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1. SCOPE AND FIELD OF APPLICATION

The requirements defined in this document are in full part of the Contract of Conformity Evaluation CSD 05 and of the economic offer.

These requirements refer only to the aspects specifically connected to the application field of the certification required.

2. ASSESSMENT BASIC REQUIREMENTS

ISO TS 16949:2002 (and subsequent amendments) – Quality Systems – Particular requirements for the application of ISO 9001:2000 for automotive production and relevant service part organisations. Management Systems and standards recalled.

The prescriptions listed in the standard are to be held as binding and applicable except for those of point 7.3 for Organizations which have no responsibility on the Design (this exclusion does not include the planning of the manufacturing process).

AQ-020 Second edition “Rules for the ISO/TS 16949:2002 certification scheme for certification bodies“

FAQ (Frequently Asked Questions) / S.I. (Sanctioned Interpretation) FAQ is the explanation of a standard or of an existing prescription. SI is the interpretation of a rule or of a prescription which may originate a Nonconformity. FAQ and SI are available in the IATF Oversight offices websites.

3. BASIC REQUIREMENTS RELATED TO THE PROCESS OF SUPPLYING THE ASSESSMENT SERVICE

Each audit (described in the following paragraphs) shall include the assessment of all work shifts.

In the event that there are non-rotating work teams at weekends, the planning will also include an audit of these work shifts.

3.1 ADEQUACY AUDIT (ADEQUACY REVIEW) OR FIRST STAGE AUDIT

Adequacy audit belongs to the first stage of the certification process.

First stage audit shall be carried out on site (in exceptional cases the 1st audit may be carried out without the visit on site, when agreed with the organization and with IATF).

Document analysis takes place during the adequacy audit. The organization shall allow the audit team to access the following documents in order to carry out the adequacy review:

- ◇ Description of the processes and relevant sequences and interactions, including a report on the key operational indicators and the performances trend of at least the past 12 months;
- ◇ Evidence that the Organization's processes take into consideration all ISO/TS 16949 requirements;
- ◇ Quality Manual (for each site to be audited);
- ◇ Internal audit plans and reports and management reviews of the past 12 months;
- ◇ list of qualified internal auditors;
- ◇ list of customers' specific requirements;
- ◇ State of customer complaints and customer satisfaction, included the customers' reports and the relevant scoring.

The quality manual shall:

- ◇ define the scope/ field of application of the quality management system;
- ◇ contain a sufficiently detailed description of the system with relevance to all standard requirements
- ◇ moreover, even if it can refer to specific procedures, it shall not merely contain a declaration of intents, or generic prescriptions. The quality manual shall describe in a sufficient detail methods and record-keeping procedures to meet the standard requirements.
- ◇ specify the quality management system processes and their relevant interactions;
- ◇ clearly specify any possible exclusion of the standard requirements (with reference to design only) and adequately motivate them.

CERMET may ask for further documentation to carry out the document analysis (for example: procedures or records).

The adequacy review report shall be handed over to the organization at the end of the adequacy audit. The organization is required to carry out any necessary change or integrations.

The organization shall assign to CERMET a controlled copy of its Quality Manual and, after the certification audit, shall make it available upon request to CERMET and to its auditors during the audit activities.

3.2 Certification Audit or Second Stage Audit (CA)

Certification audit is always carried out in the sites where the activities under certification are carried out.

Certification audit shall be carried out within maximum 90 days after the adequacy review. Should the Organization not be ready to undergo certification audit, or should it not be able to respect the timing given, it may ask for the break of the certification audit. In this case CERMET shall record the interruption request in the organization's file and inform IATF thereof.

When planning the audit, remote support functions are to be audited before the production site(s).

At the end of the audit, CERMET audit team gives a copy of the audit report to the client who undersigns it.

Once CERMET has received and analysed the audit report, it shall confirm to the client the audit result and shall give information of the activities which shall follow. In this phase CERMET may ask the client for integrations or changes which differ from what contained in the audit report handed over by the Audit Team.

Major nonconformities detected during the certification audits may cause the audit interruption. In this case the lead auditor, in accordance with the organization, may decide to interrupt immediately the certification process. The process can be reactivated upon organization's request, and with a new, complete adequacy review.

In case, despite the major nonconformity, the Quality System does not have lacks affecting other aspects, the Lead auditor can decide, in accordance with the Organisation, to complete the audit. In this case, CERMET can consider the audit as not failed and plan a single follow-up audit.

None of the conformities detected can be closed during the same audit.

For each nonconformity recorded by CERMET, the Organization shall implement an analysis of the causes and define the relevant corrective actions to be implemented as soon as possible (and always within 90 starting from the end of the audit on site).

The Organization shall provide CERMET with the evidence of these activities by completing and submitting the forms for the management of nonconformities, indicating the date established for the implementation of corrective actions as well as the documentary evidence of the actions taken.

CERMET shall analyse the documents received and, depending on the criticality of the nonconformity and of the documents submitted, shall give notice of the acceptance of the corrective actions taken and of the need of carrying out a supplementary audit to assess the closure of nonconformities (the audit is always necessary in case of major nonconformities).

Nonconformities detected during certification audit shall all be closed within 90 days from the end of the audit on site (which is, from the issue of the audit report). Should the timing not be respected, the Organization shall undergo a new certification audit.

The organization's quality management system shall not be registered according to the standard ISO/TS 16949 when major or minor nonconformities are open. The certificate shall be issued only if 100% of the requirements are met.

The certificate validity is of three years from its emission or last emission.

3.3 Surveillance audits (SA)

Surveillance audits are carried out not later than 12 months from the former audit. They always take place on the sites where the activities subject to certification are carried out. In case of delays due to problems of the organization (to be evaluated), CERMET shall start the certification withdrawal process, which corresponds to the certificate suspension.

At the end of the audit, CERMET audit team gives a copy of the audit report to the client who undersigns it. Once CERMET has received and analysed the audit report, it shall confirm to the client the audit result and shall inform about the activities which follow. In this phase CERMET may ask the client for integrations or changes which differ from what contained in the audit report handed over by the Audit Team.

Nonconformities detected during surveillance audit shall be handled as indicated above (par. 3.2). In case of major nonconformities, or of minor nonconformities if it considers it necessary, CERMET shall start the certification withdrawal process, which corresponds to the certificate suspension.

Surveillance audit shall be completed also if major nonconformities are recorded.

3.4 Renewal audit (RA)

Within the third year after the certification audit CERMET carries out an audit oriented to review the whole quality management system, including also the documental aspects and the analysis of its effectiveness. Therefore the verification shall be extended to all the requirements of the standard and to all the products/services subject of this contract. The audit takes always place at the premises where the activities to be certified are carried out.

Renewal (or recertification) audit shall be planned in order to guarantee that the interval between the certification audit and the renewal audit, or between the two renewal audits, does not exceed three years.

Nonconformities detected during the renewal audit shall be handled as indicated above (par. 3.2). The closure of nonconformities is binding for the renewal of the certificate for a further period of three years.

After the renewal audit, once CERMET has received and analysed the audit report, it shall confirm to the client the audit result and shall inform him about the activities which follow. In this phase CERMET may ask the client for integrations or changes which differ from what contained in the audit report handed over by the Audit Team.

3.5 Corporate certification

The requirements an Organization shall meet in case of a "Corporate" audit scheme are the following:

- ◇ the Organization quality management system shall be structured centrally;
- ◇ the Organization quality management system shall undergo internal audits for all its sites;

The Organization shall evaluate the extension of possible nonconformities recorded during audit activities in a single site, in case these are to reconnect to lacks applicable to more sites,, the corrective actions shall be implemented both in the single sites and in the main site.

In case of "Corporate" certification it is not possible to sample sites. All sites shall be audited (both during certification and during surveillance audit).

The Organization shall inform CERMET in case one or more certified sites are closed down.

Each site of a "Corporate" certification shall receive a separate certificate.

In case of "Corporate" certification, should a single "Corporate" site have its certificate withdrawn because of performance problems, all the sites connected to it will have their certification withdrawn.

4. SUSPENSION OF THE CERTIFICATION

CERMET may start the process of certification withdrawal (which is, suspension of the certification) when it becomes aware of situations indicating that the initial conditions for the issuing of the certification are not respected any more.

Initial conditions may be:

- information submitted by the Organization (i.e. significant changes to the property, etc.);
- causes detected by CERMET (i.e. nonconformities recorded during a surveillance or renewal audit, surveillance audits carried out late upon Organization's request, non respect of a point of this regulation, etc.);
- information submitted by a customer who acknowledges the standard ISO/TS 16949 (inadequate performances of the Organization, etc.);
- complaints coming from Organization's customers or from information collected on the field.

In these last two cases CERMET shall always start the withdrawal process.

Moreover, in case of claims/information received from organization's customers or by customers who acknowledge the standard ISO/TS 16949 (for example FORD – Q1 Revocation status, GM – FIAT New Business Hold o CSL1 o CSL 2, CHRYSLER – Needs Improvement Status), the organization shall inform CERMET within the time decided by the customer himself.

Should CERMET decide to start the withdrawal process, it shall notify the suspension to the Organization together with the request of a corrective actions plan (in case the cause of the certification withdrawal is caused by a complaint about the Organization, the suspension date is that of the claim).

The period of suspension shall not last longer than 120 days from the suspension date; beyond this time-limit the certification shall be withdrawn and the contract with CERMET shall cease its validity (ref. CSD 05 – Contract of Conformity Evaluation, § 10).

The organization shall submit to CERMET an appropriate corrective actions plan. CERMET shall then verify the implementation of corrective actions, if necessary by means of a supplementary audit (to be always carried out in case of complaints about the interested Organization).

Once the corrective actions have been audited, CERMET decides whether to proceed with the revalidation of the certification. Should the causes which generated the suspension still be present, CERMET shall proceed with the withdrawal of the certification (see CSD 05 – Contract of Conformity Evaluation § 10).

CERMET shall notify its decision (revalidation of withdrawal of certification) to the Organization.

In case of withdrawal, besides what indicated in the Contract of Conformity Evaluation CSD 05, the organization commits itself to send a written communication/notice to the clients that required the certification, giving notice that it is not certified any more according to ISO/TS 16949.

5 CONFORMITY LETTER

In the following two cases CERMET cannot issue a conformity certificate, though it can issue a letter of conformity for maximum 12 months:

- a) in case a site which has been producing for less than 12 months (should this be the case, after 12 months production the certification process shall continue and CERMET shall carry out the adequacy review and the initial assessment audit);
- b) when the Organization is not a supplier for the automotive sector but it can demonstrate that it has an active offer for a customer who requires the ISO/TS 16949 certification.

In case b), a new letter of conformity can be issued after the expiration of the first one (after 12 months) when the company still has active offers for customers requiring ISO/TS 16949 certification, even though it has submitted no order.

The letter of conformity can be issued only if the Organization is able to submit the required information for the adequacy review (including the data relevant to internal and external performances and a cycle of internal audits and of a management review) and if the structure has been assessed and was found to conform to ISO/TS 16949.

Should, after 12 months of validity, the letter of conformity not turn into a certificate ISO/TS 16949, it will lose its validity and CERMET will withdraw it.

6. ORGANISATION COMMITMENTS

In addition to the commitments indicated in the CSD 05 contract, the Organisation undertakes to:

- ◇ Accept witness audits on behalf of IATF, with respect to CERMET (this does not implicate any additional charge for the Organisation and does not in any way alter the audit results),
 - ◇ Authorise access for IATF representative or delegates thereof,
 - ◇ Authorise providing IATF with the Audit Report,
 - ◇ Immediately inform CERMET in writing of any programmed change in the Organisation's quality management system or of any other changes that may compromise conformity, including:
 - ✓ Interruption of the Organisation's activity,
 - ✓ Variation of the data indicated in the certification application,
- Changes in property and/or legal, commercial and organisational position.

7. USE OF THE CERTIFICATION MARK AND OF THE CONFORMITY CERTIFICATE

Organisations whose quality management system is certified by CERMET according to ISO/TS 16949 are entitled to use CERMET certification mark as shown in figure 1. CERMET mark consists of a blue CYAN logo (registered Mark).



NR. IATF xxxxx
ISO/TS 16949 : XXXX

The CERMET certification mark:

- a) shall be shown together with the trade mark and/or name of the certified Organization;
- b) shall be shown together with the certified scheme(s) (the standard shall be quoted with the year of publication). The organization may use the mark with reference to one or more schemes at the same time, provided that they are certified according to all the standards listed;
- c) shall be used in such a way as to avoid the certification from being attributed to basic requirements which differ from those subject of the assessment. For example, the quality system certification shall not be reproduced so that to be mistaken for a product certification, therefore the mark shall not be applied on products nor on their packaging;
- d) shall be used only when referring to products/services and sites for which the certification was issued;
- e) can be enlarged or reduced, but at all times ensuring that the words and numbers are legible;
- f) can be reproduced on means of transportation/handling of the products, provided that it always appears in conjunction with the logo/name of the certified Organization;

In order to advertise its certification, the organization may use the wording "Organization with a quality management system certified according to ISO/TS 16949:2002" (or similar), providing that it guarantees the respect of what stated before, avoiding to give information which may create confusion or misunderstanding among its clients and final users. The a.m. wording can be reproduced also on products and on their packaging.

The mark can be used in colours - in which case the original colours of the mark must be respected – or monochrome (any colour is allowed).

These prescriptions also apply if use is made of transferable marks (e.g. stickers).

The organization shall inform the personnel who may use the mark of the prescriptions stated above.

The certificates of conformity issued can be reproduced (including in colour), provided that they entirely reproduce the original.

The certificate is the only document showing the IATF logo; the use of the logo is not allowed in any form other than by the reproduction of the certificate.

8. ISO 9000 CERTIFICATION

CERMET refers to assessment activities carried out according to ISO/TS 16949 to issue and maintain the applicable ISO 9000 certification, when required by the organization, with the same field of application.

For this certification refer to the rules indicated in the document CSP05A "Conformity assessment service: ISO 9001 management system – BASIC REQUIREMENTS".