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.

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.

NOTE: The previously communicated "Option 2" has been withdrawn.

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. 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, or at any other audit which is not in line with the current audit cycle for ISO/TS 16949:2009.

TRANSITION AUDIT REQUIREMENTS

The transition audit shall be the duration of a recertification audit according to the IATF Rules, Table 5.2.

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.

NOTE: The IATF has withdrawn the previously communicated mandatory additional 0.5 – 1.0 days for each transition 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 to participate in the transition audit ONLY (i.e. "carryover auditors"). These carryover auditor(s) shall not participate in the following surveillance audit cycle, but may participate in the subsequent three (3) year audit cycle. 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.

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.

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.

NOTE: The current ISO/TS 16949 certificate (if it is still in an "issued" status), is consequently automatically superseded in the IATF database.

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 with drawn 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 16949:2009:2009 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 and if the initial stage 2 audit is scheduled within 12 months of the missed transition audit.

— If the above conditions cannot be met, an onsite stage 1 readiness review is required.

TRANSITION FAQS

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

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