



# Code of Conduct for Certification Bodies

## Foreword

The IATF considers collaboration with recognized Certification Bodies an integral part of its activities. The recognition of a Certification Body by the IATF is based not only on the quality of its business processes and services, but also its adherence to social and ethical principles, which is a prerequisite to becoming recognized as a Certification Body and developing a lasting business relationship with the IATF.

The "Code of Conduct for Certification Bodies" (the "Code"), considered together with the IATF Rules for Achieving and Maintaining IATF Recognition, the IATF Auditor Guide for IATF 16949, the Agreement between Oversight Office and Certification Body, and the Automotive Quality Management System standard IATF 16949, set the expectations for IATF recognized Certification Bodies and their auditors worldwide.

## Adoption of a Code of Conduct

The IATF expects its recognized Certification Bodies to adopt a Code of Conduct meeting the requirements of this Code of Conduct for Certification Bodies and periodically audit its application for compliance.

The IATF expects its recognized Certification Bodies to be fully compliant with all laws and regulations applicable in the countries in which they operate. Recognized Certification Bodies are also expected to conduct their activities in line with the following principles:

### Human Rights and Working Conditions

#### *Forced labor and child labor*

No form of labor practice involving forced, compulsory or child labor is tolerated. Employing people younger than the legally established minimum age in the country where the work is carried out and, in any case, younger than eighteen (18) years of age, unless an exception is expressly provided by local legislation, is strictly forbidden.

#### *Health and safety*

Occupational health and safety standards which meet at least local laws and regulations must be guaranteed to all employees and independent contractors.

#### *Non-discrimination*

Employees and independent contractors must be treated in a fair and non-discriminatory manner, with the guarantee of equal opportunity and the absence of any policy aimed at, or indirectly resulting in, unlawful discrimination or harassment toward them on any basis whatsoever, including but not limited to: race, gender, sexual orientation, disability, age, nationality, or religion. The IATF requires its recognized Certification Bodies to follow all



legal requirements regarding the dignity of people at work, avoiding any form of sexual or moral harassment.

*Fair working conditions*

Working conditions, working time and compensation must be fair, complying with the regulations, standards and practices applicable in those countries where Certification Bodies and their clients operate.

*Training and development*

Appropriate training for the development of skills and capabilities should be guaranteed to all employees and independent contractors, including not only technical training but also what could be useful for personal, social and organizational development.

*Lay-off practices*

In dealing with redundancies, responsible behavior is expected so that, where possible and within the applicable legal framework, the effects are mitigated. Each employee and independent contractor affected is to receive appropriate information and assistance in line with local legislation.

**Fraudulent Behavior and Conflicts of Interest**

The highest standards of integrity, honesty and fairness are expected in all business activities.

Fraudulent behavior is defined as activities undertaken by an individual or an organization that are carried out in a dishonest, deliberate, and/or deceitful manner and are designed to give an advantage to the individual or organization. Any form of fraudulent behavior including, but not limited to bribery, corruption, money laundering, intentional concealment of information, provision of false information to a relevant interested party, falsification of certification, disclosure of confidential information (refer, for example, to the *Agreement between the IATF Oversight Office and the Certification Body*) and copyright or trademark violations is strictly forbidden.

Conflicts of interest are defined as situations in which the personal interest of an individual or organization might adversely affect a duty owed to make decisions for the benefit of a third party. Shareholders, directors, officers, managers and other employees or representatives of a recognized Certification Body shall avoid any situation or activity which could give rise to a possible conflict of interest including directly or indirectly offering training programs or management system consulting to current automotive clients or to have provided it to a new client within two years prior to contracting as their certification body.

Additionally, no employee, independent contractor, or representative of a recognized Certification Body shall directly or indirectly accept, solicit, offer or pay a bribe or other prerequisite (including gifts or gratuities, with the exception of commercial items of modest



economic value universally accepted in an international context) even if unlawful pressure has been exerted.

## Reporting Violations of the Code

Code compliance violations or suspected violations may be submitted via the IATF Global Oversight website, Ethics and Compliance Concerns Reporting Tool. This tool is hosted by a third-party provider, and information may be submitted confidentially and anonymously. Reports of ethics or compliance concerns will be appropriately investigated and treated confidentially to the extent possible considering the need to investigate and follow up on any concerns.

The screenshot shows the IATF website interface. At the top, there is a navigation menu with links: Home, About IATF, About IATF Oversight Offices, IATF Leadership Commitment, and Ethics & Compliance Concerns. The 'Ethics & Compliance Concerns' link is highlighted with a red box and a red arrow pointing to it. Below the navigation menu is a search bar and a blue banner with various menu items: IATF 16949:2016, Rules 5th Edition, IATF CB Communiqués, IATF Stakeholder Communiqués, OEM Requirements, IATF Publications, and IATF Certification Bodies. The main content area features a 'Latest News' section with a date of 09 April 2020 and a title 'IATF Global Waivers and Measures in response to the Coronavirus pandemic (COVID-19) has been revised.' The news text describes a revision to the IATF Global Waivers and Measures, incorporating two additional FAQs and correcting minor errors. A list of changes is provided, including clarifications on 'Special audits', timing requirements for 'NONCONFORMITY MANAGEMENT' (changed from 60 to 90 days), and timing requirements for 'CERTIFICATION DECISIONS' (changed from 60 to 90 days). A note states that all changes are highlighted in red. Below the news is a link to 'IATF Measures Coronavirus Pandemic (COVID-19) rev 1 April 2020'. To the right of the news is a 'COVID-19 IATF RESPONSE' banner with logos for IATF Global Oversight Offices, including CANFIA, IAQB, IATF FRANCE, S, VDA, QMC, and SMNT. Below this is an 'Auditor Development Process' section with an 'Enter CP' button, and a 'New Auditor Training Info' section.

## Monitoring and Remedial Actions

The IATF monitors the adherence of all recognized Certification Bodies with the Code and reserves the right to conduct an audit to verify any issue that the IATF becomes aware of or reasonably suspects. In the event the IATF is made aware of or reasonably suspects an issue, it reserves the right to invoke IATF Rules, section 2.5, Certification Body De-Recognition Process or take legal action as outlined in the Agreement between Oversight Office and Certification Body.



The IATF asks its recognized Certification Bodies to conduct a self-assessment of their compliance with the Code and offers technical support toward improving their performance with the Code's requirements.

In order to maximize the effectiveness of the Code of Conduct, the principles are periodically updated, and their implementation is monitored on a regular basis.

### **Statement of Compliance**

Each recognized Certification Body will be provided with a copy of the Code and required to sign an acknowledgement. Each recognized Certification Body will be required to periodically reaffirm compliance with the Code. **A Statement of Compliance with the Code shall be a condition of continued recognition by the IATF and shall be verified at a frequency determined by the Certification Body's respective Oversight Office.**



**Code of Conduct for Certification Bodies  
Statement of Compliance**

We have received, reviewed and understand the Code of Conduct for Certification Bodies (the "Code") of IATF.

We hereby agree to comply with this Code, including its provisions for nondisclosure of information both during and after being recognized as a Certification Body.

To the best of our knowledge, we are not involved in any situation that conflicts or might appear to conflict with the Code.

We also agree to notify IATF, through its respective Oversight Office, immediately of any change that might adversely affect our compliance with the Code.

<b><u>Company:</u></b>	_____
<b><u>Signature:</u></b>	_____
<b><u>Printed Name:</u></b>	_____
<b><u>Position Title:</u></b>	_____
<b><u>Date:</u></b>	_____
	<i>(dd/mmm/yyyy)</i>