IATF Auditor Guide for IATF 16949

4th Edition

May 2019

Introduction

The Automotive Quality Management System Standard, IATF 16949, along with applicable automotive customer specific requirements, ISO 9001:2015 requirements, and ISO 9000:2015 defines the fundamental quality management system requirements for automotive production and relevant service parts organizations.

Rules for Achieving and Maintaining IATF Recognition, 5th Edition for IATF 16949, herein referred to as “Rules”, places the responsibility for the development and maintenance of auditor competency upon the Certification Body employing or sponsoring the auditor as defined within Rules 5th Edition clauses 4.2 to 4.5.

To assist the Certification Bodies, IATF Global Oversight have published the IATF Auditor Guide for IATF 16949.

Purpose

The purpose of the Guide is to define the logical activities and required auditor competencies in the IATF 16949 audit process. The Guide amplifies the Rules and should be understood in conjunction with Rules. This guide is not intended to replace the Rules or cover all the Rules requirements.

Summary of Main Changes

This 4th edition aligns the essential auditor competency requirements to the IATF 3rd Party Auditor Training & Evaluation process.
Nonconformity management has been added as an essential auditor competency including guidance on writing and structuring nonconformities.
Activity number 20 focuses on the auditing of the top management processes, moving away from the previous definition of a top management meeting.
Auditing customer specific requirements and core tools has been expanded to define knowledge and competency requirements around Failure Mode and Effects Analysis (FMEA), Measurement System Analysis (MSA), Statistical Tools and Control Plan.

Related References

For further information on the IATF scheme, please visit and subscribe to the IATF Global Oversight Website at www.iatfglobaloversight.org. From here you can access Sanctioned Interpretations (SIs) and Frequently Asked Questions (FAQs) on both the IATF 16949 standard and the Rules for Achieving and Maintaining IATF Recognition, IATF OEM customer specific requirements and quick reference guides and details of the IATF approved Certification Bodies. Additional useful information can also be found in ISO/IEC 17021 and ISO 19011.

How to Use the Guide

Sections 1 - 8 of the Rules have been divided into 32 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 Table

The table headings are:

- Activity Number – From 1 to 32
- Activity Undertaken
- Competency – The definition of competency 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 knowing where to reference) of the subject matter for each activity
    - Skills – the auditor should be able to perform each defined activity during an audit. Some competencies will appear under several activities

The **Activities** represent the major steps in the audit process as described in the Rules.

The **Competencies** are not exhaustive. In developing the competencies input was taken from IATF experience from Certification Body witness audits and office assessments, auditor training and evaluation, IATF OEM concern investigations, and responding to questions from the stakeholders in the IATF 16949 scheme. Certification Bodies are encouraged to use this Guide in assessing, developing and maintaining the competency of their auditors.

Although this guide was primarily designed for use by 3rd party auditors, it can also be used as a useful reference document for internal or second party auditors.

<u>Purpose of the Section 3</u>

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 approach audit incorporating risk based thinking.

The definition of the automotive process approach incorporating risk based thinking is:

To undertake an audit according to the organization's process definition including sequence and interactions and to question risks, opportunities and performance against the objectives/measures defined, with focus on the processes which directly impact the customer.

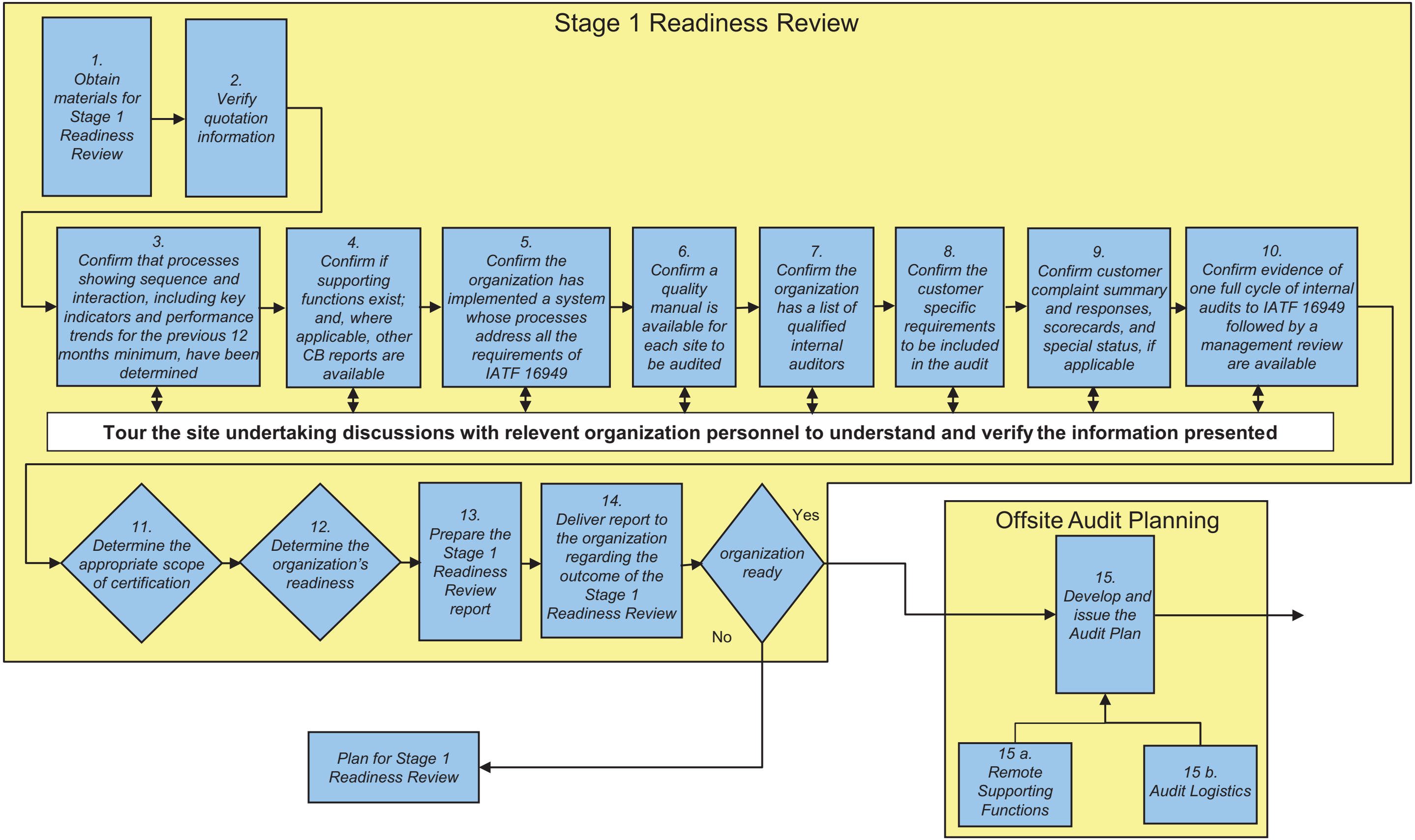
The purpose of Section 3.1 **(Essential Auditing Competency Criteria)** is to define the competencies required against the five criteria; detailed below

1. Process Approach incorporating risk based thinking, focus on performance, prioritization, and analysis and synthesis of data
2. Customer Specific Requirements including core tools
3. Knowledge & Application of IATF 16949
4. Knowledge & Application of the IATF Rules
5. Nonconformity management

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 Offsite Audit Planning



Section 1 - Stage 1 Readiness Review & Offsite Audit Planning

Activity No	Activity Undertaken	Knowledge (able to …)	Skills (able to …)
		Competency is the demonstrated ability to apply knowledge and skills	
1.	Obtain materials for Stage 1 Readiness Review	• Describe the Rules requirements related to the Stage 1 Readiness Review.	• Verify that all of the required documentation has been obtained from the organization within the 1 or 2 days of the Readiness Review. • Identify missing information not provided by the organization during the Readiness Review.
2.	Verify quotation information	• Describe the Rules requirements related to quotation information: ○ Number of sites ○ The total number of employees on site (including permanent, part time, contract, average number of daily workers for the previous six (6) month period and temporary employees) ○ Support functions ○ Language(s) of audit ○ Current certifications ○ Shift patterns ○ Products and services ○ Product design responsibility ○ Proposed scope ○ List of customers • Explain the criteria for the calculation of audit days. • Describe the effect of non-automotive products and personnel on the quotation and how the audit time is planned and spent.	• Identify any changes since the quotation and communicate to the organization and the Certification Body. • Verify the information used for audit day calculation and resolve any discrepancies.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
3.	Confirm that processes showing sequence and interaction including key indicators and performance trends for automotive production from the previous 12 months minimum, have been determined	• 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 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 automotive production performance data.	• Verify the organization's processes, including sequence and interactions, are defined. • Verify that outsourced processes have been identified by the organization and included within the quality management system. • Verify the organization has key indicators and performance trend data from automotive production covering the previous 12 months.
4.	Confirm if supporting functions exist; and where applicable, other Certification Body reports are available	• Define a supporting function onsite 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 onsite or remote support functions have been identified within the organization's quality manual, including sequence and interaction. • 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 product scope has been covered in relation to the site.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
5.	Confirm the organization has implemented a system whose processes address all the requirements of IATF 16949	• 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 versus an elemental, departmental or functional approach. • Describe how risk and opportunity can be incorporated in the quality management system processes. • Define process effectiveness and efficiency. • Describe the difference between an objective and a target. • Describe how supporting functions can be identified within the quality management system. • Describe how the organization can demonstrate that their processes meet all requirements of IATF 16949.	• Verify that the organization has presented evidence that their quality management system processes address all the requirements of IATF 16949.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
6.	Confirm a quality manual is available for each site to be audited	• Describe the minimum content of a quality manual as defined within IATF 16949. • Describe the Rules Stage 1 Readiness Review requirements for the organization to have a quality manual.	• Verify that each of the organization's sites has a quality manual. • Verify that the quality manual meets the minimum content as defined in IATF 16949. • Verify the quality manual addresses all the documented process requirements in IATF 16949. • Verify that interactions with support functions onsite and remote are addressed in the quality manual. • Verify that the scope defined in the quality manual accurately matches the organization's automotive business activities and proposed scope of certification. • Verify that the organization has determined risks and opportunities. • Verify that any exclusion identified for certification is stated in the quality manual.
7.	Confirm the organization has a list of qualified internal auditors	• Describe the requirements for internal auditor qualification (system, manufacturing process and product) as defined within IATF 16949 and any applicable customer specific requirements.	• Verify the list of internal auditors. • Verify the organization's process for internal auditor qualification addresses quality system, manufacturing process and product audits. • Verify the organization's process for auditor competence development. • Verify that the full cycle of internal audits have been undertaken by qualified internal auditors.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
8.	Confirm the customer specific requirements to be included in the audit	• Describe what a customer specific requirement is. • Describe the IATF requirements related to customer specific requirements. • Describe the difference between a customer specific requirement and a customer requirement. • Describe how the organization can locate current customer specific requirements. • Describe how the auditor can locate current customer specific requirements.	• Verify the organization has a defined process for the identification and implementation of customer specific requirements. • Determine from the list of customers which customers have customer specific requirements. • Verify the organization has a process to ensure the current revision level of customer specific requirements are available. • Capture IATF OEM supplier codes of the organization manufacturing site where applicable.
9.	Confirm customer complaint summary and responses, scorecards and special status if applicable	• Define the IATF 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 customer performance data can influence the result of a Stage 1 Readiness Review. • Describe the impact of any customer special status (e.g. GM New Business Hold, Controlled Shipping and FORD Q1 Revocation) on the Stage 1 Readiness Review decision.	• Verify the organization has a defined process for management of customer satisfaction and complaint data. • Determine from the list of customers, which customers issue customer satisfaction and complaint status reports or scorecards. • Verify that the organization has accessed and reviewed the current reports and scorecards. • Review customer satisfaction and complaint status information, where applicable, directly in the customer portal. • Verify customer communication on complaints and performance concerns complies with relevant customer specific requirements.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
10.	Confirm evidence of one full cycle of internal audits to IATF 16949 followed by a management review are available	• Define the difference between system, manufacturing process, and product audits. • Describe what is meant by a full cycle of internal audits. • Describe the difference between a process approach and an elemental, departmental or functional approach for internal audits. • Describe the key elements of an effective internal audit process. • Describe the purpose of management review. • Describe the minimum input and output requirements for management review as defined within IATF 16949. • Describe what should influence the frequency of management review.	• Verify that 12 months internal audit and management review data exists. • Verify that a complete cycle of internal audits of the defined processes in the organizations quality management system are available. • Verify that internal audits are prioritized based upon risk, internal and external performance trends and criticality of the process(es). • Verify all manufacturing process have been audited covering all shifts. • Verify evidence of product audits are available. • Verify customer specific requirements have been addressed in the full cycle of internal audits undertaken (e.g. VDA 6.3) • Verify the organization has an effective process for addressing internal audit findings. • Verify that the management review records cover all IATF 16949 requirements.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
11. ◇	Determine the appropriate scope of certification	• Describe what the eligibility requirements for IATF 16949 certification are. • Describe the difference between product and process design responsibility. • Describe what are permissible exclusions related to IATF 16949. • Describe what is an acceptable scope (including where the organization has automotive and non-automotive products or a corporate audit scheme).	• Verify the organization meets the eligibility requirements for IATF 16949 certification. • Verify the scope of certification and where necessary communicate to the organization why the proposed certification scope is not acceptable. • Verify that any applicable support functions (onsite or remote) are included within the proposed scope of certification.
12. ◇	Determine the organization's readiness	• Describe the Rules requirements related to the Stage 1 Readiness Review. • Describe reasons why an organization may be deemed not ready for the Stage 2 Site Audit.	• Analyse the data obtained through activities 2 to 11 and determine the organization's readiness for the Stage 2 Site Audit. • Note: The term "Stage 2 Site Audit" includes the audit of site and supporting functions onsite or remote.
13.	Prepare the Stage 1 Readiness Review report	• Describe the minimum content requirements for the Stage 1 Readiness Review report. • Describe what an "area of concern" is. • Describe how the nature of concerns could affect the outcome of the Stage 1 Readiness Review	• Prepare a Stage 1 Readiness Review report that meets the minimum report requirements defined in the Rules. • Identify any areas of concern that could be classified as a nonconformity (major/minor) during the Stage 2 Site Audit. • Justify the decision in relation to the organizations readiness to proceed to Stage 2 Site Audit or to repeat the Stage 1 Readiness Review.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
14.	Deliver report to the organization regarding the outcome of the Stage 1 Readiness Review	• Describe the Rules requirements related to the Stage 1 Readiness Review. • Describe reasons why an organization 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 the next steps in the event of the organization being deemed not ready.	• Deliver the report to the organization and the Certification Body. • Deliver the report without giving advice or recommendations.
15. 15 a. 15 b.	Offsite audit planning, including remote support functions and audit logistics	• Describe how to create an audit plan that complies with the IATF Rules. • Describe the Rules requirements regarding the information that shall be provided by the organization as input for the audit planning. • Describe the other potential sources of input into developing the audit plan. • Describe the purpose of the verification of data and changes meeting. • Describe the action taken in the event of the organization not providing all the required audit planning information. • Describe how you would create an audit plan for an organizations that manufactures automotive and non-automotive product.	• Prepare the Annex 3 table or equivalent showing the output of the audit planning activity. • Create an audit plan that is based upon the defined processes of the organization, their sequence and interactions, including supporting functions, addressing as applicable the following: ○ analysis of actual or potential risk to the customer, product and processes ○ include minimum of 1 hour prior to opening meeting to verify data and changes including a review of online customer scorecards ○ effective allocation of audit activities to team members ○ auditing of manufacturing processes and shifts in line with Rules requirements including sampling of the shift handover process

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<tr><th colspan="2"></th><th colspan="2">Competency is the demonstrated ability to apply knowledge and skills</th></tr>
<tr><th>Activity
No</th><th>Activity
Undertaken</th><th>Knowledge
(able to …)</th><th>Skills
(able to …)</th></tr>
<tr><td>15.
15 a.
15 b.
(continued)</td><td></td><td>• Describe Rules requirements for audit planning where there are remote support functions including where some are audited by other Certification Bodies.
• Describe the impact of customer concerns and or special status conditions (e.g. GM new business hold, GM controlled shipping, FORD Q1 revocation, and Volkswagen Qualitätsleistung:C) when developing the audit plan.
• Describe the Rules requirements for the auditing of manufacturing processes and shifts for all types of audits.
• 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 audit time to the site, remote support functions and to critical areas of the audit.
• Describe how to identify the need for onsite reviews of corrective actions from the previous audit.
• Describe the purpose of Annex 3 in the Rules.
• Describe how to communicate the audit plan to other audit team members and the organization representatives prior to arrival onsite.</td><td>○ the required number of audit days, total number of audit hours per day and per auditor per day
○ optimizing audit time based on the processes of the organization
○ audit of supporting functions with process interactions referenced
○ interfaces with the remote support functions audited by other Certification Bodies
○ audit team competencies and language skills including the use of translators, where necessary
○ sampling of customer specific requirements including core tools in all relevant processes, including new customers since the last audit
○ prioritization on any areas of customer concerns/complaints (reports, scorecards), special status notification
○ include time to audit internal audit process and management review results and actions
○ include additional time (as applicable) to verify effectiveness of the corrective actions and verification since the last audit
• Issue the audit plan to the organization and all audit team members prior to arrival onsite.</td></tr>
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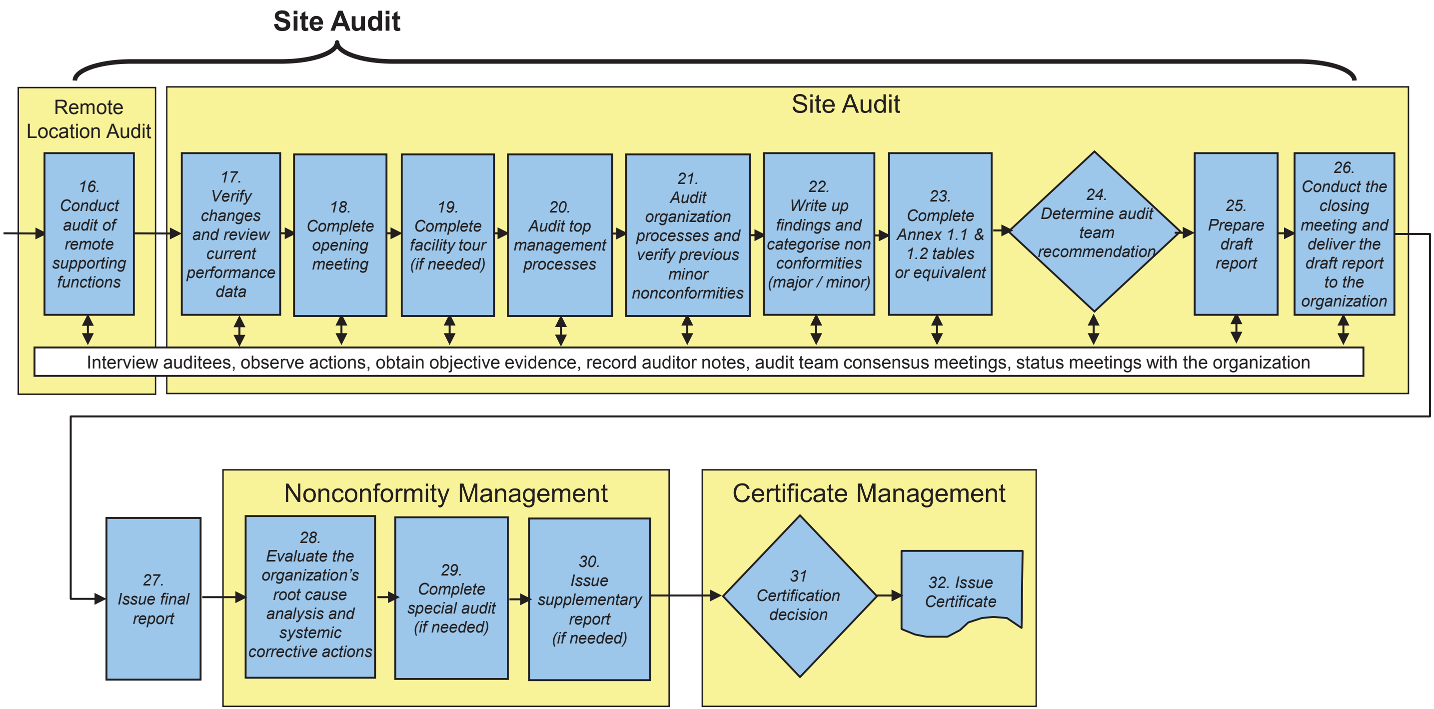
Section 2 - Site Audit, Nonconformity Management and Certificate Issue



Section 2 - Site Audit, Nonconformity Management, and Certificate Issue

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
16.	Conduct audit of remote supporting functions	• Describe the Rules requirements related to remote supporting functions for a Stage 2 audit. • Describe the Rules requirements related to remote support functions for other site audits i.e. Surveillance, Recertification and Transfer.	• Effectively audit the support function processes including interactions with the site.
17.	Verify changes and review current performance data	• Describe the purpose of the verification of data and changes meeting. • Describe the action you would take if the organization has not provided the necessary audit planning information. • Describe the impact of new or changed information from the organization on the audit plan.	• Demonstrate the confirmation of and changes in the following: ○ number of employees (full time, part time, contract, average number of daily workers, temporary) ○ number of shifts and shift pattern ○ current customers ○ customer satisfaction and complaints status including customer reports and scorecards viewed online ○ any customer special status conditions ○ supporting functions (new locations or changes to existing location) ○ any changes in certificate scope (e.g. design responsibility) • Revise the audit plan in line with changes including prioritization on any customer concerns or issues identified.

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<tr><th></th><th></th><th colspan="2">Competency is the demonstrated ability to apply knowledge and skills</th></tr>
<tr><th>Activity No</th><th>Activity Undertaken</th><th>Knowledge
(able to …)</th><th>Skills
(able to …)</th></tr>
<tr><td>18.</td><td>Complete opening meeting</td><td>Describe the Certification Body requirements related to the opening meeting.</td><td>Clearly communicate to the attendees the following:
the automotive process approach
the audit plan and audit criteria including categorization of potential audit findings
the Certification Body processes that govern the audit
Reconfirm the following:
the total number of employees on site (including permanent, part time, contract, average number of daily workers for the previous six (6) month period and temporary employees)
the number of shifts and shift pattern
current customers
customer satisfaction and complaints status including customer reports and scorecards
any customer special status conditions
supporting functions
certificate scope and design responsibility
Conduct the opening meeting using the defined Certification Body process.</td></tr>
<tr><td>19.</td><td>Complete facility tour
(if needed)</td><td>Describe situations where a facility tour would be beneficial.</td><td>Modify the audit plan based upon the additional information collected during the opening meeting and facility tour.
Record and/or retain key observations for use during the audit.</td></tr>
</table>

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
20.	Audit Top Management processes	• Describe the requirements in IATF 16949 related to top management. • Explain what is meant by the term "strategic direction". • Explain what is meant by internal and external issues. • Describe what is meant by the term "process owner". • Describe which responsibilities of top management defined in IATF 16949 may 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 and how top management should take action to mitigate or reduce risk. • Define the meaning of process effectiveness and efficiency and give examples. • Describe how key indicators and performance trend data should be reviewed by top management.	• Audit the top management processes to understand the following: ○ how have they identified quality management system processes and how are these linked to the business processes ○ how have they identified competent process owners for each process ○ how they have established the strategic direction considering the needs and expectations of customers and interested parties taking into account internal/external issues ○ how have they established the quality policy and objectives based on the strategic direction ○ how do they demonstrate 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.) ○ how have management review activities been incorporated into the business processes ○ how is customer satisfaction reviewed and action taken when customer targets not met ○ how is it ensured that all legal and regulatory requirements are understood and met (including any product safety requirements)

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
20. (continued)			○ how are changes in internal/external issues identified and used to update the strategic direction, policy or objectives • Record and/or retain key observations for use during the audit.
21.	Audit organization processes and verify previous minor nonconformities	• Describe the requirements related to automotive process approach auditing. • Describe how to follow an audit plan and make adjustments based upon audit trails. • Describe where the audit of processes should take place. • Define quality system effectiveness and efficiency. • Describe how to choose a sufficient number of samples (e.g., processes, top management, operating personnel, documents) to audit effective implementation. • Describe how information and evidence are used to determine the extent of fulfilment with defined requirements. • Describe the minimum requirements to be covered during an audit of the organization's processes. • Describe the requirements for verifying the effective implementation of the identified corrective actions from the previous audit. • Describe the requirements for the verifying of nonconformities that have been deemed open but 100% resolved.	• Demonstrate planning and conducting an audit using the automotive process approach principles, guidelines and tools (e.g. use of "turtles"). • Able to audit using the audit plan in conjunction with the organization's defined processes, including sequence and interaction. • Audit the organization and ensure that the organization's process definition accurately describes reality. • Audit processes identified in the audit plan in adequate detail and depth to give confidence that the processes are capable of meeting process key performance indicators including customer specific requirements. • Use the audit plan to audit the organization'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).

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
21. (continued)		• Describe how to verify the effective implementation of identified systemic corrective actions. • Describe the impact of nonconformities found not to have been effectively implemented.	• Record objective evidence, both of conformity and nonconformity with requirements, sufficient for an independent review to agree with the audit conclusions and recommendation. • Verify through the analysis of objective evidence the effective implementation of the identified corrective actions.
22.	Write up findings and categorize nonconformities (major/minor)	• Describe the IATF Rules requirements that apply to writing nonconformities. • Describe the need to ensure that the objective evidence includes sufficient information to support the categorization of the nonconformity and clearly describes any potential risk to the products delivered to the customer. • Describe the difference between a major and a minor nonconformity. • Describe the impact of a major nonconformity on the organizations certification. • Describe the Rules requirements in terms of initiation of the decertification process, including the specific actions and timings required. • Define the Rules definition and use of Opportunities for Improvement. • Describe the impact of customer special status conditions on nonconformity categorization. • Describe the IATF requirements in relation to the structure of a nonconformity. • Describe the maximum portion of the audit time allowed for audit reporting.	• Write a nonconformity based upon factual data, that contain ○ a statement of nonconformity ○ the requirement ○ the objective evidence that supports the statement of nonconformity and justifies the nonconformity classification • Appropriately categorize nonconformities, as major or minor. • Cross-reference nonconformity to both the organization's quality management system and the relevant clause of IATF 16949. • Appropriately document any opportunities for improvement, supported by evidence of conformity, without recommending solutions.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
23.	Complete Annex 1.1 & 1.2 tables or equivalent	• Describe the purpose of the Annex 1.1 or equivalent. • Describe the purpose of the Annex 1.2 or equivalent.	• Complete the Annex 1.1 table or equivalent for verification of completeness of the processes audited versus IATF 16949 requirements. • Prepare the Annex 1.2 table or equivalent to demonstrate which manufacturing processes and shifts were covered during the audit.
24.	Determine audit team recommendation	• Describe the possible recommendations at the end of the audit. • Describe the Certification Body process for determining the audit team recommendation. • Describe the Rules requirements on the Certification Body process, to review the audit team recommendation.	• Based upon the evidence collected during the audit draw conclusions and recommendations in accordance with the Rules.
25.	Prepare draft report	• Describe the minimum content requirements for the draft audit report.	• Prepare a draft audit report that meets Rules minimum content requirements. • Write all nonconformities and opportunities for improvement. • State an Audit team recommendation to the Certification Body decision function regarding certification.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
26.	Conduct the closing meeting and deliver the draft report to the organization	• Describe the Certification Body's process for a closing meeting. • Describe the Rules decertification process. • Describe the Rules requirements regarding the timing and closure of nonconformities. • Describe the Certification Body's appeals process.	• Certification Body process. • Deliver the draft or final audit report to the organization. • Record any nonconformities that the organization wishes to appeal. • Discuss the closure of corrective actions, including timing (as applicable). • Discuss the impact of the decertification process for Surveillance and Recertification audits where nonconformities are raised. • Advise the organization of the need to schedule a Special Audit (if applicable).
27.	Issue final report	• Describe the minimum content requirements for the final audit report. • Describe the timing requirements for delivery of the final audit report to the organization. • Describe acceptable methods for acknowledgment of the final report by the organization.	• Prepare and deliver a final audit report that complies with Certification Body and IATF requirements. • Obtain management's signature to final audit report (if the report is issued at the closing meeting). • Obtain formal acknowledgment from a member of the organization's management team via email where the report has been issued electronically.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
28.	Evaluate the organization'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). • Describe the Rules requirements regarding the conditions that have to be met for 100% resolved.	• Verify that responses to nonconformities issued are based on effective root cause analysis by the organization followed by systemic corrective action. • Verify with objective evidence that the corrective actions have been taken. • Evaluate the organization's corrective action response and the use of open but 100% resolved in exceptional cases(s) with justification.
29.	Complete Special Audit (if needed)	• Describe the Rules requirements for when a Special Audit is needed. • Describe the purpose of a Special Audit. • Describe how to verify the implementation of systemic corrective actions.	• Conduct a Special Audit. • Collect and verify with objective evidence and observation the effective implementation of systemic corrective actions.
30.	Issue supplementary report (if needed)	• Describe when a supplementary report is issued. • Describe the minimum content of the supplementary report. • Define the timing requirements for the supplementary report.	• Prepare and deliver a supplementary audit report that complies with IATF and Certification Body requirements.
31.	Certification decision	• Describe the IATF requirements for the certification decision following Initial, Surveillance, Recertification, Transfer and Special Audits. • Describe the Certification Body's process for the certification decision.	• Provide all necessary information to Certification Body to allow technical review.

		Competency is the demonstrated ability to apply knowledge and skills	
Activity No	**Activity Undertaken**	**Knowledge (able to …)**	**Skills (able to …)**
32.	Issue certificate	• Describe the Rules requirements for the certificate content. • Describe the Certification Body's process for certificate issue and review. • Describe the permissible use of IATF and the Certification Body logos.	• Verify that an issued certificate meets IATF requirements. • Document and communicate to the Certification Body concerns observed with an issued certificate.

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	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
1.	**Process Approach incorporating risk based thinking** Demonstrates ability to audit according to the organization's process definition including sequence and interactions and to question risks, opportunities and performance against the objectives/ measures defined, with focus on the processes which directly impact the customer	• Describe what a process is. • Describe what risk is. • Describe what an opportunity is. • Describe how processes interact and how interactions can be shown within a quality management system. • 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. • Define the 7 management principles detailed within ISO 9000. • Describe how to integrate the IATF 16949 requirements into a process based audit. • Describe how to plan and carry out an audit based upon the organization's processes.	• Develop the audit plan in conjunction with the organization's defined processes, including sequence and interaction, and conduct an audit using the automotive process approach principles. • Question the organization's identification of risk and opportunities and follow audit trails based on potential impact to the customer, interested party or organization. • Question the organization's processes, the sequence, interactions and performance against the measures defined, with focus on the processes which directly impact the customer. • Question the process objectives/targets, with focus on where targets are not being met and on issues that have the greatest impact on the customer. • Question what plans are in place to ensure targets are met; and corrective action plans are in place where objectives are not being met. • Follow audit trails to linkages between customer concerns, performance against objectives and relevant process documents (e.g. control plan, FMEA, etc).

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
1. (continued)			• Question the organization's process for gathering, communicating and implementing customer specific requirements. • Verify the identification and application of the appropriate IATF 16949 requirements in the context of an audit of the organizations' processes.
1a.	**Prioritization** Demonstrates priority is given to questioning the process objectives and performance, and focus on issues that have the greatest impact on the customer	• Describe how to prioritize during an audit based on the needs of the organization's external customers. • 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. • Describe how customer concerns and/or special status conditions (e.g. GM new business hold, GM controlled shipping, FORD Q1 revocation, and Volkswagen Qualitätsleistung:C) influence prioritization during an audit. • Describe how to modify priorities during an audit based on situational awareness.	• Demonstrate prioritization based upon information gained during previous audits. • Demonstrate changes in prioritization based upon actual organization's performance (e.g. management review, remote support functions and performance against objectives, etc) seen during an audit. • Prioritize based upon customer concerns and/or special status conditions.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
1b.	**Focus on Performance** Identifies issues/trails around the organizations' process for setting objectives/targets, what plans are in place to ensure targets are met, and corrective action plans are implemented where objectives/targets are not being met	• Describe how an organization'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 organization's strategic direction (e.g. business plan). • Describe different types of key performance indicators (KPI's) that an organization can utilize. • Define process effectiveness and efficiency. • 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. • Describe the Rules requirements associated with poor performance against customer targets.	• 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 organization verifying linkages back to the high-level process performance objectives defined within the organization's strategic direction (e.g. business plan). • Review and assess the organization's current performance against targets and assess corrective actions where objectives are not being met. • Investigate and determine the status and effectiveness of the organization'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 an organization's proposed improvement activities to verify effective planning/ implementation. • Incorporate within the process based audit, the organization's lean manufacturing programs and or continual improvement initiatives in support of the quality policy and quality objectives. • Audit the organization's identification and implementation of both the effectiveness and efficiency process indicators.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
1c.	**Analyse & Synthesize data.** Demonstrates the ability to collect and analyse data, and draw accurate conclusions based upon the data Synthesize isolated but related data in order to draw conclusions	• Articulate data analysis methodologies (i.e. Pareto analysis, statistical methods, correlation, regression trend analysis etc). • Articulate how data analysis methodologies are linked to an organization's quality policy and quality objectives. • Describe the IATF 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.	• 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 organization data. • Question the effectiveness of the organization'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.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
2.	**Customer Specific Requirements including core tools** Demonstrates that customer specific requirements are integrated into a process based audit. Effectively audit the organizations' process for gathering, communicating and implementing customer specific requirements	• Describe what a customer specific requirement is. • Describe the relationship between customer requirements and customer specific requirements. • Describe the purpose of Annex B of IATF 16949. • Describe methods an organization may use to locate current customer specific requirements. • Describe how to audit the organizations process for identification and implementation of customer specific requirements. • Describe how to select samples (focusing on IATF OEM 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. • Describe how customer specific requirements could influence the organization use of core tools including templates and acceptance criteria.	• Verify the organization has a defined process for the identification of customer specific requirements. • Verify the organization 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 OEM customers). • Audit the organization 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. • Verify the organization has understood and implemented customer specific requirements related to the automotive core tools (e.g. FMEA, control plan, MSA, SPC), including use of any reference manuals.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
2a.	**FMEA** To understand and effectively audit the organization's application of FMEA	• Understand and describe the relevant IATF 16949 requirements related to FMEA. • Describe how customer specific requirements could influence an organization's use of FMEA. • Describe the purpose of DFMEA. • Describe what would be some inputs into developing a DFMEA. • Describe what the outputs of a DFMEA should link to. • Describe the purpose of PFMEA. • Describe what would be some of the inputs into developing a PFMEA. • Describe what the output of a PFMEA should link to. • Describe who should be involved in the development of FMEA's. • Describe the term "special characteristic". • Describe how FMEA can be used to identify special characteristics. • Describe the term "failure mode" and give examples. • Describe the term "effect of failure" and give examples. • Describe the term "prevention controls" and give examples. • Describe the term "detection controls" and give examples. • Describe examples of how risk can be quantified in a ranking.	• Challenge an organization on how they have established the format/content/scoring of risk in a FMEA, considering customer specific requirements. • Question an organization on how they have established competence requirements for those involved in the development/update of FMEA's. • Challenge an organization on any risk reduction activities and changes in risk ranking, considering customer specific requirements. • Effectively follow audit trails from customer concerns or internal concerns to the FMEA/ Control plan and verify any review/updates have been completed effectively. • Effectively audit the links between the process flow chart, PFMEA and control plan, focusing on the areas of highest risk (e.g. Special characteristics).

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
2a. (continued)		• Describe what would influence where risk reduction improvements are focused. • Describe when a FMEA should be reviewed and/or updated.	
2b.	**Measurement System Analysis** To understand and effectively audit the organization's application of measurement system analysis	• Understand and describe the relevant IATF 16949 requirements related to Measurement System Analysis (MSA). • Describe what is meant by "type" of measurement system. • Describe when a MSA study should be undertaken. • Describe when a MSA study should be repeated. • Describe how customer specific requirements could influence an organization's use of MSA. • Describe the difference between calibration and MSA. • Describe what is meant by the term discrimination. • Describe some different types of variable measuring equipment. • Describe some potential sources of variation in a measurement system using variable measurement equipment. • Describe the difference between location and width error in measurement systems. • Describe how "location" error can be quantified in a measurement system.	• Challenge an organization on how they have selected appropriate measurement equipment. • Use the control plan to select samples of measurement systems to evaluate the results during any audit. • Challenge an organization on how they have grouped measurement systems into "types". • Challenge an organization on how they have decided the appropriate type of MSA studies to undertake for each type of equipment. • Challenge an organization on how they decide which product feature to measure during an MSA study, considering special characteristics. • Integrate customer specific requirements into the audit related to MSA, including acceptance criteria. • Effectively audit a gauge R&R study, including: ○ how were appraisers selected? ○ how were parts selected? ○ how were CSR's considered?

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
2b. (continued)		• Describe what is meant by the terms “bias”, “linearity” and “stability”. • Describe the term “reference standard”. • Describe practical examples of how an organization could do a bias, linearity and stability study. • Describe what is meant by “repeatability”. • Describe what is meant by “reproducibility”. • Describe what is the purpose of doing a gauge R&R study. • Describe the term “cross tabulation” in relation to gauge R&R. • Describe the term “nested” in relation to R&R. • Describe how appraisers should be selected to undertake a gauge R&R study. • Describe how parts should be selected when undertaking a gauge R&R study. • Describe how an organization should decide on how many appraisers, parts and trials should be undertaken when undertaking a gauge R&R study. • Describe what is meant by AV in a gauge R&R study and how this can be reduced. • Describe what is meant by EV in a gauge R&R study and how this can be reduced. • Describe what is meant by PV in a gauge R&R study. • Describe what is meant by TV in a gauge R&R study. • Describe what is meant by gauge R&R%.	○ how are results evaluated considering CSR’s? • Effectively audit bias, linearity and stability studies including: ○ how are reference standard(s) established? ○ how are acceptance criteria established? ○ how are results evaluated? • Effectively audit attribute MSA studies including: ○ how do you establish which MSA technique to use? ○ how are acceptance criteria established? ○ how are results evaluated? • Challenge an organization on the criteria used to make decisions on when to repeat any MSA studies.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
2b. (continued)		• Describe what is meant by NDC. • Describe how an organization should decide if gauge R&R results are acceptable. • Describe what is meant by an attribute measurement system. • Describe techniques to understand the variation in an attribute measurement system. • Describe what is meant by the term "kappa".	
2c.	**Statistical tools** To understand and effectively audit the organization's application of statistical tools	• Understand and describe the relevant IATF 16949 requirements related to the use of statistical tools and techniques. • Describe how customer specific requirements could influence an organization's use of statistical tools. • Describe what is meant by attribute data and give examples. • Describe what is meant by variable data and give examples. • Describe the link between control plan and the use of statistical tools. • Describe the concept of variation. • Describe potential sources of variation. • Describe what is meant by a normal distribution. • Describe the concept of stable process (common cause variation). • Describe the concept of an unstable • processes (special cause variation). • Describe the meaning of over-adjustment.	• Challenge an organization on how they have identified appropriate statistical tools (variable and attribute data), considering customer specific requirements, FMEA output and product/process knowledge. • Judge whether the relevant organization personnel have relevant understanding of statistical concepts. • Challenge an organization on the selection of any control chart types, subgroup sizes etc. • Use the control plan to identify where the organization is using appropriate statistical tools. • Follow audit trails to the shop floor to verify appropriate statistical tools are being implemented effectively. • Question appropriate personnel (e.g. operator) on how the data is being collected, input, and analysed in any statistical control chart.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
2c. (continued)		• Describe the purpose of control charts. • Describe the different types of control charts for variable data and when appropriate to use each. • Describe the different types of control charts for attribute data and when appropriate to use each. • Explain what is meant by the term “control limit”. • Describe when it is acceptable to calculate process capability. • Describe the meaning of process capability. • Explain the term “standard deviation”. • Describe the difference between Cpk, Ppk and Cmk. • Describe how an organization may establish which statistical tools to use during a new product/process introduction.	• Question appropriate personnel (e.g. operator) on the criteria of identifying special cause variation, considering any customer specific requirements/reference manuals. • Question whether process capability targets are being met for any new product introductions, considering customer specific requirements (e.g. Ppk >1.67). • Question whether process capability targets are being met for current production processes/products, considering customer specific requirements (e.g. Ppk >1.67, recalculation of control limits etc.). • Follow audit trails to verify action taken by the organization when a process is not capable or stable (linked to reaction plan in control plan). • Identify where process over-adjustment is a cause of process variation. • Draw conclusions about the organizations effective use of statistical tools to support achievement of customer and internal objectives.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
2d.	**Control plan** To understand and effectively audit the organization's application of control plan	• Understand and describe the relevant IATF 16949 requirements related to control plans. • Describe how customer specific requirements could influence an organization's use of control plans. • Describe the use of Annex A related to control plans. • Describe the purpose of a prototype control plan. • Describe the use of a pre-production control plan. • Describe the use of a production control plan. • Describe the meaning of family control plans. • Describe some of the inputs into developing a control plan. • Describe who should be involved in developing a control plan. • Describe some situations that would mean the control plan should be reviewed/revised. • Describe other documents that the control plan should link to. • Describe the difference between a product and process characteristic. • Describe the term "evaluation measurement technique". • Describe the term "special characteristic" and how these should be included in the control plan.	• Challenge an organization on how they have established the format/content of the control plan, considering Annex A and customer specific requirements. • Question an organization on how they have established competence requirements for those involved in the development/update of the control plan. • Effectively follow audit trails from customer concerns or internal concerns to the FMEA/ Control plan review/updates. • Effectively audit the links between the process flow chart, PFMEA and control plan, focusing on the areas of highest risk (e.g. Special characteristics).

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
2d. (continued)		• Describe how the sample size and frequency of any verification checks should be established. • Describe the meaning of reaction plan. • Describe how the control plan should be used during any IATF 16949 audit.	
3.	**Knowledge & Application of IATF 16949** Demonstrates knowledge and application of the requirements of IATF 16949	• Define the 7 quality management principles detailed within ISO 9000. • Define the structure of ISO 9001. • Describe the benefits to the organization of applying the requirements of IATF 16949 within a system of processes. • Define the goal of IATF 16949. • Define how IATF 16949 is linked to ISO 9001 requirements. • Define the meaning of the term “note”. • Define the meaning of the term “shall”. • Define the purpose of Annex A in IATF 16949. • Define the purpose of Annex B in IATF 16949. • Define the purpose of Sanctioned Interpretations (SIs) and Frequently Asked Questions (FAQs). • Define where to find the latest SIs and FAQs.	• Apply the Knowledge and Application of IATF 16949, in the planning and conducting of an audit. • Interpret and evaluate the application of the IATF 16949 requirements in a manner appropriate to the organization. • Ensure any customer specific requirements are considered when interpreting an IATF 16949 requirements.
4.	**Knowledge & Application of IATF Rules** Demonstrates knowledge and application of the requirements of the Rules for achieving and maintaining IATF recognition	• Describe the certification process defined in the Rules including any defined timescales and any relevant SIs & FAQs. • Describe the decertification process defined in the Rules and explain when decertification would be initiated. • Describe the meaning of the term “automotive”. • Describe the meaning of the term “site”.	• Apply the knowledge and application of the Rules in the planning and conduct of any IATF 16949 audit. • Interpret and evaluate the application of the Rules requirements in a manner appropriate to the organization.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
4. (continued)	**Knowledge & Application of IATF Rules** Demonstrates knowledge and application of the requirements of the Rules for achieving and maintaining IATF recognition	• Describe the meaning of the term "remote support function". • Describe the meaning of major nonconformity. • Describe the meaning of minor nonconformity. • Describe the meaning of Opportunity for Improvement (OFI). • Describe the minimum content of a draft report. • Describe the minimum content of the final report. • Describe the minimum content of an IATF 16949 certificate. • Describe what is meant by a corporate scheme. • Describe some inputs into developing an audit plan. • Describe the purpose of the 1-hour onsite review of changes meeting prior to the start of the audit. • Describe your Certification Body process for what must be covered in an opening meeting. • Describe your Certification Body process for what must be covered in a closing meeting. • Describe the Rules requirements relating to the auditing of shifts.	• Undertake and report process based audits in a manner that fully complies with the Rules, the Certification Body processes and any associated SIs and FAQs.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
5.	**Nonconformity management** Write up findings and categorize nonconformities (major/minor) Evaluate the organization's root cause analysis and verify systemic corrective actions	• Describe the IATF Rules requirements that apply to writing nonconformity, including any SIs, FAQs and customer specific requirements. • Describe the need to ensure that the objective evidence includes sufficient information to support the categorization of the nonconformity and clearly describes any potential risk to the products delivered to the customer. • Describe the difference between a major and a minor nonconformity. • Describe the impact of a major nonconformity on the audit. • Describe the Rules requirements in terms of initiation of the decertification process, including the specific actions and timings required. • Define the Rules definition of Opportunity for Improvement (OFI). • Describe the Rules requirements 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. • Describe "root cause" analysis. • Describe "systemic" versus "incident-specific" corrective actions. • Describe the term "verification" of nonconformities.	• Write a nonconformity based upon factual data, that contains: ○ a statement of nonconformity ○ the requirement ○ the objective evidence that supports the statement of nonconformity and justifies the nonconformity classification • Appropriately categorize nonconformities, as major or minor. • Cross-reference a nonconformity to both the organization's quality management system and the relevant clause of IATF 16949. • Appropriately categorize opportunities for improvement. • Identifies opportunities for improvement without recommending solutions. • Correctly complete their Certification Body's reporting forms as defined by the Certification Body. • Verify that responses to nonconformities issued are based on effective root cause analysis by the organization followed by systemic corrective action. • Verify with objective evidence that the corrective actions have been taken and effectively implemented by the organization. • Evaluate an organization's corrective action response and the use of open but 100% resolved in exceptional cases(s) with justification.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
5. (continued)		• Describe several problem solving techniques and processes (e.g., 5 Why, 8D). • Describe the Rules requirements regarding the conditions that have to be met for 100% resolved.	

The following information is provided as guidance to auditors to support them in writing clear, consistent and well structured audit nonconformities leading to improved root cause analysis and sustainable corrective action by the organization.

STATEMENT OF NON-CONFORMITY	The statement of nonconformity drives the cause analysis, correction and corrective action by the organization, so it needs to be **clear** and **precise**. It must be written as a **short** statement of a system or process failure in relation to the organization and should state the problem as a system/process problem. The content shall be: - Unambiguous, linguistically correct and concise. - Understandable for a non auditor (self explanatory). - Aligned with the requirement (that has not been fulfilled) and support the incident specific objective evidence. - Linked to a process in the organization's Quality Management System. It shall <u>not:</u> - Contain objective evidence or repeat what is already stated in the objective evidence. - Be stated as an incident or show a single case. - Describe a specific activity of the organization or an event that occurred during the audit.
REQUIREMENT	Nonconformity is described as the non fulfilment of a requirement; as such the requirement section is important. The requirement shall state the criteria document (this should be the IATF 16949 standard). The specific clause number shall be recorded together with any sub clause reference and the extract of text being contravened. More than one "shall" requirement from the same clause can be quoted in one nonconformity. If the clause has more than one paragraph, state the applicable sentence or paragraph from the clause being contravened. It may be helpful to specify additional reference material to support or clarify the requirement. The requirement shall not just make reference to a clause number within the standard. The requirement shall allow the reader to identify without question, the relevant clause of the standard being contravened. It is essential that the auditor is very specific when detailing the requirement that has been contravened. Multiple requirements should not be quoted.

OBJECTIVE EVIDENCE	The objective evidence is usually the first part of the nonconformity to be identified and documented. If there is no audit evidence, there is no nonconformity. The objective evidence must be documented as a nonconformity and not be softened with another classification i.e. OFI/ Observation. The objective evidence shall be documented and sufficiently detailed to enable the organization and the Certification Body to confirm exactly what the auditor observed. Objective evidence shall: - Be an accurate reflection of what was seen (or heard/read) that is either contravening the audit criteria (IATF 16949) or demonstrating the requirement had not been effectively implemented or its fulfilment had not been effectively maintained. - Cite the specific verifiable evidence in detail, including who, what, where, when (i.e. dates) and what was observed, heard or read. - Tell a story – wording should flow in a chronological manner (use a series of short concise sentences). - Support the statement of nonconformity and the requirement. - State the facts and figures. - It shall include, as appropriate, supporting documentation/evidence. - Include reference to any documents in the organization's quality management system (processes, procedures etc), or reference to any relevant clauses/sections of customer specific requirements. It shall not: - Include long wordy sentences that confuse the reader. - Include information not relevant to the issue cited which gets the reader lost in the detail. - be the auditor's subjective interpretation of the requirement.
ACCURATE AND CONSISTENT CLASSIFICATION OF FINDINGS	Classification shall be based on the major and minor definitions defined in the Rules and based on the information provided in the statement, requirement and objective evidence. The classification of the finding can be reproduced/understood by another expert.

3.2 General Auditing Competency Criteria

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
1.	**Interviewing techniques** Utilize an audit questioning technique that facilitates gathering of factual information for the purpose of enabling a decision to be made regarding effectiveness of processes	• Describe how to question an auditee to obtain an understanding of 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. • 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 information provided by auditees. • Communicate in a way that can be understood by the auditee (e.g. terms, language) to gather objective evidence. • 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	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
2.	**Time management** Manage allocated audit time effectively focusing on identified areas of importance	• 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** Effectively communicate within the team, exchanging audit information and findings to help formulating audit conclusions	• 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 changes to the 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 onsite or remote.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
4.	**Confidentiality** Maintain confidentiality	• Describe the IATF 16949 and Rules requirements related to confidentiality. • Describe what could be included within a Certification Body confidentiality agreement.	• Demonstrate confidentiality is maintained during an audit. • Effectively incorporate the IATF 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 organization being audited, maintaining the integrity of the IATF 16949 scheme. • Effectively handle any conflicts that may arise between team members.
6.	**Cultural diversity** Effectively manage cultural situations while undertaking audits (regional, country, organization 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.

		Competency is the demonstrated ability to apply knowledge and skills	
Criteria No	**Understanding expected**	**Knowledge (able to …)**	**Skills (able to …)**
7.	**Policy Deployment** Effectively audit the development and application of the quality policy and objectives linked to the strategic direction (e.g. business plan).	• Describe the IATF 16949 requirements for quality policy and objective development and deployment. • Describe communication methods an organization may use for policy deployment including techniques and processes. • Describe how a quality policy is a framework for an organization's quality objectives (e.g. action plans, continual improvement). • Describe what aspects of a business plan could be included in an IATF 16949 audit.	• Effectively audit top management processes focusing on KPI's, target setting, customer requirements and communication. • Review and assess an organization's current performance against targets and question relevant corrective actions where targets are not met. • Demonstrate audit interview techniques with relevant process owners and employees (including temporary labour) at their appropriate locations, using questions which relate to their understanding of their role, policy and objectives as appropriate. • Verify that the organization's policy and objectives meets IATF 16949 requirements. • Determine at any remote support function how the process objectives are linked to the site quality objectives.

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