



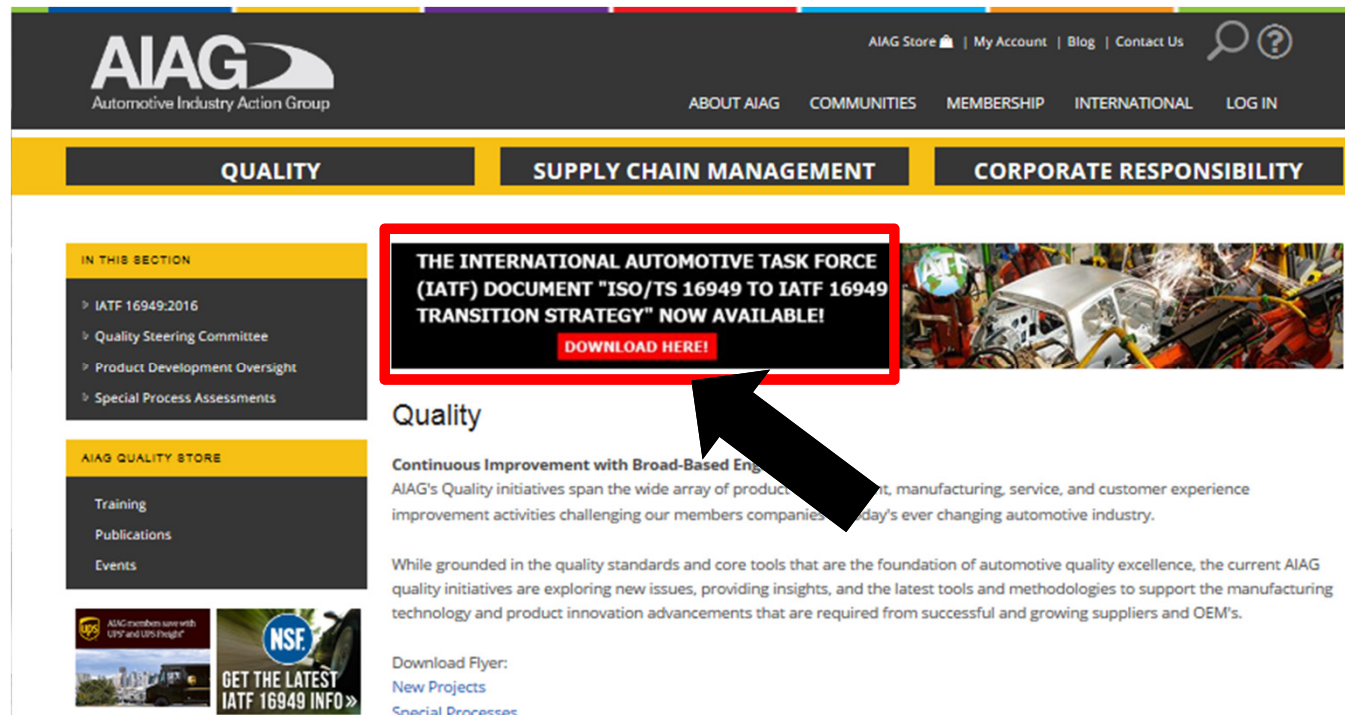
# *IATF 16949 Transition Strategy*

*Mrs. Michelle Maxwell, IAOB*



- IATF 16949 transition strategy was presented at the IATF global stakeholder conference in Rome, Italy in April 2016 and published following the conference
- Intent of the transition strategy was to explain the process for existing certified organizations to upgrade to IATF 16949:2016 and the process for new organizations seeking certification
- Feedback at, and after, the global stakeholder conference led to a revised transition strategy released August 2016
  - Supersedes the previous strategy released in April

- Transition strategy is publically available at either [www.aiag.org](http://www.aiag.org) or [www.iatfglobaloversight.org](http://www.iatfglobaloversight.org)
  - Free of charge



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**10 August 2016**

Guidance for the transition from ISO/TS 16949:2009 to IATF 16949:2016 is in the following document

[IATF 16949 Transition Strategy](#)

- In preparation for the transition to IATF 16949, and during the transition process, questions will arise
  - IATF Oversight offices are committed to sharing the questions, agreeing to a common response and publishing the responses for IATF-recognized certification bodies and organizations to understand
  - In fact, several new FAQ's will be released in early October
  - Organizations should subscribe to the mailing list on the IATF Global Oversight website to receive automatic e-mail notifications when changes related to the scheme are posted

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**9 August 2016**

The attached joint press release represents a win-win for IATF and ISO by communicating the IATF decision to publish the IATF 16949 standard as a separate document and maintaining a strong collaborative relationship between ISO and the IATF going forward

[IATF Press Release](#)

Additional information about IATF 16949 can be found in the following bulletin

**Subscribe to our mailing list**

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- IATF will launch a training process starting in mid-December 2016 to qualify certification body auditors to conduct audits to IATF 16949
  - CB auditors have to pass the quizzes for IATF 16949 and Rules 5<sup>th</sup> Edition
  - By June 30, 2017, all active CB auditors must pass the quizzes or they are subject to deactivation

- Certification bodies are developing (or have already started to release) communications to their clients and their auditors on the transition process
  - The certification bodies are working on plans to successfully transition each client.
  - Please pay attention to communications coming from your certification body and I encourage you to participate in any onsite or online meetings they may offer



- The purpose of this presentation is to:
  - Provide guidance to certified organizations on how to apply the IATF transition process/strategy to their organization
  - Provide guidance to organizations seeking certification to IATF 16949 on understanding and applying the IATF transition process

# What Certified Organizations to ISO/TS 16949 Need to Know



1. Get a jump start. Buy of copy of the IATF 16949.
  - Purchase of copy of IATF 16949:2016 standard when it is available on 3 October 2016
  - Also, purchase a copy of ISO9001:2015
  - Both standards are needed to achieve certification to IATF 16949
  
2. Perform a gap analysis to IATF 16949:2016 and ISO9001:2015.
  - Make it a priority to complete before year end
  - Complete a gap analysis for each manufacturing site and any remote support function/location

2. Perform a gap analysis (cont.).
  - IATF will not publish a common gap analysis tool; organizations will have to create their own
  - Certification bodies are not permitted to perform a gap analysis or conduct a pre audit
  
3. Develop an action plan.
  - Close the gaps between current quality management system and the new requirements in IATF 16949 and ISO9001
  - Plan should include timing, key milestones, responsibilities and status
  - Keep the plan up to date

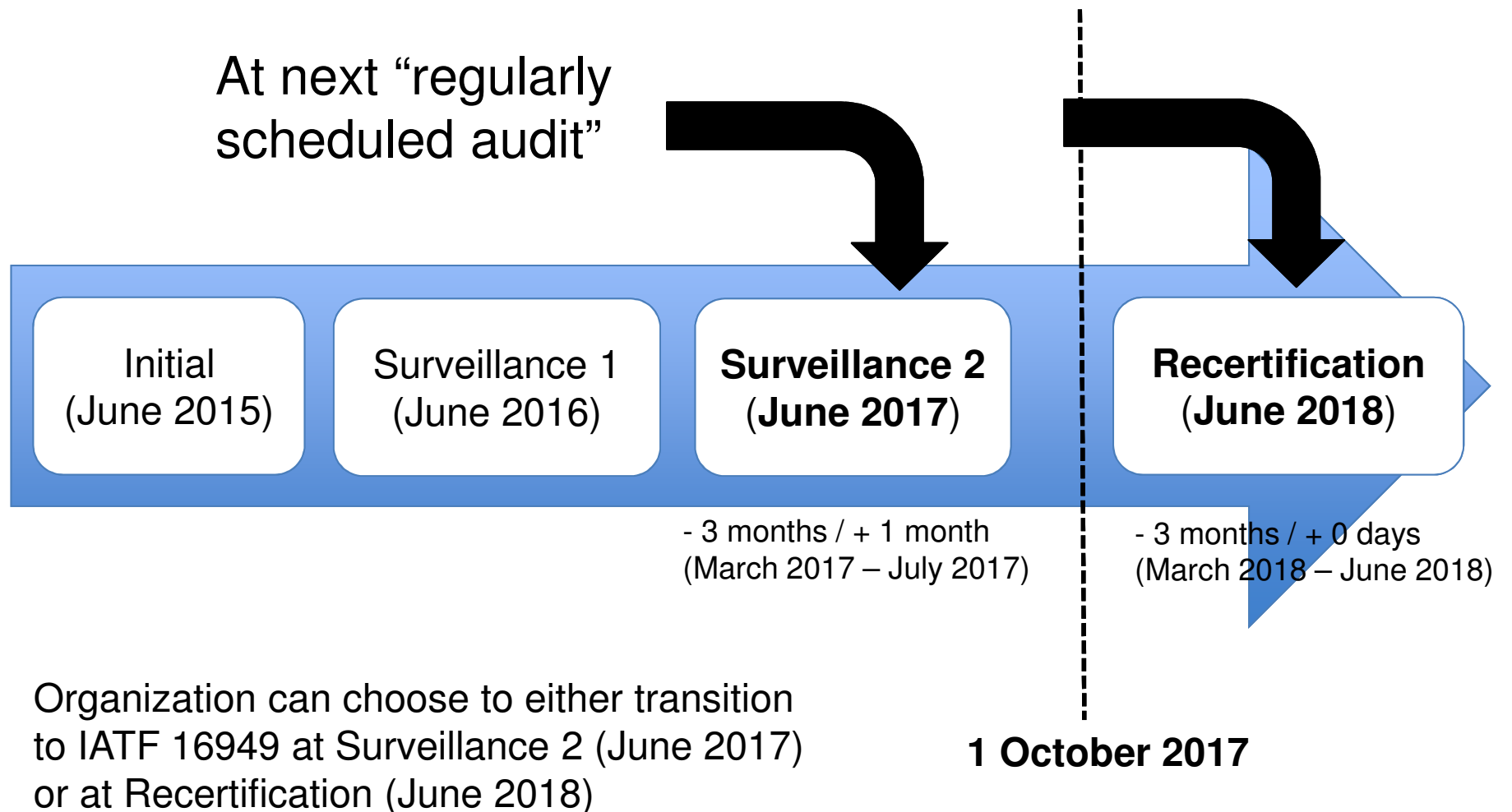
4. Understand the IATF Transition strategy.
  - Transition process applies to manufacturing sites and remote support functions/locations
  - Read through the transition strategy to understand how the requirements affects/applies to your organization
  - Be aware of subsequent changes to the strategy that are released by the IATF via the IATF Global Oversight website
  - Direct any questions to your certification body

5. Conduct a full internal systems audit to IATF 16949 and a management review prior to the transition audit by the certification body
  - Required to show the quality management system is in compliance to all IATF 16949 requirements
  - For internal audits, this can be accomplished through a combination of previous internal system audits to ISO/TS 16949 and a supplemental internal system audit(s) to cover the additional requirements of IATF 16949
  - For management review, this can be accomplished through a combination of a previous management review in compliance with ISO/TS 16949 requirements and a supplemental management review in compliance with the additional requirements of IATF 16949

6. Identify which “regularly scheduled audit” in 2017 or 2018 will be the transition audit to IATF 16949
  - Manufacturing sites and remote support functions/locations certified to ISO/TS 16949 shall transition to IATF 16949 through a transition audit
  - Transition audit will occur at the next “regularly scheduled audit”, including allowable timing in IATF Rules 5.1.1
  - Transition audit REPLACES the next regularly scheduled surveillance or recertification audit
  - Transition audits to IATF 16949 can start as early as 1 January 2017, but are mandatory starting 1 October 2017

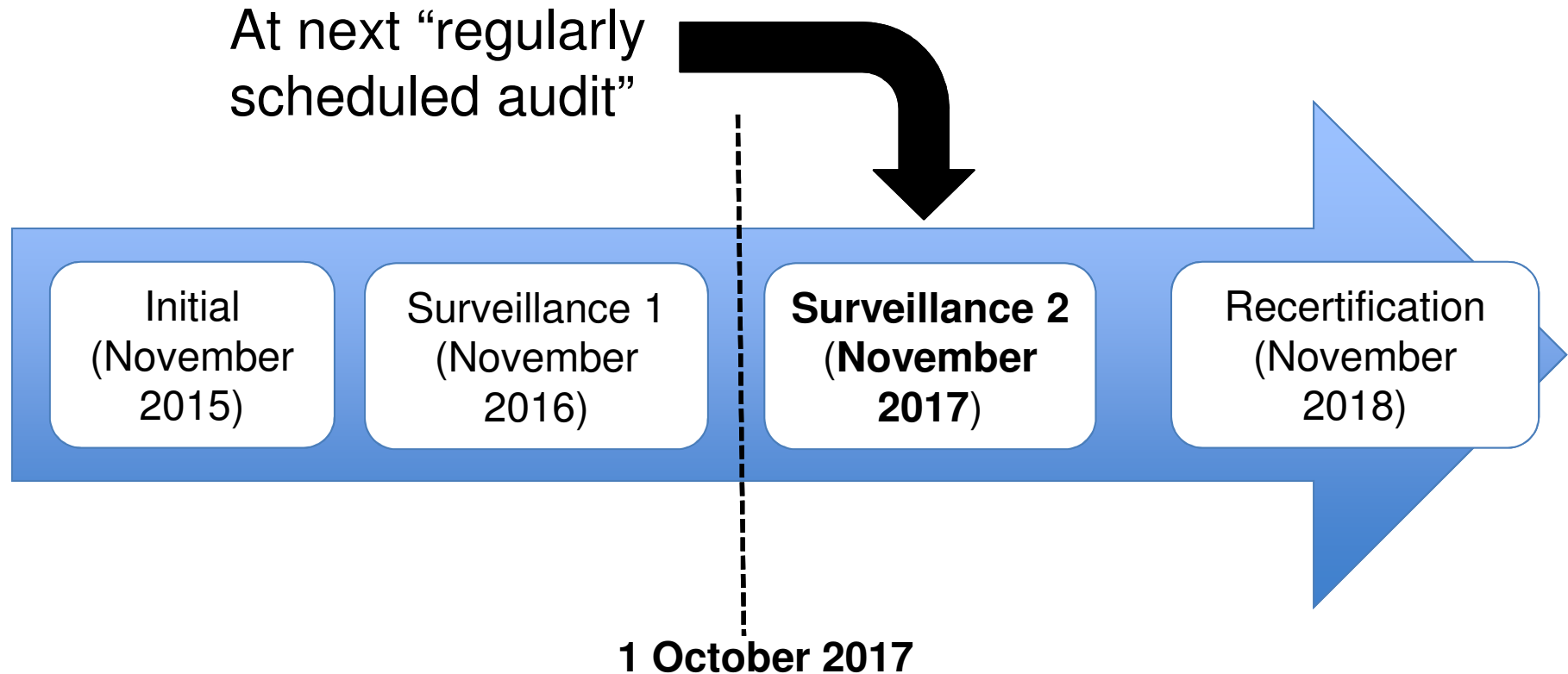
6. ...the transition audit to IATF 16949 (cont.)
  - Voluntary transition: For any audit (initial, surveillance or recertification) occurring between 1 January 2017 – 30 September 2017, the organization can choose to have a transition audit to IATF 16949 or have an audit to ISO/TS 16949
  - Mandatory transition: For any audit (initial, surveillance or recertification) starting after 1 October 2017, and if the organization has not already transitioned prior to that date, the transition audit is mandatory at the next regularly scheduled audit

# Example 1 – Voluntary Transition





## Example 2 – Mandatory Transition



Organization is required to transition to IATF 16949 at Surveillance 2, if the audit is conducted after 1 October 2017

## Understand the consequences for **failing to conduct the transition audit on time:**

- If the timing requirements cannot be met (and the transition audit was replacing a surveillance audit), the decertification process (i.e. suspension) will be initiated
- Allows for another 90 calendar days to schedule and complete an on-site transition audit
- If the on-site transition audit does not occur within 90 calendar days, the current **ISO/TS 16949 certificate will be withdrawn**
- Organization would start over with an initial certification audit to IATF 16949

## **...failing to conduct the transition audit on time (cont.):**

- If the timing requirements cannot be met (and the transition audit was replacing a recertification audit), the current **ISO/TS 16949 certificate will remain valid until the certificate expiration date**
- Organization would start over with an initial certification audit to IATF 16949

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

- A special audit. As a special audit is outside of the “regularly scheduled audit” in the audit cycle
- A transfer audit. ISO/TS 16949 certified organization cannot change IATF-recognized certification bodies and have a transition audit at the same time
- IATF has put safeguards in place to prevent this from occurring
- In exceptional cases, organizations that initiated the transfer process before the release of IATF transition strategy (August 2016) may be “grandfathered” (see IATF Transition Strategy FAQs to be released)

## **Key points about the transition audit process:**

- Transition process includes the following steps:
  - Transition Audit
  - Nonconformity management
  - Certificate decision
  - Certificate issuance
- Transition audit starts a new 3-year audit cycle
- Transition audit is equivalent to a recertification audit which is a full systems audit covering all requirements of IATF 16949:2016 and ISO9001:2015

## **Key points about the transition audit process (cont.):**

- Duration of the transition audit will be equivalent to a recertification audit and all appropriate reductions can be applied (i.e. corporate scheme, non-design, etc.)
- Organizations will be required to submit their updated quality manual, updated/new procedures and evidence about conformity to IATF 16949 to the certification body prior to the start of the transition audit for an off-site documentation review
- Consequence for not providing the required information is an additional 4 hours (1/2 day) to the site's audit to collect and review the missing information

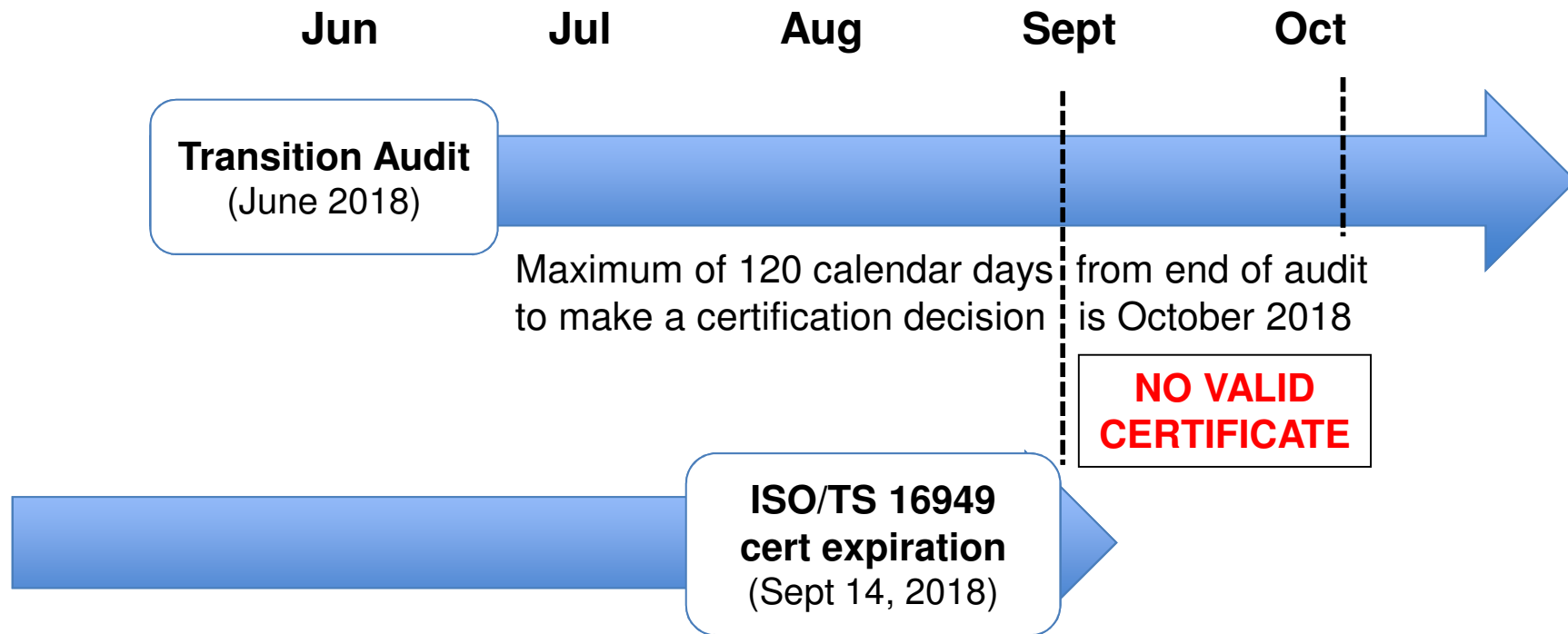
## **Key points about the transition audit process (cont.):**

- All IATF Rules 5<sup>th</sup> Edition requirements for the audit team, conducting the audit, nonconformity management and the certification decision applies
- IATF has approved a few deviations to the Rules to support organizations and certification bodies in accomplishing the transition process
- If a positive certification decision is made a new 3-year certificate cycle begins

7. Consider the risks of the transition audit being too close to the expiration of the current ISO/TS 16949 certificate
  - If there are nonconformities issued at the transition audit there is a maximum of 90 calendar days for the nonconformity management process to be completed
  - Plus a maximum of 30 calendar days for a certification decision to be made by the certification body
  - **A total of 120 calendar days (4 months) from the date of the closing meeting**
  - Risk is your certificate could expire before the process is complete!



# Transition Audit Too Close to Certificate Expiration Date



Organization's ISO/TS 16949 certificate expired (14 September 2018) before the new IATF 16949 certificate was issued

**IATF approved a deviation** to allow the certification bodies to make a positive certification decision after the expiration date of the existing ISO/TS 16949 certificate as long as the decision is made within a maximum of 120 calendar days from the last day of the transition audit.

- As the graphic on previous slide showed, this might result in a period where the client's ISO/TS 16949 certificate has expired and no valid certificate exists
- Consider the risks when deciding on the date for the transition audit!

8. Communicate to the certification body the dates you are planning to have the transition audit
  - Lock in the audit date as soon as possible. “Early bird gets the worm”.
  - If you wait until too close to your next regularly scheduled audit, it is possible the certification body may not have available qualified resources to support the audit

## What Organizations Seeking Certification to ISO/TS 16949 Need to Know



1. Get a jump start. Buy the IATF 16949:2016 standard when it is available and buy ISO9001:2015.
2. Get a legally enforceable agreement (i.e. contract) signed with a certification body. If you already have one, great you are well on your way.
3. Certification to ISO9001:2015 is a good first step in meeting the requirements of IATF 16949, but is not mandatory.
  - Eligible for additional audit day reductions
4. Perform a gap analysis to IATF 16949 and ISO9001:2015. Create an action plan to close the gaps, including timing and responsibility.

5. Use the gap analysis document to help determine if an initial audit will be performed to ISO/TS 16949 (which is allowed until 1 October 2017) or to IATF 16949.
  - Weigh the risks and the costs
6. If your organization chooses an initial audit to ISO/TS 16949, the certificate expiration will be 14 September 2018.
  - Mandatory for all ISO/TS 16949 certificates
7. Confirm your initial audit date with the certification body as soon as possible.

8. Reductions for the transition audit days are explained in the transition strategy (i.e. upgrade from ISO9001:2015 or VDA 6.1, Letter of Conformance).
  - No upgrade discount permitted if upgrading from ISO9001:2008

Thank You!