process

All recognized IATF certification bodies shall have a defined process which adopts the following definitions and process requirements.

8.1 Initiation of the decertification process

The start date of the decertification process shall be the date of any of the following:

a) the certification body receives a performance complaint against the client from an IATF OEM member, its relevant IATF Oversight office, or any automotive customer of the client,

b) the client advises the certification body of a special status condition from an IATF subscribing OEM. Notification from the client to the certification body shall occur within ten (10) calendar days from receipt of the special status condition or otherwise specified by the customer.

c) the issue date of the surveillance audit report containing nonconformities (see section 5.10),

d) the client voluntarily requests suspension due to significant changes of ownership or interruption of the manufacturing of product meeting the applicability for certification,

e) the surveillance audit is not conducted at the established intervals (see section 5.1),

f) failure to supply the required information to the certification body to undertake effective audit planning (see section 5.7).

8.2 Analysis of situation

The certification body shall undertake immediate analysis of the situation with support from, where appropriate, the relevant IATF Oversight office and certified client to determine the severity of the situation and risk to the subscribing customers of the certified client within twenty (20) calendar days. Where major nonconformities are raised, the analysis shall include a review of the client-submitted root cause analysis and implemented correction.

When the affected site is part of a corporate audit scheme, the analysis shall include a review of the concern and its impact across all sites.

8.3 Certificate suspension decision

Based on the situation analysis, the certification body shall make the decision to suspend or not suspend the certificate within twenty (20) calendar days of the start of the decertification process, and records of the decision shall be maintained. The decision to suspend the certificate shall be communicated to the relevant IATF Oversight office and certified client within ten (10) calendar days of the decision and the IATF database shall be updated.

Certificate suspension is a temporary status not exceeding 120 calendar days (refer to flowchart for a list of activities) which results in either the reinstatement or withdrawal of the certificate. Any deviation from this process shall be submitted for approval by the Certification Body to their relevant IATF Oversight office. During the suspension period, the certificate remains valid and is still recognized by the IATF.

In the case of a suspension within a corporate audit scheme, the suspension shall only apply to the affected site(s).

8.4 Verification

The certification body shall verify the effective implementation of the identified corrective actions from the certified client. This verification shall take place on site or not at the decision of the certification body.

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8.5 Reinstatement / withdrawal decision

The certification body shall make a decision to reinstate or withdraw the certificate within 110 calendar days from the start of the decertification process. The decision shall be communicated to the relevant IATF Oversight office and certified client within ten (10) calendar days of the decision.

8.6 Certificate reinstatement

Where the decision is taken by the certification body to reinstate the certificate, the certification body shall:

a) notify their relevant IATF Oversight office,

b) notify their certified client,

c) update the IATF database.

8.7 Certificate withdrawal

Certificate withdrawal is the definitive interruption of the validity of the certificate as a sanction from the certification body following a client noncompliance with the certification contract. This may include withdrawal due to commercial reasons.

In the case of withdrawal within a corporate audit scheme, the withdrawal shall only apply to the affected site(s).

Where the decision is taken by the certification body to withdraw the certificate, the certification body shall:

a) notify their relevant IATF Oversight office,

b) notify their certified client,

c) request the certified client returns the ISO/TS 16949:2002 certificate,

d) update the IATF database.

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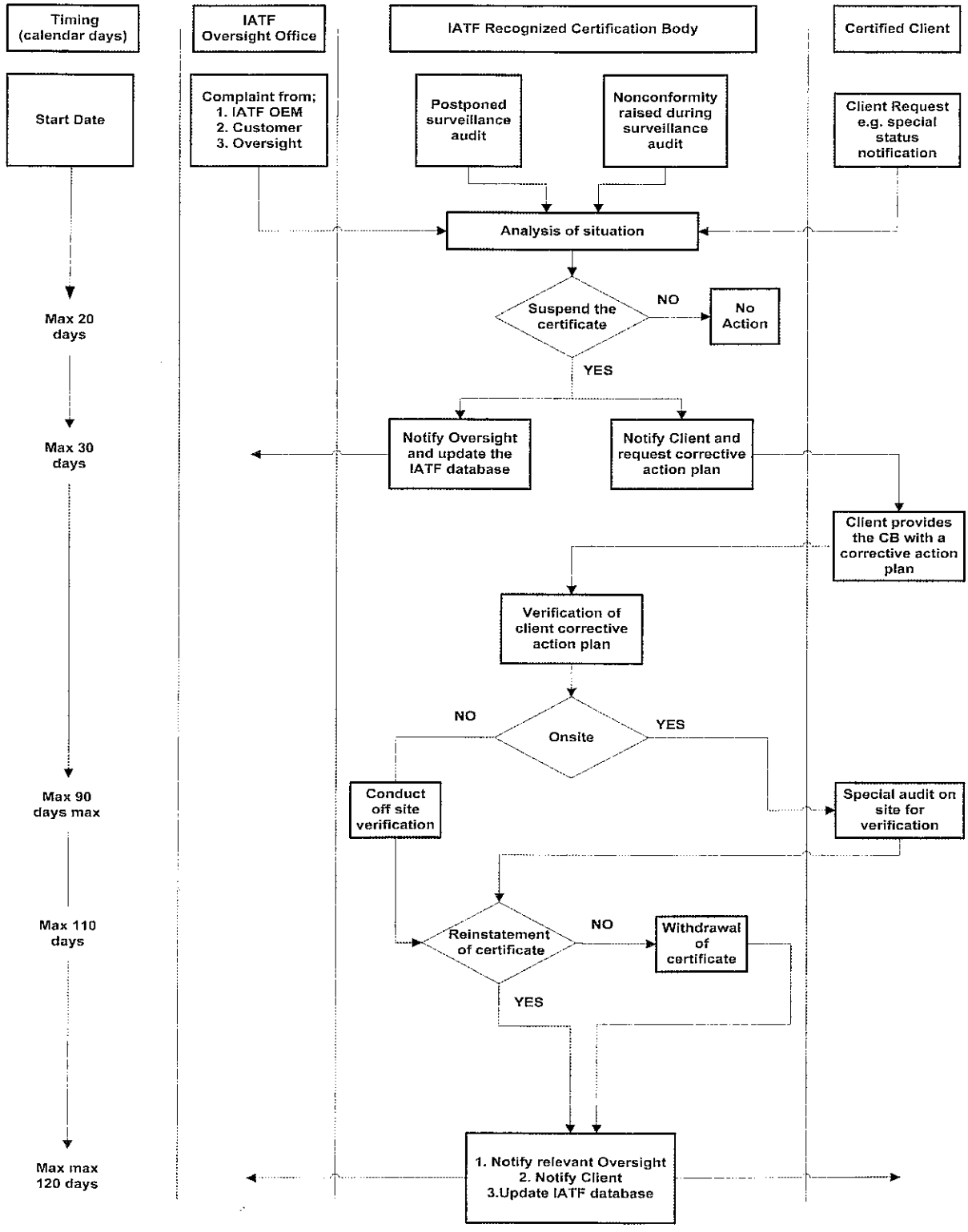
8.8 The overall decertification process



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9.0 Records required of the certification body

The certification body shall have a documented policy and documented procedures that define the controls for the identification, storage, protection, retrieval, retention time and disposition of records. Records shall be retained for the duration of the current three (3) year certification cycle plus one full three (3) year certification cycle.

Note: In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.

The records specified above may be stored in hard copy or electronically and shall be accessible during an office assessment. Records shall remain legible, readily identifiable and retrievable.

9.1 Certification records

The certification body shall maintain records on the audit and other certification activities for all clients, including all organizations that submitted applications, and all clients audited, certified, or with certification suspended, withdrawn or cancelled.

The certification body shall maintain the following records:

a) application information, including quotation, audit days and audit day fee,

b) initial, surveillance and recertification audit reports, including evidence all requirement of ISO/TS 16949:2002 are addressed by the client's processes,

c) audit schedules showing date(s) and assigned auditors,

d) audit plan (agenda) demonstrating the process approach,

e) justification for auditor time determination,

f) verification of correction including root cause analysis and corrective actions,

g) records of complaints and appeals, and any subsequent correction or corrective actions,

h) committee deliberations and decisions, if applicable,

i) documentation of the certification decisions,

j) certification documents, including the scope of certification,

k) records of the monthly IATF database accuracy checks and subsequent actions.

9.2 Personnel records

The certification body shall maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status, competence and any relevant consultancy services that may have been provided. This includes management and administrative personnel in addition to those performing certification activities.

The certification body shall ensure that records of the competence of auditors and technical experts are maintained.

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10.0 Terms and definitions

Aftermarket parts

Replacement parts not procured or released by OEM for service part applications which may or may not be produced to original equipment specifications.

Audit programme

Set of one or more audits of a client planned for a specific time frame including certification, surveillance and recertification activities.

Audit team

One or more auditors conducting an audit supported, if needed, by technical experts.

Cancellation of a certificate

Is an 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 a client 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.

Consulting

Is the provision of training, documentation development, or assistance with implementation of management systems to a specific client.

Correction

Is the action taken to eliminate a detected nonconformity.

Corrective action

Is the action taken to eliminate the cause of the detected nonconformity.

Directly related subject matter

Automotive related or audit related techniques (e.g. Core Tools, Special Processes, Lean Manufacturing Tools and Techniques, 6 Sigma, ISO19011, ISO/IEC 17021 Part 1).

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.

Installation

Is the fitting of a component or accessory, designed and manufactured to OEM specifications, by the OEM dealer network prior to delivery to the customer.

Maintaining a certificate

A certificate's validity is subject to the ongoing surveillance audits, recertification audits, and other conditions defined in the contract with the certification body.

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Major nonconformity

Is one or more of the following:

- 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 ensure controlled processes and products.

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 ensure controlled processes or products. It may be one of the following:

- A failure in some part of the client'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.

100% resolved

Is

a) containment of the condition to prevent risk to the customer.

b) a documented evidence such as action plan, instructions, or records to demonstrate the elimination of the nonconformity condition, including assigned responsibilities or verification follow-up visit.

Opportunity for improvement

An opportunity for improvement is a situation where the evidence presented indicates a requirement has been effectively implemented, but based on auditor experience and knowledge, additional effectiveness or robustness might be possible with a modified approach.

Related subject matter

Other management systems (Quality, Environmental and Health & Safety), e.g. AS9100, ISO14001, OHSAS 18001, IRIS and AQAP.

Service parts

Replacement parts manufactured to OEM specifications which are procured or released by the OEM for service part applications including remanufactured parts.

Subscribing customer

Any automotive customer that requires certification or compliance to ISO/TS 16949:2002 of its supply base.

Technical expert

Person who provides specific knowledge or expertise to the auditors of the audit team.

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Annex 1 – 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 2 - Audit day calculation examples

Single Site Certification - Audit Day Calculation Example 1
No Upgrade from previous QMS Registration
Design Responsible (no discount)
No Remote/Supporting Locations
Annual Surveillance audits (2 audits over the 3 year audit cycle)

Purchasing Employees: 5	Design Engineering Employees: 25
Manufacturing & Office Employees: 200	Contract Review Employees: 5

One Physical "Site", housing all employees

Total number of employees = 235 (5 + 25 + 200 + 5)

Correct Calculation:

Site	Year	Type of audit	Number of Employees	Minimum Audit Days from Rules 3rd, Table 5.2	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
1	0	Initial Stage 2	235	8.0	8.0
1	1, 2	Surveillance	235	Number of initial audit days (8.0) / number of surveillance audits (2) = 4.0	4.0 each audit
1	3	Recertification	235	5.0	5.0

Note: Assumes no changes over the 3 year audit cycle to employee headcount, scope, customers, etc.

Single Site Certification - Audit Day Calculation Example 2
Upgrade from ISO 9001*
Non-Design Responsible
No Remote/Supporting Locations
Annual Surveillance audits (2 audits over 3 year audit cycle)

Purchasing Employees: 5	Customer-Specified Remanufacturing Employees: 25
Manufacturing & Office Employees: 200	Contract Review Employees: 5

One Physical "Site", housing all employees

* Note: All upgrade audits are "Initial Audits" under Rules 3rd, section 5.4.

Total number of employees = 235 (5 + 25 + 200 + 5)

Correct Calculation:

Site	Year	Type of audit	Number of Employees	Minimum Audit Days from Rules 3rd, Table 5.2	Non-Design Responsible Reduction	Calculated Minimum Audit Days	Maximum Upgrade Reduction	Calculated Minimum Audit Days	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
1	0	Initial Stage 2	235	8.0	15%	(8 days * 0.85) = 6.8	30%	(6.8 days * .7) = 4.76	5.0
1	1, 2	Surveillance	235		15%	Number of initial audit days (6.8) / number of surveillance audits (2) = 3.4			3.5 each audit
1	3	Recertification	235	5.0	15%	(5.0 *0.85) = 4.25			4.5

Note: Assumes no changes over the 3 year audit cycle to employee headcount, scope, customers, etc.
Note: Upgrade discount is only applied to initial audit. No upgrade discount is applied to surveillance and recertification.

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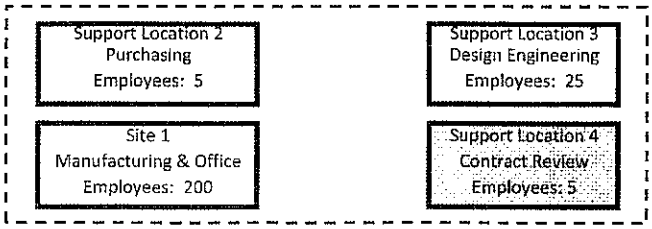
Single Site Certification - Calculation of Audit Days Example 3
No Upgrade from previous QMS Registration
Design Responsible (no discount)
3 Remote/Supporting Locations
6 month surveillance audits (5 audits over 3 year audit cycle)

One "Site," Four remote locations, housing all employees



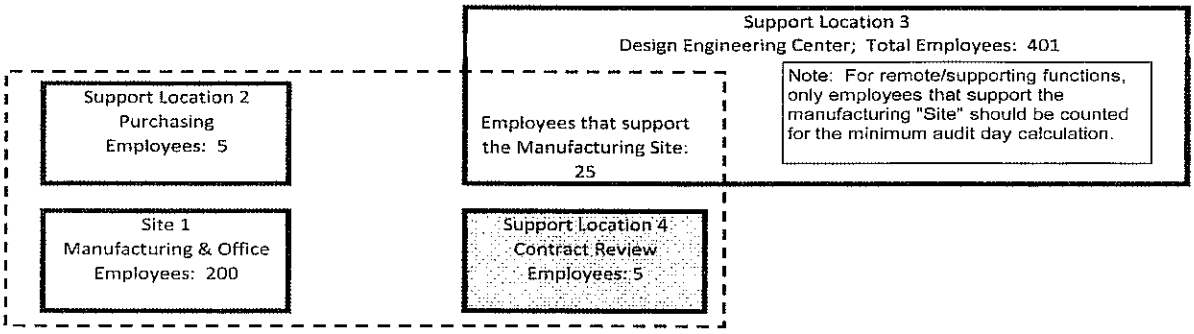
Total number of employees = 235 (5 + 25 + 200 + 5)

Correct Calculation:

Site	Year	Type of audit	Number of Employees	Minimum Audit Day Requirement Rules 3rd, Table 5.2	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
1	0	Initial Stage 2	235	8.0	8.0
1	1, 2	Surveillance	235	Number of initial audit days (8.0) / number of surveillance audits (5) = 1.6	2.0 each audit
1	3	Recertification	235	5.0	5.0

Note: Assumes no changes over the 3 year audit cycle to employee headcount, scope, customers, etc.

Single Site Certification Example 4
No Upgrade from previous QMS Registration
Design Responsible (no discount)
3 Remote/Supporting Locations
Annual Surveillance audits (2 audits over the 3 year audit cycle)



Total number of employees = 235 (5 + 25 + 200 + 5)

Correct Calculation:

Site	Year	Type of audit	Number of Employees	Minimum Audit Day Requirement Rules 3rd, Table 5.2	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
1	0	Initial Stage 2	235	8.0	8.0
1	1, 2	Surveillance	235	Number of initial audit days (8.0) / number of surveillance audits (2) = 4	4.0 each audit
1	3	Recertification	235	5.0	5.0

Note: Assumes no changes over the 3 year audit cycle to employee headcount, scope, customers, etc.

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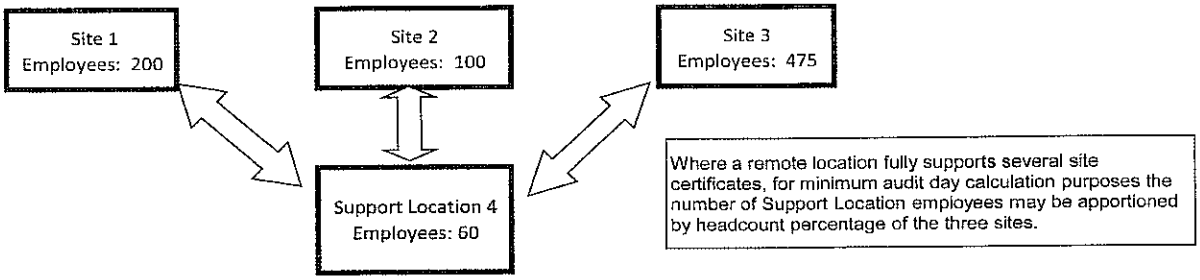
Mulitple Single Site Certificates - Audit Day Calculation Example 5
3 Site Certificates with 1 Remote/Supporting Location that supports all 3 sites
No Upgrade from previous QMS Registration
Design Responsible (no discount)
Annual Surveillance audits (2 audits over the 3 year audit cycle)



Correct Method to Apportioned Employees from Support Location:

Site	Number of Employees at Site	Headcount Percentage (Site employees / 775)	Number of Employees Apportioned from Support location 4 (Headcount percentage * 60)	Total Number of Employees for Minimum Audit Day Calculation
1	200	26%	16	216
2	100	13%	8	108
3	475	61%	37	512
	Total = 775			

Correct Calculation for Site 1:

Site	Year	Type of audit	Number of Employees	Audit Day Requirement Rules 3rd, Table 5.2	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
1	0	Initial Stage 2	216	7.5	7.5
1	1, 2	Surveillance	216	Number of initial audit days (7.5) / number of surveillance audits (2) = 3.75	4.0 each audit
1	3	Recertification	216	5.0	5.0

Note: Assumes no changes over the 3 year audit cycle to employee headcount, scope, customers, etc.

Correct Calculation for Site 2:

Site	Year	Type of audit	Number of Employees	Audit Day Requirement Rules 3rd, Table 5.2	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
2	0	Initial Stage 2	108	6.0	6.0
2	1, 2	Surveillance	108	Number of initial audit days (6.0) / number of surveillance audits (2) = 3.0	3.0 each audit
2	3	Recertification	108	4.0	4.0

Note: Assumes no changes over the 3 year audit cycle to employee headcount, scope, customers, etc.

Correct Calculation for Site 3:

Site	Year	Type of audit	Number of Employees	Audit Day Requirement Rules 3rd, Table 5.2	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
3	0	Initial Stage 2	512	10.5	10.5
3	1, 2	Surveillance	512	Number of initial audit days (10.5) / number of surveillance audits (2) = 5.25	5.5 each audit
3	3	Recertification	512	6.5	6.5

Note: Assumes no changes over the 3 year audit cycle to employee headcount, scope, customers, etc.

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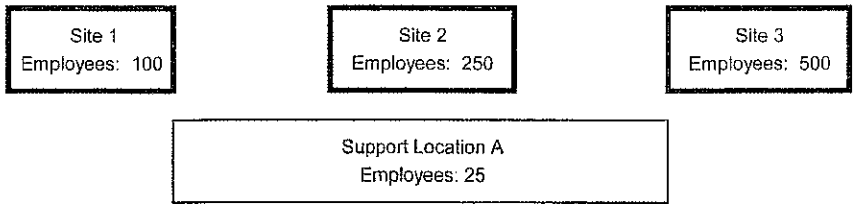
Corporate Certificate - Audit Day Calculation Example 6
No Upgrade from Previous QMS Certification
3 Production Sites (1, 2, 3)
1 Remote Location (A) supporting all sites
Annual Surveillance audits (2 audits over 3 year audit cycle)



Correct Calculation for Initial Stage 2 Audit:

Site	Number of Employees at Site	Headcount Percentage (Site employees/850)	Number of Employees Apportioned from Support Location A* (Headcount Percentage * 25)	Total Number of Employees in Audited Entity	Rules 3rd Minimum Audit Days from Table 5.2	Corporate Scheme (Number of Sites 2 to 9) % Reduction	New Audit Day Requirement Calculation (Min. Audit Days * 0.8)
1	100	12%	3	103	6.0	20%	4.8
2	250	29%	7	257	8.0	20%	6.4
3	500	59%	15	515	10.5	20%	8.4
	Total: 850						19.6

Total Audit Day Requirement (rounded up to nearest 1/2 day)	20.0

Note: It is the responsibility of the certification body to develop an audit plan whose total audit days are based upon the minimum calculation and to determine how the audit days are distributed between the sites and any support function, remote or not. Significant variation from the minimum number of audit days for each site requires explanation in the audit plan documents. Any change in employee headcount (site or support location), change in number of sites or the number of support locations requires a recalculation of the total audit day requirements.

Correct Calculation for Recertification Audit:

Site	Number of Employees at Site	Headcount Percentage (Site employees/850)	Number of Employees Apportioned from Support Location A* (Headcount Percentage * 25)	Total Number of Employees in Audited Entity	Rules 3rd Minimum Audit Days from Table 5.2	Corporate Scheme (Number of Sites 2 to 9) % Reduction	New Audit Day Requirement Calculation (Min. Audit Days * 0.8)
1	100	12%	3	103	4.0	20%	3.2
2	250	29%	7	257	5.5	20%	4.4
3	500	59%	15	515	6.5	20%	5.2
	Total: 850						12.8

Audit Day Requirement (rounded up to nearest 1/2 day)	13.0

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Main links between the Rules 3rd edition, Rules 2nd edition and ISO/IEC 17021:2006

Rules 3rd edition		Links with Rules 2nd edition	Links with ISO/IEC 17021
	Foreword		
	Introduction		
1.0	Eligibility for certification to ISO/TS16949:2002	Based on 1.7, 2.3	
2.0	IATF requirements for certification bodies		
2.1	IATF certification body recognition requirements	Based on 4.4 Whole of 4.6	Part of 5.1.1 Whole 5.3.1
2.2	IATF contractual requirements	Part of 1.2 Based on 1.1, 1.2, 4.8, 4.11, 4.12 Whole of 4.3	
2.3	IATF ongoing recognition requirements	Part of 4.5	
2.4	Loss of IATF certification body recognition	Based on 1.1, 4.13	
2.5	Operating system requirements	Based on 1.1 Part of 1.2	Whole 6.1.1 Whole 6.1.2
2.6	Notice of changes by a certification body		Based on 8.6.2
2.7	Certification body internal system audits	Part of 1.1	Based on 10.3.6.2 Whole 10.3.6.3 Based on 10.3.6.4
2.8	Appeals and complaints	Based on 1.4	Based on 9.7 and 9.8
2.9	Management of impartiality	Based on 1.5, 3.2	Whole 5.2.13 Whole Note 5.2.2 Whole 5.2.11 Based on 5.2.5, 5.2.6 and 5.2.7
3.0	Certification body contract requirements with the client		
3.1	Certification agreement with client	Part of 3.6	Whole 5.1.2
3.2	Notice of changes by a client		Whole 8.6.3
4.0	Resource requirements		Based on 7.1.1
4.1	Veto power qualification	Based on 1.8	
4.2	Application process and criteria for ISO/TS16949: 2002 auditors	Based on 3.1, Annex 2	

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Rules 3rd edition		Links with Rules 2nd edition	Links with ISO/IEC 17021
4.3	Auditor qualification process	Based on 3.1, Annex 2	
4.4	Certification body internal witness audit process	Based on 1.9	
4.5	Maintaining auditor certification	Based on 1.9, 3.4, Annex 2	
4.6	Certification body internal witness auditor qualification		
4.7	Certification body internal system auditor qualification		
5.0	ISO/TS 16949:2002 audit process general requirements		
5.1	Audit and certificate cycles		Based on part of 9.1.1
5.1.1	Audit cycle	Based on 2.5 Part of 2.5 diagram	
5.1.2	Certificate cycle	Part of 2.5, 2.5 diagram	Part of 9.1.1
5.2	Audit days determination	Based on Annex 1 Part of Annex 3	Based on 9.1.4
	Table 5.2	Based on Annex 3	
5.3	Audit day determination - corporate audit scheme	Part of 2.2, Annex 3	
5.4	Audit day determination – permitted reductions	Based on 4.9 Part of Annex 3	
5.5	Supporting activities	Based on 2.3	
5.6	Establishing the audit team	Based on 3.2, 3.3 Part of Annex 1	Part of 9.1.3
5.7	Audit planning – all audits	Part of 2.7, 2.11, Annex 5	Based on 9.1.2
5.8	Conducting on-site audit activities	Part of 2.6, 2.7, Annex 1, Annex 5	Based on 9.1.9 Based on 9.2.3.2
5.9	Audit findings	Based on 2.2 Whole of 2.8 Part of Annex 1	
5.10	Writing audit report	Based on Annex 1	Whole 9.2.4
5.11	Nonconformity management	Based on Annex 1	Whole 9.1.12
5.12	Certification decision	Part of 1.8, Annex 1	Based on 9.1.15 Based on 9.1.14 Whole 9.2.5.2
5.13	Certification and certificate issuance	Part of 2.5 diagram, 5.0 Based on Annex 1	
5.14	Letter of conformance	Based on 2.4	

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Rules 3rd edition		Links with Rules 2nd edition	Links with ISO/IEC 17021
6.0	Audits		
6.1	Application for ISO/TS 16949: 2002 certification	Based on Annex 1	Based on 9.2.1
6.2	Application review		Whole 9.2.2.1 Whole 9.2.2.2
6.3	Pre-audit	Based on 1.6	
6.4	Initial audit	Based on 2.0	Whole 9.2.3
6.5	Stage 1 readiness review activities		
	Stage 1 planning	Based on Annex 1	
	Stage 1 activities	Based on Annex 1	Whole 9.2.3.1.1
	Stage 1 decision	Based on Annex 1	
6.6	Stage 2 audit Stage 2 audit activities	Based on 1.10 Part of Annex 1	Based on 9.2.3.2 Part of 9.2.3.1.3
6.7	Information for granting initial certification	Based on 1.10 Part of Annex 1	Based on 9.2.5.1
6.8	Surveillance audit Surveillance activities	Based on 1.10 Part of 2.10	Based on 9.3.3
6.9	Recertification Recertification activities	Based on 1.10, 2.7, 2.10	Based on 9.4.1.1 Whole 9.4.1.2 Based on 9.4.2.1 Part of 9.4.2.2
6.10	Information for granting recertification	Based on 1.10 Part of Annex 1	Part of 9.4.3
7.0	Other audit types Transfer audit	Based on 4.10	
8.0	Certificate decertification process	Based on Annex 4	
8.1	Initiation of the decertification process		Based on part of 9.6.2
8.2	Analysis of situation	Based on Annex 4 flowchart	
8.3	Certificate suspension decision	Based on Annex 4 and Annex 4 flowchart	
8.4	Verification	Based on Annex 4 flowchart	
8.5	Reinstatement / withdrawal decision	Based on Annex 4 flowchart	
8.6	Certificate reinstatement	Based on Annex 4 flowchart	

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Rules 3rd edition		Links with Rules 2nd edition	Links with ISO/IEC 17021
8.7	Certificate withdrawal	Based on 4.11 and Annex 4	
8.8	The overall decertification process	Based on Annex 4 flowchart	
9.0	Records required of the certification body	Based on 1.11	Whole 9.9.4
9.1	Certification records		Whole 9.9.1 Based on 9.9.2
9.2	Personnel records		Whole 7.4 Part of 7.5.4
10.0	Terms and definitions		
	Aftermarket parts		
	Audit programme		
	Audit team		
	Cancellation of a certificate	Based on Annex 4	
	Consulting		
	Correction		
	Corrective action		
	Directly related subject matter		
	Granting of a certificate		
	Installation		
	Maintaining a certificate		
	Major nonconformity		
	Minor nonconformity		
	100% resolved		
	Opportunity for improvement		
	Service parts		
	Subscribing customer		
	Subject matter related		
	Technical expert		
Annex 1	Table for verification of the completeness of the process-oriented auditing versus ISO/TS 16949:2002 requirements	Part of Annex 5	
Annex 2	Audit day calculation examples		

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