IATF Auditor Guide for ISO/TS 16949

First Edition

April 2009
Introduction

Rules for achieving IATF recognition, 3rd Edition for ISO/TS 16949, places the responsibility for the development and maintenance of auditor competency upon the certification body which employs the auditor as defined within Rules 3rd Edition clauses 4.2 to 4.5.

To assist the certification bodies, the IATF Oversight Offices have authored the IATF Auditor Guide for ISO/TS 16949.

Purpose
The purpose of the Guide is to define the logical activities and required auditor competencies in the ISO/TS 16949 audit process. The Guide amplifies the Rules and should be understood in conjunction with Rules.
How to Use the Criteria

Paragraphs 1 - 8 of the *Rules for achieving IATF recognition* have been divided into thirty-one activities in the *Guide*. The *Guide* has two main components: a graphic representation of the certification audit process and a table that defines competencies for each activity.

**The Graphic**

These 31 audit activities are shown in 33 blue boxes. Under some blue boxes are white text boxes that depict auditor activity during the audit boxes to which they are connected. Large yellow areas group activities into the general areas that they address (e.g., Section 1 - Stage 1 Readiness Review, Audit Planning & Section 2 – Site Audit, (Stage 2, Surveillance and Recertification) Nonconformities Management and Certificate Issuance).

**The Table**

The Table headings are:

- Activity Number – From 1 to 31.
- Activity Undertaken – the name of the audit activity.
- References/Document Linkages – the source of the competency requirement. These are related to the boxes to their right in the table, and are not individually linked to specific competencies.
- Competency – The definition of competency for the *Criteria* is “the demonstrated ability to apply knowledge and skills.” For each activity, therefore, competency is presented as
  
  - Knowledge – the auditor should be able to demonstrate their knowledge (either from memory or by where to reference) of the material presented to the certification body,
  - Skills – the auditor should be able to properly perform these activities during the audit.

Some competencies will appear under several activities.

The **Activities** represent the major steps as described in *Rules*. This is not a definitive list of all of the steps that could be in a process definition of an audit. The activities shown, however, are required in the audit process definition for ISO/TS 16949.

The **Competencies** are not exhaustive. They were drawn, after several years of IATF experience, from certification body witness audits and office assessments, auditor training and evaluation, IATF OEM concern investigation, and responding to questions from all the stakeholders in the ISO/TS 16949 process. The **Competencies**, therefore, address areas of known auditor and audit concern; and reflect how the IATF evaluates auditors, audits and certification bodies. Certification bodies are encouraged to use this *Guide* in developing and maintaining the competency of their auditors.
Purpose of the Section 3

IATF believe further guidance is required both for the certification bodies and their auditors in terms of Essential & General competencies needed to perform an effective automotive process audit.

The purpose of Section 3.1 (Essential Auditing Competency Criteria) is to define the competencies required against the six criteria; detailed below

1. Process Approach
2. Customer Specific Requirements
3. Prioritization
4. Focus on Performance
6. Analyse & Synthesize data

The purpose of Section 3.2 (General Auditing Competency Criteria) is to provide guidance on a further seven criteria; detailed below

1. Interviewing Techniques
2. Time Management
3. Team Communication
4. Confidentiality
5. Conflict Management
6. Cultural Diversity
7. Policy Deployment
Section 1 - Stage 1 Readiness Review and Audit Planning

1. Obtain materials for Stage 1 Readiness Review → 2. Verify quotation information

3. Confirm that processes showing sequence and interaction, including key indicators and performance trends for the previous 12 months minimum, have been defined

4. Confirm if supporting functions exist and, where applicable, other CB reports are available

5. Confirm the organization has implemented a system whose processes address all the requirements of ISO/TS 16949

6. Confirm a quality manual is available for each site to be audited

7. Confirm the organization has a list of qualified internal auditors

8. Confirm the customer specific requirements to be included into the audit

9. Confirm customer satisfaction and complaint status (customer reports/scorecards, etc.) are available

10. Confirm internal audit and management review planning & results from the previous 12 months data are available

Tour the site undertaking discussions with relevant organization personnel to understand and verify the information presented

11. Determine the appropriate scope of certification

12. Determine the organization’s readiness

13. Prepare the Stage 1 Readiness Review report

14. Deliver report to the organization regarding the outcome of the Stage 1 Readiness Review

Organization Ready: Yes → 15. Write and issue the Audit Plan

No → 15a. Plan for Stage 1 Readiness Review

15a. Remote Supporting Functions

15b. Audit Logistics
### Section 1 - Stage 1 Readiness Review & Audit Planning

#### Competency is the demonstrated ability to apply knowledge and skills

<table>
<thead>
<tr>
<th>Activity No</th>
<th>Activity Undertaken</th>
<th>Knowledge (able to …)</th>
<th>Skills (able to …)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Obtain materials for Stage 1 Readiness Review</td>
<td>• Describe the <em>Rules</em> requirements related to the Stage 1 Readiness Review.</td>
<td>• Verify that all of the required documentation has been obtained from the client within the one or two days of the Readiness Review.</td>
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<tr>
<td></td>
<td></td>
<td>• Verify that all of the required documentation has been obtained from the client within the one or two days of the Readiness Review.</td>
<td>• Identify missing information not provided by the client during the Readiness Review.</td>
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<td>• Identify missing information not provided by the client during the Readiness Review.</td>
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<tr>
<td>2.</td>
<td>Verify quotation information</td>
<td>• Describe the <em>Rules</em> requirements related to quotation information.</td>
<td>• Identify any changes since the quotation and communicate to the client and back to the certification body.</td>
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<td></td>
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<td>o Number of sites</td>
<td>• Verify the information used for audit day calculation and resolve any discrepancies.</td>
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<td>o Number of employees (full time, part time, temporary)</td>
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<td>o Support functions</td>
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<td>o Language(s) of audit</td>
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<td>o Current certifications</td>
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<td>o Shift patterns</td>
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<td>o Products and services</td>
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<td>o Product design responsibility</td>
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<td>o Proposed scope</td>
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<td></td>
<td>o List of customers</td>
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<td></td>
<td>• Explain the audit days calculation requirements.</td>
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<td></td>
<td>• Describe the effect of non-automotive products and personnel on the quotation and how the audit time is planned and spent.</td>
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### Competency is the demonstrated ability to apply knowledge and skills

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| 3.          | Confirm that processes showing sequence and interaction including key indicators and performance trends for the previous 12 months minimum, have been identified | • Describe what a process is.  
• Describe how processes interact and how interactions can be shown within a quality management system.  
• Describe what is meant by the automotive process approach (*Rules*) versus an elemental, “departmental” or “functional” approach.  
• Describe what constitutes a risk to the customer.  
• Define process effectiveness and efficiency.  
• Describe how key indicators and performance trends data could be measured.  
• Describe how a Letter of Conformance could be applicable for sites with less than 12 months performance data. | • Verify the client’s processes, including sequence and interactions, are defined.  
• Verify that outsourced processes have been identified by the client and included within the quality management system.  
• Verify the client has a minimum of previous 12 months key indicators and performance trend data. |
| 4.          | Confirm if supporting functions exist; and where applicable, other certification body reports are available | • Define a supporting function on-site or remote.  
• Describe how supporting functions can be identified within the quality management system.  
• Describe the *Rules* requirements related to multiple certification bodies. | • Verify that any on-site or remote support functions have been identified within the client’s quality manual/system.  
• Verify that any other certification body(ies) is/are currently IATF recognized.  
• Determine that the reports from other certification body(ies) contain the minimum required information, and that the full supported product scope has been covered in relation to the site. |
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<tr>
<td>5.</td>
<td>Confirm the client has implemented a system whose processes address all the requirements of ISO/TS 16949</td>
<td>- Describe what a process is.&lt;br&gt;- Describe how processes interact and how interactions can be shown within a quality management system.&lt;br&gt;- Describe what is meant by the automotive process approach (<em>Rules</em>) versus an elemental, “departmental” or “functional” approach.&lt;br&gt;- Describe what constitutes a risk to the customer.&lt;br&gt;- Define process effectiveness and efficiency.&lt;br&gt;- Describe how key indicators and performance trends data could be measured.&lt;br&gt;- Describe how supporting functions can be identified within the quality management system.&lt;br&gt;- Describe how the client’s evidence, that their processes meet all requirements of ISO/TS 16949, could be presented (e.g., a matrix).</td>
<td>- Verify that the client has presented evidence that their system (of processes) addresses all the requirements of ISO/TS 16949.</td>
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| 6.          | Confirm a quality manual is available for each site to be audited                    | - Describe the minimum content of a quality manual as defined within ISO/TS 16949.  
- Describe the *Rules* Stage 1 Readiness Review requirements for the client to have a quality manual.                                                                                             | - Verify that each of the client’s sites has a quality manual.  
- Verify that interactions with support functions on-site and remote are addressed in the quality manual.  
- Verify that the scope defined in the quality manual accurately matches the client’s automotive business activities and proposed scope of certification.  
- Verify that any exclusion identified for certification is stated in the quality manual.                                                                                                                   |
| 7.          | Confirm the client has a list of qualified internal auditors                          | - Describe the requirements for internal auditor qualification as defined within ISO/TS 16949 and any applicable customer specific requirements.                                                                                      | - Verify the list of internal auditors.  
- Verify the client’s process for internal auditor qualification addresses quality system, manufacturing process and product audits.  
- Verify that the process based internal audits are undertaken by qualified internal auditors.                                                                                                                 |
| 8.          | Confirm the customer specific requirements to be included in the audit               | - Describe what a customer specific requirement is.  
- Describe how the client locates current customer specific requirements.  
- Describe how the auditor locates current customer specific requirements.                                                                                                                                       | - Verify the client has a defined process for the identification of customer specific requirements.  
- Determine from the list of customers which customers have customer specific requirements.  
- Verify the client has the current required revision level of customer specific requirements.  
- Captures IATF OEM supplier codes of the client manufacturing site where applicable.                                                                                                                       |
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| 9.         | Confirm customer satisfaction and complaint status (customer reports, scorecards, etc.) are available | • Define the ISO/TS 16949 requirement related to customer satisfaction measurement.  
• Describe what is meant by customer scorecards.  
• Describe how the auditor locates customer scorecards, performance reports, and complaints status.  
• Describe how to relate the customer performance data back to the problem part(s).  
• Describe the impact of GM New Business Hold, Controlled Shipping and FORD Q1 Revocation on the Readiness decision. | • Verify the client has a defined process for the identification and analysis of customer satisfaction and complaint status information.  
• Determine from the list of customers, which customers issue customer satisfaction and complaint status reports.  
• Verify that the client has accessed and reviewed the current report(s).  
• Verify that customer satisfaction and complaint status information, where applicable, is downloaded from the relevant website during the Readiness Review.  
• Verify that customer objectives / reporting formats (e.g. QOS Quality Operating System) scorecard data are used. |
| 10.        | Confirm internal audits and management review planning and results from the previous 12 months are available | • Describe the Rules Stage 1 Readiness Review requirements (including that the 12 months audit and management review evidence may be a mix of other standards [ISO, VDA,] and ISO/TS 16949).  
• Define the difference between system, process, and product audits.  
• Describe the difference between a process approach and an elemental, “departmental” or “functional” approach for internal audits. | • Verify that 12 months internal audit and management review data exists.  
• Verify that a complete cycle of process based internal audits of the defined processes are followed by a management review.  
• Verify that internal audits are scheduled on the basis of status and importance.  
• Verify that the management review records include all required information. |
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<td>10. (Continued)</td>
<td>Describe what are the required inputs and outputs as defined within ISO/TS 16949 that must be addressed in the management review process.</td>
<td>• Describe what are, and the difference between, process performance and product conformity.</td>
<td></td>
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<tr>
<td>11.</td>
<td>Determine the appropriate scope of certification</td>
<td>• Describe what the applicability requirements for ISO/TS 16949 are. • Describe the difference between product and process design responsibility. • Describe what are permissible exclusions related to ISO/TS 16949. • Describe what an acceptable scope is (including where the client has automotive and non-automotive products or a corporate audit scheme).</td>
<td>• Verify the scope of certification and where necessary communicate to the client why the proposed certification scope is being modified.</td>
</tr>
</tbody>
</table>
| 12. | Determine the client’s readiness | • Describe the Rules requirements related to the Stage 1 Readiness Review. • Describe reasons why a client may be deemed not ready for the Stage 2 site audit. | • Analyze the data obtained through activities 2 to 11 and determine the client’s readiness for the Stage 2 Site Audit.  

Note: The term “Stage 2 Site Audit” includes the audit of site and supporting functions on site or remote.
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| 13.         | Prepare the Stage 1 Readiness Review report                                           | • Describe the minimum content requirements for Readiness Review report.  
• Describe what is an “area of concern".  
• Describe that nonconformities may not be issued at the Stage 1 Readiness Review.  
• Describe that advice or recommendations may not be offered.                                                                                                                                                                                                                                                                                                                                                                                                            | • Prepare a Stage 1 Readiness Review report that meets the minimum report requirements, using their CB report format.  
• Declare the client’s status as regards readiness.  
• Identify, if applicable, all area(s) which are preventing the client being deemed ready.  
• Identify any areas of concern that could be classified as a non-conformity during the Stage 2 Site Audit.                                                                                                                                                                                                                                                                                                                                                       |
| 14.         | Deliver report to the client regarding the outcome of the Stage 1 Readiness Review    | • Describe the Rules requirements related to the Stage 1 Readiness Review.  
• Describe that advice or recommendations may not be offered.  
• Describe reasons why a client may be deemed not ready for the Stage 2 site audit.  
• Define the time limitation within the Rules between Stage 1 Readiness Review and Stage 2 Site Audit.  
• Describe that the organization requires a new complete Stage 1 Readiness Review, if it is judged not ready.                                                                                                                                                                                                                                                                                                                                                           | • Deliver the report to organization and any audit team members.  
• Deliver the report without giving advice or recommendations.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
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| 15         | Write and issue the Audit Plan(s) including supporting functions                    | • Describe how to create an audit plan that is based upon the defined processes of the client, their sequence and interactions, including supporting functions.  
• Describe how the audit plan shall be developed prior to arrival on site including the potential sources of input into the plan (specifically with regard surveillance audit planning).  
• Describe the effect of non-automotive products and personnel on the quotation and how the audit time is planned and spent.  
• Describe *Rules* requirements for the audit plan and the audit, including supporting functions and multiple certification bodies.  
• Describe the impact of customer concerns and or special statuses (notifications related to quality or delivery issues, e.g. GM new business hold, GM controlled shipping, FORD Q1 revocation, and Volkswagen Qualitätsleistung:C) on the audit plan. | • Create an audit plan that is based upon the defined processes of the client, their sequence and interactions, including supporting functions, addressing as applicable the following:  
  o analysis of actual or potential risk to the customer, product, and processes  
  o auditor / multiple auditors demonstrating linkages between audit trails  
  o all shifts, manufacturing activities shall be audited on all shifts where they occur  
  o the required number of audit days  
  o optimizing audit time based on the layout of the client  
  o audit of supporting functions planned prior to the audit at the site with process linkages referenced  
  o interfaces with the remote support functions audited by other certification bodies  
  o audit team competencies and language skills including the use of translators, where necessary  
  o customer specific requirements and core tools in all relevant processes, including new customers since the last audit  
  o customer concerns/complaints (reports, scorecards), special status notification and the client’s response |
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</table>
| 15. 15 a. 15 b. (Continued) | | • Describe how to determine critical areas for prioritization based upon risk to the customer, key indicators, performance trends, and criticality of the process(es).  
  • Describe how to allocate appropriate resources to critical areas of the audit.  
  • Describe the Rules requirements related to auditing all shifts.  
  • Describe how to communicate the plan(s) to other audit team members undertaking audits at other sites / supporting functions and the client representatives. | o internal performance data, internal audit and management review results and actions  
  o progress made towards continual improvement  
  o effectiveness of the corrective actions and verification since the last audit (time for such verification to be additional see Rules 5.2 d)  
  o effectiveness of the management system with regard to achieving both customer and client objectives.  
  • Issue the audit plan to the client and all audit team members. |
Section 2 - Site Audit (Stage 2, Surveillance & Recertification) Nonconformities Management, and Certificate Issuance

Stage 2 Site Audit

Remote Location Audit
16. Conduct audit of remote supporting functions
17. Conduct Opening meeting
18. Complete facility tour (if needed)
19. Meeting with Top Management

Site Audit
20. Audit Organization Processes
21. Write up findings and categorize non-conformities (major / minor)
22. Complete Annex 5 table or equivalent
23. Determine Audit Team Recommendation

Certificate Issue
30. Certification Decision
31. Issue Certificate

Nonconformities Management
27. Evaluate the organization’s root cause analysis and systemic corrective actions
28. Complete follow-up audit (if needed)
29. Issue supplementary report (if needed)

Surveillance activities:
Activities 15 through 29 shall be applied.

Re-certification activities:
Activities 15 through 31 shall be applied.

Interview auditees, observe actions, obtain objective evidence, record auditor notes, audit team consensus meetings, status meetings with the organization

24. Prepare draft report
25. Conduct the closing meeting and deliver the draft report to the organization
26. Issue Final report
### Section 2 - Stage 2 Site Audit, Nonconformities Management, and Certificate Issuance

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<th>Skills (able to …)</th>
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<tbody>
<tr>
<td>16.</td>
<td>Conduct audit of remote supporting functions prior to the Site Audit</td>
<td>• Describe the <em>Rules</em> requirements related to remote supporting functions.</td>
<td>• See Activities 17 to 22 below.</td>
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<td>• See Activities 17 to 22 below.</td>
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<tr>
<td>17.</td>
<td>Conduct opening meeting</td>
<td>• Describe the certification body requirements related to the opening meeting.</td>
<td>• Clearly communicate to the attendees, in terms that are relevant and understandable, the following:</td>
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<tr>
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<td>• Describe the impact of new or changed information from the client on the audit.</td>
<td>o the automotive process approach</td>
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<td>o the audit plan</td>
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<td>o the CB’s processes that govern the audit.</td>
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<td>• Reconfirm the following:</td>
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<td>o number of employees (full time, part time, temporary)</td>
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<td>o number of shifts and shift pattern</td>
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<td>o current customers</td>
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<td></td>
<td>o customer satisfaction and complaints status including customer reports and scorecards</td>
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<td>o any customer special statuses</td>
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<td>o supporting functions.</td>
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<td>• Revise the audit plan inline with changes, advised by the client, since the stage 1 Readiness Review.</td>
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<td>• Conduct the opening meeting using their defined CB process.</td>
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<td>17. (Continued)</td>
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<tr>
<td>18.</td>
<td>Complete facility tour (if needed)</td>
<td>• Describe how to confirm the validity of the audit plan based on the opening meeting and facility tour.</td>
<td>• Identify any changes since the Stage 1 audit and communicate to the client and back to the certification body.</td>
</tr>
</tbody>
</table>
| 19. | Meeting with Top Management | • Describe the requirements in ISO/TS 16949 for top management.  
• Describe which responsibilities of top management under ISO/TS 16949 may be or may not be delegated.  
• Describe how processes interact and how interactions can be shown within a quality management system.  
• Describe what constitutes a risk to the customer.  
• Define process effectiveness and efficiency.  
• Describe how key indicators and performance trends data could be measured. | • Interview the top management to elicit the following:  
  o their description of the client’s quality management system  
  o their description of the client’s quality objectives  
  o their commitment to the effective implementation of this system (e.g., participation in meetings, setting objectives, linking objectives and plans, reviewing performance, allocation of resources, etc.)  
  o the key metrics/measures that they use to evaluate client performance  
  o what information is communicated (both to and from) top management to the client  
  o the degree of their participation in management reviews, including corrective and preventive action  
• Modify the audit plan based upon the additional information collected during the opening meeting and facility tour (including use of translators, if any).  
• Record and/or retain key observations for use during the audit. |
### Competency is the demonstrated ability to apply knowledge and skills

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| 19. (Continued) | | | o to what degree they comprehend their customer’s requirements, expectations, and evaluations of the client.  
• Record and/or retain key observations for use during the audit. |
| 20. | Audit client processes | • Describe the Rules requirements related to automotive process approach auditing.  
• Describe what is meant by the automotive process approach versus an elemental, “departmental” or “functional” approach.  
• Describe how to follow an audit plan and make adjustments based upon audit trails.  
• Describe how the process approach audit affects where within the facility the audit takes place.  
• Define quality system effectiveness and efficiency.  
• Describe how to choose a sufficient number of examples (e.g., processes, top management, operating personnel, documents) for a reliable appraisal of implementation.  
• Analyze information and evidence to determine the extent of fulfilment with certification requirements.  
• Describe the minimum requirements to be covered during an examination of the client’s processes. | • Demonstrate planning and conducting an audit using the automotive process approach principles, guidelines and tools (e.g. use of “turtles” as a primary tool).  
• Able to audit using the audit plan in conjunction with the client’s defined processes, including sequence and interaction.  
• Audit the client and ensure that the client’s process definition accurately describes reality.  
• Audits processes identified in the audit plan in adequate detail and depth to give confidence that the process(es) is capable of meeting process key performance indicators including customer specifics.  
• Use the audit plan to audit the client’s processes to ensure customer specific requirements are identified, addressed, and maintained within the quality management system.  
• Conduct interviews, etc. with auditees at appropriate locations (where the process occurs). |
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<td>• Record objective evidence, both of conformity and nonconformity with requirements, sufficient for an independent review to agree with the audit conclusions and recommendation.</td>
</tr>
</tbody>
</table>
| **21.** | Write up findings and categorise non-conformities (major / minor) | • Describe the IATF *Rules* requirements that apply to writing nonconformity, including any SIs, FAQs and customer-specific requirements.  
• Describe that both negative and positive findings are included based on objective evidence.  
• Describe the difference between a major and a minor nonconformity.  
• Describe the impact of a major nonconformity on the audit.  
• Define the *Rules* definition of Opportunity for Improvement.  
• Describe the *Rules* regarding the use of OFI without recommending solutions.  
• Describe the impact of customer special status conditions on nonconformity.  
• Describe the certification body templates required for reporting.  
• Describe the maximum time during the audit to write an audit report. | • Write a nonconformity based upon factual data, that contain  
  o A statement of non-conformity  
  o The requirement  
  o The objective evidence  
• Appropriately categorize non-conformities, as major or minor.  
• Cross-reference nonconformity to both the client’s quality management system and the relevant clause of ISO/TS 16949.  
• Appropriately categorize opportunities for improvement.  
• Identifies opportunities without recommending solutions.  
• Complete their certification body’s reporting forms as defined by the CB. |
<table>
<thead>
<tr>
<th>Activity No</th>
<th>Activity Undertaken</th>
<th>Knowledge (able to ...)</th>
<th>Skills (able to ...)</th>
</tr>
</thead>
<tbody>
<tr>
<td>22.</td>
<td>Complete Annex 5 table or equivalent</td>
<td>• Describe how to complete the Table for verification of completeness of the process oriented auditing versus ISO/TS 16949 requirements.</td>
<td>• Prepare the Table for verification of completeness of the process oriented auditing versus ISO/TS 16949 requirements for an audit.</td>
</tr>
<tr>
<td>23.</td>
<td>Determine Audit Team</td>
<td>• Describe the possible recommendations.</td>
<td>• Determine, following their certification body procedures, the audit team recommendation.</td>
</tr>
<tr>
<td></td>
<td>Recommendation</td>
<td>• Describe their certification body process for determining the audit team recommendation.</td>
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<td></td>
<td>• Describe the Rules requirements on the certification body process, to review the audit team recommendation.</td>
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<td></td>
<td>• Describe the acceptable level of quality management system performance for ISO/TS 16949 certification.</td>
<td></td>
</tr>
<tr>
<td>24.</td>
<td>Prepare draft report</td>
<td>• Describe the minimum content requirements for the draft report, including a list of IATF OEM supplier codes of the client manufacturing site.</td>
<td>• Prepare a draft audit report that meets Rules minimum content requirements.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Declare the audit team recommendation regarding certification.</td>
<td>• Identify all nonconformities and OFIs.</td>
</tr>
<tr>
<td>25.</td>
<td>Conduct the closing meeting and deliver the draft report to the client</td>
<td>• Describe their certification body’s process/procedure for the closing meeting.</td>
<td>• Conduct the closing meeting using their defined certification body process.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Describe the Rules requirements regarding closure of nonconformities.</td>
<td>• Deliver the draft audit report to the client.</td>
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<td></td>
<td>• Describe the certification body’s appeals process.</td>
<td>• Record any findings that the client wishes to appeal.</td>
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<td></td>
<td>• Discuss the closure of corrective actions, including timing (as applicable).</td>
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<td></td>
<td>• Advise the client of the need to schedule a follow up audit (if applicable).</td>
</tr>
<tr>
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<td>Skills (able to …)</td>
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</table>
| 26.         | Issue final audit report | • Describe the minimum content requirements for the final audit report, including a list of IATF OEM supplier codes for the client manufacturing site.  
• Describe the timing requirements for delivery of the final audit report to the client.  
• Describe acceptable methods for management acknowledgment of the final report. | • Prepare and deliver a final audit report that complies with certification body and IATF requirements.  
• Obtain management’s signature to final audit report when the report is issued at the final meeting.  
• Obtain formal acknowledgment from the client’s management representative via email where the report has been issued electronically. |
| 27.         | Evaluate the client’s root cause analysis and verify systemic corrective actions | • Describe “root cause” analysis.  
• Describe “systemic” versus “incident-specific” corrective actions.  
• Describe several problem solving techniques and processes (e.g., 5 Why, 8D).  
• Define “100% resolved” as it relates to the client’s response to a nonconformity. | • Verify that responses to nonconformities issued are based on effective root cause analysis by the client followed by systemic corrective action.  
• Verify with objective evidence that the corrective actions have been taken.  
• Evaluate a client’s corrective action response for “100% resolved” when a corrective action is not yet implemented. |
| 28.         | Complete follow up audit (if needed) | • Describe the requirements (from the Rules, customers, and from their certification body) for when a follow-up audit is needed.  
• Describe the purpose of a follow-up audit.  
• Describe how to verify the implementation of systemic corrective actions. | • Conduct a follow-up audit.  
• Verify with objective evidence and observation the effective implementation of systemic corrective actions. |
<table>
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<tbody>
<tr>
<td>29.</td>
<td>Issue supplementary report (if needed)</td>
<td>• Describe when a supplementary report is issued.</td>
<td>• Prepare and deliver a supplementary audit report that complies with IATF and certification body requirements.</td>
</tr>
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<td>• Describe the minimum content of the supplementary report.</td>
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<tr>
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<td>• Define the timing requirements for the supplementary report.</td>
<td></td>
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<tr>
<td>30.</td>
<td>Certification Decision</td>
<td>• Describe the IATF requirements for the certification decision following initial, surveillance and recertification audits.</td>
<td>• N/A.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Describe their certification body’s process for the certification decision.</td>
<td></td>
</tr>
<tr>
<td>31.</td>
<td>Issue Certificate</td>
<td>• Describe the Rules requirements for the certificate.</td>
<td>• Verify that an issued certificate meets IATF requirements.</td>
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<td></td>
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<td>• Describe their certification body’s process for certificate issue and review.</td>
<td>• Document and communicate back to their certification body issues observed with an issued certificate.</td>
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<td>• Describe the permissible use of IATF and the certification body logos.</td>
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</table>
Section 3 - Auditing Competency Criteria

3.1 Essential Auditing Competency Criteria
3.2 General Auditing Competency Criteria
### 3.1 Essential Auditing Competency Criteria

**Competency is the demonstrated ability to apply knowledge and skills**

<table>
<thead>
<tr>
<th>Criteria No</th>
<th>Understanding expected</th>
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</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Process Approach</td>
<td>• Describe what a process is.</td>
<td>• Demonstrate the planning in conjunction with the client’s defined processes, including sequence and interaction, and conduct of an audit using the automotive process approach principles.</td>
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<td></td>
<td></td>
<td>• Describe how processes interact and how interactions can be shown within a quality management system.</td>
<td>• Questioning the client’s processes, the sequence, interactions and performance against the measures defined, with focus on the processes which directly impact the customer.</td>
</tr>
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<td></td>
<td>• Describe the Rules requirements related to automotive process approach auditing.</td>
<td>• Questioning the process objectives/targets, with focus on where targets are not being met and on issues that have the greatest impact on the customer.</td>
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<td></td>
<td></td>
<td>• Describe what is meant by the automotive process approach versus an elemental, &quot;departmental&quot; or “functional” approach.</td>
<td>• Questioning what plans are in place to ensure targets are met, and corrective action plans are in place where objectives are not being met.</td>
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<td></td>
<td></td>
<td>• Define the 8 management principles detailed within ISO 9000.</td>
<td>• Following audit trails to linkages between customer concerns, performance against objectives and relevant process documents (e.g. control plan, FMEA, etc).</td>
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<td></td>
<td>• Describe how to integrate the ISO/TS 16949 requirements into a process based audit.</td>
<td>• Questioning the client’s process for gathering, communicating and implementing customer specific requirements.</td>
</tr>
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<td></td>
<td>• Describe how to plan and carry out an audit based upon the client’s processes.</td>
<td>• Verify the identification and application of the appropriate ISO/TS 16949 requirements in the context of an audit of the organisation processes.</td>
</tr>
<tr>
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</table>
| 2.          | **Customer Specific Requirements** | - Describe what a customer specific requirement is.  
- Describe the relationship between customer requirements and customer specific requirements.  
- Describe methods a client may use to locate current customer specific requirements.  
- Describe how to audit the organisations process for identification and implementation of customer specific requirements.  
- Describe how to select samples (focusing on IATF subscribing customers) to ensure that the process for identification and implementation of customer specific requirements is effective.  
- Describe how to incorporate customer specific requirements in a process-based audit. | - Verify the client has a defined process for the identification of customer specific requirements.  
- Verify the client has the current required revision level of customer specific requirements.  
- Effectively incorporate into a process based audit samples of the relevant customer specific requirements (focusing on IATF subscribing customers).  
- Audit the client processes to ensure customer specific requirements are identified, addressed, and maintained within the quality management system.  
- Prepare an audit report that identifies the customer specific requirements covered by the audit. |
| 3.          | **Prioritisation** | - Describe how to incorporate previous audit data into subsequent audits.  
- Describe how to prioritise during an audit based on the needs of the client’s external customers. | - Demonstrate prioritisation based upon risk to the customer.  
- Demonstrates prioritisation based upon information gained during previous audits. |
### Competency is the demonstrated ability to apply knowledge and skills

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</table>
| 3. (Continued) and performance, and focus on issues that have the greatest impact on the customer | • Describe how to determine critical areas for prioritization based upon risk to the customer, key indicators, performance trends (internal & external) and criticality of the process(es).  
• Describe how customer concerns and/or special statuses (notifications related to quality or delivery issues, e.g. GM new business hold, GM controlled shipping, FORD Q1 revocation, and Volkswagen Qualitätsleistung:C) influence prioritisation during an audit.  
• Describe how to modify priorities during an audit based on situational awareness. | • Demonstrates changes in prioritisation based upon actual client’s performance (i.e. management review, remote support functions and performance against objectives, etc) seen during an audit.  
• Prioritise based upon customer concerns and or special statuses. |
| 4. Focus on Performance | | • Describe how a client’s quality policy is a framework for the setting and communication of targets against the quality objectives.  
• Describe how an audit would verify the linkages between lower level quality objectives/targets and the quality objectives defined in the business plan.  
• Describe different types of key performance indicators (KPI’s) that a client can utilize.  
• Define process effectiveness and efficiency. | • Audit processes identified in the audit plan in adequate detail and depth to give confidence that the process(es) is/are capable of meeting process key performance indicators, including any customer specified targets.  
• Audit performance at various levels within the client verifying linkages back to the high-level process performance objectives defined within the business plan.  
• Review and assess the client’s current performance against targets and assess corrective actions where objectives are not being met. |
Competency is the demonstrated ability to apply knowledge and skills

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</table>
| 4. (continued) | place where objectives/targets are not being met | • Describe how to locate customer scorecards, performance reports and complaints status from various sources.  
• Describe how to relate the customer performance data back to the problem part(s).  
• Describe how to undertake a process based audit focused on process performance. | • Investigate and determine the status and effectiveness of the client’s process performance improvement activities.  
• Verify any customer specified continual improvement targets are met or plans are in place for them to be achieved within a defined time period.  
• Sample a client’s proposed improvement activities to verify effective planning/implementation.  
• Incorporate within the process-based audit, the client’s lean manufacturing programs /and or continual improvement initiatives in support of the quality policy and quality objectives.  
• Audit the client’s identification and implementation of both the effectiveness and efficiency process indicators. |
Demonstrates knowledge and application of the requirements of ISO/TS 16949, the Rules for achieving | • Define the 8 quality management principles detailed within ISO 9000.  
• Describe the benefits to the client of applying the requirements of ISO/TS 16949 within a system of processes.  
• Define the goal of ISO/TS 16949.  
• Describe the requirements in ISO/TS 16949 related to continual improvement.  
• Describe the registration process defined in the Rules including any defined timescales, and any relevant SI’s & FAQ’s. | • Apply the Knowledge and Application of ISO/TS 16949, Rules, SI and FAQ in the planning and conduct of an audit.  
• Interpret and evaluate the application of the ISO/TS 16949 requirements in a manner appropriate to the client.  
• Undertake and report process based audits in a manner that fully complies with the Rules and any associated SI’s and FAQ’s. |
### Competency is the demonstrated ability to apply knowledge and skills

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</thead>
<tbody>
<tr>
<td>5. (Continued)</td>
<td>IATF recognition, SI’s and FAQ’s</td>
<td>• Describe the de-certification process defined in the <em>Rules.</em> • Describe basic principles of lean manufacturing, error proofing, FIFO, 5S etc.</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Analyse &amp; Synthesize data.</td>
<td>• Articulate data analysis methodologies (i.e. Pareto analysis, statistical methods, correlation, regression trend analysis etc). • Articulate how data analysis methodologies are linked to a client’s quality policy and quality objectives. • Describe the ISO/TS 16949 requirements related to the analysis and use of data. • Describe how many documents may have pieces of the audit evidence that lead to overall conclusions during an audit. • Describe the differences between the drawing of conclusions from the synthesis of data as opposed to the reading of each document in an isolated fashion.</td>
<td>• Discriminate between relevant and irrelevant information. • Absorb data and focus in on the area of significance based on review of meaningful information. • Demonstrate linkages between customer concerns, performance data against objectives and relevant process documents leading to the development of logical audit trails. • Recognise discrete data from multiple sources and understand its relationship / impact of the whole system. (i.e. See the big picture). • Recognise and use any customer supplied performance data during an audit, verifying the correlation to any client data. • Question the effectiveness of the client’s process for collection, analysis and review of data during an audit, without taking for granted the integrity of the data. • Draw conclusions from the total data presented.</td>
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</tbody>
</table>
### 3.2 General Auditing Competency Criteria

<table>
<thead>
<tr>
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<th>Knowledge (able to …)</th>
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</tr>
</thead>
</table>
| 1.          | Interviewing techniques | - Describe how to question an auditee to obtain an understanding their process and any related objectives/measures.  
- Describe how to summarize audit findings for feedback to auditee.  
- Describe how to gather objective evidence during an audit.  
- Describe the range of interviewing styles that can be employed (location, rooming, environment, etc).  
- Describe the approaches that can be employed to put an auditee at ease.  
- Describe the difference between open, closed and leading questions, and in what situations these types of questions may be used. | - Focus the audit on priorities based upon issues of significance identified during an audit.  
- Develop effective audit trails and follow them to conclusion.  
- Ask questions utilizing a range of open/closed questions.  
- Obtain objective evidence to substantiate statements and/or summaries (e.g., charts, records etc) from auditees.  
- Communicate in a way that can be understood by the auditee (e.g. terms, language) to gather objective evidence.  
- Effectively audit when a translator is used.  
- Adjust interview techniques to suit seniority/education/knowledge level of auditee.  
- Demonstrate open mindedness and ability to consider other points of view.  
- Listen to and synthesise data before drawing audit conclusions.  
- Verify verbal information obtained with written evidence where applicable. |
### Competency is the demonstrated ability to apply knowledge and skills

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</table>
| 2. | Time management | - Describe the *Rules* requirements related to the duration of an audit day, and allowable reporting time.  
- Describe how to modify the audit plan during the audit.  
- Define the additional time requirements of an audit using translators. | - Determine priority based upon importance  
- Effectively manage time relating to the original audit plan by demonstrating a flexibility in approach based upon findings and situational awareness.  
- Stay focused on auditing processes avoiding a “scatter gun” approach.  
- Demonstrate the importance of time management when undertaking an audit by modifying the audit plan as the audit unfolds.  
- Plan and manage time in an audit where a translator is present.  
- Comply with the *Rules* requirements for time allocation during an audit. |
| 3. | Team communication | - Describe the basics of communicating effectively.  
- List and describe methods that can be used to exchange information.  
- Describe how to formulate audit conclusions as an individual and as part of a team.  
- Describe how to modify and communicate the modification to audit plan as an audit evolves. | - Provide effective communication within a team environment resulting in a high probability that all tasks are completed within the allocated time.  
- Involve others on the audit team in decision making and drawing audit conclusions.  
- Effectively exchange information between the audit team as an audit evolves.  
- Manage the communication between team members and effectively handle any conflicts that may arise.  
- Coordinate the audit team to ensure that the interactions between processes are effectively audited, including interactions with any support functions on-site or remote. |
<table>
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</thead>
</table>
| 4. | Confidentiality | Maintain confidentiality | • Describe the ISO/TS 16949 7.1.3 Confidentiality requirements.  
• Describe what maybe included within a certification body confidentiality agreement.  
• Describe methods that can be used to identify any customer confidentiality requirements (e.g. contract). | • Demonstrate confidentiality is maintained during the audit.  
• Effectively incorporate the ISO/TS 16949 confidentiality requirements within the context of a process based audit. |
| 5. | Conflict management | Effectively manage conflict situations | • Describe examples of potential conflict situations.  
• Explain why conflicts may arise.  
• Describe how to deal with conflict and negative responses from an auditee.  
• Describe how to attempt to resolve conflict situations. | • Demonstrate persistence in the event of conflict.  
• Manage conflict with the client being audited, maintaining the integrity of the ISO/TS 16949 scheme.  
• Effectively handle any conflicts that may arise between team members. |
| 6. | Cultural diversity | Effectively manage cultural situations while undertaking audits (regional, country, client etc) | • Describe how audit questions may be developed to address any cultural or social issues.  
• Describe where cultural situations may require a change in audit style, or questioning techniques. | • Recognize and correctly react to situations where audit styles have to be modified to take into account cultural diversity. |
<p>| 7. | Policy Deployment | | • Describe the ISO/TS 16949 requirements for quality policy and objective development and deployment (5.3, 5.4, 6.2.2, 6.2.2.4). | • Conduct an interview of a top management team, which focuses on KPI’s, target setting, customer requirements and communication. |</p>
<table>
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</table>
| 7. (Continued) | Effectively audit the development and application of the quality policy and objectives linked to the business plan | • Describe communication methods a client may use for policy deployment including techniques and processes.  
• Describe how a client’s quality policy is a framework for a client’s quality objectives (e.g. action plans, continual improvement).  
• Describe what aspects of a business plan would be included in an ISO/TS 16949 audit. | • Review and assess a client’s current performance against targets and question relevant corrective actions during an audit.  
• Demonstrate in audit interviews with relevant process owners and employees (including temporary labour) at their appropriate locations, questions which relate to their understanding of their role, policy, objective etc as appropriate.  
• Verify that the client’s policy and objectives (in the context of a process based systems audit) meets ISO/TS 16949 requirements.  
• Determine at a remote support function how the process objectives are linked to the site quality objectives. |