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 NOTE1
ISO 9001（JIS Q 9001） NOTE2	Quality Management System	ISO 9001	JAB UKAS
IATF 16949	Quality Management System (Automotive)	IATF 16949	IATF
JIS Q 9100 NOTE2	Quality Management System (Aerospace)	JIS Q 9100	JAB IAQG JRMC
SJAC 9120 NOTE2	Quality Management System (Aerospace)	SJAC 9120	－
TL 9000 NOTE2	Quality Management System (Telecommunications)	TL 9000	JAB
ISO 13485（JIS Q 13485）NOTE2	Quality Management System (Medical devices)	ISO 13485	JAB
ISO 14001（JIS Q 14001） NOTE2	Environmental Management System	ISO 14001	JAB UKAS
ISO 50001（JIS Q 50001）	Energy Management System	ISO 50001	－
ISO 45001（JIS Q 45001） NOTE2	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 NOTE3	ISMS Cloud Security Management System	ISMS-CLS	ISMS-AC
ISO/IEC 27701（JIS Q 27701） NOTE3	Privacy Information Management System	ISO/IEC 27701	ISMS-AC
JIS Q 15001 NOTE3	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） NOTE2	Business Continuity Management System	ISO 22301	ISMS-AC
ISO/IEC 42001	Artificial Intelligence Management system	ISO/IEC 42001	－
ISO 9001-HACCP	Hazard Analysis and Critical Control Point System	HACCP	－
ISO 22000 NOTE2	Food Safety Management System	ISO 22000	JAB
FSSC 22000 NOTE2	Food Safety System Certification 22000	FSSC 22000	JAB FSSC
JFS-C Standard NOTE2	Food Safety Management System	JFS-C	JAB JFSM
ISO 39001	Road Traffic Safety Management System	ISO 39001	－
ISO 21001	Educational Organization Management Systems	ISO 21001	－
CSPM Standard NOTE3	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/IEC17021-1（JIS Q 17021-1））
IATF 16949	AUTOMOTIVE CERTIFICATION SCHEME FOR IATF16949　Rules for achieving and maintaining IATF recognition
JIS Q 9100 SJAC 9120	Accreditation Criteria for Bodies Operating Certification/Registration of Quality Management Systems -Aerospace- (JAB MS101)
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 45001	Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS) (IAF MD22)
ISO/IEC 27001 ISMS-CLS ISO/IEC 27701	Accreditation Criteria and Guidance for ISMS Certification Bodies (JIP-ISAC100) Information technology -- Security techniques -- Requirements for bodies providing audit and certification of information security management systems (ISO/IEC 27006-1) 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 ITSMS Certification Bodies (JIP-ITAC100) Information Technology – Service management 6th. Requirement for bodies providing audit and certification of IT Service Management Systems (ISO/IEC 20000-6)
ISO 22301	Accreditation Criteria and Guidance for BCMS Certification Bodies (JIP-BCAC100)
ISO/IEC 42001	Accreditation Criteria and Guidance for AIMS Certification Bodies（JIP-AIAC100） Information technology — Artificial intelligence — Management system（ISO/IEC 42006）
ISO 22000	Food safety management systems -- Requirements for bodies providing audit and certification of food safety management systems (ISO 22003-1)
FSSC 22000	Food safety management systems -- Requirements for bodies providing audit and certification of food safety management systems (ISO 22003-1) FSSC 22000 Part 3 Requirements for Certification Process FSSC 22000 Part 4 Requirements for Certification Bodies
JFS-C	JFS-C Certification program documents
Common	Procedures for Accrediting Management System Certification Bodies and others (JAB MS200, JAB203, etc.)

Contents

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 and not use automatic transcription tools 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 45001		●	30
ISO/IEC 27001 ISMS-CLS ISO/IEC 27701		●	30
JIS Q 15001		●	30
ISO/IEC 20000		●	30
ISO 22301		●	30
ISO/IEC 42001		●	30
HACCP		●	30
ISO 22000		●	30
FSSC 22000		●NOTE3	28
JFS-C		●NOTE4	30
ISO 39001		●	30
ISO 21001		●	30
CSPM		●	30

(NOTE1) CAR shall be submitted to JQA within 50 days. However, in case of Major Nonconformity (Nonconformity Category A), the corrective action plan, including the containment action, implemented correction, root-cause analysis, impact on other processes and products, and method(s) identified for verifying the effectiveness of the systemic corrective action(s), shall be submitted to JQA within 15 days.

(NOTE2) Containment action shall be taken within 60 days.

(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.

Certificate shall be issued in Japanese and/or 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	http://www.jab.or.jp
UKAS	ISO 9001, ISO 14001, ISO/IEC 27001	https://www.ukas.com
ISMS-AC	ISO/IEC 27001, ISMS-CLS, ISO/IEC 27701, ISO/IEC 20000, ISO 22301, ISO/IEC 42001	https://isms.jp
FSSC	FSSC 22000	https://www.fssc.com
JFSM	JFS-C	https://www.jfsm.or.jp
IQNET	ISO 9001, ISO 14001, ISO 13485, ISO 22000, ISO 45001, FSSC 22000, HACCP, TL 9000	https://www.iqnet-certification.com
IAF	MD28 by IAF	https://www.iafcertsearch.org
IATF	IATF 16949	https://www.iatfglobaloversight.org/

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

8.2 JQA may provide 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[NOTE1] 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 21001, ISO/IEC 42001	Once a year[NOTE1]	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 45001		●	30
ISO/IEC 27001 ISMS-CLS ISO/IEC 27701		●	30
JIS Q 15001		●	30
ISO/IEC 20000		●	30
ISO 22301		●	30
ISO/IEC 42001		●	30
HACCP		●	30
ISO 22000		●	30
FSSC 22000		●NOTE4	28
JFS-C		●NOTE5	30
ISO 39001		●	30
ISO 21001		●	30
CSPM		●	30

(NOTE1) CAR shall be submitted to JQA within 50 days. However, in case of Major-Nonconformity (Nonconformity Category A), the corrective action plan, including the containment action, implemented correction, root-cause analysis, impact on other processes and products, and method(s) identified for verifying the effectiveness of the systemic corrective action(s), shall be submitted to JQA within 15 days.

(NOTE2) Containment action shall be taken within 60 days.

(NOTE3) In case of recertification assessment, the corrective action report shall be submitted after the completion of corrective action taken 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 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 16, 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 15 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, suspend use of JQA Management System Registration Marks (hereinafter referred to as "JQA Registration Mark") and Marks of Accreditation Bodies, and cease publicizing its status as a management system registered organization by JQA immediately.

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 16 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 and Reducing the Scope 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 If the registration is withdrawn, the registered organization shall return the Certificate to JQA, and cease the use of JQA Registration Mark and any marks of the Accreditation Bodies and cease publicizing its status as a management system registered organization by JQA immediately.

13.3 The registered organization that falls under the reduced scope of registered activities shall immediately change its published registration to a reduced scope of registered activities.

14 Voluntary Cancellation of Registration

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

14.2 JQA will decide to withdraw the registration on the appropriate date for the reason of withdrawal, not exceeding one year from the last date of the previous assessment (the stage 2 assessment, surveillance or recertification assessment).

14.3 If the registration is voluntarily cancelled, the registered organization shall return the Certificate to JQA, and cease the use of JQA Registration Mark and any marks of the Accreditation Bodies and cease publicizing its status as a management system registered organization by JQA immediately.

14.4 When the registered organization transfers the certification to other certification body, JQA can provide the documents/records specified in 21.2 to the certification body concerned.

15 Non-periodic Assessment

15.1 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.

16 Special Assessment

16.1 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.

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

17 Appeals

17.1 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.

17.2 Appeal may be filed in writing within 45 days after the date of its cause.

17.3 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.

17.4 The auditee/registered organization may file a request for a review in case it is dissatisfied with the investigation result described in 17.3. 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.

18 Witnessing Assessment and Accessing Documents, and Others by Accreditation Bodies

18.1 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.

18.2 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.

19 Request for Investigation and Information from Auditee/Registered Organization

19.1 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.

19.2 The auditee/registered organization shall appropriately reply to JQA's request by providing the relevant information.

19.3 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.

20 Fees

20.1 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.

20.2 If the Fee be mended, JQA shall promptly inform the auditee/registered organization of such amendment together with its effective date.

20.3 If the auditee/registered organization fails to make payment of any fee specified in clause 20.1 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.

20.4 If the auditee/registered organization fails to make payment of any fee specified in clause 20.1 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.

21 Transfer of Registration from Other Bodies

21.1 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	
FSSC 22000	
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	
ISO/IEC 42001	
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.

21.2 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 21.1 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.

21.3 After the review of necessary documents, on-site review shall be implemented to confirm that the management system of the organization has been maintained.

21.4 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.

21.5 If it is proved that the conditions of clause 21.1 have not been satisfied, stage 2 assessment based upon clause 5.2.2 in addition to on-site review specified in clause 21.3 shall be implemented.

22 Revision, etc.

22.1 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.

22.2 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 20, 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 and use automatic transcription tools nor conduct similar activities.
(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 8.3) 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 3rd party certification to IATF 16949 may be excluded from the scope of certification.

1-1.4 For a site requiring 3rd party certification to IATF 16949, all production parts and/or service parts manufactured and supplied to every customer shall be included in the scope.

2-1 Provision of information prior to contract conclusion

The auditee/registered organization shall provide JQA with the information related to previous and/or existing certification to IATF 16949 prior to Agreement for Certification/Registration signature.

3-1　The presence of IATF observers

3-1.1 The auditee/registered organization shall not refuse the presence of IATF observers. Additionally, the auditee/registered organization shall not interfere with the IATF witness audit.

3-1.2 Once a witness audit is selected and announced, the audit schedule and designated auditors shall, in principle, not be changed.

3-1.3 The auditee/registered organization may request that IATF observers and the observers defined under clause 3.7 of this Rules not be privy to competitive or confidential customer data and, therefore, be excluded from certain parts of the audit. However, the auditee/registered organization shall permit the IATF observers to view the entire audit process at the IATF observers' discretion.

3-1.4 The auditee/registered organization shall not refuse the request of JQA to provide audit reports and nonconformity reports to IATF.

3-2　Participation of Consultant in the audit

3-2.1 Quality management system-related consultants to the auditee/registered organization shall not be physically

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present at the auditee's site during an audit and shall not participate in the audit in any way either directly or indirectly. In the event that a failure to meet this requirement is observed, the audit shall be terminated and rescheduled to start over.

3-3 The auditee/registered organization shall provide audit planning information to JQA upon request no less than 30 calendar days before the start date of the audit.

5-1 Initial Certification Audit

5-1.1 The readiness review is conducted in the stage 1 readiness assessment (part 1 and part 2) (hereinafter referred to as "Stage 1"). In Stage 1, the documented quality management system and the consistency of collected information with sites shall be reviewed.

5-1.2 In cases where Stage 1 judges the result as "not ready," the auditee organization shall start over with Stage 1. In this case, Stage 1 shall be conducted after a minimum of 20 calendar days from the closing meeting date of the previous Stage 1.

5-1.3 The stage 2 audit (hereinafter referred to as "Stage 2") commences after 20 calendar days but within 90 calendar days of Stage 1. If the time exceeds 90 calendar days, the auditee organization shall start over with Stage 1.

5-1.4 In the Stage 2, the site audit occurs after the standalone remote support location is audited.

5-1.5 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 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.

5-1.6 In case that a nonconformity is raised, the nonconformity shall be handled in line with the clause 5-2.

5-1.7 Recommendation of certification shall be suspended if nonconformity is raised during the initial certification audit.

5-1.8 In case of the preceding clause, unless the corrective actions are implemented effectively within 90 calendar days, the organization shall no longer be recommended for certification and shall restart from Stage 1.

5-2 Actions against Nonconformities

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

(1) Major nonconformity (Category A)

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

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

③ A nonconformity issued based on judgement and experience, and it is likely to result in either the failure of the quality management system or to materially reduce its ability to ensure controlled processes and products.

(2) Minor 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 processes or products. It may be one of the following.

① A failure relative to IATF 16949 in some part of the quality management system.

② A single observed lapse in following one item of a quality management system.

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5-2.2 Where a major nonconformity (Nonconformity Category A) is detected, the registered organization shall submit to JQA the corrective action plan, including the containment action, implemented correction, root-cause analysis, impact on other processes and products, and method(s) identified for verifying the effectiveness of the systemic corrective action(s), in principle, within 15 days of the last day of the audit. (applied to Section 8.1 "Initiation of the decertification process" of the Rules for Achieving and Maintaining IATF Recognition 6th Edition)

5-2.3 In cases of a major nonconformity (Nonconformity Category A), effective implementation of the corrective action shall be verified on-site, in principle, within a maximum of 90 calendar days of the last day of the audit (refer to clause 15-1 "Special Audit" of Rules specific for IATF 16949). The on-site verification may be conducted even for a minor nonconformity (Nonconformity Category B) at the discretion of JQA.

9-1 Surveillance/ Recertification Audit

9-1.1 In principle, at least one auditor of the initial audit team shall 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 The surveillance audit shall be scheduled to set the last day of the audit as not exceeding 12 or 24 months (-3 months, +3 months) from the last day of the initial or previous recertification audit. The recertification audit shall be scheduled to set the last day of the audit as not exceeding three years (-3 months, +0 days) from the last day of the initial or previous recertification audit. Audit schedule shall be, in principle, fixed by 90 calendar days before the implementation. In the event that the maximum allowable timing has been exceeded, the registration shall be canceled, and the registered organization shall be notified of the registration cancellation within seven calendar days.

9-1.3 In cases where a nonconformity is detected, the nonconformity shall be handled in accordance with Clause 5-2.

9-1.4 In cases where a major nonconformity (Nonconformity Category A) is detected, JQA suspends the registration.

10-1 Notice of changes and Change Assessment

In addition to the items specified under clause 10.1 of this Rules, the registered organization shall notify a significant change(s) that may affect its quality management system by submitting an "Application for change in registered contents" before the change is complete and no less than 30 calendar days before the start date of the audit. In the event that a violation to this notice of changes is observed, JQA shall take appropriate actions. Significant changes include:

(1) Legal status,
(2) ownership status (e.g., mergers, acquisitions, alliances, joint ventures, etc.),
(3) management structure (e.g., top management, key decision-making staff, etc.),
(4) contract address or location,
(5) relocation of the manufacturing process(es) or support activities,
(6) closure or relocation of a manufacturing site, extended manufacturing site or a standalone remote support location,
(7) scope of operations under the quality management system, including any new locations and/or support relationships to be covered in the certification scope,
(8) outsourcing of quality management system processes to other organizations,
(9) customer dissatisfaction scenarios that require certification body notification as described in IATF OEM customer-specific requirements (e.g., special status conditions, etc. However, notice is not required when the complaint is received via IATF CMS.), and
(10) a signed contract with another IATF-recognized certification body.

12.1 Suspension of Registration

12-1.1 JQA receives a performance complaint against the registered organization through the IATF Complaint Management System (CMS) by an IATF OEM member, its relevant IATF oversight office, or any automotive

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customer. In the event that the registered organization fails to provide additional information to complete the analysis of the situations at JQA within 15 calendar days, JQA shall suspend their registration.

12-1.2 In the case of suspending the registration, JQA shall promptly register this information with the IATF database.

12-1.3 Decision and actions for suspension of the registration are to be implemented according to clause 8.0 "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.

12-1.4 The suspension period shall be a maximum of 120 calendar days, and during this designated period, JQA will determine to either lift the suspension or cancel the registration.

13.1 Withdrawal of Registration

13-1.1 In the event of registration withdrawal, JQA shall promptly register this information with the IATF database.

13-1.2 In the event of registration cancelation, withdrawal, or expiration, the registered organization shall remove all references to IATF 16949 certification from all internal and external marketing channels, including, but not limited to, websites, and printed and electronic media.

14.1 Transfer of Registration to another certification body

14-1.1 The registered organization shall notify JQA of its intent to change the certification body once a legal contract is signed with a new certification body. With this notification, JQA will extend the Agreement for Certification/Registration until the registration transfer to the new certification body is complete. The certificate will remain valid for a maximum of 120 calendar days after the last day of the latest recertification audit or until the certificate expiration date, whichever comes first. In cases where the transfer occurs at a surveillance audit, the extension of the certification validity is allowed for a maximum of 210 calendar days after the last day of the latest surveillance audit. However, under other valid reasons, JQA may cancel the Agreement for Certification/Registration or withdraw the registered organization's registration before transferring the certification to the new certification body is complete.

14-1.2 The registered organization and JQA shall work cooperatively to resolve open issues related to the transfer of the registration.

14-1.3 When a new certificate is issued to the registered organization by the new certification body, the registered organization shall promptly notify JQA of this matter. JQA shall then withdraw their registration within 7 calendar days of this notification.

15.1 Special Audit

JQA conducts special audit for the following purposes:

(1) verify the performance after the corrective action taken in response to a performance complaint that JQA has received from an IATF OEM member, its relevant IATF oversight office, or any automotive customer of the registered organization.
(2) verify the performance after the corrective action taken against an unachieved customer performance target.
(3) verify the effective implementation of the identified corrective actions for a major nonconformity (Category A). (Within 90 calendar days of the audit, and only once.)
(4) verify the effective implementation of the identified corrective actions for a minor nonconformity (Category B). (Within 90 calendar days of the audit.)
(5) verify the effective implementation of the identified corrective actions for a nonconformity in one hundred percent resolved status. (Before 90 calendar days from the next audit, and only once.)
(6) verify the effective implementation of systemic corrective actions in response to registration withdrawal.
(7) confirm changes made to the registered organization's quality management system and significant changes in its sites.
(8) verify the registered organization's quality management system compliance with IATF 16949 after a relocation.

＜Rules specific for IATF 16949＞

18.1 Provision of Audit-related Information to IATF

18-1.1 JQA registers the audit result with the IATF Database in accordance with IATF requirements.

18-1.2 JQA deals with Annex 3 of the Data Transmission Agreement (hereinafter referred to as "Annex 3") under the IATF requirements as below:

(1) JQA posts Annex 3 on the JQA's site dedicated to the registered organization.

(2) The auditee/registered organization makes Annex 3 known to their employees and contact persons.

(3) In cases where any changes occur to the content of Annex 3, JQA promptly notifies the auditee/registered organization of this change, and this auditee/registered organization swiftly distributes this information to the employees and contacts involved in the audit.

Note: Annex 3 is a document released by IATF to specify the rules on the protection of personal data provided to IATF through all sorts of systems used for managing IATF 16949 certification.

21.1 Transfer of Registration from Another Certification Body

21-1.1 In cases where the transferring organization has undergone a transfer of the certification body in the past three years, this organization must not apply for registration with JQA.

21-1.2 The transferring organization shall submit the audit reports of the last three years issued by the previous certification body.

21-1.3 The transferring organization shall submit evidence that all nonconformities issued by the previous certification body to their sites and standalone remote support location have been closed. JQA does not accept one hundred percent resolved nonconformities.

21-1.4 JQA shall conduct on-site audit equivalent to a recertification audit. The expiration date of the new certificate issued by JQA shall be, in principle, minus one day from the corresponding date after three years of the certificate date. However, in cases where any of the following situations exists, JQA shall conduct an initial certification audit (Stage 1 and Stage 2):

(1) The manufacturing site does not have a valid IATF 16949 certificate, or it has only the Letter of Conformance.

(2) The standalone remote support location is not referenced on the valid certificate of the manufacturing site, or it has only the Letter of Conformance.

(3) A maximum allowable audit timing has been exceeded.

21-1.5 The transferring organization shall hold the certification to the previous certification body until the registration transfer is complete.

21-1.6 In the following cases, JQA does not enter into the transfer process until the previous certification body has conducted at least one on-site audit to verify the effective implementation of the identified corrective action:

(1) Audits with the status of "open with corrective actions" exist with the previous certification body.

(2) All performance complaints in the IATF Complaint Management System (CMS) are not in the "complete" stage.

21-1.7 In the event that a failure to complete all necessary processes and audits occurs, an initial certification audit (Stage 1 and Stage 2) will occur.

21-1.8 The auditee organization shall notify the previous certification body of their intent to transfer the certification body.

50-1 Others

50-1.1 The auditee/registered organizations shall understand the requirements and Annex provided in the Rules for achieving and maintaining IATF recognition.

50-1.2 JQA shall notify the registered organization within 10 calendar days of any changes in its ownership status or loss of IATF recognition.

50-1.3 JQA shall comply with all relevant data protection laws for the respective registered organizations' jurisdictions and provide sufficient transparency regarding the use of relevant personally identifiable information (PII).

＜Rules specific for IATF 16949＞

50-1.4 Any violation of provisions a) to l) in Section 3.1 of the Rules for Achieving and Maintaining IATF Recognition shall be considered a material breach of contract, against which JQA shall take appropriate actions, including, but not limited to, audit termination, audit cancellation, Agreement for Certification/Registration cancellation, or registration withdrawal.

Supplementary Provision 2-1 Reasons for Suspending Registration

Additional reasons for suspension of registration are as below:

(1) 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) A significant nonconformity is observed during the audit.
(3) The registered organization fails to submit additional information to complete the analysis of the situation within 15 calendar days of the occurrence of a complaint through the IATF Complaint Management System (CMS).
(4) A claim arises against the registered organization from other customers.
(5) JQA judges it reasonable to suspend the registration based on the information gained from the field.

Supplementary Provision 3-1 Reasons for Withdrawing Registration

Additional reasons for withdrawal of registration are as below:

(1) The registered organization no longer has products or services that meet the applicability for a period of more than 12 months.
(2) It is identified that the registered organization has neglected to notify JQA of the matters relating to clause 10-1 of the Rules specific for IATF 16949.
(3) The corrective action has not been neither submitted to JQA within 60 calendar days nor accepted by JQA within 90 calendar days.
(4) It is evident that the registered organization has not implemented effective corrective actions against a major nonconformity.
(5) A maximum allowable audit timing has been exceeded.

Supplementary Provision 4-1 Standard Operating Procedure for Remote Audit

(1) An audit by using ICTs (Information and Communication Technologies) (hereinafter referred to as "Remote Audit") may be conducted when remote working employees are included in the on-site audit or under circumstances in which the implementation of remote audit is permitted under the Rules for Achieving and Maintaining IATF Recognition. The standalone remote support location may be audited only with a surveillance audit for the supporting functions permitted under Annex 2 of the said Rules.
(2) In advance of the Remote Audit, JQA, in cooperation with the registered organization, shall assess the suitability of remote technologies to enable an effective and efficient Remote Audit.
(3) Where the implementation of the Remote Audit is permitted, but the circumstances are not suitable for conducting an effective and efficient Remote Audit, or an on-site audit is deemed necessary, an on-site audit shall be selected.

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

3-1 Auditee/Registered organization shall disclose classified material or export control requirements within the scope of audit to auditors. (6.11)

5-1 Registration assessment

5-1.1 If prompt containment is needed due to the nature of nonconformity, containment action including correction shall be reported to the audit team leader within 7 days after conducting the audit and the consent of the team leader shall be obtained within the next 14 days. (SJAC9101 4.2.4)

5-1.2 The records of implementation of internal audit and management review shall be reviewed in the stage 1 assessment.

5-2 The definition of major nonconformity and minor nonconformity in assessment to JISQ9100/SJAC9120 shall be the same as that of SJAC9101.

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.

5-3 Actions against nonconformities

When major nonconformity or minor nonconformity is detected in the assessment to JISQ9100/SJAC9120, auditee organization shall take the procedure based upon clause 5.6.1 Minor Nonconformity (Nonconformity Category B) in this Rules.

7-1 Issuance of certificate

7-1.1 JQA shall issue certificate of JIS Q 9100/SJAC9120 upon the accreditation by an accreditation body. (6.2)

7-1.2 JQA shall confirm whether auditee/registered organization has identified an OASIS (Online Aerospace Supplier Information System) database administrator and listed him/her in the OASIS database. When it cannot be confirmed, JQA shall not issue certificate. (6.7.i、12.3）

8-1 Registration of the audit results into the OASIS database

8-1.1 JQA shall inform to The Society of Japanese Aerospace Companies (hereinafter referred to SJAC) and Japan Aerospace Quality Group (hereinafter referred to JAQG) of the following audit results in order to register them into the OASIS database. （18.1.a）

(1) Tier 1 public data: information on the issued certificate

(2) Tier 2 private data: e.g., information and results of audits, nonconformities, corrective action, scoring and suspensions

8-1.2 Auditee/Registered organization shall provide their aviation, space and defense customers and authorities to access to the Tier 2 data unless justification can be provided (e.g., competition, confidentiality, conflict of interest). （8.5g、18.1.b）

8-1.3 Failure of auditee/registered organization to abide by any of terms in this Rules may be cause for withdrawal from the Industry Controlled Other Party (ICOP) scheme and the OASIS database listings. (18.3)

9-1 Surveillance and recertification assessment

If prompt containment is needed due to the nature of nonconformity, containment action including correction shall be reported to the audit team leader within 7 days after conducting the audit and the consent of the audit team leader shall be obtained within the next 14 days.

9-2 Actions against nonconformities

When major nonconformity or minor nonconformity is detected in the assessment to JISQ9100, registered organization shall take the procedure based upon clause 9.4.1 in this Rules.

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

9-3 Recertification Assessment

When recertification decision is not made by the expiry date, certification can be restored even if recertification assessment is already gone ahead and certification decision is completed within 6 months after the expiry date (including the completion of OASIS database upload and posting.).

10-1 Change assessment

In addition to clause 10.1 of this Rules, registered organization shall notify JQA immediately of significant changes (e.g., changes of ownership, key management, number of employees within scope of registration, customer contract requirements) by "Application for change in registered contents". （18.1.d）

11-1 Pre-assessment

11-1.1 Pre-assessment is conducted according to the request from auditee organization to verify management system.

11-1.2 Pre-assessment shall not be a part of any other assessment, and it shall not guarantee any result of other assessment.

11-1.3 Non-binding findings which do not include any recommendation of solution shall be output by pre-assessment.

11-1.4 Pre-assessment is conducted according to the provisions below.

(1) Pre-assessment shall be conducted prior to stage 1 assessments, at the site of auditee organization and only once for the same organization.

(2) Pre-assessment shall be conducted at the auditee organization based upon this Rules clause 3.1.

11-1.5 For arranging the schedule of pre-assessment, application for pre-assessment shall be submitted to JQA by the due date designated by JQA.

11-1.6 The pre-assessment schedule shall be adjusted and fixed, in principle, by one month prior to pre-assessment.

11-1.7 On-site investigation defined in clause 2.2 and 2.3 of this Rules shall not be applied.

13-1 Withdrawal of registration

If registered organization lose their certification by withdrawal of registration, they shall provide immediate notification to their aviation, space and defense customers. (18.1.c)

14-1 Voluntary Cancellation of registration

If registered organization lose their certification by voluntary cancellation, they shall provide immediate notification to their aviation, space and defense customers. (18.1.c)

18-1 Witness by accreditation body and its access to the documents

18-1.1 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. (8.3.9、18.2)

18-1.2 Auditee/registered organizations shall agree that IAQG members, accreditation bodies and regulatory authorities have access to its facilities and records, as requested. (6.7 g)

18-1.3 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, regulatory authorities and IAQG members. (19.2)

20-1 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.

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

21-1 Transfer of Registration from Other Bodies

21-1.1 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.

21-1.2 JQA can obtain information regarding the certification of registered organization by use of OASIS feedback process upon the acceptance of the registered organization.

Supplementary Provision 2-1 Reasons for Suspending Registration

Additional reasons for suspension of registration are as below:

(1) When registered organization do not maintain OASIS database administrator appropriately. (6.7.i)

(2) When registered organization cannot demonstrate effective corrective action to repeated nonconformity. (SJAC9101 4.2.3)

(3) When containment actions have not been taken within 60 days from issuance of nonconformity report. (8.4d)

＜Rules specific for TL 9000＞

5-1 Readiness Review

Following relevant document "Requirements Handbook Appendix A", auditee organization shall complete 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 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. NOTE1

(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. NOTE1

＜Rules specific for TL 9000＞

(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 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.

15-1 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＞

19-1 Request for Investigation and Information from Auditee/Registered Organization

The legally enforceable arrangements shall also require that the registered organization informs the JQA, without delay, of occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory authority.

19-2 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 JQA 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)

1-1.1 Scope of registration shall not exclude the activities, processes, products or services having an influence upon the food safety of end products or services, which means that all the activities, processes, products or services 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 22003-1 9.1.2.3

The defined scope of certification 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 by the legal responsibility of the organization's activities;

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.

＜Rules specific for HACCP／ISO 22000＞

15-1 Non-periodic assessment

The clause 15.1 (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 Scope of registration shall not exclude the activities, processes, products or services having an influence upon the food safety of end products or services, which means that all the activities, processes, products or services 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 22003-1 9.1.2.3
The defined scope of certification 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 by the legal responsibility of the organization's activities;

3-1 Issuance of the Assessment Report

The assessment report will be issued in Japanese.

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 a partial or full reassessment for checking thereafter according to determination of judgement committee.

9-1.2 When minor nonconformity (Nonconformity Category B) is detected, the registered 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.

9-1.3 When critical nonconformity is detected during surveillance/recertification audit, JQA requests 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.

＜Rules specific for JFS-C＞

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.

15-1 Non-periodic assessment

Serious food related accidents and product recall shall be included in the cases specified in 15.1 (2) of main body of this Rules.

18-1 Providing information such as audit report to JFSM

Auditee/registered 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.

19-1 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 2-1 Reasons for Suspending Registration

Additional reasons for suspension of registration are as below:

(1) If critical nonconformity is detected;

(2) If the registered organization refuses to participate in the unannounced assessment without justifiable reason.

Supplementary Provision3-1 Reasons for Withdrawing Registration

Additional reasons for withdrawal of registration are as below:

(1) If JQA judges that food safety of the product within the scope of registration is at stake.

(2) If unannounced assessment has not been conducted within 6 months after refusal by the registered organization to participate in.

＜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 implemented 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 site's own production and

(2) included within the audited food safety management system

NOTE ISO 22003-1 9.1. 2.3
The defined scope of certification 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 by the legal responsibility of the organization's activities;

＜Rules specific for FSSC 22000＞

3-1 Issuance of the Assessment Report

The assessment report will be issued in Japanese.

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.

5-2 Actions against Nonconformities

5-2.1 When a minor nonconformity (Nonconformity Category B) is detected, the auditee organization shall submit objective evidence of correction, evidence of root cause investigation, risks identified, and a corrective action plan or corrective action report, and obtain JQA's consent for such corrective action plan or corrective action within 28 calendar days from the last day of the audit. If JQA's consent is not obtained by the due date, JQA shall conduct another registration assessment starting from the second stage assessment within six months from the last day of the audit.

5-2.2 Add the following to the cases judged by JQA as major nonconformities (Nonconformity Category A).

・When legal noncompliance related to quality is found during an audit.

5-2.3 When a major nonconformity (Nonconformity Category A) is detected, the auditee organization shall submit objective evidence of root cause investigation, risks identified, and corrective action plan, and implement corrective actions and submit the objective evidence of such corrective actions to JQA. JQA shall review the corrective action plan, evidence of corrective action implementation, etc. submitted by the auditee organization, and conduct on-site partial or full reassessment to confirm the effectiveness of the corrective actions. However, if the JQA judges that the documents are sufficient to confirm the effectiveness of the corrective actions, the JQA may substitute a document audit. These shall be conducted within 28 calendar days from the last day of the audit.

5-2.4 If, due to special circumstances, it takes time to complete corrective actions for major nonconformities (Nonconformity Category A), instead of submitting objective evidence of corrective action implementation, the auditee organization shall include temporary actions until such corrective actions (permanent corrective actions) are completed in its corrective action plan, submit supporting evidence for the temporary actions, and obtain JQA's consent within 28 calendar days from the last day of the audit. JQA shall conduct a partial or full reassessment within six months from the last day of the audit to confirm the effectiveness of the permanent corrective actions.

5-2.5 When a critical nonconformity is detected, the auditee organization shall submit to JQA objective evidence of root cause investigation, risks identified, and corrective action plan within 14 calendar days after the last of the audit, and after the nonconformity is effectively resolved, JQA shall conduct another registration assessment starting from the first stage assessment.

5-2.6 Cases judged by JQA as critical nonconformities are as follows (The same applies to surveillance and renewal assessment):

(1) When an audit finds that food safety is directly affected but appropriate action is not taken by the auditee organization.

(2) The legality and/or integrity of the certification with respect to food safety is in jeopardy.

(3) When it is found that the approved corrective actions for major nonconformities have not been completed.

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

Registered organization shall accept the followings:

(1) JQA share information relating to the certification and auditing process with FSSC, their Accreditation Body, the IAF, GFSI and governmental authorities when required;

(2) JQA and FSSC share information regarding their certification status with external parties

＜Rules specific for FSSC 22000＞

(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 When a minor nonconformity (Nonconformity Category B) is detected, the registered organization shall submit a corrective action plan or corrective action report with the details and implementation date of the corrective action and retrospective survey within 28 calendar days from the last day of the audit, and obtain JQA's consent for such corrective action plan or corrective action.

9-1.2 When a major nonconformity (Nonconformity Category A) is detected, the registered organization shall submit objective evidence of root cause investigation, risks identified, and corrective action plan, and implement corrective actions and submit the objective evidence to JQA. If, due to special circumstances, the completion of corrective action for a major nonconformity (Nonconformity Category A) will take longer than expected, the registered organization shall, instead of submitting objective evidence of corrective action implementation, include temporary actions in its corrective action plan until the completion of such corrective action (permanent corrective action) and submit supporting evidence for the temporary actions. JQA shall review the corrective action plan, evidence of corrective action implementation, etc. submitted by the registered organization, and conduct on-site special audit/re-audit to confirm the effectiveness of the corrective actions. However, if the JQA judges that the documents are sufficient to confirm the effectiveness of the corrective actions, the JQA may substitute a document audit. These shall be conducted within 28 calendar days from the last day of the audit.

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 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 months 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 voluntarily choose to replace all surveillance audit and recertification audit 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 Voluntary Cancellation of Registration

When a registered organization switches its registration to other certification/registration body, JQA will promptly withdraw JQA's registration after the registration by the new certification/registration body is completed.

＜Rules specific for FSSC 22000＞

15-1 Non-periodic Assessment

Serious food related accidents and product recall[NOTE1] shall be included in the cases specified in 15.1 (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.

16-1 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.

19-1 Notification to JQA

The registered organization shall notify JQA of the following matters within 3 business days of the occurrence:

(1) Any significant changes that affect the compliance with the Scheme requirements and obtain advice of the JQA in cases where there is doubt over the significance of a change;
(2) Serious events that impact the FSMS, legality and/or the integrity of the certification, including situations that pose a threat to food safety or certification integrity as a result of Force majeure, natural or man-made disasters (e.g., war, strike, terrorism, crime, flood, earthquake, malicious computer hacking, etc.);
(3) Serious situations where the integrity of the certification is at risk and/or where the FSSC can be brought into disrepute. These include, but are not limited to:
① Public food safety events (e.g., public recalls, withdrawals[NOTE1], calamities, food safety outbreaks, etc.);
② Actions imposed by regulatory authorities as a result of a food safety issue(s), where additional monitoring or forced shutdown of production is required;
③ Legal proceedings, prosecutions, malpractice, and negligence; and
④ Fraudulent activities and corruption.
(4) Changes to registered organization's name, contact address and site details;
(5) Changes to registered organization (e.g., legal, commercial, organizational status or ownership) and management (e.g., key managerial, decision-making, or technical staff);
(6) Major changes to the food safety management system, scope of operations and product categories covered by the certified management system (e.g. new products, new processing lines, etc.);
(7) Any other change that renders the information on the certificate inaccurate.

(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

Additional reasons for suspension of registration are as below. The suspension will be implemented within 3 business days of the occurrence:

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

＜Rules specific for FSSC 22000＞

Supplementary Provision 3-1　Reasons for Withdrawing Registration

Additional reasons for withdrawal of registration are as below:

(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 full 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. A full remote audit may be conducted only in the event of a serious incident.

＜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

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.

14-1　Voluntary Cancellation of Registration

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	・The addition of the new standard（scope） ・The role and responsibility newly added.（subsequent clauses renumbered）（3.5） ・The detail of observers accompanying assessment is added.（3.6） ・Condition to suspend or withdraw initial assessment is added.（5.1.(5)） ・Clarification of the contents of stage 1 assessment（5.2.1） ・Definition of major nonconformity of OHSAS18001 is added.（moved from Exceptions）（5.6.4） ・The procedure to cancel the registration and its publication added.（12.3） ・How to inform IATF of ISO/TS16949 assessment result was changed.（ISO/TS16949 Exceptions, 16-1） ・The definition of nonconformity regarding JIS Q 9100 added.（JIS Q 9100 Exceptions, 5-2） ・Notice regarding factors affecting certification of FSSC 22000 is added.（HACCP／ISO 22000／FSSC 22000 Exceptions, 17-1） ・Assessments Combination Exceptions newly added.
6	2013/1/15 2013/2/1	・New standard services added.（scope） ・Accreditation bodies relevant to JIS Q 9100 added. (e.g., Accreditation bodies) ・Description that special audit can be accompanied by other audit added. (14.2) ・Approval by EU or Health Canada added to the requirement of ISO134585 registration transfer. (19.1) ・Requirement for OHSAS registration transfer newly added. (19.1) ・Description of change notice followed clause 3.2 of Rules for achieving IATF recognition 3rd Edition. (ISO/TS16949 Exceptions 10-1.1) ・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)
7	2013/9/1 2013/9/15	・Addition of a new certification service (Scope) ・Deletion according to the voluntary withdrawal of ANAB accreditation. (Scope) ・Addition of other provisions regarding accreditation activities. (Reference criteria, 16.2) ・Clarification of reasons for withdrawing registration.（Reference criteria, Supplementary provision3） ・Addition of notification regarding legal change of the registered organization. （10.4） ・Change of the time limit for notification of lawsuit/recall（HACCP／ISO 22000／FSSC 22000 Exceptions : clause 17-1.1）
8	2014/3/15 2014/4/1	・Addition of a new certification service (Scope) ・Change of terms according to the change of auditor qualification（3.5.4） ・Conformance to Rules for achieving and maintaining IATF recognition 4th 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)） ・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）
9	2015/3/20 2015/4/1	・Change of scope. (deletion of RvA, addition of JIPDEC and deletion of BS25999) ・Clarification of the language used in documents to be submitted to JQA for assessment. (3.8) ・Conformance to Rules for achieving and maintaining IATF recognition 4th edition (5.6.1, 9.4.1 and ISO/TS16949 Exceptions) ・ 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) ・Change the cycle of surveillance of JIS Q 9100 to only once a year. (9.1) ・Addition of the period within which surveillance and recertification assessment schedule shall be adjusted. (9.1.1) ・Clarification how to deal with incompletion of transition by due date. (10.3.2) ・Change of the term of Pre-audit to Pre-assessment and extension of application to other standards. (11, JIS Q 9100 Exceptions 11-1) ・Change of requirement for transfer of registration of ISO/IEC 27001, ISO/IEC 20000 and ISO 22301. (20.1) ・Addition of reason for suspension. (supplementary provisions 2 (3))

Rev.No	Rev.Date Effective Date	Description of Revision
		・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) ・Addition of provision of assessment report and other information to FSSC. (HACCP／ISO 22000／FSSC 22000 Exceptions 17-1)
10	2016/3/20 2016/4/1	・Clarification of definition on auditors and organizing assessment team. (Clause 3.5, Clause 3.6) ・Changes due to revision of JISQ17021-1 (Clause 3.8, Clause 9.3.1) ・IQNet added to the bodies to which registration information is submitted. (Clause 8.1) ・Deletion of description regarding notification upon withdrawal. (Clause 13.2) ・Conformance to Rules for achieving and maintaining IATF recognition 4th edition (Rules specific to ISO/TS16949) ・Appending description that restoration of registration shall not be applied to JIS Q 9100. (Rules specific for JIS Q 9100 Clause 9-3) ・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) ・Consistency of terms (ISO/TS16949, scope of registration, original certification body, Rules specific to , recertification, etc.)
11	2017/1/1 2017/1/1	・Addition of a new certification service (Scope) ・Conformance to Rules for achieving and maintaining IATF recognition 5th edition (Rules specific to IATF 16949) ＜Rules specific for ISO/TS16949＞ ・ Prohibition of change after a witness audit confirmed (Clause 3-1.2) ・ Corrective action against nonconformity at an initial certification audit. (Clause 5-1.5) ・ Summarize the explanation of "corrective action against nonconformity" from other clauses and some editorial changes. (Clause 5-2) ・ Add "transfer to a new IATF-recognized certification body" to the Notice of changes. (Clause 10-1 (8)) ・ Add "investigation on re-certification" and "information of special status" to the Special audit purposes. (Clause 15-1 (5)(6)) ・ Restriction in transferring the registration. (Clause 20-1.6) ・ Add "conducting initial certification audit" when failing the transfer process. (Clause 20-1.8) ・ Obligation of notifying the existing certification body of the intent of transfer. (Clause 20-1.9) ・ Add "obligation of notifying" to JQA after the transfer. (Clause 50-1.2)
12	2018/3/20 2018/4/1	・Addition of new certification services （JFS-C, ISO 45001） ・Changes of accreditation bodies（JIPDEC⇒ISMS-AC, itSMF⇒deleted） ・Changes of accreditation standards（ISO 9001, ISO 14001, ISO 13485, ISO/IEC 20000, ISO 45001, ISO 22000, FSSC 22000, JFS-C） ・Change of expression on expiry date definition (Clause 7, Clause 20-1.5 in Rules specific for ISO/TS16969) ・Change of surveillance cycle of ISO/TS16949 and FSSC 22000 limiting to once a year only (Clause 9.1) ・Description of reducing the scope of registration by JQA in case of meeting any of reasons in Supplementary Provision 3. (Clause 13) ・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. ・Clarification of conditions when JQA may request advance payment. (Clause 19.4) ・Changes of conditions regarding accreditation bodies to transfer registration from other certification body. (Clause 20.1) ・Addition of stage 2 assessment to on-site review when conditions specified in clause 20.1 are not satisfied. (Clause 20.5) ・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) ・Clarification of surveillance interval and conditions to set assessment schedule of ISO/TS16949.

Rev.No	Rev.Date Effective Date	Description of Revision
		(Clause 9-1.2 in Rules specific for ISO/TS16949) ・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) ・Addition of rules specific to JFS-C to Rules specific for HACCP/ISO 22000. (Rules specific for HACCP/ISO 22000/JFS-C) ※"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) ・Addition of Rules specific for FSSC22000 separated from Rules specific for HACCP/ISO 22000/FSSC22000) ※"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)
13	2019/ 3/20 2020/4/1	・Change of name (ISO/TS16949 → IATF 16949) ・Voluntary withdrawal of APMG registration ・Addition of ISO/IEC 27006 as an accreditation standard for ISO/IEC 27001 ・Addition of ISO/IEC 20000-6 as an accreditation standard for ISO/IEC 20000-1 ・Property right of assessment report is clearly stated. [Specific rule for ISO 13485] ・Addition of non-periodic assessment [Specific rule for ISO 45001] ・Addition of non-periodic assessment Request for Investigation and Information from Auditee/Registered Organization [Specific rule for ISO 22000/JFS-C] ・Amendment of the responsibility of the auditee/registered organization [Specific rule for JIS Q 9100] ・Changes with regards to the issuance of IAOG Resolution Log No.150
14	2020/3/20 2020/4/1	・ Addition of ISO 21001 services ・ Name change of scheme owner (QuEST Forum → TIA-BPC) ・ Add condition of the certification transfers ・ Delete English version certificate of JFS-C standard [Specific rule for ISO 45001] ・ Integrate the contents of the version 13-1 of this rule [Specific rule for JFS-C] ・ Provision of information to the accreditation body and scheme owner [Specific rule for FSSC 22000] ・ Some revisions in line with FSSC2200 Ver.5 with regards to critical nonconformity, unannounced assessment and other issues [Specific rule for IATF 16949] ・ Corrective action plan provided in case of major nonconformity
15	2021/3/20 2021/4/1	・Addition of ISO/IEC 27701 services ・Name change of scheme owner (TIA-BPC → TIA QuEST Forum) ・Add requirement for provision of information with regards to conducting assessment ・Add Supplementary Procedure 4; Procedure for conducting remote audit [Specific rule for TL 9000] ・Update requirement for confirmation of readiness in advance [Specific rule for JFS-C] ・Add JFS-C specific rule (separated from HACCP/ISO 22000 specific rule) [Specific rule for FSSC 22000] ・Correspond to the FSSC 22000 Ver5.1 ・Add procedure for conducting remote audit [Specific rule for IATF 16949] ・Update clause with regard to nonconformity ・Update clause with regard to special audit ・Add procedure for conducting remote audit

Rev.No	Rev.Date Effective Date	Description of Revision
16	2022/3/20 2022/4/1	・Deletion of OHSAS18001 standard according to abolition ・Deletion of CSMS standard according to withdrawal from the certification services. ・Addition of JPI-ISAC102-2.0 to reference standards ・Addition of clause concerning prohibitions of audio-/video-recording during audit ・Addition of UKAS to which registration information is to be publicly disclosed ・Clarification of an audit plan as a part of assessment report by JQA ・Add procedure for informing to the original certification body of completion of registration to the organization by JQA after successful transfer. [Specific rule for IATF 16949] ・Clarification of the scope of registration to be included [Specific rule for JFS-C] ・Update clause with regard to non-conformity handling
17	2023/3/20 2023/4/1	・Add SJAC 9120 audit service (Scope, etc.) ・Change Name (IQNet ⇒ IQNET, FSSC 22000 ⇒ FSSC) (Scope, etc.) ・Add ISMS-AC as accreditation body for ISO/IEC 27701. (Scope) ・Add JIS standard names to ISO 50001, ISO/IEC 20000-1, ISO 45001, and ISO 22301 (scope) ・Change JIS Q 9100 and JFS-C accreditation criteria (Reference criteria). ・Change the notes for non-conformity handling in JIS Q 9100 and SJAC 9120 (Clause 5.6.1, 9.4.1). ・Change surveillance cycle of TL 9000, ISO 13485, ISO 39001, ISO 29990 and ISO 21001 limiting to once a year (Clause 9.1) ・Add due date for cancel the registration (Clause 13.2) ・Change requirements for transfer registration of ISO/IEC 27001, ISMS-CLS, and ISO/IEC 27701 from other Bodies (Clause 20.1). ・Change due to publication of SJAC 9104-1A:2022 (Rules specific for JIS Q 9100 / SJAC 9120)
18	2024/3/20 2024/4/1	・Change reference standards (ISO/IEC 27006⇒ISO/IEC 27006-1, ISO /TS 22003⇒ISO 22003-1, JAB NS551⇒JAB203) ・FSSC homepage URL has been revised (Clause 8.1). ・IAF is added to the list of organizations providing registration information (Clause 8.1). ・Undisclosed registration information is clearly stated in the notes (Clause 8.1). ・Change the note for handling of nonconformities in JIS Q 9100 and SJAC 9120 (Clause 9.4.1). ・Requirements for registration bodies for FSSC 22000 changed (Clause 20.1). ・Harmonization with IATF Rule 5 (Rules specific for IATF 16949 9-1) ・Compliance with IATF Personal Data Protection (Rules specific for IATF 16949 17-1.2) ・Changes in accord with ISO 22003-1:2022 and FSSC 22000 Ver. 6 (Rules specific for FSSC 22000)
19	2024/12/20 2025/1/1	・JIS Q 27701 has been added with the publication of the JIS version (Scope of Application). ・Delete due to termination of ISO 29990 service (Scope, Clause 5.6.1, 9.1, 9.4.1). ・Withdrawal of registration was split from Clause 13, and the operation regarding the date of withdrawal of registration was added (Clause 14). *Subsequent clause numbers were renumbered. And the clause numbers of related rules specific for each standard were also revised. ・Addition of operations for external public announcements (Clause 12.2, 13.2, 14.3). ・Changes due to the publication of IATF Rule 6 (Clause 5.6, 8.1, 9.4.1, and Rules specific for IATF 16949). ・Harmonization with FSSC 22000 Ver.6 (Rules specific for FSSC 22000 1-1.2). ・Addition of a section on withdrawal of registration in the case of switching registration to another FSSC 22000 certification/registration body (Rules specific for FSSC 22000 14-1).
20	2026/3/20 2026/4/1	・Add ISO/IEC 42001 audit service (Scope, etc.). ・Revised accreditation criteria for JIS Q 9100 and SJAC 9120(Reference criteria). ・Prohibition of using automatic transcription tools (Clause 3.10, Supplementary Provision 4). ・Change of the certificate structure, the description has been modified (Clause 7). ・Revised notes for handling of nonconformities in JIS Q 9100 and SJAC 9120(Clause 5.6.1, 9.4.1). ・Revised notification regarding fee revisions for auditee/registered organization (Clause 20.2). ・Corrections have been made to align with the content of the 16th Edition of the JQA Management System Audit Registration Rules, based on SJAC 9104-1:2012 (SJAC 9104-1A: 2022 has not come into effect) (Rules specific for JIS Q 9100 / SAJC 9120) . ・Harmonization with ISO 22003-1 : 2022 (Rules specific for HACCP／ISO 22000, Rules specific

Rev.No	Rev.Date Effective Date	Description of Revision
		for JFS-C, Rules specific for FSSC 22000). ・ Harmonization with JFS-C Certification program documents (Rules specific for JFS-C). ・ Harmonization with FSSC 22000 Ver.6 (Rules specific for FSSC 22000).

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