



IATF - International Automotive Task Force

Rules for achieving and maintaining IATF Recognition

IATF Rules 6th Edition – **Sanctioned Interpretations**

The *Rules for achieving and maintaining IATF Recognition 6th Edition for IATF 16949* (“**Rules 6th Edition**”) was published in April 2024 and is effective 1 January 2025. The following Sanctioned Interpretations were determined and approved by the IATF. Unless otherwise indicated, Sanctioned Interpretations are applicable upon publication.

Revised text is shown in **blue**.

A Sanctioned Interpretation changes the interpretation of a rule or a requirement which itself then becomes the basis for a nonconformity.

SI 1 – SI 17 issued November 2024, effective 1 January 2025

NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION`
1	Foreword	<p>Requests for permission to reproduce and/or translate this document or any extract from it must be addressed to one of the organizations below:</p> <ul style="list-style-type: none"> Automotive Industry Action Group (AIAG/USA) Associazione Nazionale Filiera Industria Automobilistica (ANFIA/Italy) International Automotive Task Force France (IATF France/France) IATF France (France) The Society of Motor Manufacturers and Traders Limited (SMMT/UK) Verband der Automobilindustrie e.V. Qualitäts Management Center (VDA QMC) QMC/Germany) <p>Rationale for change: Clarified the names of the copyright owners in France, UK, and Germany.</p>
2	Global overview of the first 3-year IATF 16949 certification cycle	<p>Global overview of the first 3-year IATF 16949 certification cycle</p> <pre> graph TD A1[Plan for stage 2 (5.7.1 & 5.7.2)] --> B1[Conduct audit of remote support locations where applicable (5.5.1 - 5.5.2)] B1 --> C1[Conduct stage 2 certification audit (5.8 & 6.2.9)] C1 --> D1[Issue draft audit report at closing meeting (5.10)] A2[Plan for surveillance audit (5.7.1 & 5.7.2)] --> B2[Conduct surveillance audit (5.8 & 6.7 6.3)] B2 --> D2[Issue draft audit report at closing meeting (5.10)] A3[Plan for recertification audit (5.7.1 & 5.7.2)] --> B3[Conduct recertification audit (5.8 & 6.4)] B3 --> D3[Issue draft audit report at closing meeting (5.10)] Note[Conduct stage 2 no sooner than 20 days and no more than 90 days after the stage 1 closing meeting] --> C1 </pre> <p>Rationale for change: Corrected reference to 6.3 (was 6.7) in the “Conduct surveillance audit” step.</p>



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3	Table 2.10 Minimum number of witness audits per certification body	<p>Table 2.10 Minimum number of witness audit days per certification body</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;">Sum of audit days for the current year recorded in the IATF Database</th> <th style="text-align: center;">Minimum number of witness audits to perform during the next year</th> </tr> </thead> <tbody> <tr><td style="text-align: center;">< / = 150</td><td style="text-align: center;">1</td></tr> <tr><td style="text-align: center;">151-500</td><td style="text-align: center;">2</td></tr> <tr><td style="text-align: center;">501-1250</td><td style="text-align: center;">3</td></tr> <tr><td style="text-align: center;">1251-2000</td><td style="text-align: center;">4</td></tr> <tr><td style="text-align: center;">2001-3000</td><td style="text-align: center;">5</td></tr> <tr><td style="text-align: center;">3001-4000</td><td style="text-align: center;">6</td></tr> <tr><td style="text-align: center;">4001-5200</td><td style="text-align: center;">7</td></tr> <tr><td style="text-align: center;">5201-6400</td><td style="text-align: center;">8</td></tr> <tr><td style="text-align: center;">6401-7600</td><td style="text-align: center;">9</td></tr> <tr><td style="text-align: center;">7601-8800</td><td style="text-align: center;">10</td></tr> <tr><td style="text-align: center;">8801-10000</td><td style="text-align: center;">11</td></tr> <tr><td style="text-align: center;">10001-11200</td><td style="text-align: center;">12</td></tr> <tr><td style="text-align: center;">11201-12400</td><td style="text-align: center;">13</td></tr> <tr><td style="text-align: center;">12401-13600</td><td style="text-align: center;">14</td></tr> <tr><td style="text-align: center;">13601-14800</td><td style="text-align: center;">15</td></tr> <tr><td style="text-align: center;">14801-16000</td><td style="text-align: center;">16</td></tr> <tr><td style="text-align: center;">16001-17500</td><td style="text-align: center;">17</td></tr> <tr><td style="text-align: center;">17501-18999</td><td style="text-align: center;">18</td></tr> <tr><td style="text-align: center;">19000-20500</td><td style="text-align: center;">19</td></tr> <tr><td style="text-align: center;">20501-22000</td><td style="text-align: center;">20</td></tr> <tr><td style="text-align: center;">22001-23500</td><td style="text-align: center;">21</td></tr> <tr><td style="text-align: center;">23501-25000</td><td style="text-align: center;">22</td></tr> <tr><td style="text-align: center;">25001-26500</td><td style="text-align: center;">23</td></tr> <tr><td style="text-align: center;">26501-28000</td><td style="text-align: center;">24</td></tr> <tr><td style="text-align: center;">28001-29500</td><td style="text-align: center;">25</td></tr> <tr><td style="text-align: center;">29501-31000</td><td style="text-align: center;">26</td></tr> </tbody> </table> <p>Note: With each increase of 1,500 over 31,000 audit days, there shall be an increase of one (1) additional witness audit.</p> <p>Rationale for change:</p> <p><i>Removed the word “Note” as the increase of one (1) witness audit per every 1,500 audit days after 31,000 audit days is a requirement not guidance.</i></p>	Sum of audit days for the current year recorded in the IATF Database	Minimum number of witness audits to perform during the next year	< / = 150	1	151-500	2	501-1250	3	1251-2000	4	2001-3000	5	3001-4000	6	4001-5200	7	5201-6400	8	6401-7600	9	7601-8800	10	8801-10000	11	10001-11200	12	11201-12400	13	12401-13600	14	13601-14800	15	14801-16000	16	16001-17500	17	17501-18999	18	19000-20500	19	20501-22000	20	22001-23500	21	23501-25000	22	25001-26500	23	26501-28000	24	28001-29500	25	29501-31000	26
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4	<p align="center">Figure 5.1.1 Manufacturing site audit and certificate cycle</p>	<p align="center">Figure 5.1.1 Manufacturing site audit and certificate cycle</p> <p>Rationale for change: Corrected the graphic under certificate cycle to remove reference to “1st” and “2nd” certification decision.</p>

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5	<p style="text-align: center;">5.2 Determining the audit duration for initial certification, surveillance, recertification, and transfer audits</p>	<p>When determining the audit duration and developing an audit plan (see section 5.7.2), the certification body shall consider, at minimum, the following:</p> <ul style="list-style-type: none"> a) - p)... all other requirements of section 5.2 remain unchanged q) When the audited client location does not meet the IATF OEM quality and/or delivery targets specified in the IATF OEM scorecard(s) submitted with audit planning information and/or the current scorecards reviewed in the opening meeting, the certification body shall add “additional audit time” to the current audit plan as defined in Table 5.2 q. The “additional audit time” shall be used to verify the effective implementation of the systemic corrective actions associated with the IATF OEM quality and/or delivery targets that are not being met and the associated risk to similar processes and/or products. The only exception is if the client can provide evidence of verification of the effectiveness of the implemented systemic corrective actions for the quality and/or delivery performance issues, in which case no increase is applied. Where it is not possible to add the additional time to the current audit plan, the certification body shall conduct a special audit within sixty (60) calendar days of the closing meeting date of the audit (see section 7.2 e b)). <p>Rationale for change: <i>Corrected the cross reference from section 7.2 c) to 7.2 b).</i></p>

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<p>6</p>	<p>Minimum audit days Table 5.2</p>	<p>Table 5.2 Minimum audit days</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: center;">Initial Stage 2 Audit</th> <th style="text-align: center;">Surveillance Audit</th> <th colspan="2" style="text-align: center;">Recertification Audit</th> </tr> <tr> <th style="text-align: center;">Audited entity: Number of employees</th> <th style="text-align: center;">Minimum audit days for Stage 2 site audit</th> <th style="text-align: center;">Minimum audit days for annual surveillance audit (before rounding)</th> <th style="text-align: center;">Audited entity: Number of employees</th> <th style="text-align: center;">Minimum audit days for recertification audit</th> </tr> </thead> <tbody> <tr><td style="text-align: center;">1 – 11</td><td style="text-align: center;">2.5</td><td style="text-align: center;">1.25</td><td style="text-align: center;">1 – 14</td><td style="text-align: center;">2.0</td></tr> <tr><td style="text-align: center;">12 – 18</td><td style="text-align: center;">3.0</td><td style="text-align: center;">1.5</td><td style="text-align: center;">15 – 28</td><td style="text-align: center;">2.5</td></tr> <tr><td style="text-align: center;">19 – 27</td><td style="text-align: center;">3.5</td><td style="text-align: center;">1.75</td><td style="text-align: center;">29 – 49</td><td style="text-align: center;">3.0</td></tr> <tr><td style="text-align: center;">28 – 39</td><td style="text-align: center;">4.0</td><td style="text-align: center;">2.0</td><td style="text-align: center;">50 – 80</td><td style="text-align: center;">3.5</td></tr> <tr><td style="text-align: center;">40 – 54</td><td style="text-align: center;">4.5</td><td style="text-align: center;">2.25</td><td style="text-align: center;">81 – 122</td><td style="text-align: center;">4.0</td></tr> <tr><td style="text-align: center;">55 – 71</td><td style="text-align: center;">5.0</td><td style="text-align: center;">2.5</td><td style="text-align: center;">123 – 176</td><td style="text-align: center;">4.5</td></tr> <tr><td style="text-align: center;">72 – 93</td><td style="text-align: center;">5.5</td><td style="text-align: center;">2.75</td><td style="text-align: center;">177 – 246</td><td style="text-align: center;">5.0</td></tr> <tr><td style="text-align: center;">94 – 117</td><td style="text-align: center;">6.0</td><td style="text-align: center;">3.0</td><td style="text-align: center;">247 – 332</td><td style="text-align: center;">5.5</td></tr> <tr><td style="text-align: center;">118 – 146</td><td style="text-align: center;">6.5</td><td style="text-align: center;">3.25</td><td style="text-align: center;">333 – 436</td><td style="text-align: center;">6.0</td></tr> <tr><td style="text-align: center;">147 – 179</td><td style="text-align: center;">7.0</td><td style="text-align: center;">3.5</td><td style="text-align: center;">437 – 562</td><td style="text-align: center;">6.5</td></tr> <tr><td style="text-align: center;">180 – 216</td><td style="text-align: center;">7.5</td><td style="text-align: center;">3.75</td><td style="text-align: center;">563 – 710</td><td style="text-align: center;">7.0</td></tr> <tr><td style="text-align: center;">217 – 257</td><td style="text-align: center;">8.0</td><td style="text-align: center;">4.0</td><td style="text-align: center;">711 – 883</td><td style="text-align: center;">7.5</td></tr> <tr><td style="text-align: center;">258 – 304</td><td style="text-align: center;">8.5</td><td style="text-align: center;">4.25</td><td style="text-align: center;">884 – 1082</td><td style="text-align: center;">8.0</td></tr> <tr><td style="text-align: center;">305 – 348</td><td style="text-align: center;">9.0</td><td style="text-align: center;">4.5</td><td style="text-align: center;">1083 – 1310</td><td style="text-align: center;">8.5</td></tr> <tr><td style="text-align: center;">349 – 422</td><td style="text-align: center;">9.5</td><td style="text-align: center;">4.75</td><td style="text-align: center;">1311 – 1569</td><td style="text-align: center;">9.0</td></tr> <tr><td style="text-align: center;">423 – 507</td><td style="text-align: center;">10.0</td><td style="text-align: center;">5.0</td><td style="text-align: center;">1570 – 1860</td><td style="text-align: center;">9.5</td></tr> <tr><td style="text-align: center;">508 – 602</td><td style="text-align: center;">10.5</td><td style="text-align: center;">5.25</td><td style="text-align: center;">1861 – 2187</td><td style="text-align: center;">10.0</td></tr> <tr><td style="text-align: center;">603 – 711</td><td style="text-align: center;">11.0</td><td style="text-align: center;">5.5</td><td style="text-align: center;">2188 – 2551</td><td style="text-align: center;">10.5</td></tr> <tr><td style="text-align: center;">712 – 832</td><td style="text-align: center;">11.5</td><td style="text-align: center;">5.75</td><td style="text-align: center;">2552 – 2953</td><td style="text-align: center;">11.0</td></tr> <tr><td style="text-align: center;">833 – 968</td><td style="text-align: center;">12.0</td><td style="text-align: center;">6.0</td><td style="text-align: center;">2954 – 3398</td><td style="text-align: center;">11.5</td></tr> <tr><td style="text-align: center;">969 – 1119</td><td style="text-align: center;">12.5</td><td style="text-align: center;">6.25</td><td style="text-align: center;">3399 – 3886</td><td style="text-align: center;">12.0</td></tr> <tr><td style="text-align: center;">1120 – 1286</td><td style="text-align: center;">13.0</td><td style="text-align: center;">6.5</td><td style="text-align: center;">3887 – 4419</td><td style="text-align: center;">12.5</td></tr> <tr><td style="text-align: center;">1287 – 1470</td><td style="text-align: center;">13.5</td><td style="text-align: center;">6.75</td><td style="text-align: center;">4420 – 5001</td><td style="text-align: center;">13.0</td></tr> <tr><td style="text-align: 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employees over the highest number of employees shown in Table 5.2, there shall be an increase of one-half (0.5) of an audit day for the minimum audit days.</p> <p>Rationale for change:</p> <p><i>Removed the word “Note” as the increase of one-half of an audit day per every 1,000 employees above 7,677 is a requirement not guidance.</i></p>	Initial Stage 2 Audit		Surveillance Audit	Recertification Audit		Audited entity: Number of employees	Minimum audit days for Stage 2 site audit	Minimum audit days for annual surveillance audit (before rounding)	Audited entity: Number of employees	Minimum audit days for recertification audit	1 – 11	2.5	1.25	1 – 14	2.0	12 – 18	3.0	1.5	15 – 28	2.5	19 – 27	3.5	1.75	29 – 49	3.0	28 – 39	4.0	2.0	50 – 80	3.5	40 – 54	4.5	2.25	81 – 122	4.0	55 – 71	5.0	2.5	123 – 176	4.5	72 – 93	5.5	2.75	177 – 246	5.0	94 – 117	6.0	3.0	247 – 332	5.5	118 – 146	6.5	3.25	333 – 436	6.0	147 – 179	7.0	3.5	437 – 562	6.5	180 – 216	7.5	3.75	563 – 710	7.0	217 – 257	8.0	4.0	711 – 883	7.5	258 – 304	8.5	4.25	884 – 1082	8.0	305 – 348	9.0	4.5	1083 – 1310	8.5	349 – 422	9.5	4.75	1311 – 1569	9.0	423 – 507	10.0	5.0	1570 – 1860	9.5	508 – 602	10.5	5.25	1861 – 2187	10.0	603 – 711	11.0	5.5	2188 – 2551	10.5	712 – 832	11.5	5.75	2552 – 2953	11.0	833 – 968	12.0	6.0	2954 – 3398	11.5	969 – 1119	12.5	6.25	3399 – 3886	12.0	1120 – 1286	13.0	6.5	3887 – 4419	12.5	1287 – 1470	13.5	6.75	4420 – 5001	13.0	1471 – 1673	14.0	7.0	5002 – 5632	13.5	1674 – 1895	14.5	7.25	5633 – 6317	14.0	1896 – 2138	15.0	7.5	6318 – 7057	14.5	2139 – 2402	15.5	7.75	7058 +	15.0	2403 – 2688	16.0	8.0			2689 – 2999	16.5	8.25			3000 – 3334	17.0	8.5			3335 – 3695	17.5	8.75			3696 – 4084	18.0	9.0			4085 – 4502	18.5	9.25			4503 – 4949	19.0	9.5			4950 - 5427	19.5	9.75			5428 – 5937	20.0	10.0			5938 – 6482	20.5	10.25			6483 – 7061	21.0	10.5			7062 – 7676	21.5	10.75			7677 +	22.0	11.0		
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423 – 507	10.0	5.0	1570 – 1860	9.5																																																																																																																																																																																																																
508 – 602	10.5	5.25	1861 – 2187	10.0																																																																																																																																																																																																																
603 – 711	11.0	5.5	2188 – 2551	10.5																																																																																																																																																																																																																
712 – 832	11.5	5.75	2552 – 2953	11.0																																																																																																																																																																																																																
833 – 968	12.0	6.0	2954 – 3398	11.5																																																																																																																																																																																																																
969 – 1119	12.5	6.25	3399 – 3886	12.0																																																																																																																																																																																																																
1120 – 1286	13.0	6.5	3887 – 4419	12.5																																																																																																																																																																																																																
1287 – 1470	13.5	6.75	4420 – 5001	13.0																																																																																																																																																																																																																
1471 – 1673	14.0	7.0	5002 – 5632	13.5																																																																																																																																																																																																																
1674 – 1895	14.5	7.25	5633 – 6317	14.0																																																																																																																																																																																																																
1896 – 2138	15.0	7.5	6318 – 7057	14.5																																																																																																																																																																																																																
2139 – 2402	15.5	7.75	7058 +	15.0																																																																																																																																																																																																																
2403 – 2688	16.0	8.0																																																																																																																																																																																																																		
2689 – 2999	16.5	8.25																																																																																																																																																																																																																		
3000 – 3334	17.0	8.5																																																																																																																																																																																																																		
3335 – 3695	17.5	8.75																																																																																																																																																																																																																		
3696 – 4084	18.0	9.0																																																																																																																																																																																																																		
4085 – 4502	18.5	9.25																																																																																																																																																																																																																		
4503 – 4949	19.0	9.5																																																																																																																																																																																																																		
4950 - 5427	19.5	9.75																																																																																																																																																																																																																		
5428 – 5937	20.0	10.0																																																																																																																																																																																																																		
5938 – 6482	20.5	10.25																																																																																																																																																																																																																		
6483 – 7061	21.0	10.5																																																																																																																																																																																																																		
7062 – 7676	21.5	10.75																																																																																																																																																																																																																		
7677 +	22.0	11.0																																																																																																																																																																																																																		



NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION`
7	5.7 Audit Planning	<p>Audit start and end dates for surveillance, recertification, and transfer audits shall be confirmed with the client no less than ninety (90) calendar days before the audit due date (see section 10.0). If an exceptional situation requires a change to a confirmed audit date, the certification body shall retain justification as a part of the audit record.</p> <p>The remainder of section 5.7 remains unchanged</p> <p>Rationale for change:</p> <p><i>To clarify what dates must be confirmed ninety calendar days before the audit due date.</i></p>
8	5.10 Audit reporting	<p>The audit team shall analyze all information and objective evidence gathered during the audit and agree on the audit conclusion.</p> <p>The audit team shall use the IATF Common Audit Report Application (IATF CARA) when creating the draft and final audit reports and for the issuance of nonconformities to the client. All mandatory fields within the IATF CARA shall be completed with sufficient detail and objective evidence to allow the reader to comprehend the audit coverage, findings, results, and conclusions.</p> <p>The certification body shall issue the draft audit report and the nonconformity management record(s), where applicable, to the client at the audit closing meeting along with the link to the IATF Common Audit Report Application for Nonconformity Management (IATF NC CARA).</p> <p>The remainder of section 5.10 remains unchanged</p> <p>Rationale for change:</p> <p><i>To clarify the term “nonconformity management record” includes the client’s response and the term “nonconformity record” is just the CB auditor’s finding and to clarify the IATF NC CARA link is to be provided at the closing meeting.</i></p>
9	5.11.4 Verification of major nonconformity	<p>In cases of a major nonconformity, the certification body shall conduct a one-time, onsite special audit (see section 7.2 d c) for the verification of the effective implementation of systemic corrective actions within a maximum of ninety (90) calendar days from the closing meeting date of the audit.</p> <p>The remainder of section 5.11.4 remains unchanged.</p> <p>Rationale for change:</p> <p><i>Corrected the cross reference from section 7.2 d) to 7.2 c)</i></p>



NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION`
10	<p style="text-align: center;">5.12 Technical review and certification decision</p>	<p>The certification decision shall be made within a maximum of one-hundred-twenty (120) calendar days from the last day of a special audit (see section 7.2 e), f), g) and h)) unless the special audit is being conducted within the decertification process timing.</p> <p>Rationale for change:</p> <p><i>Added clarification to which type of special audits requires a certification decision within one-hundred-twenty (120) calendar days.</i></p>
11	<p style="text-align: center;">6.1.1 Application for certification</p>	<p>The certification body shall require a representative of the applicant organization to provide the necessary information to enable the certification body to decide on certification feasibility and to establish a complete quotation. The information required shall include, at minimum:</p> <ul style="list-style-type: none"> a) – n) ...these requirements remain unchanged o) All IATF 16949 certifications within the last three (3) years, the status of the certificate(s), and all final audit reports and all nonconformity management records from the last three (3) years of certification, including evidence that all nonconformity responses have been accepted and all verification activities that should have been completed by the previous certification body were conducted as required (see section 5.11). If the certification body is unable to determine the reason for the applicant organization’s certification withdrawal from the information provided, the certification body shall contact its relevant oversight office to obtain information on the reason for the withdrawal. p) – r) ... all other requirements remain unchanged <p>Rationale for change:</p> <p><i>To clarify the term “nonconformity management record” includes the client’s response and the term “nonconformity record” is just the CB auditor’s finding.</i></p>

NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION`
12	7.1 Transfer Audit	<p>Within seven (7) calendar days of a legal contract being signed with the client, the new certification body shall indicate the transfer in the IATF Database by creating the client record and completing the information required in the transfer confirmation feature.</p> <p>The new certification body shall advise the client to notify the previous certification body about its intent to transfer (see section 3.2 i jj).</p> <p>The remainder of section 7.1.2 remains unchanged.</p> <p>Rationale for change: Corrected the cross reference from 3.2 i) to 3.2 j).</p>
13	7.1.2 Transfer pre-conditions	<p>7.1.2 7.1.1 Transfer audit pre-conditions</p> <p>At the start of the transfer audit, the following conditions shall be met for the client location under transfer:</p> <ul style="list-style-type: none"> a) – h) ...these requirements remain unchanged. i) The client provided the new certification body with the final audit reports and nonconformity management records from the previous three (3) years. The information provided shall include evidence that client responses to all previously issued nonconformities have been accepted and all verification activities that should have been completed by the previous certification body were conducted as required (see section 5.11). <p>Wherever possible, open issues from the points above shall be resolved by the previous certification body and the client.</p> <p>Rationale for change: To correct the section header number from 7.1.2 to 7.1.1. To clarify the term “nonconformity management record” includes the client’s response and the term “nonconformity record” is just the CB auditor’s finding.</p>

NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION`
14	10.0 Definitions	<p>Certification body (IATF-recognized) The Named Certification Body, together with all Affiliates that satisfy the conditions required to conduct IATF Certification Activities pursuant to sections 1.6.1 and 1.6.2 in the “Agreement”.</p> <p>Certificate scope statement The statement displayed on the IATF 16949 certificate or the letter of conformance that indicates reflects the manufacturing processes and, where applicable, product design responsibility, covered the products being designed and/or manufactured under the quality management system. The certificate scope statement only reflects may also include the categories of automotive products the client manufactures. is manufacturing at the site that is being certified, and, where applicable, indicates the client’s responsibility for their design. The certificate scope statement may also include the client’s manufacturing processes and/or technologies used to further convey the character of the automotive products.</p> <p>Consecutive working days Calendar days Regular working days of the client over which an audit is conducted in succession and without interruption.</p> <p>Rationale for change: <i>Align the words in section 10.0 with terms used in section 5.7 and 5.7.2 related to client working days, section 5.13 for certificate scope statement and to remove a reference in the sections in the CB Agreement that changed.</i></p>

NUMBER	RULES REFERENCE	SANCTIONED INTERPRETATION`																																																																																					
<p>15</p>	<p>Annex 1 Example 2 Example 4</p>	<p>Annex 1 – Example 2 & 4</p> <p>Example 2 1 single manufacturing site with 1 extended manufacturing site (main site: 550 employees, EMS: 40 employees) 1 permitted reduction (no design responsibility) No standalone remote support locations</p> <p>Total number of employees = 590 (550 + 40)</p> <table border="1" data-bbox="792 507 1939 671"> <thead> <tr> <th>Site</th> <th>Year</th> <th>Type of audit</th> <th>Current number of employees</th> <th>Minimum audit day requirement, Rules Table 5.2</th> <th>Non-design responsible reduction</th> <th>Calculated minimum audit days</th> <th>Minimum audit day requirement (rounded up to nearest 1/2 day)</th> </tr> </thead> <tbody> <tr> <td>1 (main + EMS)</td> <td>0</td> <td>Initial Stage 2</td> <td>590</td> <td>10.5</td> <td>15%</td> <td>(10.5 days * 0.85) = 8.925</td> <td>9.0</td> </tr> <tr> <td>1 (main + EMS)</td> <td>1</td> <td>Surveillance</td> <td>590</td> <td>5.25</td> <td>15%</td> <td>(5.25 days * 0.85) = 4.4625</td> <td>4.5</td> </tr> <tr> <td>1 (main + EMS)</td> <td>2</td> <td>Surveillance</td> <td>590</td> <td>5.25</td> <td>15%</td> <td>(5.25 days * 0.85) = 4.4625</td> <td>4.5</td> </tr> <tr> <td>1 (main + EMS)</td> <td>3</td> <td>Recertification</td> <td>590</td> <td>7.0</td> <td>15%</td> <td>(7.0 days * 0.85) = 5.95</td> <td>6.0</td> </tr> </tbody> </table> <p>Note: Assumes no changes over the 3-year audit cycle to number of employees, certification scope, etc.</p> <p>Example 4 1 single manufacturing site with 1 extended manufacturing site (main site: 550 employees, EMS: 40 employees) 1 standalone remote support location audited by a different CB (SA-RSL: 25 employees) 2 permitted reductions (upgrade from letter of conformance and no design responsibility)</p> <p>Total number of employees = 590 (550 + 40)</p> <p>Using the apportionment method</p> <table border="1" data-bbox="792 906 1939 1086"> <thead> <tr> <th>Site</th> <th>Year</th> <th>Type of audit</th> <th>Current number of employees</th> <th>Minimum audit day requirement, Rules Table 5.2</th> <th>Upgrade from LOC</th> <th>Non-design responsible reduction</th> <th>Calculated minimum audit days</th> <th>Minimum audit day requirement (rounded up to nearest 1/2 day)</th> </tr> </thead> <tbody> <tr> <td>1 (Main + EMS)</td> <td>0</td> <td>Initial Stage 2</td> <td>590</td> <td>10.5</td> <td>^15%</td> <td>15%</td> <td>(10.5 days * 0.70) = 7.35</td> <td>7.5</td> </tr> <tr> <td>1 (Main + EMS)</td> <td>1</td> <td>Surveillance</td> <td>590</td> <td>5.25</td> <td></td> <td>15%</td> <td>(5.25 days * 0.85) = 4.4625</td> <td>4.5</td> </tr> <tr> <td>1 (Main + EMS)</td> <td>2</td> <td>Surveillance</td> <td>590</td> <td>5.25</td> <td></td> <td>15%</td> <td>(5.25 days * 0.85) = 4.4625</td> <td>4.5</td> </tr> <tr> <td>1 (Main + EMS)</td> <td>3</td> <td>Recertification</td> <td>590</td> <td>7.0</td> <td></td> <td>15%</td> <td>(7.0 days * 0.85) = 5.95</td> <td>6.0</td> </tr> </tbody> </table> <p>Note 1: Assumes no changes over the 3-year audit cycle to number of employees, certification scope, etc. *Note 2: Rules 5.4 states that when combining reductions, the maximum possible audit day reduction is thirty percent (30%). In this case, the upgrade from a Letter of Conformance (LOC) to certification can only be a 15% reduction to be able to combine the reductions and meet the 30% maximum allowed.</p> <p>In this example the standalone remote support location is audited by a different certification body; therefore, the employees at that location are not included in the minimum audit day calculation, and the total calculated minimum audit days are not permitted to be distributed between locations.</p> <p>Rationale for change: Corrected the mathematical equation to show ten thousandth place for Year 1 and Year 2 in Example 2 and Example 4.</p>	Site	Year	Type of audit	Current number of employees	Minimum audit day requirement, Rules Table 5.2	Non-design responsible reduction	Calculated minimum audit days	Minimum audit day requirement (rounded up to nearest 1/2 day)	1 (main + EMS)	0	Initial Stage 2	590	10.5	15%	(10.5 days * 0.85) = 8.925	9.0	1 (main + EMS)	1	Surveillance	590	5.25	15%	(5.25 days * 0.85) = 4.4625	4.5	1 (main + EMS)	2	Surveillance	590	5.25	15%	(5.25 days * 0.85) = 4.4625	4.5	1 (main + EMS)	3	Recertification	590	7.0	15%	(7.0 days * 0.85) = 5.95	6.0	Site	Year	Type of audit	Current number of employees	Minimum audit day requirement, Rules Table 5.2	Upgrade from LOC	Non-design responsible reduction	Calculated minimum audit days	Minimum audit day requirement (rounded up to nearest 1/2 day)	1 (Main + EMS)	0	Initial Stage 2	590	10.5	^15%	15%	(10.5 days * 0.70) = 7.35	7.5	1 (Main + EMS)	1	Surveillance	590	5.25		15%	(5.25 days * 0.85) = 4.4625	4.5	1 (Main + EMS)	2	Surveillance	590	5.25		15%	(5.25 days * 0.85) = 4.4625	4.5	1 (Main + EMS)	3	Recertification	590	7.0		15%	(7.0 days * 0.85) = 5.95	6.0
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<p>16</p>	<p>Annex 1 Example 3</p>	<p>Annex 1 – Example 3</p> <p>Example 3 1 single manufacturing site with 1 extended manufacturing site (main site: 550 employees, EMS: 40 employees) 1 standalone remote support location (25 employees) 2 permitted reductions (upgrade from a letter of conformance and no design responsibility)</p> <p>Total number of employees = 615 (550 + 40 + 25)</p> <p>Using the apportionment method</p> <table border="1" data-bbox="797 443 1977 592"> <thead> <tr> <th>Site</th> <th>Year</th> <th>Type of audit</th> <th>Current number of employees</th> <th>Minimum audit day requirement, Rules Table 5.2</th> <th>Upgrade from LOC</th> <th>Non-design responsible reduction</th> <th>Calculated minimum audit days</th> <th>Minimum audit day requirement (rounded up to nearest 1/2 day)</th> <th>Distribution of minimum audit days from MFG site to SA-RSL</th> <th>Minimum audit days at MFG site after distribution</th> <th>Minimum audit days at SA-RSL</th> </tr> </thead> <tbody> <tr> <td>1 (main + EMS + SA-RSL)</td> <td>0</td> <td>Initial Stage 2</td> <td>615</td> <td>11.0</td> <td>^15%</td> <td>15%</td> <td>(11.0 days * 0.70) = 7.7</td> <td>8.0</td> <td>(8.0 days - 1.0 day)</td> <td>7.0</td> <td>1.0</td> </tr> <tr> <td>2 (main + EMS + SA-RSL)</td> <td>1</td> <td>Surveillance</td> <td>615</td> <td>5.5</td> <td></td> <td>15%</td> <td>(5.5 days * 0.85) = 4.675</td> <td>5.0</td> <td>See Note 3</td> <td></td> <td></td> </tr> <tr> <td>3 (main + EMS + SA-RSL)</td> <td>2</td> <td>Surveillance</td> <td>615</td> <td>5.5</td> <td></td> <td>15%</td> <td>(5.5 days * 0.85) = 4.675</td> <td>5.0</td> <td>(5.0 days - 0.5 day)</td> <td>4.5</td> <td>0.5</td> </tr> <tr> <td>4 (main + EMS + SA-RSL)</td> <td>3</td> <td>Recertification</td> <td>615</td> <td>7.0</td> <td></td> <td>15%</td> <td>(7.0 days * 0.85) = 5.95</td> <td>6.0</td> <td>(6.0 days - 0.5 day)</td> <td>5.5</td> <td>0.5</td> </tr> </tbody> </table> <p>Note 1: Assumes no changes over the 3-year audit cycle to number of employees, certification scope, etc. *Note 2: Rules 5.4 states that when combining reductions, the maximum possible audit day reduction is thirty percent (30%). In this case, the upgrade from a Letter of Conformance (LOC) to certification can only be a 15% reduction to be able to combine the reductions and meet the 30% maximum allowed. Note 3: Non-product design functions shall be audited at least every two years (section 5.5.1. c).</p> <p>It is the responsibility of the certification body to determine the distribution of the minimum audit days each year from the manufacturing sites to the standalone remote support locations to ensure the effectiveness of the audits.</p>	Site	Year	Type of audit	Current number of employees	Minimum audit day requirement, Rules Table 5.2	Upgrade from LOC	Non-design responsible reduction	Calculated minimum audit days	Minimum audit day requirement (rounded up to nearest 1/2 day)	Distribution of minimum audit days from MFG site to SA-RSL	Minimum audit days at MFG site after distribution	Minimum audit days at SA-RSL	1 (main + EMS + SA-RSL)	0	Initial Stage 2	615	11.0	^15%	15%	(11.0 days * 0.70) = 7.7	8.0	(8.0 days - 1.0 day)	7.0	1.0	2 (main + EMS + SA-RSL)	1	Surveillance	615	5.5		15%	(5.5 days * 0.85) = 4.675	5.0	See Note 3			3 (main + EMS + SA-RSL)	2	Surveillance	615	5.5		15%	(5.5 days * 0.85) = 4.675	5.0	(5.0 days - 0.5 day)	4.5	0.5	4 (main + EMS + SA-RSL)	3	Recertification	615	7.0		15%	(7.0 days * 0.85) = 5.95	6.0	(6.0 days - 0.5 day)	5.5	0.5
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<p>Rationale for change:</p> <p>Added the reference to “SA-RSL” to show the difference between Annex 1 Example 3 and Example 4.</p>																																																														



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17	Annex 1 Example 7	<p>Annex 1 – Example 7</p> <p>Example 7 Corporate certification structure 3 single manufacturing sites (site 1: 590 employees, site 2: 800 employees, site 3: 850 employees) 2 standalone remote locations, including a central location (Total of 125 employees) 2 permitted reductions (non-design responsibility and corporate certification structure)</p> <p>Using the apportionment method</p> <table border="1" data-bbox="801 477 1469 655"> <thead> <tr> <th>Site</th> <th>Number of employees at site</th> <th>Apportionment ratio (Employees at site / total number of employees (2240))</th> <th>Number of employees apportioned from SA-RSLs (Total number of employees at SA-RSLs [125] * Apportionment ratio)</th> <th>Total number of employees at audited entity used for minimum audit day calculation</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>590</td> <td>26%</td> <td>32</td> <td>622</td> </tr> <tr> <td>2</td> <td>800</td> <td>36%</td> <td>45</td> <td>845</td> </tr> <tr> <td>3</td> <td>850</td> <td>38%</td> <td>48</td> <td>898</td> </tr> <tr> <td colspan="2">Total = 2,240</td> <td>Total = 100%</td> <td>Total = 125</td> <td>Total = 2,365</td> </tr> </tbody> </table> <p>Calculation for Stage 2 Audit:</p> <table border="1" data-bbox="801 692 1744 839"> <thead> <tr> <th>Site</th> <th>Number of employees at site</th> <th>Minimum audit day requirement, Rules Table 5.2</th> <th>Non-design responsible reduction</th> <th>Corporate certification structure reduction</th> <th>Calculated minimum audit days</th> <th>Minimum audit day requirement (rounded up to nearest 1/2 day)</th> </tr> </thead> <tbody> <tr> <td>1 (Main & EMS)</td> <td>622</td> <td>11.0</td> <td>15%</td> <td>15%</td> <td>(11.0 days * 0.70) = 7.7</td> <td>8.0</td> </tr> <tr> <td>2</td> <td>845</td> <td>12.0</td> <td>15%</td> <td>15%</td> <td>(12.0 days * 0.70) = 8.4</td> <td>8.5</td> </tr> <tr> <td>3</td> <td>898</td> <td>12.0</td> <td>15%</td> <td>15%</td> <td>(12.0 days * 0.70) = 8.4</td> 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</table> <p>Note 1: Assumes no changes over the 3-year audit cycle to number of sites or SA-RSLs, number of employees, certification scope, etc.</p> <p>It is the responsibility of the certification body to determine the distribution of the minimum audit days each year from the manufacturing sites to the standalone remote support locations to ensure the effectiveness of the audits.</p> <p>Rationale for change: Corrected to remove the main site + EMS from Site 1 to align with the details provided</p>	Site	Number of employees at site	Apportionment ratio (Employees at site / total number of employees (2240))	Number of employees apportioned from SA-RSLs (Total number of employees at SA-RSLs [125] * Apportionment ratio)	Total number of employees at audited entity used for minimum audit day calculation	1	590	26%	32	622	2	800	36%	45	845	3	850	38%	48	898	Total = 2,240		Total = 100%	Total = 125	Total = 2,365	Site	Number of employees at site	Minimum audit day requirement, Rules Table 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