Areas of impact for client consideration taken from the Rules for achieving IATF recognition Third edition for ISO/TS 16949

June 2009

Matrix of areas of impact on the client:

Rules 3rd edition Clause		Area of impact	Rules 3rd edition content
	Foreword		
	Introduction		
1.0	**Eligibility for certification to ISO/TS16949:2002**	**X**	*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….*
2.0	**IATF requirements for certification bodies**		
2.1	**IATF certification body recognition requirements**		
2.2	**IATF contractual requirements**		
2.3	**IATF ongoing recognition requirements**		
2.4	**Loss of IATF certification body recognition**		
2.5	**Operating system requirements**		
2.6	**Notice of changes by a certification body**		
2.7	**Certification body internal system audits**		
2.8	**Appeals and complaints**		
2.9	**Management of impartiality**		
3.0	**Certification body contract requirements with the client**		
3.1	**Certification agreement with client**	**X**	*The certification body shall have a legally enforceable agreement for the provision of certification activities to its client….* *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)…*
3.2	**Notice of changes by a client**	**X**	*The certification body shall have legally enforceable agreement to ensure that the client informs the certification body, ….*
4.0	**Resource requirements**		
4.1	**Veto power qualification**		
Rules 3rd edition		**Clients requirements**	**Content**

4.2	**Application process and criteria for ISO/TS16949: 2002 auditors**		
4.3	**Auditor qualification process**		
4.4	**Certification body internal witness audit process**		
4.5	**Maintaining auditor certification**		
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**	**X**	*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**	**X**	*…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...* *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**	**X**	*…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.*
5.2	**Audit days determination**		
	Table 5.2		
5.3	**Audit day determination - corporate audit scheme**		
5.4	**Audit day determination – permitted reductions**		
5.5	**Supporting activities**		
5.6	**Establishing the audit team**		
Rules 3rd edition		**Clients requirements**	**Content**
5.7	**Audit planning – all audits**	**X**	*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)…*
5.8	**Conducting on site audit activities**		
5.9	**Audit findings**		
5.10	**Writing audit report**		
5.11	**Nonconformity management**	**X**	*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…*
5.12	**Certification decision**		
5.13	**Certification and certificate issuance**		
5.14	**Letter of conformance**	**X**	*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, …*
6.0	**Audits**		
6.1	**Application for ISO/TS 16949: 2002 certification**	**X**	*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…*
6.2	**Application review**		
6.3	**Pre audit**	**X**	*The certification body shall select an auditor agreed to by the client…*
6.4	**Initial audit**		
6.5	**Stage 1 readiness review activities**		
	Stage 1 planning	**X**	*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)*
Rules 3rd edition		**Clients requirements**	**Content**
	Stage 1 activities	**X**	*The stage 1 shall be performed:* *a) to evaluate the client's management system documentation…*

Rules 3rd areas of impact for the client consideration

	Stage 1 decision	**X**	*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.*
6.6	**Stage 2 audit** **Stage 2 audit activities**		
6.7	**Information for granting initial certification**		
6.8	**Surveillance audit** **Surveillance activities**	**X**	*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).*
6.9	**Recertification** **Recertification activities**		
6.10	**Information for granting recertification**		
7.0	**Other audit types** **transfer audit**	**X**	*Prior to the start of the transfer audit, the following conditions shall be met:* *a) …* *b) …* *c) …* *d) …* *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…*
8.0	**Certificate decertification process**		
8.1	**Initiation of the decertification process**	**X**	*The start date of the decertification process shall be the date of any of the following:* *a) …* *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…*
Rules 3rd edition		**Clients requirements**	**Content**
8.2	**Analysis of situation**		
8.3	**Certificate suspension decision**	**X**	*…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.*
8.4	**Verification**		

8.5	**Reinstatement / withdrawal decision**	**X**	*…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**	**X**	*Where the decision is taken by the certification body to reinstate the certificate the certification body shall:* *a) …* *b) notify their certified client…*
8.7	**Certificate withdrawal**	**X**	*Where the decision is taken by the certification body to withdraw the certificate the certification body shall:* *a) …* *b) notify their certified client,*
8.8	**The overall decertification process**	**X**	***See diagram***
9.0	**Records required of the certification body**		
9.1	**Certification records**		
9.2	**Personnel records**		
10.0	**Terms and definitions**		
	Aftermarket parts	**X**	*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		
	Audit team		
	Cancellation of a certificate	**X**	*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	**X**	*Is the provision of training, documentation development, or assistance with implementation of management systems to a specific client.*
Rules 3rd edition		**Clients requirements**	**Content**
	Correction	**X**	*Is the action taken to eliminate a detected nonconformity.*
	Corrective action	**X**	*Is the action taken to eliminate the cause of the detected nonconformity.*
	Directly related subject matter		
	Granting of a certificate	**X**	*A certificate is issued by a certification body, with a defined period of validity and with a defined scope of certification.*
	Installation	**X**	*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	**X**	*A certificate's validity is subject to the ongoing surveillance audits, re-certification audits, and other conditions defined in the contract with the certification body.*
	Major nonconformity	**X**	*Is one or more of the following:* • *The absence of or total breakdown of a system to meet an ISO/TS 16949:2002 requirement…*
	Minor nonconformity	**X**	• *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…*
	100% resolved	**X**	*Is* *a) containment of the condition to prevent risk to the customer.* *b) a documented evidence such as action plan, instructions, records to demonstrate the elimination of the non conformity condition, including assigned responsibilities or verification follow-up visit.*
	Opportunity for improvement	**X**	*An opportunity for improvement is a situation where the evidence presented indicates a requirement has been effectively implemented,...*
	Service parts	**X**	*Replacement parts manufactured to OEM specifications which are procured or released by the OEM for service part applications including remanufactured parts.*
	Subscribing customer	**X**	*Any automotive customer that requires certification or compliance to ISO/TS 16949:2002 of its supply base.*
	Subject matter related		
	Technical expert	**X**	*Person who provides specific knowledge or expertise to the auditors of the audit team.*