

A woman wearing safety glasses and a blue polo shirt is working on a car chassis in a factory. She is looking up at a mechanical part of the car. The background is a blurred industrial setting with bright lights.

Certification Process

**IATF 16949:2016
QUALITY MANAGEMENT SYSTEMS FOR THE
AUTOMOTIVE SECTOR**

SGS

Accreditation and approval status

We are IATF Accredited for Quality Management Systems including IATF 16949:2016. On preparation of the proposal we have identified that you fall within our IATF scope of accreditation. This means you are entitled to use the SGS logo on the completion of a successful audit.



STEP A

ACCEPTING THE SGS CONTRACT AND WHAT YOU NEED TO SEND US

A contract is submitted by SGS for your consideration. We are happy to arrange a visit or discussion with a client manager or an auditor to outline the process and discuss your requirements. The contract is valid for 60 days. Once the 60 days end, we will review the contract again and issue a new quote if necessary.

Application: To apply for registration the contract document must be completed, signed and returned to the relevant SGS office before work can commence. Your contract will be processed, and our Regional Coordinator will contact you to arrange the next steps of the audit process.

IATF Application Form

What you need to send us: You do not need to make any payments on application. The Stage 1 audit must be conducted on site (or if this activity is to be conducted off site we have to justify it to comply with TS rules); this will be agreed with you. It is therefore not necessary for you to send your system documentation at this stage; however, if you do enclose documents please make sure these are controlled. They will remain your property and we will return these to you when the audit process is complete.

STEP B

PRE-AUDIT (AT YOUR REQUEST)

This activity is conducted at your request should you feel a pre-audit would be beneficial. Regarding the rules within IATF16949:2016 this activity must be conducted before the Stage 1 audit and will be conducted during a single visit to site. More than one pre-audit is not permitted. The pre-audit process is designed to ensure you can proceed to the next stage of certification. The process is designed to ensure that you have considered all the requirements of IATF16949:2016 in your management system. This stage also allows us to plan competent and sufficient resources for the main assessment, and to prepare working documentation and audit plans. It also allows us to provide immediate, focussed feedback before you progress to the next stage.

STEP C

STAGE I AUDIT – READINESS REVIEW

This activity is conducted at your site once we have received your contract. The audit process commences with an appraisal of your quality management system documentation and intended scope of certification. This is to determine compliance with the standard and to prepare working documentation for the on-site audit (Stage II audit). To complete this review, we will need to see copies of your:

- Description of the remote location and the support they provide
- Description of processes showing the sequence and interactions, including the identification of remote supporting functions and outsourced processes
- Key indicators and performance trends for the previous twelve (12) months, minimum

- Evidence that all the requirements of IATF 16949 are addressed by the client's processes
- Quality manual, including the interactions with support functions on site or remote
- Evidence of one full cycle of internal audits to IATF 16949 followed by a management review
- List of qualified internal auditors and the criteria for qualification
- List of automotive customers and their customer-specific requirements, if applicable
- Customer complaint summary and responses, scorecards, and special status, if applicable

On completion, you will receive a Stage I audit report outlining any shortfalls to enable immediate action prior to moving forward through the process. An audit plan for the on-site audit will also be forwarded to you at this stage.

If there is insufficient readiness to conduct the Stage II audit, we can agree between us to stop the process. When you were ready to proceed again, we would have to start the process afresh.

STEP D

STAGE II AUDIT – ASSESSMENT PROCESS: ON-SITE AUDIT

This stage has to be completed within 90 days of the Stage 1 audit. This ensures you have time to implement any of our findings. We are led by you in relation to the amount of time between these stages; however, planning the required dates into the schedule is crucial, and we must meet the 90-day timescale.

The on-site audit determines compliance against your documented system and IATF16949:2016. All assessment conclusions are based on sampling of audit evidence, to demonstrate effective implementation of the management system, for those external and internal issues that are relevant to its "context" and that can affect its ability to achieve the intended outcome(s) of its management systems, control over the processes and progress made toward achieving your stated quality objectives.

At SGS our audit approach is designed to contribute value to the process and also ensure that your management system is achieving your goals. On conclusion of the audit the auditor will make a recommendation dependent on findings. This recommendation will reflect the level of findings identified during the audit.

STEP E

CORRECTIVE ACTIONS AND PLANS – ASSESSMENT PROCESS

If a major non-conformance is raised during the audit we shall require you to submit, within a maximum of 20 calendar days from the closing meeting of the audit, evidence of the following:

- Implemented correction
- Root cause including methodology used, and results

Then we shall require you submit within a maximum of 60 calendar days from the closing meeting of the audit, the following:

- Implemented systemic corrective actions to eliminate each non-conformity, including consideration of the impact of other similar processes and product
- Verification of effectiveness of implemented corrective actions

Minor non-conformance shall require you to submit within a maximum of 60 calendar days from the closing meeting of the audit evidence of the following:

- Implemented correction
- Root cause including methodology used, and results
- Implemented systemic corrective actions to eliminate each non-conformity, including consideration of the impact of other similar processes and product
- Verification of effectiveness of implemented corrective actions

STEP F

ISSUE CERTIFICATE AFTER SUCCESSFUL AUDIT – ASSESSMENT PROCESS

At the end of the Stage II audit the auditor will make their recommendation on site and talk through the findings. This will include confirmation of the recommended scope following assessment. The report is then compiled off site and reviewed and approved by an independent decision authority.

Once the certification decision has been made, the certificate is processed and sent to you. You will also receive an email with a user name and password to access your Certified Client Portal, giving you access to a digital copy of your certificate, the marks pack including different image formats and the rules for use, and a copy of your audit report. SGS can support you in the form of a certificate presentation and providing a quote for your press release should this be required.



Example of logo

STEP G

ONGOING MAINTENANCE: SURVEILLANCE VISITS

Once issued certificates are only valid subject to satisfactory maintenance of your system. Ongoing audits (surveillance visits) are normally conducted annually to verify continued implementation of your quality management system in accordance with “planned arrangements” and the requirements within the standard. The first surveillance must be conducted

within 12 months of the end of the Stage II audit. The choice of surveillance period will be agreed at the proposal stage and will depend on the scale, nature of your operations and scope of certification. Certain mandatory elements will be reviewed at every visit together with other pre-selected processes. We will work with you to identify areas that are not conforming to support opportunities for improvement. Itineraries will be forwarded in advance of the agreed audit date.

STEP H

TRIENNIAL RECERTIFICATION

SGS operates a system of continuous certification. As part of this program it is not necessary to conduct a complete assessment. Rather, we conduct a recertification visit that is more in-depth than a surveillance visit and will ensure that we review all aspects of your system. The recertification audit must be carried out no later than 3 years from the last day of your last recertification audit and non-conformances closed prior to the expiry of your current certificate. The recertification audit is the first visit of your new certification cycle.

Consequently, we look to conduct the audit in line with the IATF rules of -3 months +0 months, from the last day of the Stage II or last recertification date.

We shall contact you before your audit due date to make the necessary arrangements for this audit, including information on the costs for the next 3-year cycle; this can be provided earlier on request.

PAYMENT TERMS

We will send you an invoice for the fees when we have carried out each stage. Once you receive an invoice, you must pay it within 30 days after the date of invoice (no matter what your company's payment terms) unless we agree otherwise in writing. If you require a purchase order it is your responsibility to ensure this is supplied to SGS, either prior to the date of audit on the booking confirmation letter or given to the auditor during the on-site visit.

CHANGES TO SCOPE

In the event of any developments that will alter your certification, e.g. site or scope additions, reductions, mergers or acquisitions, it is important you inform us at your earliest convenience. Changes to scope can be covered at any time in the process. A revised contract would be issued in advance. The scheduling can take place at the same time as a surveillance/recertification visit, which is the most cost-effective method, or can be carried out between visits depending on your requirements and instructions. As this is personal to your individual business needs, it is anticipated this would need to be discussed between SGS and you, the client.

We routinely review core data that impacts on your certification and therefore your contract with us. These reviews can result in audit time requirements increasing or decreasing. We will notify you accordingly should any changes be required. We also draw your attention to the codes of practice paragraph number 12 "System/Product Modification" where it states your obligation to keep us notified of any organizational changes.

TRANSFER OF CERTIFICATION

If you have a current certification assessed by an accredited certification body, and this certification is up to date and in good standing, you can switch to SGS at any time in the process. We will conduct a review of your current certification and for us to do this you will need to send us a copy of your current certificate, previous visit reports, and the date of your last visit. Any corrective actions raised at previous visits must be closed out by your previous certification body before a transfer to SGS can take place. Following the review, we will provide you with a proposal to take over this certification. Once you have accepted our proposal and dates have been arranged, we simply take over the next visit at recertification time (transfer of certification) which will start a new audit and certificate cycle. The process for reporting and certificate issue is the same as outlined above in Step F.



ADDITIONAL PROVISIONS UNDER IATF 16949:2016 SCHEME RULES

The conditions form part of and are in addition to SGS proposal application for certification services and constitute a legally enforceable agreement for the provision of certification services under IATF TS16949 scheme rules between SGS, VDA and the client. The client shall agree to comply with the automotive certification scheme for IATF16949:2016 Rules for achieving IATF recognition.

Conditions of contract between SGS and the client:

- The client shall notify SGS of any changes, details below
- The client cannot refuse an IATF witness audit of SGS
- The client cannot refuse the presence of an SGS internal witness auditor
- The client cannot refuse the presence of an IATF representative or their delegates
- The client cannot refuse the request for SGS to provide the final report to the IATF
- The only use of the IATF logo related to this certification scheme is as displayed on the SGS certificate. Any other use of the IATF logo is forbidden by the client
- Consultants to the client cannot be physically present at the client's site during the audit and/or participate in any audit in any way, i.e., video conference, emails, telephone conferencing
- The client shall agree to comply with the automotive certification scheme for IATF16949 Rules for achieving IATF recognition
- The client shall notify SGS if they are transferring their certification to another CB
- There will be a provision to ensure that when the client is transferring to another CB, the current audit and certificate cycle shall be maintained with the final certification decision made before the current certificate expiry date.

Notice of changes by a client

- a) Legal status
- b) Commercial status (e.g. joint venture, sub-contracting with other organizations)
- c) Ownership status (e.g. mergers and acquisitions)
- d) Organization and management (e.g. key managerial, decision-making or technical staff)
- e) Contact address or location
- f) Scope of operations under the certified management system
- g) IATF subscribing OEM customer special status
- h) Major changes to the management system and processes
- i) Any conflicts of interest with the nominated audit team that could jeopardize the impartiality of the audit. For example, on-site training, consultancy, previous employment, etc.

The client shall agree to submitting off site to the auditors all information required within the scheme rules all data required for off-site audit planning as an input to developing the audit plan prior to the on-site audit, additional time will be added to the site audits if this data is not provided for planning.

ABOUT SGS

We are SGS – the world’s leading testing, inspection and certification company. We are recognized as the global benchmark for quality and integrity. Our 96,000 employees operate a network of 2,600 offices and laboratories, working together to enable a better, safer and more interconnected world.

We offer the following main services:

- **Customized audit solutions** – our diverse skills and experiences help organizations to exploit established management systems, by working in partnership to optimize efficiency and effectiveness, finding practical solutions to challenges related to: best practices in organizational operation, process efficiency and improvement, supply chain management, and sourcing and procurement
- **Inspection services** – we inspect and check the quantity, weight and quality of traded goods. Inspection usually takes place when goods are moved from one type of transport to another
- **Testing services** – we test quality and performance of products against various health, safety and regulatory standards. We use state-of-the-art laboratories on or close to customers’ premises
- **Certification services** – we confirm that systems or services meet the standards set by governments, standardization bodies (for example, ISO 9001) or our customers’ products. We also develop our own standards to meet our clients’ needs. SGS as an accredited certification body can provide confidence to clients that professional, experienced auditors are used and standards are consistently applied

- **Verification services** – SGS verification services ensure that products and services comply with global standards and local regulations. Combining global coverage with local knowledge, unrivaled experience and expertise in virtually every industry, SGS covers the entire supply chain from raw materials to final consumption

In the UK, SGS employs over 1,800 staff based in over 30 regional offices. Our certification section provides independent certification and audits to a range of standards, including:

- Quality Management Systems (ISO 9001)
- Environmental Management (ISO 14001)
- Risk Management, IT Certification (ISO 20000)
- Information Security Management (ISO/IEC 27001, ISO 27701, BS 10002, ISO 27017, ISO 27018)
- Business Continuity Management System (ISO 22301)
- Energy Management Systems (ISO 50001)
- Asset Management Management Systems (ISO 55001)
- Customer Service Excellence
- Occupational Health and Safety (ISO 45001)
- EC Directives (CE Mark) and other regulations
- UKCA Mark for Medical, PPE and CPR
- Medical Device Certification (ISO 13485 and MDSAP)
- British Retail Consortium Global Standards
- Food Safety Management Systems (ISO 22000)
- Aerospace

For more information on any of our services visit www.sgs.co.uk/certification



WWW.SGS.CO.UK

WHEN YOU NEED TO BE SURE

SGS