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TO: SRI ISO/TS 16949 Registrants

SUBJECT: IATF 16949 Transition Requirements

Dear ISO/TS 16949 Client,

On October 1, 2016, the IATF released Revision 1 of its IATF 16949 Transition Strategy document. The IATF has specified all criteria related to the transition. Certified bodies, such as SRI, are required to follow IATF transition requirements. The entire document is available at: http://www.iatfglobaloversight.org. It is located in the Latest News section on the front page. This memo reviews key points from the IATF Transition Strategy document.

1. The transition audit is based on two reference standards: IATF 16949 and ISO 9001:2015. Clients can elect to have a single certificate to IATF 16949 or can add a second certificate for ISO 9001:2015. If the ISO 9001:2015 scope covers product lines in addition to automotive products, then additional time is required in order to get the ISO 9001:2015 certificate.

2. The transition period starts January 1, 2017 and ends September 14, 2018. All audits after October 1, 2017 must be conducted to IATF 16949. Transition audits must occur at normally scheduled events (i.e. normal surveillance or renewal). Transition audits cannot occur at a Special audit or at a Transfer audit (i.e. transfer to a new CB).

3. SRI is not allowed to conduct a Pre Audit or Gap Audit against IATF 16949.

4. If your certificate lists remote support processes (whether remote or at another value added site), then they are included in the transition audit. A value added site can receive a IATF 16949 certificate, even if the remote site audits by SRI and or another recognized CB have not been completed, under the following conditions:

    a. The organization has conducted a complete, internal gap analysis at the remote location, including a detail action plan to fulfil the applicable IATF 16949 requirements. These plans must also identify the date planned and certification body responsible for the transition audit at the remote site.

    b. The internal gap analysis and action plan are available at the value added site during the transition audit. If there is no gap and the remote location is just waiting

for its audit, please have the internal audit reports related to the remote location at your site during the its transition audit.

    c. **Failure to provide an acceptable gap plan will result in a failed audit, and withdrawal of your current certificate**. The organization then must start over at stage 1.

5. Transition audit time is based off the renewal audit day table in Rules 5th. The new IATF 16949 certificate will start a new 3-year cycle, with a new team of auditors. Auditors from the current certificate cycle are allowed to participate on the transition event and one auditor can conduct surveillance audits for the new cycle. Please be aware, about 1/3 of the worldwide holders of ISO/TS 16949 certificates will undergo back-to-back renewal audits (i.e. you renewed to the existing standard and your next scheduled audit is after the October 1, 2017 deadline).

6. **If a transition audit and related certification decision is not completed prior to September 14, 2018 or if you fail to close all the Corrective Action Notifications within the 90-day limit from the last day of the transition audit, then your existing ISO/TS 16949 certificate is withdrawn.** If your certificate is withdrawn, all Corrective Action Notifications must be accepted and closed before restarting the certification process with full initial audit days.

7. If your transition audit is scheduled late in the transition period, your current ISO/TS 16949 certificate may expire before your new certificate can be issued. Theoretically, an organization could complete the transition audit on the last day allowed (September 14, 2018), have their existing certificate expire on that same date, and get a new IATF 16949 certificate as soon as all transition audit Corrective Action Notices are successfully closed and a certification decision is made. To avoid a lapse, please ensure you schedule your transition audit at least 120 days prior to September 14, 2018.

8. Prior to a transition audit, the organization must upgrade its management system to IATF 16949, implement the changes, conduct a complete internal audit to all requirements of IATF 16949, and conduct a management review covering the updated system's suitability, adequacy, and effectiveness. The organization is responsible to provide evidence that all applicable requirements of IATF 16949 have been met.

9. Updated documentation (i.e. Quality Manual, Key Process Sequence and Interaction, and Procedures) must be submitted for review by SRI prior to the transition audit. For a corporate certificate, each site is required to submit documentation, even if the management system is common. If documentation is not submitted, then an additional .5 man-days is added to the transition audit.

This is a very tight transition period with significant consequences. Please communicate transition requirements to all management and ensure that adequate resources are applied to protect your automotive certificate. Please contact SRI scheduling to confirm your transition dates as soon as possible. Delays in confirming your audit dates may result in your current certificate expiring before a replacement certificate can be issued.

If you have questions, please call the SRI Certification Department at 724-934-9000.