DESCRIPTION OF THE CERTIFICATION PROCEDURE IATF 16949:2016

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If you should require any further information, then please do not hesitate to contact us. We will be pleased to help you.

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1. CERTIFICATION PROCEDURE

1.1. Obligations of the Client

The Client is obliged to adhere to all rules and regulations in relation to an IATF certification as amended and applicable at the date of certification such as but not limited to the Rules for

achieving and maintaining IATF recognition for IATF 16949:2016, 6th Edition, 1st January 2025 (rules) and Rules 6th Edition Sanctioned Interpretations (SI) and Rules 6th Edition Frequently Asked Questions (FAQ):

a) The client shall notify the certification body of imminent changes that may affect the capability of the quality management system to continue to fulfill the requirements of the IATF 16949 certification.

These include, for example, changes relating to:

a) legal status (e.g. change of the legal form)

b) ownership status (e.g., mergers, acquisitions, alliances, joint ventures, etc.)

c) management structure (e.g., top management, key decision-making staff, etc.)

d) contact address or location

e) relocation of the manufacturing process(es) or support activities (see rules section 5.15)

f) closure or relocation of a manufacturing site, extended manufacturing site, or a standalone remote support location (see rules section 5.15)

g) scope of operations under the quality management system, including any new locations and/or support relationships to be covered in the certification scope

h) outsourcing of quality management system processes to other organizations

i) customer dissatisfaction scenarios that require certification body notification as described in IATF OEM customer-specific requirements (e.g., special status conditions, etc.)

j) a signed contract with another IATF-recognized certification body (see rules section 7.1).

Note: Related to any of the above mentioned changes the Certification Body may need to conduct a Special Audit.

b) The client shall notify the TNCERT of imminent changes that may affect the capability of the quality management system to continue to fulfill the requirements of the IATF 16949 certification during the entire term of the contract in written form.

Note 1: these include e.g. changes relating to legal status, ownership status, management structure, contact address or location, relocation of the manufacturing process(es) or support activities, closure or relocation of a manufacturing site, extended manufacturing site, or a standalone remote support location, scope of operations under the quality management system, including any new locations and/or support relationships to be covered in the certification scope, outsourcing of quality management system processes to other organizations, customer dissatisfaction scenarios that require TNCERT notification as described in IATF OEM customer-specific requirements (e.g., special status conditions. etc.), a signed contract with another IATF-recognized certification body

Note 2: Related to any of the changes TNCERT may need to conduct a Special Audit.

c) the Client shall not refuse an IATF witness audit of TNCERT,

d) the Client shall not refuse an internal witness audit of TNCERT,

e) the Client shall not refuse the presence of IATF observers,

f) the Client shall not refuse the request of TNCERT to provide the final audit and nonconformity reports to the IATF,

g) The only use of the IATF logo is as displayed on the certificate or the letter of conformance issued by TNCERT. Any other use of the IATF logo by the client is prohibited.

Note: The client may duplicate the IATF 16949 certificate bearing the IATF logo for marketing and advertising purposes

h) Quality management system–related consultants to the client shall not be physically present at the client's site during an audit and shall not participate in the audit in any way either directly or indirectly. The client's failure to meet this contractual requirement shall result in audit termination by TNCERT.

i) The client shall provide pre-audit planning information to TNCERT as required by TNCERT.

j) The client shall notify TNCERT of its intent to transfer once a legal contract is signed with a new certification body.

Note: This notification may allow the contract to be extended until all transfer activities are complete with the new certification body, which allows the IATF 16949 certificate to remain valid for a maximum of one-hundred-and-twenty (120) calendar days after the recertification audit due date or until the certificate expiration date, whichever comes first. In cases where a transfer occurs at a surveillance audit, the IATF 16949 certificate would be allowed to remain valid for a maximum of two-hundred-and-ten (210) calendar days after the surveillance audit due date

Note: TNCERT may have other valid reasons for cancelling the contract or withdrawing the client's certification before the transfer activities are completed

k) The client shall work with TNCERT to resolve open issues related to its transfer to or from another IATF-recognized certification body

l) The client shall remove all references to IATF 16949 certification from all internal and external marketing channels—including, but not limited to, websites and printed and electronic media—when its certification is cancelled, withdrawn, or expired.

Any violation of provisions a) - l) above shall be considered a material breach of contract and shall lead to appropriate actions by TNCERT, including, but not limited to, audit termination, audit cancellation, contract cancellation, or certification withdrawal.

1.2. Client required audit planning/appointment confirmation

Audit dates for surveillance, recertification and transfer audits shall be confirmed with TNCERT no less than ninety (90) calendar days before the audit due date. The defined dates in CARA Report for next audit are binding.

Note: Delaying an audit may result in loss of certification.

1.3. Client information required for audit planning/preparation

The client shall provide the following audit planning information according to the respective TNCERT "Questionnaire for Offer Preparation for an Initial audit, Planning of Surveillance, Recertification, Transfer Audits and Application Review" (A13F010e) and "Process Overview and Performance Information" A13F030e) no less than thirty (30) calendar days before the start date of the audit for every audit (Stage-1, Surveillance, Recertification, Transfer, Special Audit).

Based on these mandatory information TNCERT creates a process-orientated audit plan which will be send within (15) calendar days before start date of the audit to client.

Note 1: Delaying an audit may result in loss of certification

Note 2: The client and TNC shall plan the audit to ensure that all shifts and automotive manufacturing processes will be running as required during the planned audit duration. If this requirement cannot be met, the TÜVNCERT shall delay the audit until the requirement can be met

Note 3: For special audit or an audit at a standalone remote support location, some audit planning elements below may not be required

a) the client's quality management system documentation, which shall fulfil, at minimum, the requirements detailed in IATF 16949 and shall include information about the support functions and their locations, including the nature of the support provided to or received from another manufacturing site or remote support location

Note: Further QM-system-related information / documents are to be provided in accordance with TNCERT requirements

b) information regarding significant changes to the structure or context of the organization since the previous audit, including changes in support locations and indirect support locations, and their relevant support functions

c) information regarding the relocation of manufacturing and/or support activities since the previous audit

d) the number of employees at each manufacturing site and at each associated extended manufacturing site and/or standalone remote support location to be audited under the audit plan being developed

e) any language spoken onsite that differs from the language in which the audit will be conducted, including the ratio of workers speaking the foreign language and the process(es) in which they work

f) details of any quality management system-related consultancy services since the previous audit

g) quality management system performance and trends in relation to established performance targets since the previous audit

h) external performance to targets and related trends, including customer reports and scorecards, customer satisfaction, and customer complaint summaries since the previous audit

i) any other customer dissatisfaction scenarios (e.g., special status conditions, complaints from the IATF Complaint Management System [IATF CMS], etc.) since the previous audit

j) the latest remote support location audit report(s) and nonconformity management record(s) if the audit was conducted by a different certification body

k) information regarding any customers gained, including their customer-specific requirements, and/or customers lost since the previous audit

l) updates or revisions to customer-specific requirements for existing customers since the previous audit

m) results of internal system audits and the management review record(s) since the previous audit

Note: If, in exceptional cases, due to confidentiality concerns, the client does not submit the management review record at least thirty (30) calendar days before the start date of the audit, the TÜVNCERT shall add at least two (2) hours to the audit plan for the review of the management review records onsite before the start of the opening meeting

1.3.1 Additional Client information required for audit planning/preparation

The client shall provide in case of Transfer, Recertification and Corporate Scheme audits the following additional audit planning information.

Transfer Audit

- Results of previous IATF Audits / Certification processes

- CARA Reports, NC-CARA reports, audit plans of the last 3 years of the last certification body incl. evidence of the last certification body that nonconformities from the last audits are “closed”.
- CARA reports, NC-CARA reports, audit plans of all SA_RSL and RSL supporting the manufacturing site which the audit is planned for
- Certificates of the last certification body

Recertification Audit

- Performance data of the Management System for the previous three years certification period.

Corporate Scheme certification

Evidence of common quality management system which

- Is established by processes that are centrally defined, structured, and controlled
- Is monitored with a common set of process measurements
- Is implemented in substantially the same manner across all manufacturing sites and standalone remote support locations within the corporate structure being certified to IATF 16949
- have localization of the quality management system documentation and records only at the level of work instructions/procedures
- have an identified central location where the quality management system function (resides that is responsible for defining, structuring, and controlling the common quality management system

1.4. Conducting of audits

TNCERT is conducting audits in accordance with the relevant requirements provided in IS0/IEC 17021-1 and this Rules to evaluate the degree of implementation of the quality management system according to IATF 16949. TNCERT implements audits taking into account the automotive process approach.

1.5. Audit reporting/Audit findings/Nonconformity Management

The audit team records detailed objective evidence gathered during the audit and the audit findings in the IATF Common Audit Report Application (IATF CARA), indicating both conformity and, when detected, nonconformity against the audit criteria.
The audit team issues the draft audit report and the nonconformity management record(s), where applicable, to the client at the audit closing meeting.
The final approved audit report, the nonconformity management record(s), and a link to the IATF Common Audit Report Application for Nonconformity Management (IATF NC CARA) will be issued to the client within a maximum of fifteen (15) calendar days of the audit closing meeting date.

1.5.1 Major Nonconformities

The client is obliged to submit evidence of the following within a maximum of fifteen (15) calendar days from the audit closing meeting

- the implemented containment actions and their effectiveness
- the implemented correction
- the root-cause analysis, including the methodology used, the results, and the consideration of the root cause's impact on other processes and products
- the systemic corrective action plan to eliminate the identified root cause(s) and the method(s) identified for verifying the effectiveness of the systemic corrective action(s)

The client is obliged to submit evidence of the following within a maximum of sixty (60) calendar days from the audit closing meeting

- the implementation of the planned systemic corrective action(s) to eliminate the root cause(s)the implemented correction
- the result of verification of the effectiveness for the implemented systemic corrective action(s).

1.5.2 Minor Nonconformities

The client is obliged to submit evidence of the following within a maximum of fifteen (60) calendar days from the audit closing meeting

- the implemented containment actions and their effectiveness
- the implemented correction
- the root-cause analysis, including the methodology used, the results, and the consideration of the root cause's impact on other processes and products
- the implementation of the planned systemic corrective action(s) to eliminate the root cause(s)the implemented correction
- the result of verification of the effectiveness for the implemented systemic corrective action(s).

2. AUDIT TYPES

2.1 INITIAL AUDIT

Initial certifications are carried out in 2 stages:

Stage 1 readiness assessment, part 1, is focused on the evaluation of the client's eligibility for IATF 16949 certification, its applicable certification structure, its certification scope, the client's documented quality management system to confirm the required documented information is in place and corresponds to the requirements of the IATF 16949 standard.

Stage 1 readiness assessment, part 2, is based upon the "Gemba" principle to gain a sufficient understanding of the quality management system in operation on the shop floor and reasonable assurance that it aligns with the documented quality management system and other information gathered in the stage 1 readiness assessment, part 1, and the application process.

Stage 2 certification audits cover the client's entire quality management system's fulfillment of all

applicable IATF 16949 requirements aligned with the certification scope. They follow in the case of a positive level 1 conclusion.

2.2 SURVEILLANCE AUDIT

Surveillance audits cover the client's entire quality management system's fulfillment of all applicable IATF 16949 requirements aligned with the certification scope over a two (2) year surveillance period.

The last day of a surveillance audit shall not exceed three 12/24 months (-3 months/+3 months) from the last day of the stage 2 certification audit or the previous recertification audit or transfer audit

2.3 RECERTIFICATION AUDIT

Recertification audits cover the client's entire quality management system's fulfillment of all applicable IATF 16949 requirements aligned with the certification scope and are considered full system audits.
The last day of a recertification audit shall not exceed three (3) years (-3 months/+O days) from the last day of the stage 2 certification audit or the previous recertification audit or transfer audit.

2.4 SPECIAL AUDITS

Special audits at a client location are required or may be conducted at the discretion of TÜVNORD CERT to:

a) verify the effective implementation of systemic corrective actions in response to a performance complaint

b) verify that implemented systemic corrective actions are producing improvement in the achievement of customer performance targets

c) verify the effective implementation of systemic corrective actions for major nonconformities

d) verify the effective implementation of systemic corrective actions for minor nonconformities

e) verify the effective implementation of systemic corrective actions for nonconformities in one hundred percent (100%) resolved status

f) verify the effective implementation of systemic corrective actions in response to withdrawn certification

g) verify the client’s quality management system compliance with IATF 16949 requirements after significant changes

h) verify the client’s quality management system compliance with IATF 16949 after a relocation.

2.5 TRANSFER AUDIT

If a client chooses to change to another IATF-recognized certification body, the location(s) for which the transfer is requested shall undergo a transfer audit with the new certification body.
The transfer audit shall occur within the allowable timing for the next regular audit with the previous certification body.

At the start of the transfer audit, the following conditions shall be met for the client location under transfer:

- The manufacturing site certificate issued or, in the case of a standalone remote support location, at least one (1) manufacturing site certificate on which the standalone remote support location is referenced is issued (i.e., the certificate is not suspended, cancelled, withdrawn, or expired).
- the allowable audit timing has not been exceeded
- No audits with the status of “open with corrective actions” exist with the previous certification body
- No one hundred percent (100%) resolved nonconformities exist with the previous certification body.
- All performance complaints (see rules section 10.0) in the IATF Complaint Management System (CMS) are in the “complete” stage.

- Since the last transfer audit, at least two (2) surveillance audits have been conducted where the transferring client location is audited on an annual audit interval.
- Since the last transfer audit, at least one (1) surveillance audit has been conducted where the transferring client location is a standalone remote support location that has support functions that are audited on a two (2) year audit interval.
- The audit team members have not previously audited the client location (see section rules 5.6.1a]).
- The client provided the new certification body with the final audit reports and nonconformity records from the previous three (3) years. The information provided shall include evidence that client responses to all previously issued nonconformities have been accepted and all verification activities that should have been completed by the previous certification body were conducted as required.

3 DECERTIFICATION PROCESS

The decertification process requires TÜVNORD CERT to decide whether or not to suspend the client's certification. Certification suspension is a temporary status and will result in certification reinstatement or withdrawal. During the certification suspension period, the certificate remains valid and is still recognized by the IATF.

The start of the decertification process shall be:

- the date the certification body receives a performance complaint against the client through the IATF Complaint Management System (CMS) by an IATF OEM member, its relevant oversight office, or any automotive customer of the client
  Note: Performance complaints may include special status conditions where the IATF OEM chooses to file them in the IATF CMS.
- the closing meeting date of any surveillance, recertification, or special audit with reported nonconformities.