

# REVISION 3

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Dated 19 June 2017



International Automotive Task Force

## **TRANSITION STRATEGY** **ISO/TS 16949 › IATF 16949**

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## FOREWORD

The First Edition of IATF 16949 herein referred to as “IATF 16949” represents the revised automotive quality management system standard developed by the International Automotive Task Force (IATF).

This revised standard cancels and replaces ISO/TS 16949:2009.

Certificates to ISO/TS 16949:2009 will no longer be valid after 14th September 2018.

This document provides guidance for the transition from ISO/TS 16949:2009 to IATF 16949 and has been approved by the IATF.

This document is applicable to all relevant parties (e.g. organizations certified and/or using ISO/TS 16949, certification bodies and auditors) and supersedes the previously communicated IATF transition plan posted on the IATF Global Oversight website in April 2016.

Additional clarifications to this strategy can be expected in future revisions of this document.

## REVISION 1 – DATED 3 OCTOBER 2016

This revised Transition Strategy document incorporates Frequently Asked Questions (FAQs) that were approved by the IATF. Additionally minor grammatical errors were corrected and

- a harmonization of two misleading timing requirements on page 4 and page 10 (concerning the failure to conduct a transition audit to IATF 16949 in-time) was introduced
- the misunderstanding of the last bullet point on page 4 (concerning the question at what audits a transition audit is permitted) was eliminated
- the certification body will be permitted to use one auditor from the transition audit team to participate in the following surveillance audits as audit team member
- a clarification was added to clarify that a (new) subsequent audit cycle starts from the last day of the transition audit.

## REVISION 2 – DATED 21 NOVEMBER 2016

This second revision of this Transition Strategy document incorporates changes to the transition audit team requirements.

## REVISION 3 – DATED 19 JUNE 2017

This third revision of this Transition Strategy document incorporates changes to the requirement(s) for submitting documentation for the off-site documentation review. The organization is required to submit documentation to allow the certification body to conduct an off-site documentation review (see **changes in red** on page 6).

# TRANSITION TIMING REQUIREMENTS

After 1 October 2017 no audits (initial, surveillance, recertification or transfer) shall be conducted to ISO/TS 16949:2009.

Organizations certified to ISO/TS 16949:2009 shall transition to the new IATF 16949, through a transition audit in line with the current audit cycle for ISO/TS 16949:2009 (i.e. at a regularly scheduled recertification audit or surveillance audit), according to the allowable timing requirements defined in the IATF Rules, section 5.1.1.

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*NOTE: The previously communicated "Option 2" has been withdrawn.*

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## The timing requirements are as follows:

- If the next regularly scheduled audit was to be an annual surveillance audit, the transition audit shall meet the relevant timing for a 6 month (-1 month / +1 month), 9 month (-2 months / +1 month) or 12 month (-3 months / +1 month) audit cycle. In situations where the timing cannot be met, the certification body shall initiate the decertification process according to the IATF Rules, section 8.1 e). The relevant onsite audit shall be the rescheduled transition audit according to the IATF Rules, section 8.4.
- If the next regularly scheduled audit was to be a recertification audit, the allowable timing for this transition audit shall meet the recertification timing requirements for recertification audits according to the IATF Rules, section 5.1.1 (-3 months / +0 days).
- Failure to conduct a transition audit according to the timing in the IATF Rules, section 5.1.1 (or the timing of the decertification process in the IATF Rules, section 8.4) requires the organization to start over with an initial certification audit with the following approved deviation:
  - No stage 1 readiness review is required, as long as the initial certification audit to IATF 16949 is conducted within 18 months of the organization's last audit against ISO/TS 16949:2009 (please see also point D on page 10). In this situation the certification body is not required to request a waiver from the relevant IATF Oversight Office.

## Organizations certified to ISO/TS 16949:2009 cannot transition to IATF 16949:

- at a transfer audit to a new IATF-recognized certification body,
- at a special audit.

# TRANSITION AUDIT REQUIREMENTS

The transition audit shall be the duration of a recertification audit according to the IATF Rules, Table 5.2. A (new) subsequent audit cycle starts from the last day of the transition audit.

The transition audit shall be a full systems audit equivalent to a recertification audit and shall comply with all requirements defined in the IATF Rules, section 6.8.

The audit planning process shall comply with all requirements defined in the IATF Rules, section 5.7 with the following specific requirements:

- An off-site documentation review shall be conducted prior to the transition audit. This off-site documentation review shall include as a minimum a review of the client's quality management system documentation (i.e. quality manual and procedures), including the evidences about conformity to IATF 16949 requirements.
- ~~If the organization does not provide the required information, the audit plan shall include a minimum of 0.5 additional audit days on-site to collect and review the missing information prior to the one (1) hour on site meeting.~~

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*NOTE: The IATF has withdrawn the previously communicated mandatory additional 0.5 – 1.0 days for each transition audit.*

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~~If the client does not provide the minimum required information for the off-site documentation review prior to the audit to the certification body, the audit shall not begin.~~

~~It is at the discretion of the certification body to schedule additional audit days on-site to conduct an additional in-depth review of the documentation provided by the client prior to the audit.~~

~~If the transition audit cannot be conducted within the required timeframe, the client shall start over with an initial audit.~~

All supporting functions on site or remote shall be included in the transition process in line with the current ISO/TS 16949:2009 audit cycle and shall be included at the transition audit.

- In exceptional circumstances, the remote supporting function may not have completed a transition audit to IATF 16949 prior to the transition audit at the manufacturing site(s) it supports. In this situation, a positive certification decision can be made to allow the manufacturing site to be certified to IATF 16949.
- To ensure clarity of which supporting functions have been audited and to which version of the automotive standard (i.e. IATF 16949 or ISO/TS 16949:2009), the transition audit report of the manufacturing site shall:

- list all remote supporting functions,
  - list which version of the automotive standard the remote supporting function was audited to (ISO/TS 16949:2009 or IATF 16949), and
  - list the completion date of these audit(s) at the remote supporting function(s).
- If the last audit at the remote supporting function was an audit to ISO/TS 16949:2009, the report shall include the scheduled or planned date for the transition audit to IATF 16949. The audit report of the remote support location shall also include clear statements about which version of the automotive standard the last internal system audit was conducted to (ISO/TS 16949:2009 or IATF 16949).
- In exceptional circumstances, where the remote supporting function has not completed a transition audit to IATF 16949 prior to the transition audit at the relevant manufacturing site, the organization shall ensure a complete gap analysis, including a detailed action plan to fulfil the applicable requirements of IATF 16949, is available at the manufacturing site's audit.
- In situations where the organization does not provide the gap analysis and detailed action plan, the audit at the manufacturing site shall be considered failed and the site shall be required to undertake a full initial audit.

# TRANSITION AUDIT TEAM REQUIREMENTS FOR CERTIFICATION BODIES

A transition audit shall only be conducted by qualified 3rd party auditors who have already demonstrated their competence to audit against IATF 16949. Auditors shall therefore pass both: the IATF 16949 and IATF Rules quizzes in the IATF ADP system before they are allowed to conduct transition audits and initial certification audits according to IATF 16949.

## The IATF requires:

- all active auditors registered in the IATF ADP must pass (with pass being 80% or above) both the IATF 16949 and IATF Rules quizzes before they are allowed to conduct transition audits.
- by 30th June 2017, all active auditors registered in the IATF ADP must pass (including any necessary retakes) the IATF 16949 and IATF Rules or they will be subject to deactivation.
- additionally, all auditors in the IATF ADP who have a 3-XX or a 4-ADP certificate must complete the IATF 16949 and IATF Rules training and quizzes prior to scheduling for an IATF ADP proctored assessment session.

## The certification body shall comply with all requirements for establishing an audit team as defined in the IATF Rules, section 5.6 for a recertification audit with the following specific requirements / approved deviations for transition audits:

- the certification body may appoint more than one auditor from the previous audit cycle (which can be 1 year, 2 years or 3 years in length) to participate in the transition audit and subsequent surveillance audits as an audit team member, including as the audit team leader (clarification to FAQ no. 11). In this situation the certification body is not required to request a waiver from the relevant IATF Oversight Office.

The certification body may appoint one (1) auditor in cases where the audit days exceed five (5), but no more than a maximum of seven (7) days. In this situation the certification body is not required to request a waiver.



# TRANSITION AUDIT NONCONFORMITY MANAGEMENT

When the certification body identifies nonconformities at the transition audit, the client and the certification body shall comply with all requirements:

- for the nonconformity management process as defined in the IATF Rules, section 5.11.
- for the initiation of the decertification process as defined in the IATF Rules, section 8.1 c) and IATF Rules, section 8.2. If major nonconformities are identified at the transition audit, the suspension decision shall be in accordance with IATF Rules, section 8.3.

## IATF 16949 CERTIFICATE ISSUANCE

The certification body shall comply with all requirements of the certification decision process as defined in the IATF Rules, section 5.12 with the following specific requirements / approved deviations for transition audits:

- The certification body can make a positive certification decision after the expiration date of the existing ISO/TS 16949:2009 certificate, as long as the decision is made within a maximum of 120 calendar days from the last day of the transition audit.

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*NOTE: This might result in a period where the client's ISO/TS 16949:2009 certificate has expired and no valid certificate exists before a new IATF 16949 certificate is then issued.*

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Upon a positive certification decision the certification body shall issue an IATF 16949 certificate to the organization. This certificate shall include the issue date (date of the positive certification decision) and the expiration date (issue date plus a maximum of three (3) years minus one (1) day). This new certificate shall bear a new IATF number.

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*NOTE: The current ISO/TS 16949 certificate (if it is still in an "issued" status), is consequently automatically superseded in the IATF database.*

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## INITIAL CERTIFICATION TO IATF 16949

All organizations seeking initial certification can be certified to ISO/TS 16949:2009 until 1 October 2017 however the ISO/TS 16949:2009 certificate will only be valid until 14 September 2018.

After 1 October 2017, the organization can ONLY be audited and certified to IATF 16949 standard.

In determining the number of audit days for organizations seeking initial certification to IATF 16949, reductions may be granted for the following situations/organizations:

### **A** Organizations with an existing ISO 9001 certification:

The initial stage 2 audit days for an upgrade to IATF 16949 from an existing ISO 9001:2015 shall not be reduced by more than 30% of the initial stage 2 audit days defined in the IATF Rules, section 5.2, Table 5.2.

- The certification body for the IATF 16949 certification shall be the same as for the existing ISO 9001:2015 certification.
- In situations where an ISO 9001:2015 certified client transfers to a new certification body, at least one (1) surveillance audit shall be performed to ISO 9001:2015 by the new certification body before the upgrade audit to IATF 16949 is performed.
- If the scope is expanded at the initial certification audit, no upgrade discount shall be applied. 100% of the required initial audit stage 2 days shall be applied.

If the organization has an existing valid ISO 9001:2008 certificate, no upgrade discount shall be applied. 100% of the required initial stage 2 audit days shall be applied.

### **B** Organizations with an existing VDA 6.1 and ISO 9001 certification:

The initial stage 2 audit days for an upgrade to IATF 16949 from VDA 6.1 and ISO 9001:2015 shall not be reduced by more than 50% of the initial stage 2 audit days defined in the IATF Rules section 5.2, Table 5.2.

- If an organization has a valid VDA 6.1 and ISO 9001:2008 certificate, no upgrade discount shall be applied. 100% of the required initial audit stage 2 days shall be applied.
- If the scope is expanded, no upgrade discount shall be applied. 100% of the required initial audit stage 2 days shall be applied.

### **C Organizations with an existing valid Letter of Conformance to ISO/TS 16949:**

The upgrade discount as defined in the IATF Rules, section 5.14.4 shall not be applied to an organization having an existing valid Letter of Conformance to ISO/TS 16949:2009. 100% of the required initial stage 2 audit days shall be applied.

### **D Organizations with a previously withdrawn ISO/TS 16949 certificate due to failure to transition on time:**

The initial stage 2 audit days for an organization having a withdrawn ISO/TS 16949:2009 certificate shall not be equivalent to recertification audit days in Rules, section 5.4 h). The audit days shall be equivalent to initial audit days.

#### **However:**

- No stage 1 readiness review is required if the certification body for the initial certification audit is the same that withdrew the certificate. Concerning the timing requirement, please see page 4 "Failure to conduct a transition audit according to the timing".
- If the above conditions cannot be met, an onsite stage 1 readiness review is required.

## TRANSITION FAQs

### **1 What is the earliest possible date to conduct a transition audit from ISO/TS 16949:2009 to IATF 16949:2016?**

The earliest possible date to conduct a transition audit (or initial audit) to IATF 16949:2016 is 1st January 2017.

### **2 The Transition Strategy states an organization cannot transfer and have a transition audit to IATF 16949 at the same time. Can an certified ISO/TS 16949 organization transfer to a new certification body and have the new certification body conduct an initial certification audit instead?**

If the organization has a valid ISO/TS 16949:2009 certificate, then the intent of the Transition Strategy would prohibit any new certification body from accepting the certified organization as a new client.

If the organization has cancelled its contract with the existing certification body and is no longer certified to ISO/TS 16949:2009, then the organization would be allowed to transfer to a new IATF-recognized certification body.

### **3 Are organizations required to conduct a management review according to IATF 16949 prior to the start of the transition audit?**

The organization is required to demonstrate that all requirements of the management review have been met prior to the transition audit conducted by an IATF-recognized certification body.

This should be demonstrated through a complete new management review against IATF 16949:2016. However at the time of the transition audit this may be accomplished through the combination of a previous management review in compliance with the ISO/TS 16949:2009 requirements and a supplemental management review in compliance with the additional requirements of IATF 16949:2016.

**4 Are organizations required to conduct a full internal system audit against IATF 16949 prior to the start of the transition audit?**

The organization is required to demonstrate compliance to IATF 16949:2016 through a complete internal system audit against the requirements of IATF 16949:2016 prior to the transition audit conducted by an IATF-recognized certification body.

This should be demonstrated through a complete full system audit against IATF 16949:2016. However at the time of the transition audit this may be accomplished through the combination of a previous system audits with the ISO/TS 16949:2009 requirements and a supplemental system audits in compliance with the additional requirements of IATF 16949:2016.

**5 Are Certification Bodies permitted to conduct a pre-audit prior to the start of the transition audit?**

No, this is not permitted. However the certification body might be required to include a minimum of 0.5 additional audit days on site prior to the start of the audit to collect and review missing audit planning information (see page 5 - transition audit requirement).

**6 Are Certification Bodies permitted to conduct a gap assessment prior to the start of the transition audit?**

No, this is not permitted.

**7 Is a documentation review required for every site within a corporate scheme?**

Yes, every site has to provide the relevant required documentation even within a corporate scheme with a common quality management system.

**8 Are organizations required to collect 12 months data against IATF 16949 new processes prior to the start of the transition audit?**

No, this is not required.

**9 Are the normal reductions (e.g. -20%, -30% etc.) allowed for transition audits for sites which are part of a corporate certification scheme?**

Yes, the transition audits are to be calculated according to the same requirements as recertification audits.

**10 When a single certification body auditor is scheduled for a seven (7) man day audit, does the audit have to be conducted over consecutive days? I.e. can the audit be scheduled Monday - Friday and then Monday-Tuesday the following week?**

Where one (1) auditor is being assigned and the total number of audit days exceeds five (5), the audit of the site shall be planned and conducted over consecutive calendar days per IATF Rules, clause 5.7. However, for the transition audit, the IATF will allow the audit of the site to be planned and conducted based on the consecutive working days of the site.

**11 The Transition Strategy requirements permit that more than one auditor can participate in the transition audit. Can these auditors continue to participate in the subsequent surveillance audits as well?**

Yes, the certification body may appoint more than one auditor from the previous audit cycle (which can be 1 year, 2 years or 3 years in length) to participate in the transition audit and subsequent surveillance audits as an audit team member, including as the audit team leader. In this situation the certification body is not required to request a waiver from the relevant IATF Oversight Office.

**12 What is the expectation for a certification body auditor who reviews the completed gap analysis and detailed action plan for a remote supporting function that has not completed a transition audit to IATF 16949 prior to the transition audit at the relevant manufacturing site?**

The expectation is that the client provides to the certification body audit team a copy of the gap analysis document, including a current, up-to- date action plan (i.e. with timing, responsibilities assigned and implementation status). This information shall be retained by the certification body auditor together with the audit record. This is accepted as evidence that the remote support location is knowledgeable of the IATF 16949 standard, has completed an analysis of their current system to the new requirements, and is implementing an action plan to close the gaps. This information is necessary to support the certification decision function in making a decision whether or not to issue an IATF 16949 certificate to the manufacturing site.

**13 What happens to the existing ISO/TS 16949 certificate if one or more nonconformities of the transition audit to IATF 16949 are not either 100% resolved or closed within the required timeframe?**

The certification body shall follow all requirements of the IATF Rules, section 5.11. In this case, the transition audit shall be considered “failed” and the IATF database shall be updated accordingly. The certification decision shall be negative which means the ISO/TS 16949:2009 certificate is withdrawn and the client has to start over with an initial certification audit.

**14 Is it allowed to reduce the audit man days for the transition audit if the site is already certified according to ISO 9001:2015 and ISO/TS 16949:2009?**

No further reductions to the transition audit can be applied in this situation. The only possible reduction would be allowed if the client decides to upgrade from ISO 9001:2015 to IATF 16949 which will result in a 30% reduction on initial stage 2 audit days.

**15 Can a certification body conduct separate audits for ISO 9001:2015 and the supplemental requirements of IATF 16949:2016?**

No, this is not permitted. IATF 16949 cannot be considered a stand-alone QMS Standard but has to be comprehended as a supplement to and used in conjunction with ISO 9001:2015.

**16 If the organization (with valid ISO/TS 16949 certificate) is required to have a special audit (as per IATF Rules, section 7.2) after 1st October 2017, is the special audit conducted to ISO/TS 16949 or IATF 16949?**

The scope of the special audit will be the standard the organization is currently certified to. In this situation the special audit will be conducted against ISO/TS 16949.

**17 If an organization has already signed a contract with a new certification body to transfer the site(s) - before the "revised transition strategy" was released on 10 August 2016 - will the organization be permitted in this exceptional circumstance to transfer from ISO/TS 16949 to IATF 16949 and have a transition audit at the same time?**

The transition audit to IATF 16949 for an existing certified organization shall only occur with their existing certification body that certified the organization to ISO/TS 16949. However, the IATF recognizes that contracts may have been signed prior to the release of the revised Transition Strategy on 10 August 2016. In this exceptional case, the organizations are permitted to continue with the transfer process to a new certification body and have their transition audit to IATF 16949.

In this situation all requirements for a transfer audit shall be applied, however the audit days shall be equivalent to a stage 2 audit instead of equivalent to a recertification audit. The certification body is required to obtain approval from the relevant Oversight office prior to the transition audit and the waiver request shall include relevant evidence to demonstrate the contract was signed on or before 10 August 2016. The certification body shall enter this audit as a transition audit with the waiver number and the previous IATF number in the IATF database.

**18 Can a newly qualified auditor (3-XX-...) for IATF 16949:2016 also conduct audits against ISO/TS 16949:2009?**

No, this is not permitted. Newly qualified auditors (3-XX-...) are qualified to conduct audits against IATF 16949:2016 according to the IATF Rules 5th Edition. Therefore these new auditors are not permitted to conduct audits against ISO/TS 16949:2009.



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