Rules for the Certification of Quality Management Systems

Certification scheme for the automotive sector IATF 16949

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Technical regulations

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CERTIFICATION OF QUALITY MANAGEMENT SYSTEMS IN ACCORDANCE WITH IATF 16949:2016

CHAPTER 1GENERAL

1.1

These Regulations define the additional and/or replacement procedures applied by RINA for the certification of Quality Management Systems in the Automotive sector with respect to what has already been defined in the

General Regulations for the Certification of Management Systems

The points of these Regulations refer to (and maintain the same numbering) to the corresponding points of the General Regulations for the Certification of Management Systems for which amendments and/or additions have been made.

For anything not provided for in this document, please refer to the documents:

- General Terms and Conditions for the Certification of Systems, Products and Personnel
- Rules for obtaining and maintaining IATF 6th Edition recognition for IATF 16949
- Any Sanctioned Interpretations (SIS) and Frequently Asked Questions (FAQs) available on the www.iatfglobaloversight.org website

1.2

RINA issues certification in accordance with the requirements of the ISO/IEC 17021:2015 standard to Organizations whose Management System has been recognized as compliant with all the requirements of the standard:

IATF 16949:2016.

In particular, CISQ AUTOMOTIVE, a Consortium of Certification Bodies recognized by IATF (International Automotive Task Force) for certification activities according to IATF 16949, issues IATF 16949:2016 certification upon completion of the certification process and on the basis of the results of RINA audits. For Italy, IATF delegates the management of the IATF 16949 Certification Scheme to ANFIA (National Association of Automotive Industries).

The IATF 16949 certification can be issued both independently and in addition to certifications according to the ISO 9001:2015 standard.

1.3

Access to certification is open to all Organizations operating in the automotive sector and is not conditioned by their membership or not in any Association or Group, but only by the type of activity carried

out by the Organization itself. The choice of the Quality Management System model, among those indicated in the previous paragraph, is, as a rule, made by the Organization in relation to the type of product/service provided for the automotive sector:

- Materials for production
- Production or spare parts components
- Heat treatments, galvanic treatments,
- Painting or other surface treatments
- Other Customer-specific products

The "automotive sector" includes the production dedicated to motor vehicles, trucks (light, medium and heavy), buses and motorcycles.

Industrial and agricultural vehicles and earthmoving machinery are excluded from the "automotive sector".

In particular, the IATF 16949 technical specification is also applicable to car manufacturers' organizations.

For IATF 16949 certification, for anything not expressly indicated in this document, reference must be made to the document:

- IATF - Rules for obtaining and maintaining IATF 6th Edition recognition for IATF 16949

For certification activities, RINA applies its current tariffs, ensuring their fairness and uniformity of application. RINA may legitimately refuse to accept certification requests concerning Organizations subject, or whose production or activity is subject, to restrictive, suspensive or interdictory measures by a public Authority.

1.4

The participation of observers in the audits is agreed in advance between RINA and the Organisation.

In order to ascertain that the assessment methods adopted by RINA comply with the reference standards, the OEM (Original Equipment Manufacturer) and/or the Guarantor of the certifications issued (Accreditation Body - ANFIA) may request:

- the participation of its observers in the audits carried out by RINA

- carrying out audits to the certified organization, directly through the use of its own staff

The participation of observers in the audits and/or any audit conducted directly through the use of personnel from the OEM and/or the Accreditation Body, is agreed in advance between RINA and the Organization.

The Organization may require that the IATF observer(s) not become aware of competitive or confidential data of the Organization and, therefore, be excluded from certain parts of the audit.

If the Organization does not grant its approval, RINA must begin the process of collecting the certificate.

CHAPTER 2 REFERENCE STANDARD / REQUIREMENTS FOR CERTIFICATION

2.1

In addition to the provisions of the General Regulations for the Certification of Management Systems, in order to obtain certification by RINA, a Quality Management System, as far as applicable in relation to the type of product or service considered, must initially and over time meet the requirements of the reference scheme and those indicated in the following points of this Chapter, In addition to:

- any additional elements required by the Accreditation Body (ANFIA)
- any specific requirements requested by the Customer (CSR)
- Rules for obtaining and maintaining IATF 6th Edition recognition for IATF 16949
- Any Sanctioned Interpretations (SIS) and Frequently Asked Questions (FAQs) both on the above-mentioned Rules and on the IATF 16949:2016 Standard, available on the website www.iatfglobaloversight.org

It is strongly recommended that you are in possession of the Rules for obtaining and maintaining IATF 6th Edition recognition for IATF 16949

2.2

In particular, in order to obtain certification of the Management System according to the IATF 16949 scheme, the Organization must:

2.2.1 To have established and maintained an active and fully operational Management System in full compliance with the requirements of the reference standard or regulatory document.
The Management System is considered fully operational when:

- has been applied for at least twelve months for certification in accordance with ISO/TS 16949
- the internal audit system is fully implemented and its effectiveness can be demonstrated,
- at least one review of the system by the Management has been carried out and documented,
- the objectives and processes necessary to obtain results in
- in accordance with the Client's requirements and company policies,
- these processes have been developed,
- monitoring and measurements of processes and products with respect to policies, objectives and requirements for the product have been carried out and recorded,
- monitoring and measurements have been carried out and recorded,
- Actions have been implemented for the continuous improvement of processes and products that guarantee consistency in the production methods and in the quality of the products or services provided

2.2.2 Have documented information on:

- for the purpose/field of application of the Quality Management System
- the description of the processes and their interactions must be extended to all those developed by the Organization (including externally outsourced processes necessary for the creation of a given product/service, which are decisive for the ability of the product/service itself to meet the applicable requirements). This description can be done in various ways:
  - Descriptions
  - Flow diagrams or logigrams
  - Tables or matrices
  - Other
- Any exclusion of production lines or requirements of the reference standard, illustrating for the latter the reasons why these exclusions do not affect the quality of the product/service provided. The IATF 16949 standard only allows the exclusion of the requirements relating to chapter 8.3 of the same standard, exclusively with regard to the design and development of the product, provided that these exclusions do not affect the ability of the Organization to provide products/services that meet the requirements of the Customer and the applicable mandatory requirements. Section 8.3 is always applicable to the design of the production process.
- To the description of the company organization.

2.3

The compliance of the Management System with the reference standard is verified through an audit program that includes:

- an initial audit carried out in two (2) phases (Phase 1 Adequacy Examination (carried out in two [2] consecutive parts) and Phase 2 Certification Audit).
- a surveillance audit in the first year
- a surveillance audit in the second year
- a certification renewal audit in the third year.

The frequency of surveillance audits must be annual.

2.4

Determining the audit duration for initial certification, surveillance, recertification, and transfer audits.

"Audit duration" means "audit days" + "additional audit time".

"Audit days" must meet the minimum audit days set out in Table 5.2 of the IATF 6th Edition Rules for Obtaining and Maintaining IATF Recognition for IATF 16949.

Note: If the certification body deems it appropriate, audit days may exceed the minimum audit days defined in Table 5.2 to ensure effective auditing and adequate sampling (e.g., taking into account the complexity of the organization, customer base, and risks related to the organization).

"Additional audit time" shall cover audit activities that are not counted towards the minimum audit days set out in Table 5.2 and include:

- verification of minor previous non-conformities,
- translation time,

- time of technical experts,
- investigation of significant changes,
- investigation of quality performance issues and IATF OEM delivery,
- impact of scope extension, impact of relocation.

The only reductions in audit days allowed are listed in section 5.4 of the Rules for Obtaining and Maintaining IATF 6th Edition Recognition for IATF 16949.

CHAPTER 3 INITIAL CERTIFICATION

3.1

The initial audit consists of two stages:

- Stage 1 audit - carried out on the Organization's website in two phases:
  - Stage 1 Fitness Examination, Part 1: System and Structure Review;
  - Stage 1 Adequacy Examination, Part 2: Operational Review
- Stage 2 audit – carried out on the Organization's website

During the initial audit, the Organization must demonstrate that the Management System is fully operational and that it actually applies the System itself.

Should there be significant changes that could impact the management system, RINA may consider the need to repeat stage 1, in whole or in part. In this case, RINA will inform the Organization if the results of Stage 1 may lead to the postponement or cancellation of Stage 2.

3.2

In addition to the provisions of the corresponding point 3.5 of the General Regulation for the Certification of Management Systems, in the presence of major and/or minor non-conformities2 the certification process is suspended. If at least one or more major and/or minor non-conformities are found, an additional audit must be carried out within three months to ascertain the correct and effective application of the proposed corrective actions; Following the successful completion of this audit, the certification process resumed.

Depending on the severity and number of the findings, RINA may decide to carry out an additional audit directly on the Organization's website or a documentary verification of the corrective actions taken by the Organization.

The time between the date of the Phase 1 Adequacy Examination closing meeting and the start of the Phase 2 Certification Audit shall be at least twenty (20) calendar days.

If the time period between the closing meeting date of the Phase 1 Fitness Examination and the start date of the Phase 2 Certification Audit exceeds ninety (90) calendar days, another full Phase 1 Fitness Examination is required.

CHAPTER 4
MAINTENANCE OF CERTIFICATION

4.1

Surveillance audits must be scheduled from the last day of the Phase 2 certification audit, the last day of a recertification audit, or the last day of a transfer audit.

The last day of the surveillance audit must not exceed the maximum allowed time (-/+ 3 months), after which, the certificate will be revoked.

In addition to the provisions of the corresponding point 4.6 of the General Regulation for the Certification of Management Systems, if non-conformities are identified during surveillance audits, RINA shall initiate the process of assessing the management of such non-conformities as follows:

- in the presence of major non-conformities, the Organization is subjected to an additional verification (special audit) within the time established by the Rules to obtain and maintain the IATF 6th Edition recognition for IATF 16949, no later than three months after the end of the surveillance audit;
- in the presence of minor non-conformities, the Organization may be subjected, at the discretion of the assessor and according to the times established by RINA, to an additional verification (special audit). The Organization must in any case demonstrate to RINA, by sending written evidence, that it has implemented the proposed corrective actions, effectively and no later than 60 days from the notification of the non-conformities.

Depending on the severity and number of the findings, RINA may decide to carry out an additional audit (special audit) directly on the Organisation's website or a documentary verification of the corrective actions taken by the Organisation. In the event that the non-conformities are not resolved within the established time frame or if the non-conformities detected are such as not to ensure the compliance of the products/services supplied with the Customers' requests and the applicable legal regulations, RINA may suspend the certification until the non-conformities themselves have been corrected and in any case in accordance with the provisions of point 11.1.

All expenses relating to any additional audits resulting from deficiencies in the Quality Management System are to be considered at the expense of the Organization.

Special audits at the customer's location are required or may be carried out at the discretion of the certification body to:

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

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

(c) verify the effective implementation of systemic corrective actions for major non-conformities

(d) verify the effective implementation of systemic corrective actions for minor non-conformities

e) verify the effective implementation of systemic corrective actions for non-conformities in one hundred percent (100%) resolution status

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

(g) verify the compliance of the customer's quality management system with the requirements of the IATF16949 are significant changes
h) verify the compliance of the customer's quality management system with IATF 16949 after a relocation

The certification body must inform the customer in advance of the purpose of the special audit: if the customer refuses to allow the certification body to carry out a special audit, the certification is revoked.

Special audits must not be interrupted and have a variable duration depending on the purpose of the special audit itself

If the purpose of the special audit is to verify the effective implementation of systemic corrective actions, the audit time shall be allocated to the audit plan as follows:
- For each major non-conformity, checks must be planned and carried out with a duration of between one (1) and three (3) hours.
- For each minor non-conformity, checks must be planned and carried out with a duration of between half an hour (0.5) and one hour (1).

If the purpose of the special audit is related to the failure to meet the IATF OEM quality and/or delivery targets specified in the IATF OEM scorecard(s), the minimum audit days shall be scheduled taking into account the requirements listed in Table 5.2q, set out in the Rules for Obtaining and Maintaining IATF 6th Edition Recognition for IATF 16949.

CHAPTER 5
RECERTIFICATION

5.1

The last day of a recertification audit should not exceed three (3) years (-3 months/+0 days) from the last day of the Phase 2 certification audit or the previous recertification audit or transfer audit.

In addition to the provisions of the corresponding point 5.4, if at least one or more major and/or minor non-conformities are found, within a maximum of three months and in any case before the expiry date of the certificate of conformity, an additional verification must be carried out to ascertain the correct and effective application of the proposed corrective actions.

Depending on the severity and number of the findings, RINA may decide to carry out an additional audit directly on the Organization's website or a documentary verification of the corrective actions taken by the Organization.

The established timeframe within which the Organization must carry out the additional audit shall be communicated to the Organization on the recertification audit report.

All expenses relating to any additional audits resulting from deficiencies in the Quality Management System are to be considered at the expense of the Organization.

CHAPTER 6 MODIFICATION OF CERTIFICATION AND COMMUNICATION OF CHANGES

6.1

In addition to the provisions of the corresponding point 8.1 of the General Regulations for the certification of Management Systems, the Organization must notify RINA

- notifications of special status or receipt of serious complaints from an IATF OEM, as required by the IATF OEM's specific requirements;
- notifications of special status or receipt of serious complaints from customers in the automotive supply chain (other than IATF OEMs), only if specifically provided for by the contractual requirements of the same.
- Any other aspects listed in Par. 3.2 of the Rules for obtaining and maintaining IATF 6th Edition recognition for IATF 16949

CHAPTER 7
PARTICULARITIES FOR ORGANIZATIONS WITH MULTIPLE PRODUCTION SITES, PRODUCTION SITES WITH EXTENSIVE PRODUCTION SITE(S), SUPPORT SITES, CORPORATE STRUCTURES

7.1

Unlike the provisions of the General Regulation for the Certification of Management Systems, if an Organization operates on several permanent sites and a single certification is required, the audit activities must be carried out on all production sites for which certification is requested.

An Extended Manufacturing Site (EMS) should receive support only from the main manufacturing site or provide support only to the main manufacturing site. An extended production site must be located within ten (10) miles (sixteen [16] kilometers) and be no more than sixty (60) minutes away by car from the main production site.

During the three-year period of validity of the certification, remote support functions in which no design activities are carried out shall be sampled.

A remote support function is defined as a site where no production activities are carried out, but at least one (1) recurring activity of a production site support process, the list of which is given below (in accordance with the IATF definition of support processes):

Aftersales, Calibration, Continuous improvement, Contract review, Customer Service, Distribution, Engineering, Facilities, Facilities management, Facilities planning, Finance, Human Resource, Information Technologies, Internal audit management, Laboratory, Logistics, Maintenance, Management review, Marketing, Packaging, Policy Making, Process design, Procurement, Product design, Product equipment development, Purchasing, Quality system management, R & D, Repair, Sales, Sequencing, Servicing, Strategic Planning, Supplier Control, Supplier Development, Supplier management, Technical Support, Testing, Training, Warehousing, Warranty, Warranty Evaluation, Warranty management.

The Corporate structure must consist of at least two (2) production sites, operating within a common quality management system. The common Quality management system shall:

- be established by centrally defined, structured and controlled processes
- be monitored with a common set of process indicators

- be implemented in an essentially identical way in all production sites and independent remote support locations within the IATF16949 certified corporate structure

Details relating to the various types of certificate structure can be found in the document: Rules for obtaining and maintaining IATF 6th Edition recognition for IATF 16949 at Par. 1.0.

CHAPTER 8
TRANSFER OF ACCREDITED CERTIFICATES

8.1

In addition to the provisions of the corresponding point 10.1, an Organization that has already transferred its certification in the last 3 years to a Certification Body outside the CISQ AUTOMOTIVE consortium, cannot request the transfer of the certification to RINA.

Any transfer request must be approved by the IATF in advance.

Unlike the provisions of the General Regulation for the Certification of Management Systems, the transfer of the IATF 16949 certification, from a Certification Body external to CISQ AUTOMOTIVE, can only be completed after a certification audit has been carried out (applying the recertification times established by the relevant tables).

Details relating to the requirements related to the transferability of an existing certificate from another Certification Body, timing and definition of operating practices can be found in the document: Rules for obtaining and maintaining IATF 6th Edition recognition for IATF 16949 at Par. 7.1.

CHAPTER 9
SUSPENSION, REINSTATEMENT AND REVOCATION OF CERTIFICATION

9.1

In addition to the provisions of the corresponding point 11.1 of the General Regulation for the certification of Management Systems, the process of suspension of the certificate is initiated according to the following reasons:

- If the Organization receives a notification of special status from an IATF OEM and does not notify RINA of such notification within 10 days (or in compliance with the deadlines provided for by the requirements of the specific IATF OEM).
- If the suspension of the certificate of conformity is envisaged within the requirements of the specific IATF OEM, in the event of a notification of special status.
- for refusal or obstacle to the participation in audits of observers of an Accreditation Body (ANFIA);

For notifications of special status or receipt of serious complaints from customers in the automotive supply chain (other than IATF OEMs), in relation to the seriousness of the report received, RINA will establish the need to carry out an additional audit and possibly, if a major non-compliance is found, suspend the certificate of conformity.

Details relating to the requirements related to the suspension, reinstatement, revocation of an IATF 16949 certificate, timing and definition of operating practices can be found in the document: Rules for obtaining and maintaining IATF 6th Edition recognition for IATF 16949 at Par. 8.

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