



# **JQA Management System Certification/Registration Rules**

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Management Systems Sector,  
**Japan Quality Assurance Organization**

## Introduction

This document of rules defines the details of JQA Management System Certification/Registration Scheme (hereinafter referred to as “Certification Scheme”) operated by Japan Quality Assurance Organization (hereinafter referred to as “JQA”), which, however, does not preclude, for certain standards, from separately defining exceptions to the rules set forth hereunder. (Exceptions in the Appendix5 takes priority over the main text, otherwise the main text shall be applied.)

## Scope

This document applies to the certification/registration of conformity with the standards listed below, of organizations seeking to be registered in accordance with the Certification Scheme (hereinafter referred to as “auditee organization”) and of organizations already registered based upon clause 7 (hereinafter referred to as “registered organization”).

The auditee or registered organization (hereinafter referred to as “auditee/registered organization”) meanwhile undertakes full responsibility that this rules and the Agreement for Certification/Registration defined in clause 1.1 shall apply to the associated organizations and associated firms, which are included in scope of registration.

Accreditation criteria on which this document is based are given under “Reference criteria” on the next page. Each sector standard has specific rules and therefore, the most current version of accreditation criteria for each shall apply in addition to the rules of this document.

Applicable Standards		Abbrev.	AB <sup>NOTE1</sup>
ISO 9001 (JIS Q 9001) <sup>NOTE2</sup>	Quality Management System	ISO 9001	JAB UKAS
IATF 16949	Quality Management System (Automotive)	IATF 16949	IATF
JIS Q 9100 <sup>NOTE2</sup>	Quality Management System (Aerospace)	JIS Q 9100	JAB IAQG JRMC
SJAC 9120 <sup>NOTE2</sup>	Quality Management System (Aerospace)	SJAC 9120	—
TL 9000 <sup>NOTE2</sup>	Quality Management System (Telecommunications)	TL 9000	JAB
ISO 13485 (JIS Q 13485) <sup>NOTE2</sup>	Quality Management System (Medical devices)	ISO 13485	JAB
ISO 14001 (JIS Q 14001) <sup>NOTE2</sup>	Environmental Management System	ISO 14001	JAB UKAS
ISO 50001 (JIS Q 50001)	Energy Management System	ISO 50001	—
ISO 45001 (JIS Q 45001) <sup>NOTE2</sup>	Occupational Health And Safety Management System	ISO 45001	—
ISO/IEC 27001 (JIS Q 27001)	Information Security Management System	ISO/IEC 27001	ISMS-AC UKAS
JIP-ISMS517 <sup>NOTE3</sup>	ISMS Cloud Security Management System	ISMS-CLS	ISMS-AC
ISO/IEC 27701 <sup>NOTE3</sup>	Privacy Information Management System	ISO/IEC 27701	ISMS-AC
JIS Q 15001 <sup>NOTE3</sup>	Personal Information Protection Management System	JIS Q 15001	—
ISO/IEC 20000-1 (JIS Q 20000-1)	IT Service Management System	ISO/IEC 20000	ISMS-AC
ISO 22301 (JIS Q 22301) <sup>NOTE2</sup>	Business Continuity Management System	ISO 22301	ISMS-AC
ISO 9001-HACCP	Hazard Analysis and Critical Control Point System	HACCP	—
ISO 22000 <sup>NOTE2</sup>	Food Safety Management System	ISO 22000	JAB
FSSC 22000 <sup>NOTE2</sup>	Food Safety System Certification 22000	FSSC 22000	JAB FSSC
JFS-C Standard <sup>NOTE2</sup>	Food Safety Management System	JFS-C	JAB JFSM
ISO 39001	Road Traffic Safety Management System	ISO 39001	—
ISO 29990	Learning Service Management System	ISO 29990	—
ISO 21001	Educational Organization Management Systems	ISO 21001	—
CSPM Standard <sup>NOTE3</sup>	Chemical Substance in Products Management	CSPM	—

(NOTE1) Accreditation Bodies (AB), etc. mean bodies listed below that have granted accreditation to JQA and given their approval that JQA operates the Certification Scheme, and IQNET (International Certification Network) (hereinafter referred to as “Accreditation Bodies”)

(NOTE2) For some of the sectors, JQA are granted accreditation by the Accreditation Bodies, for limited part only.

(NOTE3) Standards applicable to Assessments Combination (Refer to Rules specific for Assessments Combination )

#### Accreditation Bodies

JAB	Japan Accreditation Board
UKAS	United Kingdom Accreditation Service (UK)
IATF	International Automotive Task Force
ISMS-AC	ISMS Accreditation Center
IAQG	International Aerospace Quality Group
JRMC	Japan Registration Management Committee
FSSC	Foundation FSSC (NED)
JFSM	Japan Food Safety Management Association

#### Reference criteria

Standards	Name of Accreditation Criteria
ISO 9001 ISO 14001	Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements (ISO/IEC 17021-1 (JIS Q 17021-1) )
IATF 16949	AUTOMOTIVE CERTIFICATION SCHEME FOR IATF16949 Rules for achieving and maintaining IATF recognition
JIS Q 9100 SJAC 9120	Procedures for Accrediting Management System Certification Bodies (JAB MS200) Requirements for Aviation, Space, and Defence Quality Management System Certification Programs (SJAC 9104-1) Quality Management Systems Audit Requirements for Aviation, Space, and Defense Organizations (SJAC 9101)
TL 9000	Accreditation Criteria for Bodies Operating Certification/Registration of Quality Management Systems – Telecommunications (JAB MS102) Requirements Handbook/Measurements Handbook/TL9000 Information Alert
ISO 13485	Application of ISO/IEC 17021-1 in the Field of Medical Device Quality Management Systems (ISO 13485)( IAF MD9)
ISO/IEC 27001  ISMS-CLS  ISO/IEC 27701	Accreditation Criteria and Guidance for Bodies Operating Certification/Registration of Information Security Management Systems (JIP-ISAC100) Information technology -- Security techniques -- Requirements for bodies providing audit and certification of information security management systems(ISO/IEC 27006) ISMS Accreditation Criteria for Bodies Operating Certification/Registration of Security Controls based on ISO/IEC 27701 for cloud services (JIP-ISAC101) ISMS-PIMS Accreditation Criteria for Bodies Operating Certification/Registration (JIP-ISAC102) Requirements for bodies providing audit and certification of information security management systems -- Part 2: Privacy information management systems (ISO/IEC TS 27006-2)
ISO/IEC 20000	Accreditation Criteria and Guidance for Bodies Operating Certification/Registration of IT Service Management Systems (JIP-ITAC100) Information Technology – Service management 6 <sup>th</sup> Requirement for bodies providing audit and certification of IT Service Management Systems (ISO/IEC 20000-6)
ISO 45001	Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS) (IAF MD22)
ISO 22000	Food safety management systems -- Requirements for bodies providing audit and certification of food safety management systems(ISO/TS 22003)
FSSC 22000	Food safety management systems -- Requirements for bodies providing audit and certification of food safety management systems(ISO/TS 22003) FSSC 22000 Part 3 Requirements for Certification Process FSSC 22000 Part 4 Requirements for Certification Bodies
JFS-C	JFS-C Certification program documents
ISO 22301	Accreditation Criteria for Bodies Operating Certification/Registration of Business Continuity Management Systems (JIP-BCAC100)
Common	Procedures for Accrediting Management System Certification Bodies and others (JAB MS200, JABNS511, etc.)

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## 1 Application for Certification/Registration

- 1.1 When applying for a new certification/registration, the auditee organization shall submit designated application document along with survey sheets (hereinafter referred to as “Application Document”) as well as other agreements sign an agreement with JQA for management system certification/registration and, when necessary, other agreements (hereinafter referred to as “Agreement for Certification/Registration”).
- 1.2 JQA shall confirm the description of the application by clause 2 prior to acceptance of the application.
- 1.3 Upon acceptance of application, JQA shall notify the auditee organization of the completion of application procedure.
- 1.4 In the event of any of the Supplementary Provision 1, application may be rejected or withdrawn at the discretion of JQA, application may also be withdrawn even after the acceptance if any of the items defined in Supplementary Provision 1 be applied.
- 1.5 Clause 1.4 shall be applied mutatis mutandis to an application for changing the registered contents of the auditee organization’s Management System.

## 2 Contract Review

- 2.1 JQA shall confirm the description of Application Document, when accepting an application for a new certification/registration or change the registered contents. Main points to be checked are as follows;
  - (1) appropriateness of scope of registration
  - (2) identifying sites to be assessed
  - (3) technical expertise
  - (4) estimating assessment man-days.
- 2.2 Contents of the application are confirmed through application documents etc., phone calls to the auditee organization, and etc. JQA shall make a visit (on-site investigation) to the auditee organization when necessary.
- 2.3 When necessary, JQA may make a visit (on-site investigation) to the auditee organization after acceptance of the application.

## 3 Places of Assessment, Assessment Report and Assessment Team, etc.

- 3.1 JQA shall visit the auditee/registered organization, and enter into the facilities needed for the certification/registration, to verify the status of activities for establishing and maintaining the management system, and to review its documentation, records, etc.

The auditee/registered organization shall provide conveniences necessary for such activities after discussing with JQA.

  - 3.1.1. The auditee/registered organization shall promptly provide the information necessary for implementing the assessment upon JQA's request. The information to be provided by the auditee/registered organization shall be latest and accurate.
  - 3.1.2. If the auditee/registered organization could not provide JQA with such information required in the preceding clause 3.1.1, the auditee/registered organization shall disclose its justifiable reason.

NOTE The assessment and registration processes may be suspended when the auditee/registered organization does not give consent to disclosure of information necessary for the assessment and entry into facilities necessary for the assessment and when JQA judges that it is difficult to continue the audit due to the lack of information, or its inaccuracy or false.
- 3.2 The auditee/registered organization shall keep records of complaints/external communication and the corrective actions taken against them, in accordance with the standard concerned or other normative documents for the management system of the auditee/registered organization.
- 3.3 JQA shall prepare an assessment report, and submit the copy of report to the auditee/registered organization.

If any nonconformity (finding for improvement) is detected, a nonconformity report shall be prepared, which shall make a part of the assessment report.
- 3.4 The copyright and property right to each assessment report shall belong to JQA. The auditee/registered organization may copy the assessment report and disclose it to their customer. In such case, all pages of the assessment report shall be disclosed.
- 3.5 JQA auditors are qualified and registered as an auditor by JQA and consist of auditors belonging to companies or organizations which conclude outsourcing agreement with JQA and personal auditors who conclude outsourcing agreement with JQA (hereinafter referred to as “External Auditors”), as well as JQA-employed auditors. JQA may entrust assessment work to External Auditors from necessity.

3.6 JQA may organize assessment team consisting of the members who have the role and responsibility specified below. JQA shall notify auditee/registered organization of the information such as names of organized assessment team including observers specified in clause 3.7 and get an acceptance of auditee/registered organization preliminarily.

3.6.1 Team leaders

- (1) contact to auditee/registered organization regarding assessment
- (2) prepare audit plan and conduct assessment according to the plan
- (3) supervise team members
- (4) describe assessment report
- (5) report assessment result to JQA

3.6.2 Team members

conduct assessment according to the audit plan

3.6.3 Provisional auditors (UO)

be trained as an auditor according to the supervision and coaching by the team leader

3.6.4 Provisional team leader (TLUO)

be trained as an team leader according to the supervision and coaching by the team leader

3.6.5 Technical experts (SP)

provide specific knowledge and specialized technology to assessment team

3.7 JQA may have the following persons accompany the assessment team for the assessment as observers (those who do not conduct assessment) besides auditors;

- (1) Witness auditor of accreditation body  
: conduct witness audit to assess the conformity with the standards of each accreditation
- (2) Witness auditor of JQA  
: conduct witness audit to assess whether the assessment team conducts the assessment properly according to the JQA procedures.
- (3) Translator  
: translate arbitrarily according to the necessity
- (4) Other persons designated by JQA

NOTE The persons of paragraph (4) shall be subject to the consent on their presence by the auditee/registered organization.

3.8 Any consultants and observers of the auditee/registered organization can be present during the assessment but is not allowed to make remarks. However, JQA may request them to walk out when JQA judges that they are obstacle to proceed the assessment.

NOTE In this document, consultant refers to those who provides management system's consultancy services defined in JIS Q 17021-1(Conformity assessment—Requirements for bodies providing audit and certification of management systems). Furthermore, its services are defined to be the following activities related to establishing, implementing and maintenance of management system.

EXAMPLE 1 Preparing or producing manuals or procedures.

EXAMPLE 2 Giving specific advice, instructions or solutions towards the development and implementation of a management system.

Note 1 to entry: Arranging training and participating as a trainer is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information; i.e. the trainer should not provide client-specific solutions.

Note 2 to entry: The provision of generic information, but not client specific solutions for the improvement of processes or systems, is not considered to be consultancy. Such information may include:

- explaining the meaning and intention of certification criteria;
- identifying improvement opportunities;
- explaining associated theories, methodologies, techniques or tools;
- sharing non-confidential information on related best practices;
- other management aspects that are not covered by the management system being audited.

NOTE In this document, observers of auditee/registered organization refers to those who do not belong to the scope of registration.

3.9 In principle, the assessment language shall be Japanese, and the documents provided to JQA for assessment shall be written in Japanese or English.

NOTE When the assessment is conducted in a language other than Japanese, the man-days may be increased due to the use of an interpreter.

3.10 The auditee/registered organization shall not take pictures, video-record, audio-record any documents/activities nor conduct similar activities during audit unless permitted by JQA in advance.

## 4 Safety

- 4.1 The auditee/registered organization shall secure the safety in the area where auditors of JQA and those who accompany them such as technical experts defined in clause 3 (hereinafter referred to as “Auditors”) may enter in the course of assessment, and designate restricted area. If Auditors suffer any injury, JQA may demand payment of compensation from auditee/registered organization for damages suffering from such injury, except for cases in which injury was caused solely by negligence of Auditors.
- 4.2 If the auditee/registered organization suffers damage from Auditors intentionally or negligently, the auditee/ registered organization may demand payment from JQA of compensation for damages thereof.

## 5 Initial Assessment

- 5.1 Initial assessment shall be performed, based on the audit plan prepared under clause 5.5. The assessment and registration procedures may be suspended or withdrawn after discussing with the auditee organization, if the auditee organization happens to be in, and is not cleared of, or still in a situation that the organization:
  - (1) is legally prosecuted, or under investigation;
  - (2) is notified by the authorities that the designation as a supplier is suspended, or is ordered to suspend business operation;
  - (3) has not acquired licenses relative to the business included in the scope of registration;
  - (4) is under inability to operate due to a serious accident, or is ordered by the authorities to suspend operation; or
  - (5) is located in or surrounded by the area which is designated as a restricted area for the purpose of safety by government offices.

### 5.2 Assessment Schemes

The scheme of assessment shall be conducted by the two-stage scheme. The stage 1 assessment shall be performed to review the status and understanding regarding the management system of the auditee organization, and to collect necessary information for the stage 2 assessment.

The stage 2 assessment shall be performed to assess the implementation and effectiveness of the management system. In principle, the interval between stage 1 assessment and stage 2 assessment shall be maximum of 6 months.

#### 5.2.1 Stage 1 Assessment

The main items of the stage 1 assessment are, in principle, as follows:

- (1) To assess the management system documentation.
- (2) To identify the organization included in the scope of registration and sites included in the assessment scope.
- (3) To review the appropriateness and understanding of key processes and significant aspects and policy/objectives of the management system.
- (4) To identify applicable statutory, regulatory, and other requirements and review how to address them.
- (5) To review the status of implementation and planning of both internal assessment and management review
- (6) To review implementation status of analysis and evaluation required by standards such as identification of environmental aspect (ISO 14001), security risk (ISO/IEC 27001), defining energy baseline performance indicator (ISO 50001) , and business impact analysis (ISO 22301), etc.).
- (7) To review the status particular to each standard, such as operation performance, requirements specific to the customer, customer satisfaction information (IATF 16949), measurement method (TL 9000), security policy/Statement of Applicability (ISO/IEC 27001/ISMS-CLD), process documents (ISO/IEC 20000) and operation records (HACCP / ISO 22000 / FSSC 22000), etc.
- (8) To collect information necessary for the implementation of the stage 2 assessment.

5.2.1.1 If there are any areas of concern that could be classified as nonconformity in the stage 2 assessment, JQA shall communicate such concerns to the auditee organization during the stage 1 assessment (unnecessary to inform JQA of correction and corrective action).

5.2.1.2 Based on the result of the stage 1 assessment, JQA shall re-coordinate the man-days and schedule for the stage 2 assessment by the auditee organization’s consent when necessary.

5.2.1.3 When it is judged based upon the result of stage 1 assessment that the auditee organization is unready for the stage 2 assessment, the stage 1 assessment shall be conducted again.

## 5.2.2 Stage 2 Assessment

The stage 2 assessment shall be performed to evaluate the implementation and effectiveness of the management system of the auditee organization, and to assess conformity with the standard.

## 5.3 Request for a Schedule of Initial Assessment

5.3.1 The schedule of initial assessment shall be requested by the “Application Form (for initial assessment)”.

5.3.2 The assessment shall be conducted in accordance with the man-days determined separately.

5.3.3 The schedule of the preceding clause 5.3.1 shall be adjusted and decided on, in principle, one month prior to its implementation.

5.3.4 The auditee organization may request to change the assessment team members, if justifiable.

## 5.4 Readiness Review

JQA judges and decides whether assessment could be conducted based upon information on the auditee organization.

The stage 2 assessment shall not be conducted unless the following items are confirmed:

- (1) internal audits have been implemented and recorded; and
- (2) management reviews have been implemented and recorded.

## 5.5 Audit Plan

The assessment team leader shall prepare an audit plan describing the time and places of assessment, allocation of jobs to each auditor, etc., and send it to the auditee organization.

JQA keeps an audit plan, upon which an audit implementation is based on, as part of assessment report.

## 5.6 Actions against Nonconformities

### 5.6.1 Minor Nonconformity (Nonconformity Category B)

If a minor nonconformity is detected, the auditee organization shall submit its corrective action plan or corrective action report by the time specified in the table below, and obtain JQA’s consent on such corrective action plan or corrective action.

Standards	Corrective Action Report	Corrective Action Plan	Deadline (days)
ISO 9001		●	30
ISO 9001 (If carried out together on IATF 16949 audit)	●NOTE1		60
IATF 16949	●NOTE1		60
JIS Q 9100		●NOTE2	30
SJAC 9120	●NOTE2		90
TL 9000		●	30
ISO 13485	●		90
ISO 14001		●	30
ISO 50001		●	30
ISO/IEC 27001 ISMS-CLS ISO/IEC 27701		●	30
ISO/IEC 20000		●	30
ISO 45001		●	30
HACCP		●	30
ISO 22000		●	30
FSSC 22000		●NOTE3	30
JFS-C		●NOTE4	30
ISO 22301		●	30
ISO 39001		●	30
CSPM		●	30
JIS Q 15001		●	30
ISO 29990 ISO 21001		●	30



- (NOTE1) CAR shall be submitted to JQA within 50 days. However, in case of Major Nonconformity (Nonconformity Category A) Cause Analysis and Corrective action plan including correction taken shall be submitted to JQA within 15 days.
- (NOTE2) The corrective action plan and corrective action report shall be submitted online in accordance with JIS Q 9100 / SJAC 9120 specific Rules 5-2.3, and the consent of JQA shall be obtained. In addition, If immediate containment actions are required, the procedures shall be in accordance with JIS Q 9100 / SJAC 9120 Rules specific 5-2.4.
- (NOTE3) Evidence of correction, and the corrective action plan or corrective action report shall be submitted within 28 calendar days and JQA's consent about the corrective action plan or corrective action implemented shall be gotten.
- (NOTE4) Evidence of correction, and the corrective action plan or corrective action report shall be submitted within 30 calendar days and JQA's consent about the corrective action plan or corrective action implemented shall be gotten.

5.6.2 JQA shall review how the corrective action has been implemented in the next surveillance.

#### 5.6.3 Major Nonconformity (Nonconformity Category A)

If a major nonconformity is detected, the auditee organization shall take its corrective action and submit a corrective action report. A partial or full reassessment shall be conducted by JQA, depending upon the judgment made by the Assessment Certification Committee.

NOTE The Assessment Certification Committee is an organization established within JQA and is composed of members who are independent of the assessment concerned.

5.6.4 Examples of major nonconformity (Nonconformity Category A) defined by JQA are as follows:

- (1) total absence of a management system or procedure;
- (2) total lack of function of a management system or procedure;
- (3) existence of a similar nonconformity throughout the management system;
- (4) repeated violation of related statutory and regulatory requirements;
- (5) a case where, despite the obvious existence of an environmental impact, no environmental aspect is identified (in the case of ISO14001);
- (6) a case where, despite the occurrence of significant and manageable information security risk, any hazard is not identified in the risk assessment (in the case of ISO/IEC 27001);
- (7) a case where, despite the occurrence of significant risk of occupational safety and health, any hazard is not identified in the risk assessment (in the case of ISO 45001);
- (8) the obvious lack of management system capability to conform with the requirements the organization subscribes, such as the customer requirements; and
- (9) the obvious lack of management system capability to achieve the policy and objectives/targets.

## 6 Decision on Registration

Certification decision is making judgement of acceptability for registration based upon the validity of the conclusion of the assessment team, the appropriateness of the assessment process, etc.

## 7 Registration

Auditee organization shall be registered when judged as acceptable, and JQA shall issue to the auditee organization a certificate which shall expire, in principle, on the previous day of the corresponding day three years after the registration date.

The certificate shall consist of the initial registration certificate and its appendices, issued in Japanese and/or in English.

NOTE Regarding the standards listed below, an English certificate must be issued to provide the information to overseas Accreditation Bodies.  
• TL 9000, JIS Q 9100, SJAC 9120, IATF 16949, FSSC 22000

## 8 Publication of Information on Registration

8.1 JQA may publicize the registration information of the registered organization (any contents described on the Certificate) and other necessary information (hereinafter referred to as "Registration Information") on JQA's Website (<https://www.jqa.jp>), and submit the information to the bodies listed below, for each body to publicize the information on its Website.

Bodies	Standards	Website URL
JAB	ISO 9001, ISO 14001, ISO 13485, ISO 22000, ISO 45001	<a href="http://www.jab.or.jp">http://www.jab.or.jp</a>
UKAS	ISO 9001, ISO 14001, ISO/IEC 27001	<a href="https://www.ukas.com">https://www.ukas.com</a>
ISMS-AC	ISO/IEC 27001, ISMS-CLS, ISO/IEC 27701, ISO/IEC 20000, ISO 22301	<a href="https://isms.jp">https://isms.jp</a>
FSSC	FSSC 22000	<a href="https://www.fssc22000.com">https://www.fssc22000.com</a>
JFSM	JFS-C	<a href="https://www.jfsm.or.jp">https://www.jfsm.or.jp</a>
IQNET	ISO 9001, ISO 14001, ISO 13485, ISO 22000, ISO 45001, FSSC 22000, HACCP, TL 9000	<a href="https://www.iqnet-certification.com">https://www.iqnet-certification.com</a>

NOTE In light of information security, JQA may make whole or part of registered organization address unpublicized upon request from the organization

8.2 JQA may provide the information as to audit and the auditee organization to auditors' registration bodies, which is necessary for the auditor to register or maintain one's registration.

## 9 Surveillance/Recertification Assessment

9.1 In order to confirm that the management system of the registered organization continues to be in conformity with the requirements of the standard concerned, a surveillance and a recertification assessment shall be carried out in accordance with the table below according to the man-days determined separately.

During the recertification assessment, the conformity with the standard and the continued effectiveness of the management system shall be fully assessed.

Standards	Surveillance	Recertification assessment
ISO 9001, ISO/IEC 27001, ISMS-CLS, ISO/IEC 27701, JIS Q 15001, ISO/IEC 20000, ISO 22301, HACCP, ISO 22000	Once or twice a year <sup>NOTE1</sup> To be determined by mutual consent upon registration or at the completion of an assessment.	every 3 years in principle
TL 9000, ISO 13485, IATF 16949, JIS Q 9100, SJAC 9120, ISO 14001, ISO 45001, FSSC 22000, JFS-C, ISO 50001, ISO 39001, ISO 29990, ISO 21001	Once a year <sup>NOTE1</sup>	every 3 years in principle

(NOTE1) In principle, "once a year" and "twice a year" refer to surveillance conducted every 12 months and 6 months, respectively.

9.1.1 The surveillance and recertification assessment shall be arranged to be conducted in principle during the period from two months to one month prior to the expiry date. In principle, the assessment schedule shall be adjusted one month prior to the assessment.

9.1.2 Before commencing a surveillance and a recertification assessment, the state of readiness shall be reviewed, including the confirmation if the corrective actions to nonconformities found during the previous assessment, internal audits and management reviews have been carried out as planned. After these confirmations, it shall be determined whether or not the assessment can be conducted.

9.1.3 JQA may suspend the implementation of the audit under each circumstance in clause 5.1.

### 9.2 Surveillance

Based on the result of the surveillance, if it is judged that the management system of the registered organization has been maintained and effective, the registered organization shall continue to be registered.

### 9.3 Recertification Assessment

9.3.1 When such certification decision that the management system of the registered organization is acceptable for the renewal is made by the expiry date based on the result of the recertification assessment, the registration shall be renewed and a renewed Certificate shall be issued. In principle, the expiry date of the renewed Certificate shall be the corresponding date three years after the expiry date of old certificate. (When recertification assessment is not conducted or recertification decision is not made by the expiry date due to force majeure such as convulsion of nature, certification can be restored provided that assessment and certification decision is

completed within 6 months after the expiry date.)

9.3.2 The registered organization shall take some actions (disposal etc.) not to generate misunderstandings as to the old certificate being still active.

#### 9.4 Actions against Nonconformities

9.4.1 If a minor nonconformity (Nonconformity Category B) is detected, the registered organization shall submit a corrective action plan or a corrective action report within the time frame specified in the table below and obtains JQA's consent on the corrective action plan or the corrective action.

Standards	Corrective Action Report	Corrective Action Plan	Time Frame (days)
ISO 9001		●	30
ISO 9001 (if carried out together on IQAT16949 audit )	●NOTE1		60
IATF 16949	●NOTE1		60
JIS Q 9100		●NOTE2	30
SJAC 9120	●NOTE3		90
TL 9000		●	30
ISO 13485	●		90
ISO 14001		●	30
ISO 50001		●	30
ISO/IEC 27001 ISMS-CLS ISO/IEC 27701		●	30
ISO/IEC 20000		●	30
ISO 45001		●	30
HACCP		●	30
ISO 22000		●	30
FSSC 22000		●NOTE4	30
JFS-C		●NOTE5	30
ISO 22301		●	30
ISO 39001		●	30
CSPM		●	30
JIS Q 15001		●	30
ISO 29990		●	30
ISO 21001		●	30

(NOTE1) CAR shall be submitted to JQA within 50 days. However, in case of Major-Nonconformity (Nonconformity Category A) Cause Analysis and Corrective action plan including Correction taken shall be submitted to JQA within 15 days.

(NOTE2) The corrective action plan shall be submitted online in accordance with JIS Q 9100 / SJAC 9120 specific Rules 9-2.3, and the consent of JQA shall be obtained. In addition, if immediate containment actions are required, the procedures shall be performed based on JIS Q 9100 / SJAC 9120 specific Rules 9-2.4.

(NOTE3) The corrective action report shall be submitted online in accordance with JIS Q 9100 / SJAC 9120 specific Rules 9-2.3, and the consent of JQA shall be obtained. The renewal audit shall require submission of a corrective action report.

(NOTE4) Evidence of correction, and the corrective action plan or corrective action report shall be submitted within 28 calendar days and JQA's consent about the corrective action plan or corrective action implemented shall be gotten.

(NOTE5) Evidence of correction, and the corrective action plan or corrective action report shall be submitted within 30 calendar days and JQA's consent about the corrective action plan or corrective action implemented shall be gotten.

9.4.2 JQA shall confirm the implementation status of the corrective action during the next assessment.

9.4.3 During a surveillance, if a major nonconformity (Nonconformity Category A) is detected, the registered organization shall submit its corrective action report, in principle, within 90 days. JQA shall conduct a special assessment defined in clause 15, and the Assessment Certification Committee shall make a judgment whether or not the registration should be maintained. Based on the result of the special assessment, the registration may

be suspended in accordance with the provision of clause 12.

- 9.4.4 During a recertification assessment, if a major nonconformity (Nonconformity Category A) is detected, the registered organization shall take its corrective action and submit a corrective action report, in principle, within 90 days. Based on the judgment made by the Assessment Certification Committee, a partial or full reassessment shall be conducted by JQA.

## 10 Change Assessment/Transition Assessment

10.1 After registration, when there is any change in the contents of registration stated on the Certificate (change of applicable standards, change in scope of registration, integration of management systems, division of management systems, change in the name/location of the organization, and others), or a significant change in the activities, or a significant increase/decrease in the number of employees, the registered organization shall submit an “Application for change in registered contents” without delay, and follow the acceptance procedures based on the provisions of clause 1 mutatis mutandis.

10.2 If the application is accepted, a change/transition assessment shall be conducted. However, in case of the change in the name or location etc., of the organization, decision shall be made by document review alone at the discretion of JQA.

NOTE Transition assessment means change assessment due to a revision of applicable standard such as change of issue year or version of applicable standard.

JQA may suspend the implementation of the audits when the registered organization falls under any of situations in clause 5.1.

10.3 A change assessment or transition assessment shall be performed in accordance with the following procedures.

10.3.1 If JQA judges it necessary, due to a substantial change in the management system of the registered organization and the like, prior to the change assessment, stage 1 assessment may be conducted according to clause 5.2.

10.3.2 A change assessment and transition assessment may be conducted together with a surveillance, recertification assessment, etc. In addition, when conducted alone, the time schedule shall be adjusted and decided by, in principle, one month prior to the assessment. When transition is not completed by the due date designated by the accreditation body and others, the registration shall be invalid.

10.3.3 The readiness shall be reviewed beforehand, to decide if the assessment can be conducted.

10.3.4 When it is determined that the contents of registration can be changed by document review or certification decision after assessment, a certificate reflecting the changes shall be issued.

10.3.5 The registered organization shall take some action (disposal etc) not to generate misunderstanding as to the former Certificate being still active in return of the receipt of the Certificate reflecting the changes.

10.3.6 When a minor nonconformity (Nonconformity Category B) or a major nonconformity (Nonconformity Category A) is detected, the provisions from clause 5.6 shall be followed mutatis mutandis.

## 11 Pre-assessment

11.1 Pre-assessment is conducted according to the request from auditee/registered organization to verify management system.

11.2 Pre-assessment shall not be a part of any other assessment, and it shall not guarantee any result of other assessment.

11.3 Non-binding findings which does not include any recommendation of solution shall be output by pre-assessment.

11.4 Pre-assessment is conducted according to the provisions below.

(1) Pre-assessment shall be conducted only once between any two assessments, or up to twice before initial assessment.

(2) Pre-assessment shall be conducted at the auditee/registered organization according to clause 3.1.

11.5 When auditee/registered organization wishes to have pre-assessment and apply for arranging the schedule of pre-assessment, application for pre-assessment shall be submitted to JQA by the due date designated by JQA.

11.6 The pre-assessment schedule shall be adjusted and fixed, in principle, by one month prior to pre-assessment.

## 12 Suspension of Registration and Lifting Suspension

12.1 In the event that any of the matters described in Supplementary Provision 2 is the case with the registered organization,

the Assessment Certification Committee may suspend the registration for the registered organization setting forth the period of suspension. In this case, a non-periodic assessment based upon clause 14 may be implemented as necessary. In addition, as a principle, such suspension period lasts up to 6 months, but not exceeding the expiry date of the Certificate nor that of the relevant standard.

12.2 When JQA suspends the registration for the registered organization temporarily, JQA shall publicize such information. The registered organization shall return the Certificate temporarily, and suspend use of JQA Management System Registration Marks (hereinafter referred to as “JQA Registration Mark”) and Marks of Accreditation Bodies.

#### 12.3 Lifting Suspension of the Registration

If JQA receives a proposal in writing from the registered organization requesting lifting of suspension of the registration, a special assessment based upon clause 15 shall be conducted as necessary, to confirm if the nonconformity, causing the suspension (hereinafter referred to as “cause of suspension”) has been corrected or not, and the Assessment Certification Committee shall decide whether such lifting is appropriate or not.

12.4 If JQA decides that lifting of such suspension is appropriate, through the Assessment Certification Committee JQA shall inform the registered organization of such lifting, redeliver the Certificate repossessed and publicize the information on its registration status.

### 13 Withdrawal of Registration, Reducing the Scope of Registration and Voluntary Cancellation of Registration

13.1 In the event that any of the matters described in Supplementary Provision 3 is the case with the registered organization, the Assessment Certification Committee may withdraw the registration or reduce the scope of registration of the registered organization.

If the registration of the organization is withdrawn, JQA shall publicize its status for a certain period of time.

13.2 The registered organization may voluntarily cancel its registration by notifying JQA at least a month in advance by the prescribed way.

13.3 If the registration is withdrawn or voluntarily cancelled, the registered organization shall return the Certificate to JQA, and promptly cease the use of JQA Registration Mark and any marks of the Accreditation Bodies.

13.4 If the scope of registration is reduced, the registered organization shall change the scope if it is publicized.

13.5 When the registered organization transfers the certification to other certification body, JQA can provide the documents and information specified in 20.2 to the certification concerned.

### 14 Non-periodic Assessment

14.1 When any one of the matters described below is the case with the registered organization, a non-periodic assessment shall be conducted as necessary:

- (1) when no notice of such changes to JQA has been given, despite significant changes in the content of activities related to the registration, or in the management system of the registered organization due to change of location, etc.;
- (2) when significant doubts have arisen over the effectiveness of the management system of the registered organization or compliance with the legal regulations relevant to the business targeted for assessment through press reporting or complaints from third-parties, etc.; or
- (3) when JQA judges that the situation corresponds to any items of (1) to (8) of the Supplementary Provision 2.

### 15 Special Assessment

15.1 When any one of the matters described below is the case with the registered organization, a special assessment shall be conducted as necessary:

- (1) when the registered organization requested to lift the suspension; or
- (2) when the result of corrective action against major nonconformity (Nonconformity Category A) identified during the surveillance is to be reviewed.

15.2 JQA may conduct a special assessment and other assessment (clause 9 or 10) together.

## 16 Appeals

- 16.1 The auditee/registered organization may file an appeal to JQA if the auditee/registered organization has appeals in respect of a judgment by JQA, including the one on certification/registration.
- 16.2 Appeal may be filed in writing within 45 days after the date of its cause.
- 16.3 JQA conducts necessary investigation, and reply with the investigation result in written form to the auditee/registered organization within one month in principle from the receipt of the appeal.
- 16.4 The auditee/registered organization may file a request for a review in case it is dissatisfied with the investigation result described in 16.3. JQA shall set up a committee to assess the appeal and convey the review result in written form within 3 months from the receipt of the appeal.

## 17 Witnessing Assessment and Accessing Documents, and Others by Accreditation Bodies

- 17.1 If Accreditation Bodies request to witness the assessment of the auditee/registered organization by JQA, or to access documents or records related to certification for the auditee/registered organization for the purpose such as continuation of accreditation for JQA, the auditee/registered organization shall accept such request.
- 17.2 If Accreditation bodies request to cooperate on other accreditation activities, the auditee/registered organization shall accept the request except for cases when there is a reason which can be justified by the accreditation bodies.

## 18 Request for Investigation and Information from Auditee/Registered Organization

- 18.1 In the case where a third-party brings a complaint, etc. before JQA claiming it concerns the management system of the auditee/registered organization, JQA can request the auditee/registered organization to conduct an investigation by the auditee/registered organization.
- 18.2 The auditee/registered organization shall appropriately reply to JQA's request by providing the relevant information.
- 18.3 When the auditee/registered organization has matters which may affect the capacity of management system such as a change in legal status of the organization, falls into the situations specified in clause 5.1 or becomes under Corporate Reorganization Act or Civil Rehabilitation Act, the auditee/registered organization shall inform JQA immediately.

## 19 Fees

- 19.1 JQA shall send bills for the payment of application fees, assessment fees and registration fees, etc. (hereinafter referred to as "Fees") based upon the latest version of the JQA Certification/Registration Fee Table (hereinafter referred to as "Fee Table") to the auditee/registered organization at prescribed times, and the auditee/registered organization shall make payment of such Fees in accordance with the payment procedures set forth in the relevant bill within 1 month after the date of issue. The Fees thus received by JQA are not refundable under any circumstances.
- 19.2 If any part of the Fee Table is amended, JQA shall promptly inform the auditee/registered organization of such amendment together with its effective date.
- 19.3 If the auditee/registered organization fails to make payment of any fee specified in clause 19.1 in accordance with the prescribed procedure by the due date, JQA may refuse to make certification procedure thereafter. In such event, JQA may withdraw the acceptance of the application for registration, suspend the registration, or withdraw the registration in accordance with the prescribed procedures.
- 19.4 If the auditee/registered organization fails to make payment of any fee specified in clause 19.1 in accordance with the prescribed procedure by the due date or becomes under Corporate Reorganization Act or Civil Rehabilitation Act, JQA may request advance payment to the auditee/registered organization.

## 20 Transfer of Registration from Other Bodies

- 20.1 When an organization that has been certified of management systems by the original certification body wishes to transfer its registrations to JQA, JQA can proceed with the transfer procedures after having confirmed that all the elements of (1) through (4) below are satisfied, without conducting the initial assessment under clause 5.
  - (1) The organization seeking to transfer its registration shall be registered by a certification body which satisfies the requirements specified in the table below;
  - (2) The registration to be transferred shall not be under suspension;
  - (3) The scope of registration of the organization shall be within the scope of accreditation for which JQA is

accredited; and

- (4) The organization shall provide the application, and the certificate copy to JQA, which the original certification body have issued.

Standards	Requirements for Certification Bodies
ISO 9001	Accredited by an IAF or Regional MLA signatory
ISO 14001	
ISO 45001	
ISO 22000	
ISO 13485	
ISO/IEC 27001	
IATF 16949	Recognized by IATF
JIS Q 9100 SJAC 9120	Accredited by JAB or other accreditation body recognized by the other sectors (north and south America, Europe, Asia Pacific) of IAOG (AS, EN, other 91** standards)
TL 9000	Accredited by an accreditation body recognized by the TIA QuEST Forum
ISMS-CLS	Accredited by ISMS-AC
ISO/IEC 27701	
ISO/IEC 20000	
ISO 22301	
FSSC 22000	Accredited by an accreditation body which is approved by FSSC
JFS-C	Accredited by an accreditation body which is approved by JFSM

NOTE It may be restricted according to the status of IAF or other Regional such as EA, PAC or IAAC etc. MLA signatory.

- 20.2 In addition to the procedures of application specified in clause 1, JQA shall receive the following documents/records to confirm that the conditions under clause 20.1 are satisfied. JQA shall review these documents;
- (1) a copy of audit report by the original certification body, which includes the latest initial certification or recertification report and subsequent surveillance reports.
  - (2) other documents/records related to the certification process, which demonstrate the perfect condition of the certification.
- 20.3 After the review of necessary documents, on-site review shall be implemented to confirm that the management system of the organization has been maintained.
- 20.4 If it is confirmed by JQA that the management system of the organization have been maintained, after the judgment on registration based upon clause 6, the organization shall be registered based upon clause 7. The effective period of the new certificate issued by JQA shall be the same as the period set by the original certification body. Following the registration of the organization after the judgment on registration based upon clause 7, JQA informs the original certification body of the completion of the organization's registration.
- 20.5 If it is proved that the conditions of clause 20.1 have not been satisfied, stage 2 assessment based upon clause 5.2.2 in addition to on-site review specified in clause 20.3 shall be implemented.

## 21 Revision, etc.

- 21.1 The rules may be revised at JQA's discretion, in which case, JQA shall post immediately upon JQA's website (<https://www.jqa.jp>) the revisions and effective date, for giving notice to the auditee/registered organization.
- 21.2 The provisions of the Agreement for Certification/Registration shall supersede in the case where any of the provisions of these rules differ from any of those on the Agreement for Certification/Registration.

### Supplementary Provision 1 Reasons for Not Accepting an Application for Registration

- (1) If there is any misrepresentation or serious untruthfulness in the description in the application for registration;
- (2) If there is any misrepresentation or serious untruthfulness in information provided by the auditee organization in the course of the procedure for the certification;
- (3) If the application for registration is extremely difficult for JQA to manage in terms of technical reasons;
- (4) If the application for registration is in an area which may be misused or abused by any party including the auditee organization;
- (5) If the application for registration fall under the application by any organization or association which is or may be engaged in illegal activities, activities in breach of public order or interest, antisocial activities, or other activities which may interfere with the business of JQA, and JQA judges that the registration may be against the public interest or interfere the normal business of JQA;
- (6) If the auditee organization is a dormant organization or association;
- (7) If the application for registration does not conform to the rules of this document;
- (8) If the auditee organization does not make payment of the application fee within the period specified in the Agreement for Certification/Registration;
- (9) If the auditee organization is subject to the suspension of business transactions with banks, if the auditee organization is subject to corporate dissolution under the applicable law or to voluntary liquidation, if a petition for commencement of bankruptcy proceeding is filed against the auditee organization under the applicable law or the special liquidation is initiated against the auditee organization, or if the auditee organization is subject to similar proceeding. Furthermore, if JQA judges that certification for the auditee organization is not feasible or is difficult after discussion with the auditee organization when the auditee organization is subject to corporate reorganization, corporate rehabilitation, special mediation or similar situation under the relevant act;
- (10) Despite the fact that 1 year has passed since the application for registration was accepted by JQA, the auditee organization has not proposed the schedule defined under either clause 2 or clause 5 without a justifiable reason, or despite the fact that one year has passed since the contract review visit of clause 2 was carried out, the auditee organization has not proposed the schedule defined under either clause 2 or clause 5 without a justifiable reason;
- (11) If JQA judges that the acceptance of application for registration is not appropriate; or
- (12) If the auditee organization is otherwise in breach of any provision of the Agreement for Certification/Registration or the rules of this document.

### Supplementary Provision 2 Reasons for Suspending Registration

- (1) If a corrective action plan or corrective action report for nonconformity is not submitted to JQA within the period specified without due cause;
- (2) If a corrective action of the registered organization for nonconformity agreed by JQA fails to be implemented without due cause;
- (3) If surveillance or recertification assessment is not conducted within the prescribed period without due cause.
- (4) If the use of the Certificate, JQA Registration Mark or any Accreditation Body's mark is intentionally in breach of the relevant rules;
- (5) If the registered organization's Management System has been failing, or is believed to be failing, wholly or partially to function for 2 months or more due to any serious accident or suspension order of business issued by a competent administrative agency;
- (6) If the registered organization is in breach of applicable law or regulation in its business;
- (7) If a crucial question arises to effectiveness of the registered organization's Management System.
- (8) If the registered organization is in breach of the rules of this document;
- (9) If the registered organization does not make the payment of the Fees defined in clause 19, in spite of the duly followed payment procedure;
- (10) If the registered organization proposes in writing to suspend the registration temporarily; or
- (11) If JQA otherwise judges appropriate to suspend the registration temporarily.



### Supplementary Provision 3 Reasons for Withdrawing Registration

- (1) If the cause of suspension of the registration of registered organization is not solved within the period prescribed by JQA;
- (2) If there is any misrepresentation or serious untruthfulness in the description in the application for registration;
- (3) If there is any misrepresentation or serious untruthfulness in information provided to JQA by the auditee/registered organization;
- (4) If JQA judges that the withdrawal of the registration is appropriate when a result of the registration is or may be misused, abused or in breach of public interest against the purpose of the Certification Scheme in the business or action of the registered organization, or when registered organization engages or may engage in illegal activities, activities in breach of public order or interest, antisocial activities, or other activities which may interfere with the business of JQA;
- (5) If the registered organization is subject to the suspension of business transactions with banks, if the registered organization is subject to corporate dissolution under the applicable law or to voluntary liquidation, if a petition for commencement of bankruptcy proceeding is filed against the registered organization under the applicable law or the special liquidation is initiated against the registered organization;
- (6) If the registered organization is in breach of the Agreement for Certification/Registration; or
- (7) If JQA otherwise judges that the withdrawal of the registration is appropriate.

NOTE If the registered organization provide the false information or explanation, JQA judges the necessity of withdrawal of certification upon the consideration whether it will affect the certification decision significantly.

### Supplementary Provision 4 ICT-based remote audit

This provision stipulates the operating procedure for an audit by using ICTs (Information and Communication Technologies) (hereinafter referred to as "Remote Audit"). JQA and the auditee/registered organization will determine whether or not the audit can be conducted in a Remote Audit by negotiation in good faith.

#### 4.1 Remote Audit

- (1) JQA carries out the Remote Audit by remotely accessing to the auditee/registered organization's information via including but not limited to audio, video and data sharing during the whole or a part of the audit.
- (2) JQA and the auditee/registered organization shall prepare an environment sufficient to carry out the Remote Audit by using their own equipment and communication lines, etc.
- (3) If the auditee/registered organization wishes to use its own ICTs for the Remote Audit, and if it could be used by JQA, the auditee/registered organization shall instruct Auditors how to use that ICTs, and prepare it for the Remote Audit as necessary. If the auditee/registered organization's own ICTs cannot be used by JQA, JQA and the auditee/registered organization shall determine the appropriate ICTs which can be used by JQA and the auditee/registered organization by negotiation in good faith.
- (4) During the Remote Audit, the auditee/registered organization shall place the personnel on standby who are necessary for having the Remote Audit without delay, and shall give appropriate explanations to Auditors. The auditee/registered organization shall make best efforts to cooperate with Auditors when checking the items necessary for the audit such as documents, facilities, operations, etc.
- (5) During the Remote Audit, JQA and the auditee/registered organization shall not electrically/electronically record the information provided through ICTs.
- (6) JQA and the auditee/registered organization shall not be liable for any damage caused to the other party or a third party due to reasons that are not attributable thereto, such as malfunctions in ICTs or communication environment, etc.
- (7) If JQA judges that it is difficult to carry out the Remote Audit during its preparation period or in the Remote Audit due to the deterioration of communication conditions, equipment malfunctions, etc., JQA may suspend the subsequent certification/registration relating processes, change the schedule of the Remote Audit, and/or carry out an on-site audit instead at a later date.
- (8) If the schedule change or the implementation of on-site audit specified in the paragraph above occurs due to the reasons that are not attributable to JQA, JQA may charge the auditee/registered organization a fee for changing

the schedule or its cancellation.

#### 4.2 Information Control

- (1) JQA and the auditee/registered organization shall take appropriate information security measures such as installing anti-virus software, and timely updating their own operation system software and other applications.
- (2) JQA and the auditee/registered organization shall comply with the terms and conditions of their own software and hardware to be used for the Remote Audit.
- (3) JQA shall conduct the Remote Audit in closed rooms (JQA offices, rental conference rooms, Auditors' home, etc.) where no one else can see and hear the information of the auditee/registered organization.

#### 4.3 Others

- (1) JQA and the auditee/registered organization shall not be liable for any damages to the other party caused by security accidents that are not attributable thereto such as an unauthorized access, hacking etc.

### Supplementary Provision 5 Rules specific for each standard

This provision specifies the rules specific for each standard.

#### 【Numbering in the rules specific for each standard】

As a number of clause in this provision, numeric suffix ‘-x’ is appended to the number of corresponding clause in main body. When there is no corresponding clause in main body of this Rules, the clause number 50-X and the consecutive numbers are assigned.

<Rules specific for IATF 16949>	
1-1	Exclusions
1-1.1	The only exclusion approved for IATF 16949 is limited to “Product Design and Development” IATF 16949 Clause 7.3) when the organization has no responsibility for product design and development.
1-1.2	Manufacturing process design is not included in the approved exclusions.
1-1.3	The site which supplies customer-specified production parts and/or service parts to only automotive customers not requiring 3 <sup>rd</sup> party certification to IATF 16949 may be excluded from the scope of certification.
1-1.4	For a site requiring 3 <sup>rd</sup> party certification to IATF 16949, all production parts and/or service parts manufactured and supplied to every customers shall be included in the scope.
3-1	The presence of IATF representatives or delegates
3-1.1	The auditee/registered organization cannot refuse the presence of representatives or their delegates of IATF that recognizes JQA (hereinafter referred to as “IATF Representatives”) and shall not interfere an IATF witness audit.
3-1.2	Once a witness audit is selected and announced, the audit schedule and designated auditors shall not be changed in principle.
3-1.3	The auditee/registered organization shall secure the safety in the area where IATF Representatives and observers defined in clause 3.7 of this Rules may enter in the course of assessment, and designate restricted area.
3-1.4	The auditee/registered organization cannot refuse the request from JQA to provide the audit report to IATF, either.
3-2	Participation of Consultant in the audit
3-2.1	Consultants to the auditee organization cannot be physically present at the auditee’s site during the audit or participate in the audit in any ways.
5-1	Initial Certification Audit
5-1.1	Readiness review is conducted in the stage 1 audit. The records of implementation of internal audit and management review shall be reviewed in the stage 1 audit.
5-1.2	Stage 2 audit is commenced within 90 days after the stage 1 audit.
5-1.3	Site audit of the stage 2 audit is conducted after auditing the remote supporting functions.
5-1.4	In the audit, the implementation status and effectiveness of the auditee organization’s management system are evaluated. The system’s conformance with the standard requirements and (if applicable) customer specific

<Rules specific for IATF 16949>

requirements is also audited.

NOTE Customer specific requirements are positioned as interpretations or supplementary NOTES of the standard specified by customers, issuing in the forms of e.g. specific requirements, contract terms, service level agreements, and supplier quality assurance procedures.

5-1.5 In case that a nonconformity is raised, the nonconformity shall be handled in line with the clause 5-2.

5-1.6 Recommendation of certification shall be suspended if nonconformity is raised during the initial certification audit.

5-1.7 In case of the preceding clause, unless the corrective actions are implemented effectively within 90 days, the organization shall no longer be recommended for certification and shall restart from the stage 1 of initial audit.

5-2 Actions against Nonconformities

5-2.1 The definitions of a major nonconformity in IATF 16949 are as below:

(1) Nonconformity Category A

① The absence of or total breakdown of a management system to meet IATF 16949 requirement. A number of minor nonconformities (category B) against one requirement can represent a total breakdown of the system thus be considered a major nonconformity.

② Any nonconformity that would result in a shipment of nonconforming product. A condition that would result in the failure or materially reduce the usability of the products or the services for their intended use.

③ Nonconformity, by which judgement and experience indicate is likely either to result in the failure of the quality management system or to reduce its ability to ensure controlled process and products.

(2) Nonconformity Category B

A failure to comply with IATF 16949 that, based on judgement and experience, is not likely to result in the failure of the quality management system or reduce its ability to ensure controlled process or products. It may be one of the following.

① A failure in some part of the auditee/registered organization's quality management system relative to IATF 16949.

② A single lapse in following one item of a company's quality management system.

5-2.2 In case that a major nonconformity (Nonconformity Category A) is raised, the registered organization shall submit a corrective action plan to JQA, including root cause analysis and corrective action plan including correction, principally within 15 days from the last day of the audit. (Clause 8.1 applied "Initiation of the decertification process")

5-2.3 Whether corrective action to major nonconformity (Nonconformity Category A) is implemented effectively shall be verified on-site, in principle, within 90 days after the completion of the audit. (Refer to Rules specific for IATF 16949 clause 15-1. "Special Audit".) Also, even for minor nonconformity (Nonconformity Category B), an on-site verification may be conducted at the discretion of JQA.

9-1 Surveillance/ Recertification Audit

9-1.1 In principle, at least one auditor of the initial audit team should participate in all audits of the three year audit cycle starting from the completion date of the initial certification audit. Different auditors should be used for each subsequent three-year audit cycle starting from the completion date of the recertification audit. For this subsequent cycle, at least one of the auditors who participated in the recertification audit shall conduct all the audits.

9-1.2 Surveillance audits shall be scheduled as the last day shall not exceed 12 months (-3 months, +1 month) from the last day of the previous audit. Recertification audits shall be scheduled as the last day shall not exceed three years (-3 months, +0 days) from the last day of the previous recertification audit. Audit schedule shall be fixed by three months before the implementation in principle.

9-1.3 In case that a nonconformity is raised, the nonconformity shall be handled in line with the clause 5-2.

9-1.4 In case major nonconformity (Nonconformity Category A) is detected, or the situations where the surveillance audit timing is to be exceeded, JQA suspends the registration.

10-1 Notice of changes and Change Assessment

Registered organization shall submit "Application for changes in registered contents", without delay, when they has any of management-system-related changes described below in addition to clause 10.1 of this Rules. When it is not

<Rules specific for IATF 16949>

submitted within 90 days after the changes, it may result in major nonconformity (Nonconformity Category A).

- (1) legal status
- (2) commercial status (e.g., joint venture, sub-contracting with other organizations)
- (3) ownership status (e.g., mergers, and acquisitions)
- (4) organization and key management (e.g., key managerial, decision-making, technical staff or head of site)
- (5) contact address or location
- (6) scope of operation under the certified management system
- (7) IATF OEM customer special status  
When registered organization receives special notice from IATF OEM customer, they shall notify JQA within 10 days from the receipt or the period specified by the customer
- (8) Transfer to a new IATF-recognized certification body

#### 11-1 Pre-audit

11-1.1 Pre-audits as below are performed before initiating the initial certification audit, by the request from the auditee organization. Pre-audit is neither for judging the registration nor to guarantee the results of the initial certification audit.

- (1) Identify the status of the development of the auditee organization's management system in light of the standard, and report to the auditee organization.
- (2) Pre-audit is an audit prior to the stage 1 audit, conducted only once for the life of the same organization.
- (3) Pre-audit is conducted at the site of the auditee organization.

11-1.2 Arrangement of pre-audit schedule shall be applied for by the deadline specified by JQA by use of the "JQA management System Assessment Schedule Application Form (for use in pre-audit)".

11-1.3 The pre-audit schedule shall be adjusted and fixed, in principle, by one month prior to pre-audit.

11-1.4 On-site Investigation defined in clause 2.2 and clause 2.3 of this Rules shall not be applied.

#### 12.1 Suspension of Registration

12-1.1 JQA shall register into IATF Database immediately when JQA suspended the registration of an organization.

12-1.2 Decision and actions for suspension of the registration are to be implemented according to clause 8.0 "Certificate decertification process" of "Rules for achieving IATF recognition". The registered organization may use JQA Registration Mark even during the period of suspension. The organization does not need to temporarily return the certificate, and the certificate remains valid during the suspension period.

12-1.3 The suspension period shall be a maximum of 120 days and end in either lifting of the suspension or withdrawal of the certificate.

#### 13.1 Withdrawal of Registration

JQA promptly register into IATF Database when the certification of a registered organization is withdrawn.

#### 15.1 Special Audit

JQA conducts special audit for the following purposes

- (1) Investigate on complaint against registered organization's performance which JQA received from IATF-OEM member, its relevant IATF oversight office, or any automotive customer of registered organization
- (2) Confirm in response to registered organization's change in quality management system and/or significant change at its site
- (3) As a result of a suspended certification (within maximum 90 calendar days from the start of decertification process)
- (4) Verify the effective implementation of identified corrective actions for major nonconformities (within 90 calendar days after the completion of audit)
- (5) Verify the effective implementation of the identified open but 100% resolved corrective actions of the auditee/registered organization. (after 90 days since the completion of audit and before the next audit)
- (6) Investigate on re-certification after a certificate is withdrawn.
- (7) In case an auditee/registered organization receives the information of special status by IATF OEM.
- (8) Verify the implemented corrective actions are showing improvement in the achievement of the customer performance indicator.

<Rules specific for IATF 16949>

17.1 Entry of Audit Result to IATF Database

JQA may enter the audit result to IATF Database according to IATF requirement.

20.1 Transfer of Registration from Other Certification Bodies

20-1.1 If the certified organization seeking to transfer its registration has transferred from another certification body within the previous three-year period, its registration shall not be transferred to JQA.

20-1.2 JQA shall conduct the review of key indicators of Quality Management System performance in addition to the contents defined in clause 20 of this Rules.

20-1.3 The certified organization shall provide JQA with the audit reports issued by the existing certification body during the previous three years.

20-1.4 The registered organization shall provide JQA with the evidence that all nonconformities issued by the existing certification body for the site and any remote support locations are closed. 100% resolution is not acceptable.

20-1.5 The on-site audit shall be conducted equivalent to re-certification audit. The new certificate issued by JQA shall expire on the previous day of the corresponding day three years after the registration date.

20-1.6 The certified organization should keep the certification of the existing certification body until all the transfer activities complete.

20-1.7 JQA does not complete the transfer process until the existing certification body has conducted at least one on-site audit to verify the effective implementation of the identified corrective actions.

(1) The auditee organization is in any IATF OEM special status condition.

(2) When the certificate was suspended within the previous 12 months and the suspension was initiated due to any of the following reasons.

—The existing certification body received a performance complaint against the auditee organization from an IATF OEM member, its relevant IATF Oversight Office, or any automotive customer of the auditee organization.

—The auditee organization advised the existing certification body of a special status condition from IATF OEM within 10 calendar days from receipt of the special status condition.

—The existing certification body issued nonconformities in surveillance or recertification assessment.

20-1.8 Failure to complete all the required activities shall result in an initial certification audit.

20-1.9 The auditee organization shall inform the existing certification body of the intent of transfer.

50-1 Others

50-1.1 Auditee/Registered organization shall understand the requirements and ANNEX described in Rules for achieving and maintaining IATF recognition.

50-1.2 In case that a registered organization will transfer the certificate to a new certification body, JQA shall maintain the registration until the transfer will be completed. The registered organization shall immediately notify JQA of the transfer as soon as a new certificate will be issued by a new certification body. JQA will cancel the certificate within 7 days of the notification that a new certificate has been issued.

Supplementary Provision 2-1 Reasons for Suspending Registration

Additional reasons for suspension of registration are as below:

(1) If the registered organization voluntarily requests suspension due to a significant change of ownership or production discontinuation of the product within the scope of registration,

(2) If a nonconformity is observed during the audit,

(3) If the surveillance audit timing is likely to be exceeded,

(4) If the registered organization receives a special status notification from an IATF OEM customer,

(5) If a claim is received from other customers of the registered organization,

(6) If the required information to undertake effective audit planning is not supplied to JQA, and

(7) If JQA judges reasonable to suspend the registration, according to information from the field.

Supplementary Provision 3-1 Reasons for Withdrawing Registration

<Rules specific for IATF 16949>

Additional reason for withdrawal of registration is as below:

- (1) If the registered organization no longer has products or services that meet the applicability for a period of more than 12 months.
- (2) If it is identified that the certified organization has not notified JQA regarding Rules specific for IATF 16949 clause 10-1.
- (3) If the corrective actions have not been accepted by JQA within 90 calendar days.
- (4) If it is recognized that the corrective actions against major nonconformity are not implemented effectively.

Supplementary Provision 4-1 Standard Operating Procedure for Remote Audit

Upon conducting an audit by using ICTs (Information and Communication Technologies) based on IATF GLOBAL WAIVERS AND MEASURES IN RESPONSE TO THE CORONAVIRUS PANDEMIC (COVID-19), the auditee/registered organization must sign the "Remote Audit Consent Form (IATF 16949)" so that it is deemed to have agreed with all the terms and conditions set forth in such consent form.

<Rules specific for JIS Q 9100/SAJC 9120> Each number in the parenthesis indicates corresponding clause in SJAC 9104-1 and / or SJAC 9101

1-1 Application for Certification/Registration

- 1-1.1 When applying for a new certification/registration, the auditee organization shall submit designated application documents as well as the data of the organization's internal audit program and the organization's performance (On-time Delivery, Conformity of Delivered Product or Service, Customer Satisfaction) for risk analysis.(SJAC 9104-1 8.2.1.a, 8.2.1.b, 8.5.1.5, 9.1.10)
- 1-1.2 The auditee organization shall permit JQA to publish the JIS Q 9100 / SJAC 9120 audit results and registration information, etc. in the Online Aerospace Supplier Information System (hereinafter referred to as "OASIS database") in accordance with clause 8-1 of the specific rules. (SJAC 9104-1 8.1.6, 8.2.1.a, 9.1.4)
- 1-1.3 The auditee organization shall identify the Online Aerospace Supplier Information System ( hereinafter referred to as "OASIS database" ) administrator for each business site ( hereinafter referred to as "site" ) subject to certification and notify JQA of it. (SJAC 9104-1 8.2.1.a, 9.1.6)

3-1 Audit reports, etc. on the OASIS database.

- 3-1.1 JQA prepares audit reports in the OASIS database and makes them available for auditee/registered organizations for reference. If nonconformities are detected, a nonconformity report shall be created as part of the audit report in the OASIS database and made available to the auditee/registered organization. (SJAC 9104-1 8.1.6, 8.5.7.1)
- 3-1.2 The auditee/registered organization will notify JQA if confidential or restricted information needs to be removed from the audit report on the OASIS database.(SJAC 9104-1 8.2.1.a, 9.1.5)
- 3-1.3 Auditees/registrants shall make their audit reports available in the OASIS database upon request to aerospace and defense industry customers and regulatory authorities, unless they can show justifiable reasons (competition, confidentiality, conflict of interest, etc.)(SJAC 9104-1 8.2.1.a, 9.1.8)

5-1 Registration assessment

- 5-1.1 The following shall be added to the items (Refer to Clause 5.1 of this Rules) by which the assessment and registration procedure may be suspended or withdrawn, after discussing with the auditee organization.
  - (1) the auditee organization does not maintain an OASIS database administrator for each site; (SJAC 9104-1 8.2.1.a, 9.1.6)
- 5-1.2 Stage 1 and Stage 2 audits shall not be performed on the same day or on consecutive days. (SJAC 9104-1 8.5.5.3)
- 5-1.3 The Stage 1 audit will be conducted on-site by visiting the site of central function identified. In addition, if the auditee organization has multiple sites, conducting site visits representing different technologies and dissimilar activities shall be made. (SJAC 9104-1 8.5.5.1, 8.5.5.2)
- 5-1.4 The Stage 1 audit shall review the records of internal audits and management reviews, requirements for confidential information and import/export restrictions, and the use of additional aerospace industry standards (hereinafter referred to as the "IAQG Standards Matrix"). (SJAC 9104-1 8.5.1.3, SJAC 9101 6.3.2.1.g, 6.3.3.1.e)

<Rules specific for JIS Q 9100 / SJAC 9120> Each number in the parenthesis indicates corresponding clause in SJAC 9104-1 and / or SJAC 9101

## 5-2 Actions against nonconformities in Registration assessment

5-2.1 The definition of major nonconformity and minor nonconformity in assessment to JIS Q 9100 / SJAC 9120 shall be the same as that of SJAC 9101. (SJAC 9101 3.3, 3.4)

NOTE Multiple minor nonconformities to the same requirement (e.g. similar nonconformities encountered in the different sites or in the different sections/divisions/processes in the same site) may possibly indicate the entire collapse of system and result in major nonconformity.

5-2.2 If a major nonconformity or minor nonconformity is detected in the JIS Q 9100 / SJAC 9120 audit, the auditee organization shall proceed according to Clause 5.6.1 of this Rules. (SJAC 9101 5.5)

5-2.3 The procedure in the preceding paragraph shall be performed through direct entry into the nonconformity report in the OASIS database, and JQA's consent shall be obtained online. (SJAC 9104-1 8.1.6, 8.2.1.a, 9.1.7)

5-2.4 If prompt containment is needed due to the nature of nonconformity, The auditee organization shall report to JQA via direct entry into the nonconformity report in the OASIS database the containment action, including corrections, within 7 days after conducting the audit and obtain JQA's consent online within the next 14 days. (SJAC 9104-1 8.1.6, 8.2.1.a, 9.1.7, SJAC 9101 5.5)

## 6-1 Decision on Registration

6-1.1 In addition to the contents of Clause 6 of this Rules, JQA shall determine whether registration is granted or denied based on the following items.

(1) Completion of response to nonconformities and effectiveness of related corrective actions in Clause 5-2 of this specific rules (SJAC 9104-1 8.5.8.1)

(2) Consistency between the scope of registration and the applicable scope of JIS Q 9100 / SJAC 9120 standard (SJAC 9104-1 8.5.1.3, 8.5.8.2)

(3) Maintenance status of OASIS database administrators for each site (SJAC 9104-1 8.2.1.a, 9.1.6)

NOTE If any of the above items cannot be confirmed at the Certification decision, JQA does not judge the renewal as acceptable. (SJAC 9104-1 8.2.2, 9.1.1)

## 7-1 Registration

7-1.1 JQA shall issue certificate of JIS Q 9100 / SJAC 9120 upon the accreditation by an accreditation body. (SJAC 9104-1 8.1.2, 8.2.4.6)

## 8-1 Issuance of registration information, etc. in the OASIS database

8-1.1 JQA publishes JIS Q 9100 / SJAC 9120 registration information, etc. on its own website (Refer to Clause 8.1 of this Rules), and share the following data with IAQG and The Society of Japanese Aerospace Companies Japan Aerospace Quality Group (hereinafter referred to JAQG) by publishing it in the OASIS database. (SJAC 9104-1 8.1.6, 8.2.1.a, 9.1.4)

(1) public data: JIS Q 9100/SJAC 9120 registration certificate of the auditee/registered organization and its certification status.

(2) non-public data: Information on JIS Q 9100/SJAC 9120 audit results, evaluation results, nonconformities, corrective action, and scoring of auditee/registered organizations.

## 9-1 Surveillance and recertification assessment

9-1.1 The following shall be added to the items (Refer to Clause 5.1 of this Rules) by which the surveillance and recertification assessment be suspended after discussing with the auditee organization.

(1) the auditee organization does not maintain an OASIS database administrator for each site; (SJAC 9104-1 8.2.1.a, 9.1.6)

9-1.2 In principle, the recertification assessment shall be set at least 3 months before the expiry date. (SJAC 9104-1 8.5.5.8)

9-1.3 In case of recertification assessment, JQA shall issue a renewed JIS Q 9100 / SJAC 9120 registration certificate to the registered organization whose assessment judgment indicates that renewal is acceptable by the expiration date, based on this Rules 9.3.1 and the following items.

(1) Completion of response to nonconformities and effectiveness of related corrective actions in Clause 5-2 of this rules specific (SJAC 9104-1 8.5.8.1)

(2) Consistency between the scope of registration and the Applicable scope of JIS Q 9100 / SJAC 9120 standard (SJAC 9104-1 8.5.1.3, 8.5.8.2)

<Rules specific for JIS Q 9100 / SAJC 9120> Each number in the parenthesis indicates corresponding clause in SJAC 9104-1 and / or SJAC 9101

(3) Maintenance status of OASIS database administrators for each site (SJAC 9104-1 8.2.1.a, 9.1.6)

NOTE If any of the above items cannot be confirmed at the Certification decision, JQA does not judge the renewal as acceptable. (SJAC 9104-1 8.2.2, 9.1.1)

NOTE If the certification decision is not completed by the expiry date, the certificate will expire and become invalid. However, if a recertification assessment have started by the expiry date, the certification can be restored if the assessment decision is completed (including uploading and posting to the OASIS database) within six months of the expiry date of the certificate. (SJAC 9104-1 8.5.11.2)

#### 9-2 Actions against nonconformities in surveillance and recertification assessment

9-2.1 The definition of major nonconformity and minor nonconformity in assessment to JIS Q 9100 / SJAC 9120 shall be the same as that of SJAC 9101. (SJAC 9101 3.3, 3.4)

NOTE Multiple minor nonconformities with the same requirement (e.g. similar nonconformities encountered in the different sites or in the different sections/divisions/processes in the same site) may possibly indicate the entire collapse of system and result in major nonconformity.

9-2.2 When major nonconformity or minor nonconformity is detected in the assessment to JIS Q 9100 / SJAC 9120, registered organization shall take the procedure based upon clause 9.4.1 in this Rules.

9-2.3 The procedure in the preceding paragraph shall be performed through direct entry into the nonconformity report in the OASIS database, and JQA's consent shall be obtained online. (SJAC 9104-1 8.1.6, 8.2.1.a, 9.1.7)

9-2.4 If prompt containment is needed due to the nature of nonconformity, The auditee organization shall report to JQA via direct entry the containment actions into the nonconformity report in the OASIS database, including corrections within 7 days after conducting the audit, and obtain JQA's consent online within the next 14 days. (SJAC 9104-1 8.1.6, 8.2.1.a, 9.1.7, SJAC 9101 5.5)

#### 10-1 Change assessment

10-1.1 When there is a change in the number of employees at each site and a change that corresponds to clause 10.1 of this Rules, registered organization shall submit to JQA immediately “Application for change in registered contents”, IAQG Standards Matrix and data necessary for risk analysis (refer to Clause 1-1.1 of this specific Rules). (SJAC 9104-1 8.2.1, 8.5.1.3, 8.5.1.5, 9.1.6, 9.1.10)

10-1.2 When JQA receives an application for change regarding the following by a registered organization, JQA shall conduct a change assessment in accordance with clause 10.2 and clause 10.3 of this Rules. In addition, the change assessment for (1) and/or (2) below shall be conducted onsite by visiting the site. (SJAC 9104-1 8.5.10.1, 8.5.10.3)

(1) Expansion of existing registration scope

(2) Revise certification structure, including increase the number of sites and/or change in site locations

(3) Reduction of existing registration scope

(4) Revise certification structure, including reduce of sites

10-1.3 The following shall be added to the items (Refer to Clause 10.2 of this Rules) by which the implementation of change assessment may be suspended after discussing between JQA and the registered organization.

(1) the auditee organization does not maintain an OASIS database administrator for each site. (SJAC 9104-1 8.2.1.a, 9.1.6)

10-1.4 JQA shall issue a modified JIS Q 9100 / SJAC 9120 certificate of registration to the registered organization that judges the modification of registration contents to be acceptable based on the contents of clause 10.3 of this Rules and the following items.

(1) Completion of response to nonconformities and effectiveness of related corrective actions in Clause 5-2 of this specific rules (SJAC 9104-1 8.5.8.1)

(2) Consistency between the scope of registration and the Applicable scope of JIS Q 9100 / SJAC 9120 standard (SJAC 9104-1 8.5.1.3, 8.5.8.2)

(3) Maintenance status of OASIS database administrators for each site (SJAC 9104-1 8.2.1.a, 9.1.6)

NOTE If any of the above items cannot be confirmed at the Certification decision, JQA does not judge the renewal as acceptable. (SJAC 9104-1 8.2.2, 9.1.1)

10-1.5 When nonconformities are detected during a change assessment (refer to Clause 10.3.6 of this Rules), Clause 5-2 of this specific rule shall apply mutatis mutandis. (SJAC 9101 3.3, 3.4, 5.5)

#### 12-1 Suspension of Registration

12-1.1 JQA shall share with IAQG and JAQG the suspension and termination of registration under the clause 12 of this



<Rules specific for JIS Q 9100 / SAJC 9120> Each number in the parenthesis indicates corresponding clause in SJAC 9104-1 and / or SJAC 9101

Rules by publishing such information and notifying the registered organization and updating such information in the OASIS database in accordance with clause 8-1 of this Specific Rules. (SJAC 9104-1 8.2.1.a, 8.5.11.3, 9.1.4)

12-1.2 Registered organizations shall notify their aerospace and defense industry customers when their registration is suspended within 15 days of the date the suspension begins. (SJAC 9104-1 8.2.1.a, 9.1.2)

#### 13-1 Withdrawal of registration/Voluntary Cancellation of registration

13-1.1 JQA shall publicize such information and notify the registered organization of the withdrawal of registration and registration under clause 13 of this Rules, and share such information with IAQG and JAQG by updating such information in the OASIS database in accordance with clause 8-1 of this specific rule. (SJAC 9104-1 8.2.1.a, 8.5.11.3, 9.1.4)

13-1.2 When a registered organization switches its registration to another certification body, JQA shall use the feedback process in the OASIS database to communicate information pertaining to certification to the new certification body with the consent of the registered organization. (SJAC 9104-1 8.5.9.3)

13-1.3 If registered organization lose their certification by withdrawal or voluntary cancellation, they shall provide notification to their aviation, space and defense customers. (SJAC 9104-1 8.2.1.a, 9.1.2)

#### 14-1 Non-periodic Assessment

14-1.1 Add the following to the pertinent items to be reviewed on the Non-periodic Assessment. (SJAC 9104-1 8.5.10.1)

(1) JQA receives a complaint of an ethical nature regarding the code of conduct, etc. of a registered organization, accompanied by sufficient objective evidence through the feedback process of the OASIS database, etc.

(2) JQA receives a complaint or notice of a major management system nonconformity from a registered organization with sufficient objective evidence through the feedback process of the OASIS database, etc.

(3) JQA assesses the concerns of the registered organization's customers or other relevant stakeholders at its own discretion, regardless of objective evidence.

(4) JQA investigates issues related to the JIS Q 9100 / SJAC 9120 certification of the registered organization at its own discretion, regardless of objective evidence.

14-1.2 Non-periodic Assessment concerning the case of clause 14-1.1 (1) and/or (2) of this specific Rules shall be conducted within 30 days from the receipt of the complaint or notification by JQA. (SJAC 9104-1 8.5.10.2)

14-1.3 Non-periodic Assessment concerning the case of clause 14-1.1 (3) and/or (4) of this Specific Rules, when requested through the OASIS database feedback process, shall be conducted within 90 days after JQA receives the feedback. (SJAC 9104-1 8.5.12.1)

#### 15-1 Special Assessment

15-1.1 Add the following to the pertinent items to be reviewed on the Special Assessment. (SJAC 9104-1 8.5.10.1, SJAC 9101 5.5.6)

(1) When verifying the effectiveness of corrective actions in the auditee/registered organization agreed in the nonconformity report.

(2) When the implementation of correction and/or corrective actions in the auditee/registered organization, as agreed in the nonconformity report, is verified by onsite visit to the site, etc., separately from other assessments (clause 5, 9 and 10 of this Rules).

#### 17-1 Witness by accreditation body and its access to the documents

17-1.1 Auditee/registered organizations shall agree with the witness audit by accreditation body, OP assessors, the representatives of customer, regulatory authorities or IAQG (International Aerospace Quality Group) members upon their request. (SJAC 9104-1 8.2.1.a, 9.1.3)

17-1.2 Auditee/registered organizations shall agree that IAQG members, accreditation bodies and regulatory authorities have access to its facilities and records, as requested. (SJAC 9104-1 8.2.1.d, 8.2.3)

17-1.3 Information listed in the OASIS database (e.g., audit reports, nonconformity reports, checklists or other company specific information) may be subject to an audit or review, at any time, by accreditation bodies, JRMC,

<Rules specific for JIS Q 9100 / SAJC 9120> Each number in the parenthesis indicates corresponding clause in SJAC 9104-1 and / or SJAC 9101

regulatory authorities and IAQG members., (SJAC 9104-1 5.3)

#### 19-1 Fees

JQA charges the fees of registration to OASAS database established by JAQG at any given time and Auditee/registered organizations shall pay the fees within one month of the issuing date through the specified payment method. JQA does not return the fees once received.

NOTE OASIS database registration fee is charged according to membership levels (member, supporter, non-member) that JQA assessor confirms.

#### 20-1 Transfer of Registration from Other Bodies

20-1.1 If JQA recognizes unresolved nonconformity of the organization certified by certification body or has a suspicion regarding the certification of the organization, JQA may suspend or cancel the transfer of registration or procedure of initial assessment. (SJAC 9104-1 8.5.9.1, 8.5.9.2)

20-1.2 JQA obtains information pertaining to certification from the old certification body by using the feedback process in the OASIS database, based on the consent of the organization concerned in clause 20 of this Rules. (SJAC 9104-1 8.5.9.2, 8.5.9.3).

#### Supplementary Provision 1-1 Reasons for Not Accepting an Application for Registration

The following are added to the reasons for not accepting an application for registration. (SJAC 9104-1 8.2.1, 8.2.2, 9.1)

- (1) When the application for registration does not comply with the requirements of SJAC 9104-1.
- (2) When determination of the scope of registration, certification structure, and data necessary for risk analysis (see Clause 1-1.1 of this specific Rules) has not been provided to JQA without justifiable reason.
- (3) When the OASIS database administrator (refer to Clause 1-1.3 of this specific Rules) for each site has not been identified without justifiable reason.

#### Supplementary Provision 2-1 Reasons for Suspending Registration

The followings are added to the reasons for suspending registration. (SJAC 9104-1 8.2.1, 8.5.11.1, 9.1, SJAC 9101 5.4.5, 5.5)

- (1) When the registered organization violates the requirements of SJAC 9104-1.
- (2) When registered organization do not maintain OASIS database administrator appropriately for each site.
- (3) When registered organization cannot demonstrate effective corrective action to repeated nonconformity. SJAC 9101
- (4) When When the registered organization does not follow the timeframe for managing nonconformity report (see SJAC 9101 Table 5) and/or is unable to establish conformity within 90 days of the issuance of the nonconformity report.
- (5) When complaints of an ethical nature or ethically-related nonconformity with respect to the code of conduct or other standards of conduct of the registered organization are substantiated by supporting objective evidence.

#### Supplementary Provision 3-1 Reasons for Withdrawing Registration

The followings are added to the reasons for Withdrawing Registration. (SJAC 9104-1 8.2.1, 8.2.2, 9.1)

- (1) When the registered organization violates the requirements of SJAC 9104-1 and fails to resolve the violation within the period specified by JQA.

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#### 5-1 Readiness Review

Following relevant document "Requirements Handbook Appendix A", auditee organization shall completed the "request for profile registration" and have "products category determined and authorized by TIA QuEST Forum".

#### 5-2 Actions against Nonconformities

5-2.1 Corrective action plan to minor nonconformity (Nonconformity Category B) shall include the correction, root causes and action plan, and shall identify the time limit for completion (within 90 days in principle).

5-2.2 Examples of minor nonconformities (Nonconformity Category B)

- (1) Deficiencies from process, procedure or management system, which result in the product risk in a

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minimum way from the auditing or empirical judgment.

- (2) Nonconformities against the requirements of TL 9000 or Measurement Handbook, which are not effectively implemented, and that are not identified as major nonconformity.

5-2.3 Corrective action plan against major nonconformity (Nonconformity Category A) shall be provided within 30 days, which shall include the correction, root causes and completion date (within 90 days in principle).

5-2.4 Examples of major nonconformities (Nonconformity Category A)

- (1) All the items of particular requirement lacking in the Requirements Handbook or Measurements Handbook.
- (2) Internal audit and management review do not effectively implemented and maintained due to the systemic failure of organization.
- (3) Basic elements of management system is not achieved, e.g. as for the calibration, measurement devices are ensured to comply with the requirement engaging in the intended use.
- (4) Products or services do not comply with the statutory and regulatory requirements.
- (5) More than one minor nonconformity (Nonconformity Category B) are found in an element of the requirements, processes or management system, and the management system is evaluated as ineffective as a whole.
- (6) It is evaluated due to the uncontrollable process or management system deficiency in a rational or empirical way that nonconforming products should be delivered or nonconforming services should be provided.
- (7) Correction is not implemented intentionally that has been identified as minor nonconformity (Nonconformity Category B) in the previous assessment. <sup>NOTE1</sup>
- (8) Inconsistent data is always given against the calculation rule specified in the Measurements Handbook or the correct data is not resubmitted notwithstanding the previous incorrect data already identified. <sup>NOTE1</sup>

(NOTE1) (7) and (8) may correspond to the reasons for suspending registration in the supplementary provision 2 or the reasons for withdrawing registration in the supplementary provision 3, depending upon the substance.

8-1 Disclosure of registration information etc

JQA shall provide the necessary information to TIA QuEST Forum in addition to the clause 8.1 of the Rule and TIA QuEST Forum shall publicize them on the Website and IAF database.

9-1 Surveillance and recertification assessment

9-1.1 Corrective action plan to minor nonconformity (Nonconformity Category B) shall include the correction, root causes and action plan, and shall identify the time limit for completion (within 90 days in principle).

9-1.2 Corrective action plan against major nonconformity (Nonconformity Category A) shall be provided within 30 days, which shall include the correction, root causes and completion date (within 90 days in principle).

50-1 Organizational responsibility of measurements

Auditee/registered organization shall comply with the clauses below in the 3.5.2 of Measurements Hand book.

- (1) Utilize documented processes to capture and validate applicable measurement data such that source data records are available,
- (2) Collect, validate, and submit data per the defined measurement definitions to the TL 9000 Administrator using the provided tool(s),
- (3) Submit data on measurements that are within its scope of registration,
- (4) Submit a minimum of three consecutive months of data to the TL 9000 Administrator and receive TL 9000 Data Submission Receipts acknowledging valid submissions to obtain TL 9000 registration.
- (5) Submit monthly data every calendar month after becoming registered no later than seven weeks after the end of the month,
- (6) Provide measurement data for new updates, releases, or versions of existing products under registration starting at General Availability of the new update, release, or version (see 4.2.6),
- (7) Provide measurement data for new products that are within the organization's TL 9000 scope and fall within an existing reported product category no later than six months after General Availability of the product(see 4.2.6),
- (8) Provide at least consecutive three months of measurement data for products that expand the organization's

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TL 9000 scope into new product categories, receiving TL 9000 Data Submission Receipts acknowledging valid submissions prior to scope expansion,

Note: Scope changes can be made only in conjunction with assessment by the registrar.

- (9) Compare internal measurements to the available industry performance data reports and take steps to improve products and processes as appropriate,
- (10) Provide regular TL 9000 Quality Management System Measurements reports to its responsible management,
- (11) Correct any data discrepancies, and re-submit corrected data for any erroneous data submitted within the previous two years,

Note: Organizations will have the options of re-submitting the data using the current tools, requirements of the current handbook, and current effective product category tables or using the tools, requirements, and product category tables in effect at the time the data was originally submitted.

- (12) Provide its suppliers all necessary information it possesses to allow that organization to generate their TL 9000 measurements, and
- (13) Use the available standardized data templates available through the TL 9000 website (tl9000.org) when the organization has the responsibility to provide that the data to its suppliers.

(from the 3.5.2 of Measurements Handbook)

<Rules specific for ISO 13485>

3-1 Record keeping

Record keeping of the clause 3.2 of this Rules includes the record of communication to the authorities as required by law.

3-2 Assessment Report etc.

When regulatory authority requires JQA to have access to the assessment reports or other related documents prepared by JQA, auditee/registration organization shall have all the pages of assessment reports and the related documents accessible to them.

NOTE Regulatory authority above means the government agency or other legal entity which under the jurisdiction exercises legal rights to control usage or sales of medical devices as defined in IAF MD9.

14-1 Non-periodic assessment

As applicable to the items below, short notice assessment or unannounced assessment may be conducted as necessary.

- (1) In case of outside elements, for example;
  - a) Due to the available after market surveillance data of the medical device, question arises about the management system of the auditee/registered organization.
  - b) Serious information about the device safety is known to JQA.
- (2) When serious changes are informed to JQA by the auditee/registered organization or by regulation, these changes have an influence upon JQA's judgement of conformity in terms of regulatory requirements of the auditee/registered organization.

<Rules specific for ISO 45001>

18-1 Request for Investigation and Information from Auditee/Registered Organization

The legally enforceable arrangements shall also require that the certified client informs the Certification Body, without delay, of occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority.

18-2 Closure of the facilities and work areas

If the facilities and work areas are subject to closure by serious incident and/or so on, it shall be verified by the Certification Body without delay that the management system continues to meet the OH&SMS standard and to be effectively implemented in respect of the closed facilities and work areas, and if not, the certificate shall be suspended accordingly.

<Rules specific for HACCP/ISO 22000>

- 1-1 Application for Certification/Registration (this clause is applied to ISO 22000/JFS-C)
- 1-1.1 Scope of registration shall not exclude the activities or processes having an influence upon the food safety of end products or services, which means that all the activities or processes of each stages of food chain (e.g. primary production, food processing, lapping, storage, transport, sales and so on) shall be included into the scope under the responsibility of the auditee/registered organization.
- NOTE ISO/TS22003 9.1.1  
The certification body shall use Annex A to define the relevant scope for the organization applying for certification.  
The certification body shall not exclude activities, processes, products or services from the scope of certification when those activities, processes, products or services can have an influence on the food safety of the end products as defined in the scope of certification.
- 5-1 Initial assessment
- 5-1.1 JQA is in a position to confirm legal compliance against food related laws and regulations and occurrences of food related accidents during the top management interview as a part of assessment.
- 5-1.2 The previous clause shall be applied mutatis mutandis to surveillance, recertification, change and transition assessment.
- 14-1 Non-periodic assessment  
The clause 14.1 (2) of this Rules includes the cases of serious food related accidents or product recall on a broad scale.

<Rules specific for JFS-C>

- 1-1 Application for Registration Assessment
- 1-1.1 Any activities/process which may affect food safety of end products/services included in the scope of certification shall not be excluded. This means all the activities/process in every step (e.g. primary production, food processing, storage, transfer, sales etc.) within a food-chain for which the auditee organization is responsible for shall be included in the registration scope.
- NOTE ISO/TS22003 9.1.1  
The certification body shall use Annex A to define the relevant scope for the organization applying for certification. The certification body shall not exclude activities, processes, products or services from the scope of certification when those activities, processes, products or services can have an influence on the food safety of the end products as defined in the scope of certification.
- 5-1 Initial Assessment
- 5-1.1 JQA is in a position to confirm legal compliance against food-related laws and regulations and occurrences of food-related accidents within registration scope during the top management interview as a part of assessment.
- 5-1.2 The previous clause shall be applied mutatis mutandis to surveillance, recertification, change and transition assessment.
- 5-2 Nonconformity
- 5-2.1 When major nonconformity (Nonconformity Category A) is detected, the auditee organization shall submit corrections and corrective actions to JQA within 30 calendar days after completion of assessment and get approval. JQA shall conduct full or limited audit for checking thereafter according to determination of judgement committee.
- 5-2.2 When minor nonconformity (Nonconformity Category B) is detected, the auditee organization shall implement corrections within 30 calendar days after completion of assessment in principle and provide the corrective action plan with relevant evidence to JQA to acquire approval on them from JQA.
- 5-2.3 When critical nonconformity is detected in initial assessment, JQA discontinue the assessment. After the auditee organization resolve the critical nonconformity, JQA shall conduct initial assessment again.
- 5-2.4 Examples of critical nonconformity defined by JQA are as follows:  
(1) when food safety is directly impacted  
(2) when noncompliance to law is in present
- 9-1 Surveillance/recertification assessment
- 9-1.1 When major nonconformity (Nonconformity Category A) is detected, the registered organization shall submit corrections and corrective actions to JQA within 30 calendar days after completion of assessment and get approval. JQA shall conduct full or limited audit for checking thereafter according to determination of judgement committee.
- 9-1.2 When minor nonconformity (Nonconformity Category B) is detected, the auditee organization shall implement

<Rules specific for JFS-C>

corrections within 30 calendar days after completion of assessment in principle and provide the corrective action plan with relevant evidence to JQA to acquire approval on them from JQA.

9-1.3 When critical nonconformity is detected during surveillance/recertification audit, JQA request auditee organization to complete corrective actions within 6 months and suspend the registration. In case JQA does not accept the auditee organization's corrective actions within 6 months, JQA withdraws the certification.

9-2 Unannounced Assessment

9-2.1 JQA shall conduct at least one unannounced assessment within two surveillance assessments of each 3-year cycle.

9-2.2 JQA sets the date of the unannounced assessment, and the registered organization shall not be notified in advance of the date of the unannounced assessment. When there are legitimate business reasons, blackout days may be agreed in advance between the registered organization and JQA to avoid periods of extreme inconvenience during which it is difficult to participate fully and/or there is no production.

9-2.3 JQA shall conduct follow-up assessment in case JQA cannot conduct assessment on some part of production or services process in operation during unannounced audit.

14-1 Non-periodic assessment

Serious food related accidents and product recall shall be included in the cases specified in 14.1 (2) of main body of this Rules.

17-1 Providing information such as audit report to JFSM

Auditee organization shall agree in advance to disclose the documents such as audit report to JFSM and GFSI.

NOTE GFSI (Global Food Safety Initiative)  
JFS-C certification program is recognized as one of GFSI benchmarking requirements.

18-1 Notification of information that affects an organization's certification status

If auditee organization found out that legal proceedings, prosecutions or product recall associated with food safety or legality concerning products within certification scope, it shall inform JQA and JFSM of the matter upon completing the initial response to these matters at the latest.

Supplementary Provision 3.1 Reason for withdrawing certification

The following is added to reasons for withdrawing registration.

- If JQA judges that food safety of the product within the scope of registration is at stake;

<Rules specific for FSSC 22000>

1-1 Application for Certification/Registration

1-1.1 The auditee organization shall apply for one certification/registration by each manufacturing or processing plant (site) and shall not include multiple sites except the cases below;

- (1) when a head office is separate to the site ,
- (2) when different operations are located on one site (as far as part of the same legal entity and subject to one assessment appropriate to the combined scope)
- (3) when a single manufacturing process is split between different sites that may be part of the same legal entity

1-1.2 Off-site transport and storage outside shall only be added to the manufacturing scope in cases when there are;

- (1) dedicated to the company's own production and
- (2) included within the audited food safety management system

NOTE ISO/TS22003 9.1.1

The certification body shall use Annex A to define the relevant scope for the organization applying for certification. The certification body shall not exclude activities, processes, products or services from the scope of certification when those activities, processes, products or services can have an influence on the food safety of the end products as defined in the scope of certification.

5-1 Initial Assessment

5-1.1 JQA is in a position to confirm legal compliance against food related laws and regulations and occurrences of food related accidents during the top management interview as a part of assessment.

5-1.2 The preceding clause shall be applied mutatis mutandis to surveillance, recertification, change and transition assessment.

<Rules specific for FSSC 22000>

5-2 Actions against Nonconformities

- 5-2.1 When major nonconformity (Nonconformity Category A) is detected, the auditee organization shall provide JQA with objective evidence of an investigation into causative factors, exposed risks and their proposed corrective action plan, implement corrective action, submit objective evidence of implementation to JQA and get the major nonconformity closed by JQA. JQA shall review the corrective action plan and related objective evidence of implementation, approve the corrective action plan and corrective action, conduct full or limited assessment to verify the implementation of the corrective action and close the major nonconformity.
- 5-2.2 When the completion of corrective actions take more time depending on the potential severity of the major nonconformity etc., the corrective action plan shall include any temporary measures to be taken according to clause 5-2.1 until the permanent corrective action is implemented. Full or limited assessment shall be conducted to verify the permanent corrective action and to close the major nonconformity.
- 5-2.3 When critical nonconformity is detected, the auditee organization shall provide JQA with objective evidence of an investigation into causative factors, exposed risks and the proposed corrective action plan within 14 days after the assessment and after closing critical nonconformity the full initial assessment shall be repeated including the first stage assessment.
- 5-2.4 Examples of critical nonconformity defined by JQA are as follows; (applicable to surveillance/recertification assessment)
- (1) A direct food safety impact without appropriate action by the auditee organization is observed during the assessment,
  - (2) Legality and/or certification integrity are at stake,
  - (3) Non-completion of the approved corrective action against major nonconformity is observed.

8-1 Provision of Information such as Assessment Report to FSSC etc.

Registered organization shall accept the followings:

- (1) Provide FSSC with assessment reports of auditee/registered organization and other documents or records regarding assessment and registration of the auditee/registered organization which are defined by FSSC as requirement to be provided by way of registering into database;
- (2) Share information concerning the registered organization with governmental authorities and GFSI when appropriate; and
- (3) Display information with regards to the certified status on the website of FSSC.

NOTE GFSI (Global Food Safety Initiative)

FSSC 22000 program is recognized as one of GFSI benchmarking requirements.

9-1 Surveillance/Recertification Assessment

9-1.1 At the minor nonconformity (category B), the certified organization shall provide the contents and implementation date for correction and retrospective survey, and corrective action plan or corrective action implemented within 28 days after the closing date of the assessment concerned, and get JQA's consent about the corrective action plan or corrective action implemented.

9-1.2 When major nonconformity (Nonconformity Category A) is detected, the auditee organization shall provide JQA with objective evidence of an investigation into causative factors, exposed risks and their proposed corrective action plan, implement corrective action, submit objective evidence of implementation to JQA within 28 calendar days from the last day of the audit and get the major nonconformity closed by JQA. JQA shall review the corrective action plan and related objective evidence of implementation, approve the corrective action plan and corrective action, conduct full or limited assessment to verify the implementation of the corrective action and close the major nonconformity.

In cases where documentary evidence is sufficient to close out the major nonconformity, JQA may decide to perform a desk review.

When the completion of corrective actions take more time depending on the potential severity of the major nonconformity etc., the corrective action plan shall include any temporary measures to be taken until the permanent corrective action is implemented.

9-1.3 When critical nonconformity is detected, the certificate shall be suspended for a maximum of six months within 3 business days. The registered organization shall provide JQA with objective evidence of an investigation into

<Rules specific for FSSC 22000>

causative factors, exposed risks and the proposed corrective action plan within 14 days after the assessment. JQA shall conduct special or full or limited assessment within six weeks to six months after the assessment to verify the closure of the critical nonconformity. The certificate shall be withdrawn when JQA cannot confirm that the critical nonconformity is effectively solved within the six month timeframe.

9-2 Unannounced Assessment

9-2.1 JQA shall conduct at least one unannounced assessment within two surveillance assessments of each 3-year cycle. The registered organization can voluntary choose to replace all surveillance assessments by unannounced surveillance assessments.

9-2.2 JQA sets the date of the unannounced assessment, and the registered organization shall not be notified in advance of the date of the unannounced assessment. When there are legitimate business reasons, blackout days may be agreed in advance between the registered organization and JQA to avoid periods of extreme inconvenience during which it is difficult to participate fully and/or there is no production.

9-2.3 In case that JQA can't conduct manufacture or services in operation, JQA shall conduct follow-up assessment to the relevant processes or tasks within 4 weeks after the unannounced assessment.

10-1 Change Assessment/Transition Assessment

The registered organization shall notify JQA within 3 working days when there is any significant changes which may affect the conformity to the certification requirements as follows:

- (1) legal, commercial, organizational status or ownership,
- (2) change of the management, including decision makers, technical staff and other senior managers
- (3) organization name, contact address and site details,
- (4) scope of operations and product categories,
- (5) any other changes that renders the information on the certificate inaccurate.

14-1 Non-periodic Assessment

Serious food related accidents and product recall<sup>NOTE1</sup> shall be included in the cases specified in 14.1 (2) of main body of this Rules.

(NOTE1) It means removal by a supplier of product from the supply chain that has been sold to the end consumer, or is with retailers or caterers and is available for sale excluding when it has not been placed on the market for purchase by the end customer.

15-1 Special Assessment

When any one of the matters described below is the case with the registered organization, a special assessment shall be conducted :

- (1) when the registered organization requested to lift the suspension;
- (2) when JQA verify the implementation of corrective actions against the major nonconformity (Nonconformity Category A);
- (3) when JQA confirm that the critical nonconformity has been solved by corrective actions; or
- (4) when not all objectives are fulfilled during the unannounced assessment.

18-1 Information about Factors affecting certification

The registered organization shall inform JQA of serious events within 3 business days that impact the integrity of the certification and the organization's entry in the FSSC 22000 Register of Certified Organization and these includes :

- (1) legal proceedings, prosecutions and the outcomes of these related to food safety or legality;
- (2) product recall<sup>NOTE1</sup> relevant to food safety and/or legality; or
- (3) extraordinary events which pose major threats to business continuity such as earthquake, fire, flood, tsunami or force majeure etc.

(NOTE1) It means removal by a supplier of product from the supply chain that has been sold to the end consumer, or is with retailers or caterers and is available for sale excluding when it has not been placed on the market for purchase by the end customer.

Supplementary Provision 2-1 Reasons for Suspending Registration

The followings are added to reasons for suspending registration:

- (1) If critical nonconformity is detected;
- (2) If the registered organization refuses to participate in the unannounced assessment without good reason.



<Rules specific for FSSC 22000>

Supplementary Provision 3-1 Reasons for Withdrawing Registration

The followings are added to reasons for suspending registration:

- (1) If JQA judges that food safety of the product within the scope of registration is at stake;
- (2) If JQA cannot confirm that the critical nonconformity has been solved effectively within 6 months after the assessment;
- (3) If unannounced assessment has not been conducted within 6 months after refusal by the registered organization to participate in.

Supplementary Provision 4-1 Procedure for conducting remote audit

Upon conducting an audit by using ICTs (Information and Communication Technologies), the auditee/registered organization shall sign the “Agreement for Conducting Full-Remote Audit FSSC 22000” so that it is deemed to have agreed with all the terms and conditions set forth in such agreement.

<Rules specific for Assessments Combination>

1-1 Definition of Assessments Combination

Assessment to core standard (ISO 9001, ISO 14001 or ISO/IEC 27001) combined with assessment to additional standard (standard or guideline which supports or is compatible with core standard).

5-1 Initial Assessment to Additional Standard

5-1.1 Initial assessment to additional standard shall be conducted in combination with initial assessment, surveillance or recertification assessment to core standard.

5-1.2 When auditee organization has the registration of core standard, only stage 2 assessment is necessary in initial assessment to additional standard.

7-1 Registration of Additional Standard

The expiry date of registration of additional standard shall be the same as that of core standard.

9-1 Surveillance/Recertification Assessment to Additional Standard

9-1.1 Surveillance/Recertification assessment to additional standard shall be conducted combined with surveillance/recertification assessment to core standard.

9-1.2 How to address the nonconformity, such as due date, depends on the rules of core standard.

12-1 Suspension of Registration and Lifting Suspension

12-1.1 When the registration of core standard or additional standard is suspended, the registration of both standards shall be suspended.

12-1.2 When the suspension is lifted, the suspension of registration of both standards shall be lifted.

13-1 Withdrawal of Registration/Voluntary Cancellation of Registration

13-1.1 When the registration of additional standard only is withdrawn by JQA, that of core standard can be kept. However, the registration of core standard is withdrawn by JQA, that of additional standard shall be withdrawn at the same time.

13-1.2 When the registration of additional standard only is cancelled by registered organization, that of core standard can be kept. However, the registration of core standard is cancelled by registered organization, that of additional standard shall be cancelled at the same time.

## Records of Revisions

Rev.No	Rev.Date Effective Date	Description of Revision
5	2012/6/1 2012/6/20	<ul style="list-style-type: none"> <li>▪ The addition of the new standard (scope)</li> <li>▪ The role and responsibility newly added. (subsequent clauses renumbered) (3.5)</li> <li>▪ The detail of observers accompanying assessment is added. (3.6)</li> <li>▪ Condition to suspend or withdraw initial assessment is added. (5.1.(5))</li> <li>▪ Clarification of the contents of stage 1 assessment (5.2.1)</li> <li>▪ Definition of major nonconformity of OHSAS18001 is added. (moved from Exceptions) (5.6.4)</li> <li>▪ The procedure to cancel the registration and its publication added. (12.3)</li> <li>▪ How to inform IATF of ISO/TS16949 assessment result was changed. (ISO/TS16949 Exceptions, 16-1)</li> <li>▪ The definition of nonconformity regarding JIS Q 9100 added. (JIS Q 9100 Exceptions, 5-2)</li> <li>▪ Notice regarding factors affecting certification of FSSC 22000 is added. (HACCP/ISO 22000 /FSSC 22000 Exceptions, 17-1)</li> <li>▪ Assessments Combination Exceptions newly added.</li> </ul>
6	2013/1/15 2013/2/1	<ul style="list-style-type: none"> <li>▪ New standard services added. (scope)</li> <li>▪ Accreditation bodies relevant to JIS Q 9100 added. (e.g., Accreditation bodies)</li> <li>▪ Description that special audit can be accompanied by other audit added. (14.2)</li> <li>▪ Approval by EU or Health Canada added to the requirement of ISO134585 registration transfer. (19.1)</li> <li>▪ Requirement for OHSAS registration transfer newly added. (19.1)</li> <li>▪ Description of change notice followed clause 3.2 of Rules for achieving IATF recognition 3rd Edition. (ISO/TS16949 Exceptions 10-1.1)</li> <li>▪ According to issuance of a new accreditation standard, requirements added or changed. (including clarification of existing requirements) (JIS Q 9100 Exceptions : clause 3-1, 7-1, 8-1, 10-1, 12-1, 16-1, and supplementary provisions 2-1)</li> </ul>
7	2013/9/1 2013/9/15	<ul style="list-style-type: none"> <li>▪ Addition of a new certification service (Scope)</li> <li>▪ Deletion according to the voluntary withdrawal of ANAB accreditation. (Scope)</li> <li>▪ Addition of other provisions regarding accreditation activities. (Reference criteria, 16.2)</li> <li>▪ Clarification of reasons for withdrawing registration. (Reference criteria, Supplementary provision3)</li> <li>▪ Addition of notification regarding legal change of the registered organization. (10.4)</li> <li>▪ Change of the time limit for notification of lawsuit/recall (HACCP/ISO 22000/FSSC 22000 Exceptions : clause 17-1.1)</li> </ul>
8	2014/3/15 2014/4/1	<ul style="list-style-type: none"> <li>▪ Addition of a new certification service (Scope)</li> <li>▪ Change of terms according to the change of auditor qualification (3.5.4)</li> <li>▪ Conformance to Rules for achieving and maintaining IATF recognition 4<sup>th</sup> edition (5.6.1, 9.4.1, ISO/TS16949 Exceptions : clause 1-1, 3-1, 5-2.4, 19-1.3, 19-1.5, supplementary provisions 2-1(3), and supplementary provisions 2-2(2)(3)(4))</li> <li>▪ Extension of applying pre-audit to other standards (ISO/IEC 27001/OHSAS18001/ISO/IEC 20000/ISO 22301/JIS Q 15001/ISO 39001/ISO 29900/Criteria for Certification of CSMS Exceptions)</li> </ul>
9	2015/3/20 2015/4/1	<ul style="list-style-type: none"> <li>▪ Change of scope. (deletion of RvA, addition of JIPDEC and deletion of BS25999)</li> <li>▪ Clarification of the language used in documents to be submitted to JQA for assessment. (3.8)</li> <li>▪ Conformance to Rules for achieving and maintaining IATF recognition 4<sup>th</sup> edition (5.6.1, 9.4.1 and ISO/TS16949 Exceptions)</li> <li>▪ Change the key function of decision on initial assessment, recertification assessment and change/transition assessment from assessment certification committee to certification decision. (6.1, 7.1, 9.3.2 and 10.3.4)</li> <li>▪ Change the cycle of surveillance of JIS Q 9100 to only once a year. (9.1)</li> <li>▪ Addition of the period within which surveillance and recertification assessment schedule shall be adjusted. (9.1.1)</li> <li>▪ Clarification how to deal with incompleteness of transition by due date. (10.3.2)</li> <li>▪ Change of the term of Pre-audit to Pre-assessment and extension of application to other standards. (11, JIS Q 9100 Exceptions 11-1)</li> <li>▪ Change of requirement for transfer of registration of ISO/IEC 27001, ISO/IEC 20000 and ISO 22301. (20.1)</li> <li>▪ Addition of reason for suspension. (supplementary provisions 2 (3) )</li> </ul>

Rev.No	Rev.Date Effective Date	Description of Revision
		<ul style="list-style-type: none"> <li>▪ Addition of provisions for accepting transfer of registration of JIS Q 9100 and information transfer to new certification body (JIS Q 9100 Exceptions 20-1, 20-2)</li> <li>▪ Addition of provision of assessment report and other information to FSSC. (HACCP/ISO 22000 /FSSC 22000 Exceptions 17-1)</li> </ul>
10	2016/3/20 2016/4/1	<ul style="list-style-type: none"> <li>▪ Clarification of definition on auditors and organizing assessment team. (Clause 3.5, Clause 3.6)</li> <li>▪ Changes due to revision of JISQ17021-1 (Clause 3.8, Clause 9.3.1)</li> <li>▪ IQNet added to the bodies to which registration information is submitted. (Clause 8.1)</li> <li>▪ Deletion of description regarding notification upon withdrawal. (Clause 13.2)</li> <li>▪ Conformance to Rules for achieving and maintaining IATF recognition 4<sup>th</sup> edition (Rules specific to ISO/TS16949)</li> <li>▪ Appending description that restoration of registration shall not be applied to JIS Q 9100. (Rules specific for JIS Q 9100 Clause 9-3)</li> <li>▪ Addition of handling of nonconformity and reason for withdrawing registration to FSSC 22000 (Rules specific for HACCP/ISO 22000/FSSC 22000 clause 5-2, Supplementary Provision 3-1)</li> <li>▪ Consistency of terms (ISO/TS16949, scope of registration, original certification body, Rules specific to , recertification, etc.)</li> </ul>
11	2017/1/1 2017/1/1	<ul style="list-style-type: none"> <li>▪ Addition of a new certification service (Scope)</li> <li>▪ Conformance to Rules for achieving and maintaining IATF recognition 5<sup>th</sup> edition (Rules specific to IATF 16949)</li> </ul> <p style="margin-left: 20px;">&lt;Rules specific for ISO/TS16949&gt;</p> <ul style="list-style-type: none"> <li>• Prohibition of change after a witness audit confirmed (Clause 3-1.2)</li> <li>• Corrective action against nonconformity at an initial certification audit. (Clause 5-1.5)</li> <li>• Summarize the explanation of “corrective action against nonconformity” from other clauses and some editorial changes. (Clause 5-2)</li> <li>• Add “transfer to a new IATF-recognized certification body” to the Notice of changes. (Clause 10-1 (8))</li> <li>• Add “investigation on re-certification” and “information of special status” to the Special audit purposes. (Clause 15-1 (5)(6))</li> <li>• Restriction in transferring the registration. (Clause 20-1.6)</li> <li>• Add “conducting initial certification audit” when failing the transfer process. (Clause 20-1.8)</li> <li>• Obligation of notifying the existing certification body of the intent of transfer. (Clause 20-1.9)</li> <li>• Add “obligation of notifying” to JQA after the transfer. (Clause 50-1.2)</li> </ul>
12	2018/3/20 2018/4/1	<ul style="list-style-type: none"> <li>▪ Addition of new certification services (JFS-C, ISO 45001)</li> <li>▪ Changes of accreditation bodies (JIPDEC⇒ISMS-AC, itSMF⇒deleted)</li> <li>▪ Changes of accreditation standards (ISO 9001, ISO 14001, ISO 13485, ISO/IEC 20000, ISO 45001, ISO 22000, FSSC 22000, JFS-C)</li> <li>▪ Change of expression on expiry date definition (Clause 7, Clause 20-1.5 in Rules specific for ISO/TS16969)</li> <li>▪ Change of surveillance cycle of ISO/TS16949 and FSSC 22000 limiting to once a year only (Clause 9.1)</li> <li>▪ Description of reducing the scope of registration by JQA in case of meeting any of reasons in Supplementary Provision 3. (Clause 13)</li> <li>▪ Addition of matters that may affect the capacity of management system such as a change in legal status to the information JQA from the auditee/registered organization to JQA, which was specified in Clause 10.4 in 11th edition and moved to Clause 18.3.</li> <li>▪ Clarification of conditions when JQA may request advance payment. (Clause 19.4)</li> <li>▪ Changes of conditions regarding accreditation bodies to transfer registration from other certification body. (Clause 20.1)</li> <li>▪ Addition of stage 2 assessment to on-site review when conditions specified in clause 20.1 are not satisfied. (Clause 20.5)</li> <li>▪ Addition of reviewing records of implementation of internal audit and management review during stage 1 audit of ISO/TS16949. (Clause 5-1.1 in Rules specific for ISO/TS16949)</li> </ul>

Rev.No	Rev.Date Effective Date	Description of Revision
		<ul style="list-style-type: none"> <li>▪ Clarification of surveillance interval and conditions to set assessment schedule of ISO/TS16949. (Clause 9-1.2 in Rules specific for ISO/TS16949)</li> <li>▪ Addition of reviewing records of implementation of internal audit and management review during stage 1 audit of JIS Q 9100 (Clause 5-1.2 in Rules specific for JIS Q 9100)</li> <li>▪ Addition of rules specific to JFS-C to Rules specific for HACCP/ISO 22000. (Rules specific for HACCP/ISO 22000/JFS-C)</li> <li>※"JQA Management System Certification/Registration Rules edition 11.1 – Rules specific for JFS-C –" was modified and merged. (Actions against nonconformities are added into Clause 5-2.1, 5-2.2 9-2.1 and 9-2.2)</li> <li>▪ Addition of Rules specific for FSSC22000 separated from Rules specific for HACCP/ISO 22000/FSSC22000)</li> <li>※"JQA Management System Certification/Registration Rules edition 11.2 – Rules specific for FSSC 22000 Ver4.1 –" was modified and merged. (Notes regarding product recall are added into Clause 14-1 and 18-1)</li> </ul>
13	2019/ 3/20 2020/4/1	<ul style="list-style-type: none"> <li>▪ Change of name (ISO/TS16949 → IATF 16949)</li> <li>▪ Voluntary withdrawal of APMG registration</li> <li>▪ Addition of ISO/IEC 27006 as an accreditation standard for ISO/IEC 27001</li> <li>▪ Addition of ISO/IEC 20000-6 as an accreditation standard for ISO/IEC 20000-1</li> <li>▪ Property right of assessment report is clearly stated.</li> <li>[Specific rule for ISO 13485]</li> <li>▪ Addition of non-periodic assessment</li> <li>[Specific rule for ISO 45001]</li> <li>▪ Addition of non-periodic assessment Request for Investigation and Information from Auditee/Registered Organization</li> <li>[Specific rule for ISO 22000/JFS-C]</li> <li>▪ Amendment of the responsibility of the auditee/registered organization</li> <li>[Specific rule for JIS Q 9100]</li> <li>▪ Changes with regards to the issuance of IAOG Resolution Log No.150</li> </ul>
14	2020/3/20 2020/4/1	<ul style="list-style-type: none"> <li>• Addition of ISO 21001 services</li> <li>• Name change of scheme owner (QuEST Forum → TIA-BPC)</li> <li>• Add condition of the certification transfers</li> <li>• Delete English version certificate of JFS-C standard</li> <li>[Specific rule for ISO 45001]</li> <li>• Integrate the contents of the version 13-1 of this rule</li> <li>[Specific rule for JFS-C]</li> <li>• Provision of information to the accreditation body and scheme owner</li> <li>[Specific rule for FSSC 22000]</li> <li>• Some revisions in line with FSSC2200 Ver.5 with regards to critical nonconformity, unannounced assessment and other issues</li> <li>[Specific rule for IATF 16949]</li> <li>• Corrective action plan provided in case of major nonconformity</li> </ul>
15	2021/3/20 2021/4/1	<ul style="list-style-type: none"> <li>• Addition of ISO/IEC 27701 services</li> <li>• Name change of scheme owner (TIA-BPC → TIA QuEST Forum)</li> <li>• Add requirement for provision of information with regards to conducting assessment</li> <li>• Add Supplementary Procedure 4; Procedure for conducting remote audit</li> <li>[Specific rule for TL 9000]</li> <li>• Update requirement for confirmation of readiness in advance</li> <li>[Specific rule for JFS-C]</li> <li>• Add JFS-C specific rule (separated from HACCP/ISO 22000 specific rule)</li> <li>[Specific rule for FSSC 22000]</li> <li>• Correspond to the FSSC 22000 Ver5.1</li> <li>• Add procedure for conducting remote audit</li> <li>[Specific rule for IATF 16949]</li> <li>• Update clause with regard to nonconformity</li> <li>• Update clause with regard to special audit</li> <li>• Add procedure for conducting remote audit</li> </ul>

Rev.No	Rev.Date Effective Date	Description of Revision
16	2022/3/20 2022/4/1	<ul style="list-style-type: none"> <li>▪ Deletion of OHSAS18001 standard according to abolition</li> <li>▪ Deletion of CSMS standard according to withdrawal from the certification services.</li> <li>▪ Addition of JPI-ISAC102-2.0 to reference standards</li> <li>▪ Addition of clause concerning prohibitions of audio-/video-recording during audit</li> <li>▪ Addition of UKAS to which registration information is to be publicly disclosed</li> <li>▪ Clarification of an audit plan as a part of assessment report by JQA</li> <li>▪ Add procedure for informing to the original certification body of completion of registration to the organization by JQA after successful transfer.</li> </ul> <p>[Specific rule for IATF 16949]</p> <ul style="list-style-type: none"> <li>▪ Clarification of the scope of registration to be included</li> </ul> <p>[Specific rule for JFS-C]</p> <ul style="list-style-type: none"> <li>▪ Update clause with regard to non-conformity handling</li> </ul>
17	2023/3/20 2023/4/1	<ul style="list-style-type: none"> <li>▪ Add SJAC 9120 audit service (Scope, etc.)</li> <li>▪ Change Name (IQNet ⇒ IQNET, FSSC 22000 ⇒ FSSC) (Scope, etc.)</li> <li>▪ Add ISMS-AC as accreditation body for ISO/IEC 27701. (Scope)</li> <li>▪ Add JIS standard names to ISO 50001, ISO/IEC 20000-1, ISO 45001, and ISO 22301 (scope)</li> <li>▪ Change JIS Q 9100 and JFS-C accreditation criteria (Reference criteria).</li> <li>▪ Change the notes for non-conformity handling in JIS Q 9100 and SJAC 9120 (Clause 5.6.1, 9.4.1).</li> <li>▪ Change surveillance cycle of TL 9000, ISO 13485, ISO 39001, ISO 29990 and ISO 21001 limiting to once a year (Clause 9.1)</li> <li>▪ Add due date for cancel the registration (Clause 13.2)</li> <li>▪ Change requirements for transfer registration of ISO/IEC 27001, ISMS-CLS, and ISO/IEC 27701 from other Bodies (Clause 20.1).</li> <li>▪ Change due to publication of SJAC 9104-1A:2022 (Rules specific for JIS Q 9100 / SJAC 9120)</li> </ul>

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