



Rules for the Certification of Quality Management Systems  
Certification Scheme for the Automotive Sector IATF 16949

**Certification of Quality Management Systems in accordance with IATF 16949:2016**

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# **Rules for the certification of Quality Management Systems**

## **Certification scheme for the automotive sector IATF 16949**

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

### **CHAPTER 1 GENERAL**

#### **1.1**

These Rules define the additional and/or substitutive procedures applied by RINA for the certification of Quality Management Systems in the Automotive Sector in relation to the requirements of the

#### General Rules for the Certification of Management Systems

The paragraphs of these Rules refer to (and keep the same numbering) the corresponding paragraphs of the General Rules for the Certification of Management Systems to which some changes and/or integrations have been made.

For any issues not covered in this document, reference should be made to:

- General contract conditions governing system, product and personnel certification
- Rules for Achieving and Maintaining IATF Recognition 5th Edition for IATF 16949
- Any Sanctioned Interpretations (Sis) and Frequently Asked Questions (FAQs) available at site [www.iatfglobaloversight.org](http://www.iatfglobaloversight.org)

#### **1.2**

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

IATF 16949 : 2016.

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

IATF 16949 certificates can be issued both independently and as supplements to ISO 9001:2015 certificates.

#### **1.3**

The certification service is available to all Organizations working in the automotive sector and does not depend on whether they belong to an association or group but just on the type of activity they perform. The choice of the model of Quality System, from among those indicated in the previous paragraph, is generally made by the Organization depending on the type of products/services it supplies for the automotive sector:

- Production materials
- Production components or spare parts
- Heat treatments, galvanic treatments,
- Painting or other surface treatments
- Other specific customer products

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The "automotive sector" comprises the manufacture of cars, lorries (light, medium and heavy), buses and motorcycles.

The "automotive sector" does not comprise industrial, agricultural and earth-moving vehicles.

In particular, the IATF 16949 technical specification can also be applied to car manufacturers.

For IATF 16949 certification, where not expressly indicated in this document, reference must be made to the following rules:

- IATF - Rules for Achieving and Maintaining IATF Recognition 5th Edition for IATF 16949

RINA will apply the fees established on the basis of its current tariffs for the certification service and guarantees fairness and uniformity of application. RINA is entitled to refuse requests for certification by Organizations that have been the subject, or whose production or activities have been the subject, of restriction, suspension or proscription by a public Authority.

#### **1.4**

The participation of observers in the audits is previously agreed upon between RINA and the Organization.

In order to ascertain whether the auditing methods applied by RINA comply with the reference standards, OEM (Original Equipment Manufacturer) and/or the Body guaranteeing the issued certificates (Accreditation Body - ANFIA) may require:

- its observers to take part in the audits performed by RINA
- audits to be carried out to the certified Organization, directly through its own personnel

The participation of these observers to the audits and/or any audit directly carried out using OEM and/or Accreditation Body personnel, is agreed upon in advance between RINA and the Organization.

If the Organization refuses to accept the above, RINA will start the certificate withdrawal process.

## **CHAPTER 2**

### **REFERENCE STANDARD / CERTIFICATION REQUIREMENTS**

#### **2.1**

In addition to what is set forth in the General Rules for the Certification of Management Systems, to obtain RINA certification, a Quality Management System, as far as applicable in relation to the type of product or service in question, must satisfy, both initially and in the long run, the requirements of the reference scheme and those indicated in the following paragraphs of this chapter, as well as:

- any additional elements required by the Accreditation Bodies
- any specific requirements requested by the Customer

Actually, during its accreditation activities, RINA must abide by certain reference documents issued by the Accreditation Bodies. These documents can be obtained from RINA or directly from the Accreditation Bodies (e.g. consulting their Internet sites).

#### **2.2**

In particular, in order to obtain Management System certification according to the Automotive Scheme, the Organization must:

2.2.1 Have established a Management System and kept it active and fully operative totally in compliance with the requirements of the standard or reference regulatory document.

A Management System is considered as being fully operative when:

- it has been applied for at least twelve months for certification according to ISO/TS 16949
- the internal audit system has been fully implemented and its effectiveness can be demonstrated
- at least one management review of the system has been carried out and documented
- the objectives and processes required to obtain results in agreement with customer requirements and company policy have been defined,
- these processes have been developed
- monitoring activities and measurements of the processes and products with respect to the policy, the product objectives and requirements have been performed and registered
- actions have been implemented to promote continual process and product improvement and guarantee constancy in production methods and in the quality of the products or services supplied.

2.2.2 Have the documented information relating to:

- the scope of the Quality Management System
- the description of the processes and their interactions which must be extended to all those developed by the Organization (also to outsourced processes required to manufacture/provide a specific product/service, that are determining as regards the capacity of the product/service to satisfy the applicable requirements). This can be done in various ways:
  - Descriptions
  - Flow charts or logograms
  - Tables or matrices
  - Other
- exclusions of production lines or requirements of the reference standard, illustrating

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for the latter the reasons why these exclusions do not affect the quality of the product/service supplied. In particular, the IATF 16949 standard only allows exclusion of the requirements of chapter 8.3, exclusively as regards product design and development, provided that these exclusions do not affect the capacity of the Organization to provide products/services responding to customer and applicable legislative requirements. Paragraph 8.3 is always applicable to the design of the production process.

- the description of the company organization.

### **2.3**

Conformity of the Management System with the reference standard is verified through a set of audits including:

- an initial audit made up of two stages
- 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, which are always performed once a year, can also be defined on a 6 or 9 months basis.

## **CHAPTER 3 INITIAL CERTIFICATION**

### **3.1**

The initial audit consists of two stages:

- Stage 1 audit – carried out to the Organization's site through an initial suitability audit
- Stage 2 audit – carried out to the Organization's site

During the initial audit the Organization must demonstrate that its Management System is fully operative and that the system is actually applied.

In the presence of any significant changes that may affect the management system, RINA can consider the need to repeat the stage 1 audit, wholly or partially. In this case, RINA will inform the Organization if the outcome of stage 1 may lead to a postponement or cancellation of stage 2.

### **3.2**

In addition to what is stated in section 3.5 of the General Rules for the Certification of Management Systems, the certification process is suspended if major and/or minor non-conformities are found. If at least one or more major and/or minor non-conformities are found, a supplementary audit must be performed within three months in order to check that the proposed corrective actions have been applied correctly and effectively; if this audit is successful the certification process is renewed.

Depending on the seriousness and number of findings, RINA may decide to perform a supplementary audit directly to the Organization's site or a documental review of the corrective actions implemented by the Organization.

If the supplementary audit for checking the proposed corrective actions is not performed within three months from the stage 2 audit date, RINA reserves the right to terminate the certification procedure and charge the time and costs incurred up to that moment. In such a case, if the Organization wishes to proceed with RINA certification, it must submit a new application and repeat the certification procedure.



## **CHAPTER 4**

### **MAINTAINING VALIDITY OF THE CERTIFICATE**

#### **4.1**

In addition to what is stated in section 4.6 of the General Rules for the Certification of Management Systems, if any non-conformities are found during the surveillance audits, RINA will evaluate the management of these non-conformities as follows:

- if major non-conformities are found, the Organization is subjected to a supplementary audit within the deadline established by RINA, depending on the importance of the non-conformities, but not later than three months from the surveillance audit;
- if minor non-conformities are found, the Organization may be subjected to a supplementary audit at the auditor's discretion and within the deadline established by RINA. The Organization must always send a written evidence to RINA to show it has effectively implemented the proposed corrective actions and not later than 60 days from notification of the non-conformities.

Depending on the seriousness and number of findings, RINA may decide to perform a supplementary audit directly to the Organization's site or conduct a documental review of the corrective actions implemented by the Organization. If the non-conformities are not solved within the established times or if they do not assure compliance of the supplied products/services with the customer's requirements and applicable laws, RINA may suspend certification until these non-conformities have been eliminated and, in any case, as specified in paragraph 11.1.

All costs relating to any supplementary audits deriving from shortcomings in the Quality Management System will be charged to the Organization.

## **CHAPTER 5 RECERTIFICATION**

### **5.1**

In addition to what is stated in the corresponding paragraph 5.4, if at least one or more major and/or minor non-conformities are found, within a maximum period of three months and in any case before the expiry date of the certificate of conformity, a supplementary audit must be performed in order to ascertain the correct and effective application of the proposed corrective actions.

Depending on the seriousness and number of findings, RINA may decide to perform a supplementary audit at the Organization's site or conduct a documental review of the corrective actions implemented by the Organization.

The established times within which the Organization must perform the supplementary audit are communicated to the Organization in the recertification audit report.

All costs relating to any supplementary audits deriving from shortcomings in the Quality Management System will be charged to the Organization.

## **CHAPTER 8 MODIFICATION OF CERTIFICATION AND COMMUNICATION OF CHANGES**

### **8.1**

In addition to what is stated in the corresponding paragraph 8.1 of the General Rules for the Certification of Management Systems, the Organization shall communicate to RINA

- special status notifications or reception of serious claims from an IATF OEM, in accordance with its specific requirements.
- special status notifications or reception of serious claims from Customers of the automotive sector (therefore different from IATF OEMs), only if specifically provided by its the contractual requirements.

## **CHAPTER 9 SPECIFIC INFORMATION CONCERNING MULTISITE ORGANIZATIONS**

### **9.1**

Contrary to the provisions of the General Rules for the Certification of Management Systems, whenever an Organization has several permanent sites and requests a single certificate, the auditing activities must be performed to all production sites for which certification is requested. The remote functions in which no design activity is carried out will be sampled during the three-year period of validity of the certificate.

## **CHAPTER 10 TRANSFER OF ACCREDITED CERTIFICATES**

### **10.1**

In addition to what is stated in the corresponding paragraph 10.1, an Organization which, in the last 3 years, has already transferred one of its certificates to a Certification Body outside the CISQ AUTOMOTIVE Consortium, cannot request RINA for any certificate transfer.

Each transfer request must be previously authorized by IATF.

Contrary to the provisions of the General Rules for the Certification of Management Systems, the transfer of IATF 16949 certification, from a Certification Body outside the CISQ AUTOMOTIVE Consortium, shall be accomplished only on against the performing of a recertification audit.

## **CHAPTER 11 SUSPENSION, REINSTATEMENT AND WITHDRAWAL OF CERTIFICATION**

### **11.1**

In addition to what is stated in the corresponding paragraph 11.1 of the General Rules for the Certification of Management Systems, the certificate suspension process is started in the following cases:

- Whenever the Organization receives a special status notification from an IATF OEM and does not inform RINA of this notification within 10 days (or within the times established by the requirements of the specific IATF OEM).
- Whenever the requirements of the specific IATF OEM prescribe that the certificate of conformity must be suspended, in the event of a special status notification.
- If the Organization refuses or obstructs the participation in audits of the observers of an Accreditation Body (ANFIA).

In the presence of special status notifications or reception of serious claims from Customers of the automotive sector (therefore different from IATF OEMs), depending on the seriousness of the claim, RINA will decide to perform a supplementary audit and, if a major non-conformity has been raised, suspend the certificate of conformity.

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