Ausgabe 10 / Issue 10
März / March 2016

VDA Volume 6

Fundamentals for quality audits
Certification requirements for VDA 6.1, VDA 6.2, VDA 6.4
based on ISO 9001

"sanctioned interpretations" (SI)
"frequently asked questions" (FAQ)

Issue 10 was added with SI 15

In future, the other documentation relating to these matters will be specified in the following regulations: "Sanctioned interpretations "(SI) and "Frequently asked questions", which will be issued as required by the VDA QMC in agreement with the VDA QMC 6.3 Working Group:

- A "sanctioned interpretation“(SI) changes the layout of a regulation or stipulation, which is then used as such as the basis for a deviation.
- A "frequently asked question” (FAQ) is an explanation covering an existing regulation or stipulation.

These regulations (SI / FAQ) are specified by the VDA-QMC (in agreement with the VDA QMC 6.3 working group) and are made available via the VDA-QMC Home-page once they have been released. They become binding as from the time of their publication.

The versions of these regulations published with **previous** QMC-Reports are no longer valid and are replaced by this current information.

PART I: Sanctioned interpretations (SI)

SI 1: Calculating VDA 6.4 audit days with additional sales / service locations

If the sales/service locations are not independent companies and are classified as departments, the audit days must be calculated on the basis of the number of employees at the main location (without the sales/service locations). The sales/service locations must be checked on a random sample basis in the course of each audit; the size of the random sample must be at least one location or 20% with one extra audit day for each location. The company will receive one certificate; the additional locations can be listed in an appendix to the extended certificate.
If the sales/service locations are independent companies they can be certified to VDA 6.2 but not to VDA 6.4.

SI 2: Dividing the audit time on site

The number of audit days required must be calculated as shown in the basic table on page 28 of VDA 6:2008. This time must be spent in auditing the processes in the company. A maximum 10% of this time may be used for the reporting activity on site.

SI 3: Waiting times for monitoring audits

VDA 6:2008 states that, in the case of annual monitoring audits (a 12-month cycle) the waiting time is +1/-3 months. In the case of a 9-month cycle the waiting time is +1/-2 months and, in the case of a 6-months cycle, +1/-1 month.

SI 4: Combined ISO/TS 16949 and VDA 6.1 audits

If a company wishes to be certified to both standards the audit days must be calculated as follows:

ISO/TS 16949 = 100% of the audit days to "Rules" 3rd edition 01. October 2008 **and**
VDA 6.1 = 50% of the audit days to VDA 6:2008, with a maximum 2 additional audit days

SI 5: Combined ISO/TS 16949 and VDA 6.2 audits

If a company wishes to be certified to both standards the audit days must be calculated as follows: (based on VDA 6:2008, section 4.1.2.6)

100% of the audit days to "Rules" 3rd edition 01. October 2008 **and**
VDA 6.2 = the audit days calculated from Table 4.1.2-1 can be reduced by a maximum of one third (=33,3%). Any other arrangements must be approved by the VDA QMC.

SI 6: Extending 2nd and 3rd party auditor qualifications

An application for an extension must be submitted before the auditor authorisation period expires. The application must be made by the company or the certification body at the relevant training organisation.
Applications submitted after the auditor authorisation period will be rejected. In such cases an initial qualification will be required in order to obtain the reinstatement of the auditor authorisation.

SI 7: Evidence of the maintenance / extension of 2nd and 3rd party qualification

As from 01.July 2010 (the expiry date of the auditor qualification) an application for an extension of the qualification must be supported by evidence of participation in a VDA 6.x re-qualification seminar. The dates of re-qualification seminars are shown on the VDA QMC home-page.

SI 8: Combined ISO/TS 16949 and / or VDA 6.1 audit with VDA 6.4

As a general principle the rules set out in VDA 6: 2008 section 4.1.2.6 apply. The following exception is possible:
If products, processes and their equipment can be shown to be identical for the validity covered by ISO/TS 16949 and/or VDA 6.1 and VDA 6.4, the number of audit days required can be calculated against ISO/TS 16949 and/or VDA 6.1. An additional 20% or at least one day must be added to cover the specific requirements of VDA 6.4.

SI 9: VDA 6.1: QM system audit, 4th revised edition, up-dated reprint 2010

The revised edition of VDA volume 6 part 1 must be taken into consideration for all certifications as from 01. February 2011.

SI 10: VDA 6.4: Number of work-site audits for a group of companies

Where conditions exist for the application of a group scheme covering locations where products are manufactured with the same types of production facilities, the audit cycle must include as many work-site audits as there are locations. The time-windows stated in Volume 6 (page 26) must be taken into consideration. In the case of a certification audit or re-certification audit at least one work-site audit must be carried out. The remaining work-site audits must be carried out within the framework of the first and second monitoring audits.

SI 11: Maintaining (extending) the qualification for 2nd and 3rd party auditors

As from 01. July 2010 an application for an extension of the qualification must be supported by evidence of participation in a VDA 6.x re-qualification seminar (see SI 7). This evidence must be current and valid (based on the new validity period). As from March 2013 VDA 6.x requalification seminars include a check on what has been learned. As from this date evidence must be provided of successful participation (a pass mark for the check).

SI 12: Calculation of the level of compliance for surveillance audits

The rule stated in Volume 6, section 4.6 regarding VDA 6.1 and VDA 6.4 “the level of compliance shall not be re-calculated” refers to the overall level of compliance. The individual levels of compliance of the audited elements (VDA 6.1) or standard processes (VDA 6.4) shall still be assessed in order to evaluate whether criteria for maintaining the certificate supplement are fulfilled.

SI 13: Changed requirements for auditing distribution networks acc. to VDA 6.2

A new subsidiary must be audited and the nonconformity management must be finished before the subsidiary can be included into a distribution network.
The initial audit days for auditing the subsidiary shall be equivalent to recertification audit days acc. to reference table. All subsequent audits shall be conducted with the least surveillance audit mandays. Each subsidiary must be audited once within the certification cycle. A readiness review of the subsidiary is not necessary in case of extension of the distribution network.

SI 14: Automatic extension of 3rd party VDA 6.x auditor credentials (VDA 6.1, VDA 6.2 and VDA 6.4 standards)

As of now (beginning of 2016), due to the ongoing revision of VDA 6.x standards, no requalification courses will be conducted.

For currently qualified VDA 6.1 -, VDA 6.2 - and VDA 6.4 - 3rd party auditors, having an expiration date after December 31st 2015, auditor credentials will be extended until June 30th 2017 - this will be done automatically by VDA QMC, **no application** is needed.
Only the *VDA 6.x Certification Database* will be updated with the new expiration date. If applicable, certification bodies will have to update their internal databases as well. Certification bodies may issue confirmation letters to their auditors stating the new expiration date.
It is the joint responsibility of both the certification body and each auditor to ensure that training needs are identified and conducted in due time. Certification bodies shall schedule at least the required minimum number of audits for each sponsored VDA 6.x auditor, as needed to maintain auditor certification. Failure to comply with these requirements may lead to auditor deactivation(s) by VDA QMC.

The revision of the VDA 6.x standards also includes VDA Volume 6.0.
New auditor requalification and/or development requirements will be published with the revised VDA standards as “yellow print“ version (German: Gelbdruck Band).

SI 15: The validity of the certificate supplements acc. to VDA 6.1 / 6.2 / 6.4 based on ISO 9001:2008

With the entry into force of ISO 9001:2015 certificates acc. to ISO 9001:2008 will loose their validity after the keydate 14th September 2018.
Based on this also above mentioned VDA certificate supplements, based on ISO 9001:2008 can only be issued with a validity until 14th September 2018.
After the revision of these VDA standards based on the revision of ISO 9001:2015 and their entry into force VDA certificate supplements based on ISO 9001:2015 can be issued.
If a client wants to realize a transition to ISO 9001:2015 earlier, then separated audits acc. to ISO 9001:2008 and ISO 9001:2015 are necessary.

PART II: Frequently asked questions (FAQ)

FAQ 1: **Certifications to VDA 6.1, VDA 6.2 and VDA 6.4** are based on ISO 9001. Evidence of compliance with the requirements of VDA 6.x is provided by an extension to the current ISO 9001 certificate. ISO 17021 sets out the requirements for bodies which issue the certificates.
The requirements also apply, of course, in the case of certificate extensions. When VDA 6:2008 was drawn up, therefore, no specific repetition of these requirements was included.
VDA 6:2008 contains the specific additional requirements applicable to VDA 6.1, 6.2 and 6.4.

FAQ 2: **Calculating audit days** – VDA 6:2008, section 4.1.2.2
Examples will shortly be published on the VDA QMC home-page
www.vda-qmc.de/zertifizierung/vda-6x/vda-6x-si-faq

FAQ 3: **Rules for external consultants** – VDA 6:2008, section 4.1.1
The position of the QMB (fixed position) must be verified by the auditor – e.g., the organisation plan, descriptions of positions and functions, training plan, etc.)

FAQ 4: **Monitoring the auditors** – the internal witness process
The requirements are described in ISO 17021 and, in particular, in section 7.2 with sub-sections 7.2.11 and 7.2.12, covering the need for on-site assessments of auditors.

FAQ 5: **Area of validity** for certificate extensions
The area of validity for certificate extensions must correspond with that set out in the basic ISO certificate. The area of validity can only be reduced and not extended.

FAQ 6: **Authorisation of auditors** for other certification bodies
In principle, auditors can act for several certification bodies. Each certification body must apply to the VDA QMC for each auditor and for each regulatory publication, before the auditor is appointed. The application must be accompanied by evidence of the auditor's qualification.

FAQ 7: **Change** of certification body - VDA 6:2008, section 4.1.2.5
In the case of a change of certification body a re-certification audit must be carried out as a minimum and a new certificate extension must be issued, corresponding with the validity of the ISO certificate. It is also advisable to renew the ISO certificate.

FAQ 8: **Out-sourcing** certification activities
As a general principle the out-sourcing of certification activities is not allowed.

FAQ 9: **Advice of the "withdrawn" status of a certificate**
If the certification body withdraws the certificate from man organisation this must be entered in the VDA 6.x data-base and the VDA QMC must be informed without delay.

FAQ 10: Work-site to VDA 6.4

A work-site exists where the final assembly and commissioning of the machine / equipment take place at the customer's premises. The crucial question is whether the characteristics demanded by the customer are influenced and secured during the final assembly and commissioning.

FAQ 11: Training internal auditors

Internal auditors must be trained for the relevant regulatory volume (VDA 6.1, 6.2 or 6.4) as qualified 2nd/3rd party auditors. The qualification of 2nd/3rd party auditors must be
up-to-date (see VDA 6:2008, section 5.3).

FAQ 12: Certification to VDA 6.1 or VDA 6.2

A certification to VDA 6.1 is possible only if the company also carries out value-added activities on the parts/components. In all other cases VDA 6.2 must be applied.

FAQ 13: Support function for a group scheme

Where the group scheme is used the support functions for each location must be entered in the data-base under "support function".

FAQ 14: Validity of VDA 6.1, 6.2 and 6.4 in association with ISO 9001:2008

The VDA volumes 6.1, 6.2 and 6.4 remain valid. Because a valid ISO 9001 certificate is required for a certificate extension to the VDA standards, the current issue of ISO 9001 must always be taken into consideration when carrying out the audits. A modification to VDA 6.1, 6.2 and 6.4 will be carried out at the appropriate time.

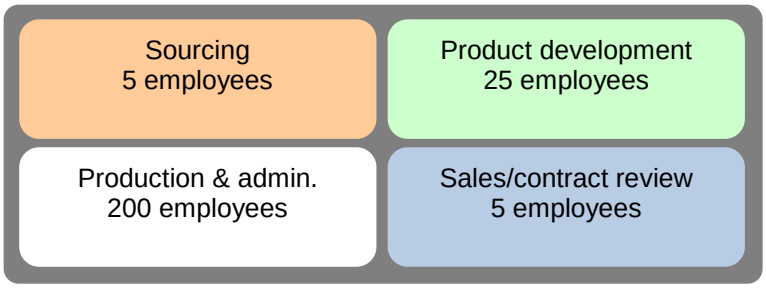
FAQ 15: Modified assessment system for VDA 6.2
(2nd edition, 2004, up-dated reprint 2011)

On page 104 the terms "major and minor deviations" in the assessment system have been replaced by the overlying term "deviation" because no differentiation is required when deciding on the certificate extension. However, it is still possible to declare findings with an assessment of 6 points as a "minor deviation" and assessments of 4 or 0 points as "major deviations".

PART III: Examples of how to calculate the number of audit days

Example 1 - Calculating the number of audit days for companies with only one location (VDA 6.x)

- No increase/accumulation in existing QM system certifications
- Development responsibility (no reduction)
- No support functions at outlying locations
- Annual monitoring audits (2 audits over the 3-year audit cycle)



Total number of employees: 235 (5 + 25 + 200 + 5)
One company / all employees at one location.

The correct calculation:

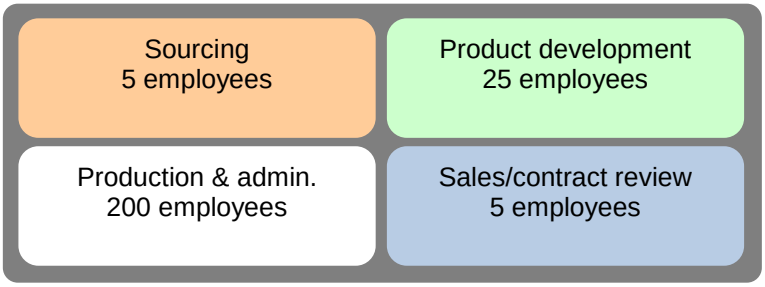
Production locations	Year	Type of audit	No. of employees	Minimum number of audit days as certification requirements VDA volume 6 :2008	Minimum number of audit days rounded up to the nearest half-day
1	0	Stage 1	235	1.0	1.0
1	0	Stage 2 of first certification	235	7.0	7.0
1	1 & 2	Monitoring	235	3.5	3.5
1	3	Re-certification	235	5.5	5.5

Note: It is assumed that over the 3-year **audit cycle** there is no change in the basis for the calculation regarding the number of employees, the area of validity, customers, etc.

Example 2 - Calculating the number of audit days for companies with only one location

- Increase of an existing ISO 9001 certification *)
- No development responsibility
- No support functions at outlying locations
- Annual monitoring audits (2 audits over the 3-year audit cycle)

*) All audits to extend an existing certification are considered as a first certification audit in accordance with certification requirements, VDA Band 6:2008



Total number of employees: 235 (5 + 25 + 200 + 5)
One company / all employees at one location.

The correct calculation:

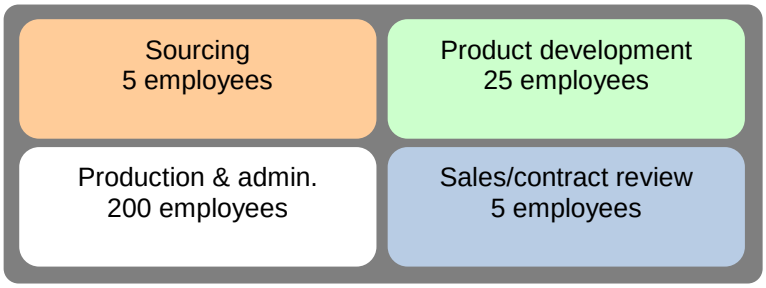
Production location	Year	Type of audit	Number of employees	Minimum number of audit days as certification requirements. 3rd edition, table 5.2	Reduction No development responsibility	Calculated minimum number of audit days	Maximum reduction for increase/accumulation	Calculated minimum number of audit days	Minimum number of audit days, rounded up to the nearest half-day
1	0	Stage 1	235	1.0	0	1.0	0	1.0	1.0
1	0	Stage 2 of first certification	235	7.0	10%	6.3	10%	5.67	6.0
1	1 & 2	Monitoring	235	3.5	10%	3.15			3.5
1	3	Re-certification	235	5.5	10%	4.95			5.0

Note: It is assumed that over the 3-year **audit cycle** there is no change in the basis for the calculation regarding the number of employees, the area of validity, customers, etc.

Note: The reduction for the increase/accumulation of the certification applies only to the first certification audit. No reduction is made for monitoring audits and re-certification audits.

Example 3 - Calculating the number of audit days for companies with one production location and support functions at three outlying locations.

- No increase/accumulation in existing QM system certifications
- Development responsibility (no reduction)
- Support functions at three outlying locations
- Annual monitoring audits (2 audits over the 3-year audit cycle)



Total number of employees: 235 (5 + 25 + 200 + 5)
One company / all employees at one location.

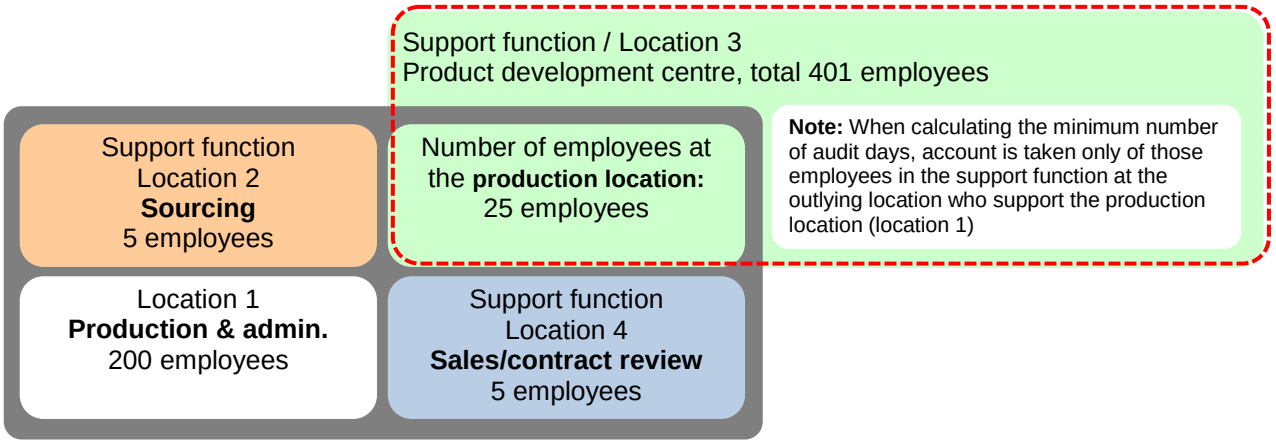
The correct calculation:

Production locations	Year	Type of audit	No. of employees	Minimum number of audit days as certification requirements VDA volume 6 :2008	Minimum number of audit days rounded up to the nearest half-day
1	0	Stage 1	235	1.0	1.0
1	0	Stage 2 of first certification	235	7.0	7.0
1	1 & 2	Monitoring	235	3.5	3.5
1	3	Re-certification	235	5.5	5.5

Note: It is assumed that over the 3-year **audit cycle** there is no change in the basis for the calculation regarding the number of employees, the area of validity, customers, etc.

Example 4 - Calculating the number of audit days for companies with <u>one</u> production location and support functions at three outlying locations.

- No increase/accumulation in existing QM system certifications
- Development responsibility (no reduction)
- Support functions at three outlying locations (location 3 considered to a degree)
- Annual monitoring audits (2 audits over the 3-year audit cycle)



Total number of employees: 235 (5 + 25 + 200 + 5)
One company / all employees at one location.

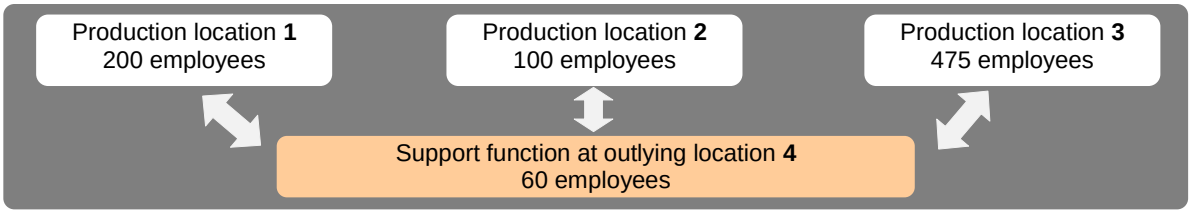
The correct calculation:

Production locations	Year	Type of audit	No. of employees	Minimum number of audit days as certification requirements VDA volume 6 :2008	Minimum number of audit days rounded up to the nearest half-day
1	0	Stage 1	235	1.0	1.0
1	0	Stage 2 of first certification	235	7.0	7.0
1	1 & 2	Monitoring	235	3.5	3.5
1	3	Re-certification	235	5.5	5.5

Note: It is assumed that over the 3-year **audit cycle** there is <u>no</u> change in the basis for the calculation regarding the number of employees, the area of validity, customers, etc.

Example 5 - Calculating the number of audit days for companies with several production locations and support functions at an outlying location (core group scheme)

- One support function at an outlying location, which supports all 3 productions locations; each of the 3 production locations receives its own certificate
- No increase/accumulation in existing QM system certifications
- Development responsibility (no reduction)
- Annual monitoring audits (2 audits over the 3-year audit cycle)



In the case of full support for the production locations the numbers of employees in the support function are allocated to the production locations as percentages in order to calculate the minimum number of audit days

The correct method for allocating support function employees to the production locations:

Production location	No. of employees at the location	No. of employees in % (total prod. location employees / 775)	Allocated employees in support functions at the outlying location 4 (% allocation x 60)	Total no. of employees when calculating the minimum no. of audit days
1	200	26 %	16	216
2	100	13 %	8	108
3	475	61 %	37	512
	Total = **775**			

The correct calculation:

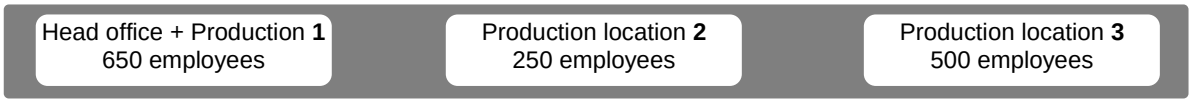
*) First certification = Stage 2 of the first certification

Production locations	Year	Type of audit	No. of employees	Minimum number of audit days as certification requirements VDA volume 6 :2008	Minimum number of audit days rounded up to the nearest half-day
1	0	Stage 1	216	1.0	1.0
1	0	*) certification	216	7.0	7.0
1	1 & 2	Monitoring	216	3.5	3.5
1	3	Re-certification	216	5.5	5.5
2	0	Stage 1	108	0.5	0.5
2	0	*) certification	108	6.0	6.0
2	1 & 2	Monitoring	108	3.0	3.0
2	3	Re-certification	108	4.5	4.5
3	0	Stage 1	512	1.0	1.0
3	0	*) certification	512	9.0	9.0
3	1 & 2	Monitoring	512	4.5	4.5
3	3	Re-certification	512	7.0	7.0

Note: It is assumed that over the 3-year **audit cycle** there is no change in the basis for the calculation regarding the number of employees, the area of validity, customers, etc.

Example 6 - Calculating the number of audit days for a group scheme

- No increase/accumulation in existing QM system certifications
- Three production locations
- Head office at location 1
- Annual monitoring audits (2 audits over the 3-year audit cycle)



The correct calculation for first certification audits, monitoring audits & re-certification audits:

Location	Number of employees at the location	Mi9nimum no. of audit days as certification requirements, VDA volume 6 :2008	Group scheme reduction for Stage 1	Minimum no. of audit days as certification requirements, VDA volume 6 :2008	Group scheme (no. of locations = 3) Reduction in %	Minimum no. of audit days as group scheme (= min. no. of audit days x 0.8)	Minimum number of audit days rounded up to the nearest half-day
1-1. stage	650	1.0	1.0				1.0
1-2. stage	650			10.0	20 %	8.0	8.0
Monitoring	650			5	20 %	4.0	4.0
Re-certification	650			7.5	20 %	6.0	6.0
2-1. stage	250	1.0	0.5				0.5
2-2. stage	250			7.0	20 %	5.6	6.0
Monitoring	250			3.5	20 %	2.8	3.0
Re-certification	250			5.5	20 %	4.4	4.5
3-1. stage	500	1.0	1.0				1.0
3-2. stage	500			9.0	20 %	7.2	7.5
Monitoring	500			4.5	20 %	3.6	4.0
Re-certification	500			7.0	20 %	5.6	6.0

Note: No further reductions are allowed where the group scheme is used.

Example 7 - Calculating the number of audit days for organisations with subsidiaries (VDA 6.2)

- No increase/accumulation in existing QM system certifications
- 1 head office with 30 subsidiaries
- All subsidiaries operate at the same level and are controlled by the head office
- Annual monitoring audits (2 audits over the 3-year audit cycle)

	Emp-loyees	Stage 1	Certification. audit	1st monitor-ing audit	2nd monitor-ing audit	Re-cert audit	1st monitor-ing audit	2nd monitor-ing audit	Re-cert audit
Head office	80	0.5	5.5		3.0	4.0	3.0	3.0	4.0
Subsid. 1	15		3.0			3.0			3.0
Subsid. 2	22		3.0			3.0			3.0
Subsid. 3	41		3.5			3.5			3.5
Subsid. 4	12		3.0			3.0			3.0
Subsid. 5	15		3.0			3.0			3.0
Subsid. 6	18		3.0			3.0			3.0
Subsid. 7	10	0.5	2.0			2.0			2.0
Subsid. 8	33		3.5			3.5			3.5
Subsid. 9	19		3.0			3.0			3.0
Subsid. 10	21		3.0			3.0			3.0
Subsid. 11	17			3.0			3.0		
Subsid. 12	16			3.0			3.0		
Subsid. 13	19			3.0			3.0		
Subsid. 14	21	0.5		3.0			3.0		
Subsid. 15	25			3.0			3.0		
Subsid. 16	14			3.0			3.0		
Subsid. 17	23			3.0			3.0		
Subsid. 18	25			3.0			3.0		
Subsid. 19	14			3.0			3.0		
Subsid. 20	13			3.0			3.0		
Subsid. 21	17				3.0			3.0	
Subsid. 22	16				3.0			3.0	
Subsid. 23	18				3.0			3.0	
Subsid. 24	14				3.0			3.0	
Subsid. 25	15				3.0			3.0	
Subsid. 26	22				3.0			3.0	
Subsid. 27	41	0.5			3.0			3.0	
Subsid. 28	12				3.0			3.0	
Subsid. 29	15				3.0			3.0	
Subsid. 30	18				3.0			3.0	
Man-days		2.0	35.5	33.0	33.5	34.0	33.0	33.5	34.0

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