Guideline for the conducting of Automotive Audits 汽车指导纲要

Based on:
- IATF Certification scheme, 5th Edition (incl. associated SI's and FAQ's)
- VDA 6, 6th Edition (incl. associated SI's and FAQ's)
  KBA Rules for recognition (6th Revision, October 2020) derived from Regulation (EU) 2018/858 category C in combination with EN ISO/IEC 17021-1 acc. to
  Regulation (EU) 2018/858 of the European Parliament and of the Council of 30 May 2018 on the approval and market surveillance of motor vehicles and their trailers, and of systems, components and separate technical units intended for such vehicles, amending Regulations (EC) No 715/2007 and (EC) No 595/2009 and repealing Directive 2007/46/ECG
- **quality**austria basic requirements in the Intranet (incl. associated internal SI's)
- **quality**austria library of decisions in the intranet (Information Platform Automotive)

基于：
IATF 认证方案，第 5 版（包括相关的 SI 和 FAQ）
VDA 6，第 6 版（包括相关的 SI 和 FAQ）
KBA 认可规则，第 6 次修订，2020 年 10 月），源自法规 (EU) 2018/858 类别 C 并结合 EN ISO/IEC 17021-1 根据 2018 年 5 月 30 日欧洲议会和理事会关于机动车辆及其挂车以及用于此类车辆的系统、部件和单独技术单元的批准和市场监督的条例 (EU) 2018/858，修订条例（EC）715/2007 号和 (EC) 595/2009 号 和废除指令 2007/46/ECG
内联网中的 QualityAustria 基本要求（包括相关的内部 SI）
内联网中的 QualityAustria 决策库（汽车信息平台）

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Phone: +43 732 34 23 22, Fax: +43 732 34 23 23,
Created: Erhart   Reviewed: Dragosits   Released: Stöhrmann   www.qualityaustria.com E-Mail: office@qualityaustria.com

1 ELIGIBILITY FOR CERTIFICATION IN THE FIELD OF AUTOMOTIVE

1 .汽车领域的认证资格

IATF 16949
The scope is defined in the IATF Rules, Clause 1.
范围在 IATF 规则第 1 条中定义。

VDA 6.x
The scopes of VDA 6.x Regulations are defined in the scope of VDA Volume 6, Clause 1.6.
法规的范围在 VDA 第 6 卷第 1.6 条的范围中定义。

KBA
The designation as a technical service (category C) by the KBA is based on the requirements of the specifications in Chapter 2 of the rules for the designation/approval of technical services (C). This designation as a technical service (category C) entitles Quality Austria to carry out the evaluation of the manufacturer's compliance with the approval-relevant requirements in the "report on CoP" procedure.
被 KBA 指定为技术服务(C 类)是基于技术服务指定/批准规则(C)第 2 章规范的要求。作为技术服务(C 类)的指定使 OQS 有权对制造商是否符合"CoP 报告"程序中批准相关要求进行评估。

2 REQUIREMENTS FOR QUALITY AUSTRIA AS A CERTIFICATION BODY

2.OQS 作为认证机构的要求

2.1 Certification body recognition requirements2.1 认证机构认可要求

IATF 16949
Requirements are defined in IATF Rules, Clause 2.1.在 IATF 规则第 2.1 条中定义了要求。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 2.1.在 VDA 第 6 卷第 2.1 节中定义了要求。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, clause
4 (Assessment, designation, renewal of the designation and supervision of the technical service)
6 (change of designation)
7 (restriction, suspension, termination of designation)
8 (contradiction).
要求定义在《技术服务的指定/认可规则》
第 4 条（对技术服务的评估，指定，续签和监督 ）
第 6 条（名称变更）
第 7 条（限制，暂停，终止）
第 8 条（矛盾）

Quality Austria observes and complies with the requirements defined in this Clause.
These requirements are generally assured by Accreditation.
奥世公司遵守本条款中规定的要求。这些要求通常通过认可保证。

Further documented information 详细信息可查阅:
- RE_01_02_04 Handlungsgrundsätze Risikomanagement/Rechtssicherheit (Principles Risk Management / Legal certainty)(Principles Risk Management / Legal certainty 原则风险管理/法律确定性)
- RE_05_02_02_02e_Partner management 合作伙伴管理
- Management review (Chapter: Results from hazard identification / risk assessment)

- 管理评审（章节：危害识别/风险评估的结果）

2.2 Management of impartiality and independence2.2 公正与独立的管理

In order to ensure impartiality and independence, Quality Austria complies with the general Regulations in force on this matter 为了确保公正性和独立性，奥世会遵守有关此问题的现行一般规定：

- RE_01_02_08e_Fundamental principles for avoiding corruption 避免腐败的基本原则
- RE_05_01_01_01e_Conditions for the activities auditor 审核员活动条件
- WIS (Confirmation of independence)WIS(独立性确认)

2.2.1 Threats to impartiality and independence2.2.1 对公正和独立的威胁

- Quality Austria Council 奥世理事会

2.3 Contractual requirements placed on Quality Austria 奥世合同要求

IATF 16949
Requirements are defined in IATF Rules, Clause 2.3.要求在 IATF 规则第 2.3 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 2.3.要求在 VDA 第 6 卷第 2.3 节中定义。

Quality Austria observes and complies with the requirements defined in these Clauses.奥世遵守这些条款中定义的要求。

KBA
Information obligations: Quality Austria immediately informs the KBA in the following situations according to Annex 4, point 1: 奥世在以下情况下根据附件 4 第 1 点立即通知 KBA：
- semi-annual inventory report to procedures under KBA designation 向 KBA 指定的程序提交半年度库存报告
- immediate information in case of major nonconformities 及时告知严重不符合项
- refusal of a certificate 拒绝证书
- initiated administrative or criminal proceedings with significance for the designation 启动具有重大指定意义的行政或刑事诉讼

2.3.1 **quality**austria's contracted body 奥世签约机构

IATF 16949
Requirements are defined in IATF Rules, Clause 2.3.1.要求在 IATF 规则第 2.3.1 节中定义。

qualityaustria's designated office approved as the contracted office is the Customer Service Center (CSC) in Linz. 客户服务中心是奥世指定的签约办公室。

For IATF 16949, there are two regional offices in Shanghai and Delhi:
对于 IATF 16949，在上海和德里有两个签约办事处：

- **OQS Asia Pacific** 奥世亚太区
  6F JH Plaza 2008 Huqingping Road
  Shanghai, CN 201702
  China

中国上海沪青平公路 2008 号竟衡大厦 607

- **Quality Austria Central Asia Private Limited** 奥世中亚私人有限公司
  ATS Bouquet "Tower C" 201 & 202, Sector 132, Greater Noida,
  Gautam Budha Nagar 201 301 Uttar Pradesh
  India / Delhi

VDA 6.x, KBA

There are no further contracted offices for VDA 6.x and KBA. VDA 6.x 和 KBA 没有其他签约办公室。

Quality Austria, as the IATF-approved contracted office is responsible for the control of all IATF 16949 certification activities.作为 IATF 批准的签约办公室，奥世负责所有 IATF 16949 认证活动的控制。

Quality Austria is the designated office approved by the IATF and the direct contact to all external offices. The authorized representative for Automotive has been appointed as the contact person for IATF.奥世是 IATF 批准的指定办事处，并与所有外部办事处直接联系。 汽车授权代表已被任命为 IATF 联系人。

Matrix of collaboration with local offices for IATF 16949
与 **IATF16949** 当地办事处的合作矩阵

	HQ	OQS	QACA*
Development of local and regional marketing activities for IATF 16949 制定 IATF 16949 的本地和区域营销活动	R	R	R
Creation of offers to potential clients 为潜在客户报价	R	R	R*
Approval of offers for potential clients 批准潜在客户的报价	R	R	R*
Review of contract and preparation of legally binding agreements with the client 审查合同并与客户签订具有法律约束力的协议	R	R	R*
Audit planning activities 审核计划活动	R	S	S
Establishing the audit team 建立审核组	R	S	S
Conducting audits 进行审核	R	R	R*
Follow-up activities with clients 对客户的跟进活动	R	R	R*
Making certification decisions 做出认证决定	R		
Issuance of certificate 颁发证书	R		
Entries in the IATF database 录入 IATF 数据库	R		
Management review 管理评审	R	S	S
Conducting internal system audits 进行内部系统审核	R		
Conducting internal witness audits 进行内部见证审核	R	S	S

* The collaboration to manage specific process steps (direct communication and invoicing) in geographies outside India by QACA (s. International automotive operations process PFC_Rev00_20.01.2023)
QACA 合作管理印度以外地区的特定流程步骤(直接沟通和开票)(s.国际汽车运营流程 PFC_Rev00_20.01.2023)

Further documented information:详细信息可查阅：

- RE_05_02_02_02e_Partner management 合作伙伴管理
- RE_05_02_02_02-01e_New Territory Management (QACA)(QACA)新界管理

2.4 Ongoing recognition requirements 持续识别要求

VDA QMC and Accreditation Austria (KBA) carry out the verification activities.
VDA QMC 和 Accreditation Austria KBA 进行验证活动。

IATF 16949
Requirements are defined in IATF Rules, Clause 2.4.要求在 IATF 规则第 2.4 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 2.4.要求在 VDA 第 6 卷第 2.4 条中定义。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 1, Clause 5.在《技术服务的指定/认可规则》附件 1 第 5 条中定义了要求。

2.4.1 Witness Audits 见证审核

IATF 16949
Requirements are defined in IATF Rules, Clause 2.4.1.要求在 IATF 规则第 2.4.1 节中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 2.4.1.要求在 VDA 第 6 卷第 2.4.1 节中定义。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 1, Clause 5.在《技术服务的指定/认可规则》附件 1 第 5 条中定义了要求。

Planning, implementation and follow-up (nonconformity management) of external witness audits are carried out in accordance with requirements and defined deadlines (e.g. AMP system).外部见证审核的计划，实施和跟进（不合格管理）是根据要求和规定的期限（例如 AMP 系统）进行的。

2.4.2 Office Assessments / audits at contracted offices 办公室评审/审核

IATF 16949
Requirements are defined in IATF Rules, Clause 2.4.2.要求在 IATF 规则第 2.4.2 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 2.4.2.在 VDA 第 6 卷第 2.4.2 节中定义了要求。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 1 (Designation procedure for technical services).
在《技术服务的指定/认可规则》附件 1(技术服务的指定程序)中定义了要求。

Panning, implementation and follow-up (nonconformity management) of external office audits are carried out in accordance with requirements and defined deadlines (e.g. AMP system)外部办公室评审的实施和跟进（不合格管理）是根据要求和规定的期限（例如 AMP 系统）进行的。

2.5 IATF de-recognition process of the certification body 认证机构的 IATF 取消确认过程

IATF 16949

Requirements are defined in IATF Rules, Clause 2.5.要求在 IATF 规则第 2.5 条中定义。

VDA 6.x

Requirements are defined in VDA Volume 6, Clause 2.5.要求在 VDA 第 6 卷第 2.5 节中定义。

KBA

Requirements are defined in the Rules for designation/recognition of Technical Services,
Clause 7 (restriction, suspension, termination of designation) and
Clause 8 (contradiction) established.在《技术服务的指定/认可规则》第 7 条（限制，暂停，终止指定 ）和确立的第 8 条（矛盾） 中定义了要求。

In order to keep the recognition upright, requirements are implemented effectively. The initiation of the de-recognition processes is carried out acc. to Regulation TP_06_07_001_Korrekturmaßnahmen aus externen IATF-Audits (corrective actions from external IATF audits).为了保持直觉，有效地执行了要求。 取消识别过程的启动根据 TP_06_07_001_IATF 外部审核的纠正措施

2.6 Management system requirements of a Certification body 2.6 认证机构的管理体系要求

Quality Austria is responsible to establish, document, maintain, control, monitor and improve its quality management system related to IATF 16949, VDA 6..x and KBA, regardless of where these activities are performed (see Clause 2.6 of IATF Rules). 无论在何处进行这些活动，奥世都有责任建立，记录，维护，控制，监视和改进与 IATF 16949，VDA 6..x 和 KBA 有关的质量管理体系（请参阅 IATF 规则第 2.6 条）。

qualityaustria **management system requirements** 奥世管理体系要求

Quality Austria shall document its organizational structure, showing duties, responsibilities, and authorities of management and other certification personnel and any committees. 奥世应记录其组织结构，展示管理人员，其他认证人员和委员会的职责，责任和权限。

All lines of authority from regional contracted offices of Quality Austria involved in the IATF 16949 certification process are clearly regulated in the corresponding documents and schemes. 涉及 IATF 16949 认证过程的奥世区域签约办事处的所有权限在相应的文件和计划中都有明确规定。

Appropriate internal regulations ensure that the roles, responsibilities and authorities of the entire certification body are defined in a binding manner. 适当的内部法规可确保以具有约束力的方式定义整个认证机构的角色，职责和权限。

Quality Austria confirms, as the certification body, that it is a defined part of a legal entity, and that its structure includes the line of authority and the relationship to other parts within the same legal entity. 作为认证机构，奥世确认它是法律实体的定义部分，并且其结构包括权限范围以及与同一法律实体内其他部分的关系。

Quality Austria has defined its key processes and operating procedures for IATF 16949, including their sequence, interactions, measures of effectiveness, and efficiency together with appropriate objectives (business plan, KPI matrix, etc.) in the Intranet. 奥世已为 IATF 16949 定义了其关键流程和操作程序，包括其顺序，交互作用，有效性和效率的度量以及内联网中的适当目标（业务计划，KPI 矩阵等）。

A common management system is defined and can be found on the Intranet (RE_06_01). Control of documents is carried out acc. to PB_06_03_01e_Control of Documents general, and PB_06_03_02_Lenkung von externen Dokumenten (Control of external Documents). 定义了一个公共管理系统，可以在 Intranet（RE_06_01）上找到它。 对文件的控制根据 PB_06_03_01e_常规文档控制和 PB_06_03_02_外部文档控制

Additionally, more strict requirements could be defined for certain regions (e.g. auditor training in China. An English translation shall be available. 此外，可以为某些地区定义更严格的要求（例如，在中国进行的审核员培训。应提供英文翻译）。

Specific automotive requirements and information are prepared and communicated via internal SI's or e-mails from the sector management. Internal SI's together with other system documents are stored in the Intranet. Where a regional translation of documents is necessary (e.g. in China), responsibility for translation lies with the local partner office. The sub-distribution of translated documents is also done by the local partner office. 特定的汽车要求和信息已准备就绪，并通过内部 SI 或部门管理层的电子邮件进行了交流。 内部 SI 与其他系统文档一起存储在 Intranet 中。 在需要对文档进行区域翻译的情况下（例如在中国），当地合作伙伴办公室负责翻译。 翻译文档的子分发也由本地合作伙伴办事处完成。

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Created: Erhart   Reviewed: Dragosits   Released: Stöhrmann   Phone: +43 732 34 23 22, Fax: +43 732 34 23 23, www.qualityaustria.com E-Mail: office@qualityaustria.com

2.7 Management review 管理评审

Management review 管理评审

The management review of Quality Austria is carried out at the Headquarters (contracted office) once a year. Ongoing management team meetings ensure the correct and appropriate implementation of requirements. For regional offices no management review is required.奥世的管理评审每年在总部（签约办公室）进行一次。持续的管理团队会议可确保正确地执行要求。对于区域办事处，无需进行管理评审。

The review inputs from the regional offices shall be 区域办事处的评审输入：
- Customer satisfaction 客户满意度
- Feedback from clients, interested parties (e.g. CNCA, etc.)客户，相关方（例如 CNCA 等）的反馈

However, it is possible that a local management review is available due to local non-automotive requirements (e.g. local accreditation).但是，由于当地的非汽车要求（例如，本地认可协会），可能会进行本地管理评审。

IATF 16949

Requirements are defined in IATF Rules, Clause 2.8.要求在 IATF 规则第 2.8 条中定义。

VDA 6.x

Requirements are defined in VDA Volume 6, Clause 2.8.要求在 VDA 第 6 卷 2.8 节中定义。

2.8 Internal system audits

Regulation RE_06_07_01e_Rules for the Conduct of Internal Audits, BU1 defines the requirements for conducting internal audits in the area of system and product certification.关于内部审核实施的 RE_06_07_01e_BU1 规则定义了在体系和产品认证领域进行内部审核的要求。

Compliance with contractual agreements and requirements at regional offices is reviewed in the course of office audits at least once a year. 在办公室审核过程中，至少每年检查一次区域办事处对合同协议和要求的遵守情况。

IATF 16949

D Requirements are defined in IATF Rules, Clause 2.8.要求在 IATF 规则第 2.8 条中定义。

VDA 6.x

Requirements are defined in VDA Volume 6, Clause 2.8.要求在 VDA 第 6 卷 2.8 节中定义。

KBA

Requirements are defined in the Rules for designation/recognition of Technical Services, Clause 9.2 (Obligations of the technical service).在《技术服务的指定/认可规则》第 9.2 条（技术服务义务 ）中定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- FO_10_02_02e_Internal Action Plan Automotive
- FO_06_07_07-01e_ Matrix for internal audits Automotive
- CL_06_07_03e_Audit checklist_report_internal office audit

2.9 Appeals and complaints 申诉和投诉

Regulation RE_10_01_01e_Appeals and Complaints defines the process for handling appeals and complaints. 法规 RE_10_01_01e_申诉和投诉定义了处理申诉和投诉的流程。

Handling off all appeals / complaints from any interested parties shall include the following detailed steps (CSC/ sector manager/BD)处理所有相关方的申诉/投诉须包括以下详细步骤(CSC/部门经理/BD)：
a) receiving, validating, investigating 接收，验证，调查
   - forward the appeal / complaint to the Sector Manager / BD / Lead auditor (via e-mail) 将申诉/投诉转交部门经理/BD/审核组长(通过电子邮件)
   - create and send the "Standard letter Initiation of decertification process" 创建并发送"取消认证程序启动标准信函"
b) determining the root cause 确定根本原因
   - analyse of the situation by WIS order (e.g. Off-site verification–complaint by IATF OEM) 根据 WIS 订单分析情况(例如，IATF OEM 的非现场验证投诉)
c) ensuring that any appropriate correction and systemic corrective actions are taken 确保采取适当的纠正和系统的纠正措施
   - Documentation on Adhoc-NC-report in CARA (if adequate a major NC shall be raised) CARA 中 adhoc -NC 报告的文件(如足够，应开出一个严重 NC)
   - Documentation in WIS order WIS 订单的文件
   - Documentation in the internal action plan automotive (FO_10_02_02e) if appropriate actions are required in the audit process and/or by the auditor. 如果审核过程和/或审核员需要采取适当的措施，应在内部行动计划(FO_10_02_02e)中形成文件。
d) Providing progress reports and the outcome 提供进度报告和结果
   - within 20 days the veto decision has to be done 必须在 20 天内做出 veto 决定
    - if applicable, suspension letter -> special audit (on-site audit) – WIS entry-> within 90 days the veto decision has to be done (withdrawal or reinstatement) 如适用，暂停函->特殊审核(现场审核)- 输入 WIS->必须在 90 天内做出 veto 决定(撤回或恢复)
e) Maintaining the records of appeals, claims and actions taken 保存申诉、索赔和所采取行动的记录
   - Documentation in WIS order WIS 订单的文件
   - filing it in the overview list of complaints / appeals 在投诉/申诉概述列表中存档

See also Clause 8.1ff of this Guideline.另请参阅本指南的第 8.1ff 条。

At regional offices (such as OQS Shanghai or QACA India), additional Regulations may apply to comply with local or regional requirements. 在区域办事处（例如 OQS 上海或 QACA 印度），可能会适用其他法规，以符合当地或区域要求。

2.10 Notice of changes by a certification body 认证机构的变更通知

IATF 16949
Requirements are defined in IATF Rules, Clause 2.10.要求在 IATF 规则第 2.10 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 2.10.要求在 VDA 第 6 卷第 2.10 节中定义。

KBA
See clause 2.3, Contractual requirements placed on Quality Austria
请参阅第 2.3 条，对 奥世的合同要求
Quality Austria immediately informs the KBA of all circumstances that could be of significance to its designation. In particular, the KBA shall be informed about changes and important events with regard to the accreditation and shall be provided, upon request, with assessment results of the respective bods in German or English, if this is relevant to the KBA designation.奥世会立即通知 KBA 所有可能具有重大指定意义情况。 特别是，应向 KBA 通报与认证有关的变化和重要事件，并应要求向 KBA 提供与 KBA 名称相关的相应机构的德语或英语评估结果。

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Phone: +43 732 34 23 22, Fax: +43 732 34 23 23,
Created: Erhart   Reviewed: Dragosits   Released: Stöhrmann   www.qualityaustria.com E-Mail: office@qualityaustria.com

3 CERTIFICATION BODY CONTRACT REQUIREMENTS WITH THE CLIENT 认证机构对客户的合同要求

IATF 16949
Requirements are defined in IATF Rules, Clause 3.1.要求在 IATF 规则第 3.1 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 3.1.在 VDA 第 6 卷第 3.1 条定义了要求。

Effective implementation is ensured by the document FO_27_01_011e_Complemental agreement for offer or contract. In addition, there are local contracts between partners and clients.要约或合同的补充协议 FO_27_01_011e_确保了有效实施。此外，合作伙伴和客户之间还有本地合同。

Following documents are required to establish and implement legally enforceable agreements with the clients 与客户建立并执行具有法律效力的协议需要以下文件:

Audit type 审核类型	Documents 文件
Certification audit (CA) or transfer audit (TA) 初审或转机构审核	▪ FO_27_01_011e_Complemental agreement for offer or contract 要约或合同的补充协议 ▪ Commercial Agreement 商业协议 ▪ GTC
Recertification audit (RA)重审	▪ Commercial Agreement 商业协议 ▪ GTC

KBA
The **quality**austria General Terms and Conditions (RE_02_11e_GTC_System Certification) are sent to and accepted by the client together with the offer.
奥世一般条款和条件 (RE_02_11e_GTC_System Certification)与报价一起发送给客户并被客户接受。

4 RESOURCE REQUIREMENTS 资源需求

IATF 16949
Requirements are defined in IATF Rules, Clause 4.要求在 IATF 规则第 4 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 4.VDA 第 6 卷第 4 章定义了要求。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 3 (minimum requirements for the personnel deployed). 要求在《技术服务的指定/认可规则》附件 3（对部署人员的最低要求）中进行了定义。
1 General 概述
2 admission criteria 入场标准
3 Additional competence criteria after the appointment 任命后的其他能力标准
4 Monitoring of competency 能力监控
5 Internal exchange of experience.内部经验交流

Further documented information 详细信息可查阅:

- RE_02_02_101_CSC_Sachbearbeiter_Produktkoordination_Automotiv_Aerospace_Rollenbeschreibung

4.1 Veto power qualification 否决权资格

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施:
- RE_27_01_063e_Approval of Business Transactions (Description of the requirements for veto-persons 对 veto 要求的描述)
- RE_02_01_04_Vetorechtsbeauftragte
- Veto nomination 否决提名
- https://iatf-amp.metricstream.com

4.2 Application process and criteria for Automotive Auditors 汽车审核员的申请流程和标准

IATF 16949
Requirements are defined in IATF Rules, Clause 4.2.要求在 IATF 规则第 4.2 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 4.2.要求在 VDA 第 6 卷第 4.2 节中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施:
- Appointment of auditors 审核员任命
- RE_05_01_05_01e_Qualification Guidelines for **quality**austria auditors in general 针对质量奥世审核员的基本资格准则
- Requirements of https://vda-qmc.de/aus-und-weiterbildung/antragsformulare/ and AIAG
- https://admin.iatfadp.com/

4.3 Auditor qualification process 审核员资格认证过程

IATF 16949
Requirements are defined in IATF Rules, Clause 4.3.要求在 IATF 规则第 4.3 条中定义。

If necessary, mentoring is used to support the competence for the ATAFs. This is described in the RE_05_01_05_01e_Qualification Guidelines for **quality**austria auditors in general.如必要，可通过指导来支持 ATAFs 的能力。这在 **quality**austria 审核员的 re_05_01_05_01_资格指南中有描述。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 4.3.要求在 VDA 第 6 卷第 4.3 节中定义。

KBA:
In addition to the appointment as an ISO 9001 auditor, a „training on the requirements relevant to approval", concluding with an exam, must be completed before nomination as a KBA auditor will be granted. 除了被任命为 ISO 9001 审核员外，还必须完成"对与批准有关的要求的培训"（包括考试），然后才能授予 KBA 审核员的提名。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施:
- RE_05_01_05_01e_Qualification Guidelines for **quality**austria auditors in generalQA 审核员资格指南
- FO_05_01_04_01e_Evidence of automotive training for new auditors 新审核员的汽车培训证明

4.4 Certification body internal witness audit process

IATF 16949
Requirements are defined in IATF Rules, Clause 4.4.要求在 IATF 规则第 4.4 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 4.4.要求在 VDA 第 6 卷第 4.4 条中定义。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 3 (minimum requirements for the personnel deployed) point 4 (monitoring of competence) 要求在《技术服务的指定/认可规则》附件 3（对部署人员的最低要求）第 4 点（能力监控）中定义。

The initial witness audit must be conducted within the first three audits.初次见证审核必须在前三个审核中进行。

For maintaining the appointment, an internal witness audit must be carried out every 3 years.
为了维持任命，必须每 3 年进行一次内部见证审核。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：

- TP_05_01_05_01e_Witness audits internal 内部见证审核
- RE_06_07_01e_Rules for the Conduct of Internal Audits BU1 内部审核规则
- FO_10_02_02e_ Internal Action Plan Automotive 内部行动计划
- CL_05_01_05_01e_Checklist Witness audits for auditors 对审核员的见证审核
- https://iatf-amp.metricstream.com

4.5 Maintaining auditor certification 维持审核员资质

IATF 16949
Requirements are defined in IATF Rules, Clause 4.5.要求在 IATF 规则第 4.5 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 4.5.要求在 VDA 第 6 卷第 4.5 节中定义。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 3 (minimum requirements for the personnel deployed) point 4 (monitoring of competence). 要求在《技术服务的指定/认可规则》附件 3（对部署人员的最低要求）第 4 点（能力监控）中定义。
This includes 包括：

- proof of renewed KBA training must be provided at least every 5 years;
- 必须至少每 5 年提供一次更新的 KBA 培训证明;
- an audit must be carried out every 24 months;
- 必须每 **24** 个月进行一次审核*;*
- participation in the annual KBA-Erfa.
- 参加一年一度的 **KBA-Erfa.**

Following processes, regulations and forms ensure effective implementation:
以下流程，法规和表格可确保有效实施：

- RE_05_01_06_01e_Maintenance of Competence for QA auditors 审核员的能力维护
- Resource monitoring, KPI Matrix 资源监控，KPI 矩阵
- https://admin.iatfadp.com/

The ongoing monitoring and measurement of performance is part of the resource monitoring. The criteria (witness audit results, CPD, WIS rejections, nonconformities, complaints, client satisfaction) are specified in this monitor. A rating scale is used to convert them into points and

into a traffic light rating. These evaluation results are used as input into the additional internal witness audit planning.

正在进行的绩效监控和度量是资源监控的一部分。在此监控中指定了标准（见证审核结果，CPD，WIS 退回，不符合项，投诉，客户满意度）。评级量表用于将其转换为积分和交通信号灯评级。这些评估结果用作额外的内部见证审核计划的输入。

4.6 Certification body internal system auditor qualification4.6 证机构内部体系审核员资格

IATF 16949
Requirements are defined in IATF Rules, Clause 4.6.要求在 IATF 规则第 4.6 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 4.6.在 VDA 第 6 卷第 4.6 条定义了要求。

KBA:
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 3 (minimum requirements for the personnel deployed) point 1 (general) 要求在《技术服务的指定/认可规则》附件 3（对部署人员的最低要求）第 1 点（概述）中定义。

Following processes, regulations and forms ensure effective implementation:
以下流程，法规和表格可确保有效实施：
- RE_06_07_01e_Rules for the Conduct of Internal Audits BU1 内部审核规则
- https://iatf-amp.metricstream.com

5 AUDIT PROCESS GENERAL REQUIREMENTS 审核流程一般要求

5.1 Audit and certificate cycles 审核和证书周期

IATF 16949
Requirements are defined in IATF Rules, Clause 5.1.要求在 IATF 规则第 5.1 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.1.要求在 VDA 第 6 卷第 5.1 节中定义。

5.2 Audit day determination 审核日确定

IATF 16949
Requirements are defined in IATF Rules, Clause 5.2.要求在 IATF 规则第 5.2 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.2.要求在 VDA 第 6 卷第 5.2 节中定义。

Following processes, regulations and forms ensure effective implementation:
以下流程，法规和表格可确保有效实施：
- RE_25_03_01e_Minimum audit time 最短审核时间
- FO_25_03_17_1e_IATF-claculator
- FO_27_01_106e_3 Phasen_Automotive (only for VDA 6.x Audit)
- FO_27_01_234e_IATF Audit Information

If during the audit preparation the scope of certification is expanding (at RA or SA) the audit time shall increase (e.g. new EMS). This increase shall be recorded at the FO_27_01_188_IATF-Information for audit planning.
如果在审核准备期间认证范围扩大（RA 或 SA），审核时间应增加（例如新的 EMS）。这种时间增加应记录在 Information for audit planning 文件中。

In the case of upgrade audits (from ISO 9001 or VDA 6.1), it is required that the last audit day of the IATF-Stage 2 audit is latest on the day on which the validity of the certificate (ISO 9001 or VDA 6.1) ends. Otherwise, no reduction in the number of audit days is permitted!
A reduction is also not permitted if the scope is expanded.
在升级审核（从 ISO 9001 或 VDA 6.1）的情况下，要求 IATF-二阶段审核的最后审核日最迟是证书（ISO 9001 或 VDA 6.1）有效期结束之日。 否则，不允许减少审核天数！
如果范围扩大，也不允许减少。

KBA
The audit time is calculated with 10% of the ISO 9001 audit time (see RE_25_03_01e_minimum audit times), with a minimum of 4 hours, and in the case of surveillance not more than 8 hours.
审核时间按 ISO 9001 审核时间的 10% 计算（参见 RE_25_03_01e_minimum 审核时间），最少为 4 小时，在监督情况下不超过 8 小时。

5.3 Audit day determination – corporate audit scheme

IATF 16949
Requirements are defined in IATF Rules, Clause 5.3.要求在 IATF 规则第 5.3 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.3.在 VDA 第 6 卷第 5.3 节中定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- RE_25_03_01e_Minimum audit time
- FO_25_03_17_1e_IATF-claculator

5.4 Audit day determination – permitted reductions 核日确定-允许的减免

IATF 16949
Requirements are defined in IATF Rules, Clause 5.4.要求在 IATF 规则第 5.4 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.4.要求在 VDA 第 6 卷第 5.4 条中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- RE_25_03_01e_Minimum audit time
- FO_25_03_17_1e_IATF-claculator

5.5 Supporting activities 支持活动

IATF 16949
Requirements are defined in IATF Rules, Clause 5.5.要求在 VDA 第 6 卷 5.5 节中定义。

A separate order shall be created in WIS database for each stand-alone remote support location (SA-RSL) if it supports several production sites.
如果支持多个生产现场，则应在 WIS 数据库中为每个独立的远程支持地点（SA-RSL）创建一个单独的订单。

In the case of an SA-RSL that only supports one production site, a joint WIS order can be created if the physical distance and the audit programme allow it.
在 SA-RSL 仅支持一个生产现场的情况下，如果物理距离和审核计划允许，可以创建联合的 WIS 订单。

SA-RSL: A client location where one or more support functions reside and **no automotive manufacturing (no IATF certificate)** occurs, and that provides support from the standalone remote support location to one or more manufacturing sites.
SA-RSL：一个或多个支持职能所在的客户位置，没有汽车制造（没有 IATF 证书），并且从独立的远程支持位置向一个或更多的制造现场提供支持。

RSL: A client location where one or more support functions reside that provide support from the remote support location to a **manufacturing site.**
RSL：一个或多个支持职能所在的客户位置，从远程支持位置向制造现场提供支持。

RSF: A function performed by the RSL or SA-RSL (policy making, sales, IT...)
RSF：RSL 或 SA-RSL 执行的职能（政策制定、销售、IT…）

The deviation from this determination shall be communicated by the concerned lead auditor and approved separately by BM Automotive or BD Automotive.
与此决定的偏差应由相关的主审核员进行沟通，并由 BM 汽车或 BD 汽车单独批准。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.5.要求在 VDA 第 6 卷 5.5 节中定义。

When external supporting activities were audited by another certification body, document FO_27_01_153_"Check - Audit at RSF by other CB (Automotive)" shall be used for recognition. 当外部支持活动由另一认证机构审核时，应使用文件 FO_27_01_153_"其他 CB（汽车）在 RSF 的审核"进行识别。

- ▪ FO_27_01_153_Überprüfung - Audit an RSF durch anderern CB (Automotive)
- ▪ FO_25_03_22e_IATF RSF-Matrix

5.6 Establishing the audit team 建立审核组

IATF 16949
Requirements are defined in IATF Rules, Clause 5.6.要求在 IATF 规则第 5.6 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.6.在 VDA 第 6 卷第 5.6 条中定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- ▪ TP_27_01_13_01e_Operational planning for audit and assessment 审核和评估的运行计划

5.7 Audit planning – all audits

IATF 16949
Requirements are defined in IATF Rules, Clause 5.7.

Additional requirements regarding the minimum audit time in the production are specified in IATF Rules, clause 10 "Production".

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.7.要求在 IATF 规则第 5.7 条中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施:

- FO_27_01_106e_3 Phases Automotive (only for VDA 6.x Audits)
- <mark>FO_27_01_234e_IATF Audit Information</mark>
- FO_27_01_134e Auditplan-Automotive

Note for the implementation of integrated audits 实施结合审核的说明：
Either the allocation to the audited standard is clearly regulated by the auditor **or**
if IATF auditors also audit other standards (e.g. ISO 14001), the standard must be displayed as a single line for each audit sequence. 审核标准的分配由审核员明确规定，或者如果 IATF 审核员还审核其他标准（例如 ISO 14001），对于每个审核序列，标准必须以单行显示.
For application examples, see **internal SI no. 10304**
有关应用示例，请参见内部 SI 编号 10304

KBA
The procedure is the same as for ISO 9001 (see FO_27_01_030e Audit plan, and PB_27_01_01e_ audit process general) 该程序与 ISO 9001 相同（请参阅 FO_27_01_030e 审核计划和 PB_27_01_01e_ 审核流程一般）

5.8 Conducting onsite audit activities 进行现场审核活动

IATF 16949
Requirements are defined in IATF Rules, Clause 5.8. 要求在 IATF 规则第 5.8 条中定义。

Automotive audits shall be carried out on site. In the case of an unavoidable remote audit, an individual risk assessment for a remote audit (CL_25_03_07) shall be carried out and a waiver request with justification shall be sent to the relevant IATF Oversight Office. 汽车审核应在现场进行。在不可避免的远程审核的情况下，应对远程审核进行单独的风险评估(CL_25_03_07)，并向相关的 IATF 监督办公室发送有理由的豁免请求。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.8. 要求在 VDA 第 6 卷 5.8 节中定义。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 2 (Requirements for the process for evaluating the fulfillment of approval-relevant requirements by the manufacturer in the "CoP information" process) Point 2 (review of the QM system on site). In the course of the KBA audit, the conformity of production (CoP) is reviewed and the company's ability to meet the approval-relevant requirements (ARR) is verified.
要求在《技术服务的指定/认可规则》附件 2（制造商在" CoP 信息"过程中评估是否满足批准相关要求的过程的要求 ）第 2 点（现场评审质量管理体系）中定义。在 KBA 审核过程中，审核生产一致性 (CoP) 并验证公司满足批准相关要求 (ARR) 的能力。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施:
- FO_27_01_106e_3 Phases Automotive (only for VDA 6.x Audits)
- <mark>FO_27_01_234e_IATF Audit Information</mark>
- CL_27_01_162e_IATF 16949 CARA
- CL_27_01_163e_IATF 16949 process records CARA
- CL_27_01_101e_ISO 9001_2015 (for KBA)
- CL_27_01_046_Audit Stufe 1_Anlage_KBA (Audit stage 1, Annex KBA)
- CL_27_01_010_VDA 6_1
- CL_27_01_130_VDA 6.2_2017, incl. ISO 9001_2015
- CL_27_01_031_VDA 6.4_2017, incl. ISO 9001_2015
- CL_25_03_07e_Risk assessment for remote audit_assessment

5.9 Audit findings 审核发现

IATF 16949
Requirements are defined in IATF Rules, Clause 5.9.要求在 IATF 规则第 5.9 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.9.在 VDA 第 6 卷第 5.9 条中定义了要求。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 2 (Requirements for the process for evaluating the fulfillment of approval-relevant requirements by the manufacturer in the "CoP information" procedure) Point 3 (evaluation of the determination made).要求在《技术服务的指定/认可规则》附件 2（制造商在" CoP 信息"过程中评估是否满足批准相关要求的过程的要求 ）第 3 点（对所做决定的评价）中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- FO_27_01_040e Action plan Automotive VDA 6.x
- FO_27_01_033e Action Plan (for KBA audits)
- CARA NC Mgt

5.10 Writing the audit report 编写审核报告

IATF 16949
Requirements are defined in IATF Rules, Clause 5.10.要求在 IATF 规则第 5.10 条中定义。

VDA 6.x
D Requirements are defined in VDA Volume 6, Clause 5.10.D 要求在 VDA 第 6 卷第 5.10 节中定义。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 2 (Requirements for the process for evaluating the fulfillment of approval-relevant requirements by the manufacturer in the "CoP information" process) Point 2 (review of the QM system on site)
要求在《技术服务的指定/认可规则》附件 2（制造商在" CoP 信息"过程中评估是否满足批准相关要求的过程的要求 ）第 2 点（现场评审质量管理体系）中定义。
Following processes, regulations and forms ensure effective implementation:
- FO_27_01_138e_Audit report AUTOMOTIVE_IMS (only for VDA 6.x Audits)
- CARA report
- cop_information (for KBA audits)

In case of audit termination during the audit, the audit files shall be updated to the actual audited topics. This includes the update of the audit plan, CARA report and NC-Management, Verification of previous NCs, recommendation to the veto decision, etc.在审核终止的情况下，审核档案应更新在实际被审核的主题下。包括更新审核计划、CARA 报告和 NC 报告、前次 NC 的验证、对否决决定的建议等。

5.11 Nonconformity management 不符合项管理

IATF 16949
Requirements are defined in IATF Rules, Clause 5.11.要求在 IATF 规则第 5.11 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 5.11.在 VDA 第 6 卷第 5.11 条中定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：

- FO_27_01_040e Action plan Automotive VDA 6.x
- CARA NC Mgt
- FO_27_01_129e Supplemental Report Automotive (only for VDA 6.x audits)

KBA

FO_27_01_033e Action Plan (for KBA audits)

Deadlines are the same as for ISO 9001 according to ISO/IEC 17021-1, see PB_27_01_01e_audit process general.

In addition, a major nonconformity is defined as follows 此外，严重不符合项定义如下：

- There is a risks that 有风险
  - an unapproved product is brought into market with an approval sign or that the impression is created that it is approved, or 未经批准的产品带有批准标志进入市场，或给人以已获批准的印象，或
  - a non-conform product can be brought into market, or 不合格产品可以进入市场，或
  - malfunctioning products cannot be recalled.故障产品无法召回.
- The approval holder does not comply with the stipulations given in the approval and does not immediately implement adequate corrections or corrective actions.批准持有人不遵守批准中的规定，并且没有立即实施适当的纠正或纠正措施。
- Other serious violations of approval-relevant requirements 其他严重违反审批相关规定的

5.12 Certification decision

IATF 16949

Requirements are defined in IATF Rules, Clause 5.12.要求在 IATF 规则第 5.12 条中定义。

VDA 6.x

Requirements are defined in VDA Volume 6, Clause 5.12.要求在 VDA 第 6 卷第 5.12 节中定义。

KBA

Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 2 (Requirements for the process for evaluating the fulfillment of approval-relevant requirements by the manufacturer in the "CoP information" process) Point 4 (decision on the fulfillment of the approval-relevant requirements).要求在《技术服务的指定/认可规则》附件 2（制造商在" CoP 信息"过程中评估是否满足批准相关要求的过程的要求 ）第 4 点（满足批准相关要求的决定）中定义。

All KBA business cases are also subject to a veto check.所有 KBA 的商业案例也需要接受否决权检查。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：

- RE_27_01_063e_Approval of Business Transactions
- RE_02_01_04_Vetorechtsbeauftragte

After the WIS upload with the audit documents has been completed, the business case check is carried out by the CSC and the veto check is carried out in accordance with the above regulations. If changes are required due to rejections, these reasons are documented in the system (GPS & WIS).WIS 中审核文件上传完成后，由 CSC 进行业务案例审核，veto 检查按上述规定进行。如果因退件而需要更改，这些原因将记录在系统中(GPS 和 WIS)。

5.13 Certification and certificate issuance 认证和证书颁发

IATF 16949

Requirements are defined in IATF Rules, Clause 5.13.要求在 IATF 规则第 5.13 条中定义。

VDA 6.x

Requirements are defined in VDA Volume 6, Clause 5.13.在 VDA 第 6 卷第 5.13 节中定义了要求。

KBA

Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 2 (Requirements for the process for evaluating the fulfillment of approval-relevant requirements by the manufacturer in the "CoP information" process) Point 4 (decision on the fulfillment of the approval-relevant requirements)要求在《技术服务的指定/认可规则》附件 2（制造商在" CoP 信息"过程中评估是否满足批准相关要求的过程的要求 ）第 4 点（满足批准相关要求的决定）中定义。

If an ISO 9001 certificate is available, a KBA Annex to the certificate is issued. The certificate contains confirmation that the (quality) management system complies with the approval-relevant requirements.如果有 ISO 9001 证书，则会颁发证书的 KBA 附件。 该证书包含对（质量）管理体系符合批准相关要求的确认。

If the "Report on CoP" procedure at KBA does not take place as part of a certification procedure according to ISO 9001 (or a comparable QM standard such as IATF 16949, VDA 6.1, etc.), no appendix to the certificate is created. This means that the documents relevant to the certificate are no longer required in the business case, such as. Certificate print order but also the audit report and the checklist.
如果 KBA 的"CoP 报告"程序没有作为 ISO 9001(或类似的质量管理标准，如 IATF 16949, VDA 6.1 等)认证程序的一部分进行，则不会创建证书的附录。这意味着在业务案例中不再需要与证书相关的文档，例如：证书打印单，审核报告和检查表。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- TP_27_01_10_01e_Issuing certificates
- FO_27_01_010-4_Order certificate print_doc

5.14 Letter of conformance 符合性证明

IATF 16949
Requirements are defined in IATF Rules, Clause 5.14.要求在 IATF 规则第 5.14 条中定义。

6   AUDITS 审核

6.1 Application for certification 申请认证

IATF 16949
Requirements are defined in IATF Rules, Clause 6.1.要求在 IATF 规则第 6.1 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 6.1.要求在 VDA 第 6 卷第 6.1 条中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- FO_25_03_14e Information offer making Automotive
- FO_25_03_03e_Information_offer_making_ISO 9001 (for KBA), only for new clients 仅针对新客户

6.2 Application review 申请评审

IATF 16949
Requirements are defined in IATF Rules, Clause 6.2.要求在 IATF 规则第 6.2 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 6.2.VDA 第 6 卷第 6.2 条定义了要求。

Following processes, regulations and forms ensure effective implementation
以下流程，法规和表格可确保有效实施：
- FO_25_03_14e Information offer making Automotive
- FO_25_03_03e_Information_offer_making_ISO 9001 (for KBA), only for new clients 仅针对新客户
- FO_27_01_011e_Complemental agreement for offer or contract_doc
- FO_27_01_137e_Application for EMS
- FO_27_01_161e_Pre-Transfer Audit Review

6.3 Pre-audit 预审

IATF 16949
Requirements are defined in IATF Rules, Clause 6.3.要求在 IATF 规则第 6.3 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 6.3.在 VDA 第 6 卷第 6.3 条中定义了要求。

6.4 Initial audit

IATF 16949
Requirements are defined in IATF Rules, Clause 6.4.要求在 IATF 规则第 6.4 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 6.4.要求在 VDA 第 6 卷第 6.4 条中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- CL_27_01_047e_Audit Stage 1_VDA 6.x
- CARA Stage 1 readiness review
- CL_27_01_046_Audit Stufe 1_Anlage_KBA (Audit Stage 1, Annex KBA)

6.5 Stage 1 readiness review activities 一阶段准备情况审查活动

IATF 16949
Requirements are defined in IATF Rules, Clause 6.5.要求在 IATF 规则第 6.5 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 6.5.VDA 第 6 卷第 6.5 条定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- CL_27_01_047e_Audit Stage 1_VDA 6.x
- CARA Stage 1 readiness review
- LB_27_01_03_05e_Certification audit stage 1

6.6 Stage 2 initial certification audit 二阶段初核

IATF 16949
Requirements are defined in IATF Rules, Clause 6.6.要求在 IATF 规则第 6.6 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 6.6.第 6 卷第 6.6 条定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：

- FO_27_01_134e_Audit plan Automotive
- FO_27_01_106e_3 Phases_Automotive (only for VDA 6.x Audits)
- <mark>FO_27_01_234e_IATF Audit Information</mark>
- FO_27_01_138e_Audit report automotive_IMS (only for VDA 6.x Audits)
- CARA report
- FO_27_01_040e Action plan Automotive VDA 6.x
- CARA NC Mgt
- FO_27_01_129e Supplemental Report Automotive (only for VDA 6.x audits)
- FO_27_01_010-4e_Order certificate print_doc
- CL_27_01_162e_IATF 16949 CARA
- CL_27_01_163e_IATF 16949 process records CARA
- CL_27_01_101e_ISO 9001_2015 (for KBA in connection with ISO 9001 certificate 用于与 ISO 9001 证书相关的 KBA)
- KBA cop_information (432-Q-2.90)
- CL_27_01_010_VDA 6_1
- CL_27_01_130_VDA 6.2_2017 incl. ISO 9001_2015
- CL_27_01_031_VDA 6.4_2017 incl. ISO 9001_2015
- LB_27_01_03_06e_Certification audit stage 2
- RE_27_01_063e_Approval of Business Transactions
- RE_02_01_04_Vetorechtsbeauftragte

6.7 Surveillance audit 监督审核

IATF 16949
Requirements are defined in IATF Rules, Clause 6.7.要求在 IATF 规则第 6.7 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 6.7.在 VDA 第 6 卷第 6.7 条中定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：

- FO_27_01_134e Audit plan Automotive
- FO_27_01_106e_3 Phases_Automotive (only for VDA 6.x Audits)
- <mark>FO_27_01_234e_IATF Audit Information</mark>
- FO_27_01_138e_Audit report automotive_IMS (only for VDA 6.x Audits)
- CARA report
- FO_27_01_040e Action plan Automotive VDA 6.x
- CARA NC Mgt
- FO_27_01_129e Supplemental Report Automotive (only for VDA 6.x audits)
- FO_27_01_010-4e_Order certificate print_doc
- CL_27_01_162e_IATF 16949 CARA
- CL_27_01_163e_IATF 16949 process records CARA
- CL_27_01_101e_ISO 9001_2015 (for KBA in connection with ISO 9001 certificate 用于与 ISO 9001 证书相关的 KBA)
- KBA cop_information (432-Q-2.90)
- CL_27_01_010_VDA 6_1
- CL_27_01_130_VDA 6.2_2017 incl. ISO 9001_2015
- CL_27_01_031_VDA 6.4_2017 incl. ISO 9001_2015
- LB_27_01_03_08e_Surveillance audit
- RE_27_01_063e_Approval of Business Transactions
- RE_02_01_04_Vetorechtsbeauftragte

6.8 Recertification audit 重审

IATF 16949
Requirements are defined in IATF Rules, Clause 6.8.要求在 IATF 规则第 6.8 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 6.8.VDA 第 6 卷第 6.8 条定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- FO_27_01_134e Audit plan Automotive
- FO_27_01_106e_3 Phases_Automotive (only for VDA 6.x Audits)
- FO_27_01_234e_IATF Audit Information
- FO_27_01_138e_Audit report automotive_IMS (only for VDA 6.x Audits)
- CARA report
- FO_27_01_040e Action plan Automotive VDA 6.x
- CARA NC Mgt
- FO_27_01_129e Supplemental Report Automotive (only for VDA 6.x audits)
- FO_27_01_010-4e_Order certificate print_doc
- CL_27_01_162e_IATF 16949 CARA
- CL_27_01_163e_IATF 16949 process records CARA
- CL_27_01_101e_ISO 9001_2015 (for KBA in connection with ISO 9001 certificate 用于与 ISO 9001 证书相关的 KBA)
- KBA cop_information (432-Q-2.90)
- CL_27_01_010_VDA 6_1
- CL_27_01_130_VDA 6.2_2017 incl. ISO 9001_2015
- CL_27_01_031_VDA 6.4_2017 incl. ISO 9001_2015
- LB_27_01_03_08e_Surveillance audit
- RE_27_01_063e_Approval of Business Transactions
- RE_02_01_04_Vetorechtsbeauftragte

7 OTHER AUDIT TYPES 其他审核类型

7.1 Transfer audit 转移审核

IATF 16949
Requirements are defined in IATF Rules, Clause 7.1.要求在 IATF 规则第 7.1 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 7.1.VDA 第 6 卷第 7.1 条定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- FO_27_01_134e Audit plan Automotive
- FO_27_01_106e_3 Phases_Automotive (only for VDA 6.x Audits)
- FO_27_01_234e_IATF Audit Information
- FO_27_01_138e_Audit report automotive_IMS (only for VDA 6.x Audits)
- CARA report
- FO_27_01_040e Action plan Automotive VDA 6.x
- CARA NC Mgt
- FO_27_01_129e Supplemental Report Automotive (only for VDA 6.x audits)
- FO_27_01_010-4e_Order certificate print_doc
- CL_27_01_162e_IATF 16949 CARA
- CL_27_01_163e_IATF 16949 process records CARA
- CL_27_01_101e_ISO 9001_2015 (for KBA)
- CL_27_01_010_VDA 6_1

- CL_27_01_130_VDA 6.2_2017 incl. ISO 9001_2015
- CL_27_01_031_VDA 6.4_2017 incl. ISO 9001_2015
- RE_27_01_063e_Approval of Business Transactions
- RE_02_01_04_Vetorechtsbeauftragte
- FO_27_01_161e_Pre-Transfer Review

7.2 Special audits 特殊审核

IATF 16949
Requirements are defined in IATF Rules, Clause 7.2.要求在 IATF 规则第 7.2 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 7.2.VDA 第 6 卷第 7.2 条定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- FO_27_01_134e Audit plan Automotive
- FO_27_01_138e_Audit report automotive_IMS (only for VDA 6.x Audits)
- CARA report
- FO_27_01_040e Action plan Automotive VDA 6.x
- CARA NC Mgt
- FO_27_01_010-4e_Order certificate print_doc
- RE_27_01_063e_Approval of Business Transactions
- RE_02_01_04_Vetorechtsbeauftragte

8 CERTIFICATE DECERTIFICATION PROCESS 证书取消认证过程

Further regulations are defined in document RE_10_01_01e_Appeals and Complaints RE_27_01_090 Regelung „Matrix zur Freigaben ISO/TS 16949 -Dezertifizierungsprozesses" and in Clause 2.9 of this Guideline.文件 RE_10_01_01e_申诉和投诉，RE_27_01_090 Regelung，Matrix zur Freigaben ISO/TS 16949 -Dezertifizierungsprozesses 及本指南第 2.9 条定义了更多规定。
KBA: If a KBA annex to an ISO 9001 certificate is issued, possible suspension of the ISO 9001 certificate must also be assessed. 如果颁发了 ISO 9001 证书的 KBA 附件，则还必须评估可能暂停 ISO 9001 证书的情况。

8.1 Initiation of the decertification process 取消认证过程的启动

IATF 16949
Requirements are defined in IATF Rules, Clause 8.1.要求在 IATF 规则第 8.1 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 8.1.VDA 第 6 卷第 8.1 条定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- Standard letter Initiation of decertification process 标准信函取消认证过程的启动

8.2 Analysis of situation 形势分析

IATF 16949
Requirements are defined in IATF Rules, Clause 8.2.要求在 IATF 规则第 8.2 条中定义。

VDA 6.x

Requirements are defined in VDA Volume 6, Clause.要求在 VDA 第 6 卷，条款中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：

- Off-site verification, incl. WIS order (if necessary, e.g. in case of third-party complaints)非现场验证，包括 WIS 订单（如有必要，例如在第三方投诉的情况下）
- Documentation on Adhoc-NC-report in CARA

Note: When the affected site is part of a corporate audit scheme, the analysis shall include a review of the concern and its impact across all sites.注:当受影响地点是公司审核计划的一部分时，分析应包括对问题及其对所有地点的影响的审查。

8.3 Certificate suspension decision 证书中止决定

IATF 16949
Requirements are defined in IATF Rules, Clause 8.3.要求在 IATF 规则第 8.3 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 8.3.要求在 VDA 第 6 卷第 8.3 条中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：

- Veto decision 否决权
- Standard letter Initiation of suspension 标准信函中止启动
- Or Standard letter End of decertification process 或标准信注销过程结束

8.4 Verification

IATF 16949
Requirements are defined in IATF Rules, Clause 8.4.要求在 IATF 规则第 8.4 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 8.4.在 VDA 第 6 卷第 8.4 条中定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：

- On-site verification, incl. WIS order (if necessary)现场验证，包括 WIS 订单（如有必要）
- Documentation with Special Audit report and NC Management with CARA 特殊审核报告和 NC 管理文档

8.5 Reinstatement / withdrawal decision 恢复/退出决定

IATF 16949
Requirements are defined in IATF Rules, Clause 8.5.要求在 IATF 规则第 8.5 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 8.5.要求在 VDA 第 6 卷第 8.5 节中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：

- Veto decision 否决权

8.6 Certificate reinstatement 证书恢复

IATF 16949
Requirements are defined in IATF Rules, Clause 8.6.要求在 IATF 规则第 8.6 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 8.6.VDA 第 6 卷第 8.6 条定义了要求。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- Standard letter End of decertification process 标准信函取消认证过程结束

8.7 Certificate withdrawal 证书恢复

IATF 16949
Requirements are defined in IATF Rules, Clause 8.3.要求在 IATF 规则第 8.3 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 8.3.以下流程，法规和表格可确保有效实施：

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- Standard letter Certificate withdrawal 标准信函证书撤回

8.8 The overall decertification process 完整的取消认证流程

IATF 16949
Requirements are defined in IATF Rules, Clause 8.3.要求在 IATF 规则第 8.3 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 8.3.要求在 VDA 第 6 卷第 8.3 条中定义。

9 RECORDS REQUIRED OF THE CERTIFICATION BODY 认证机构要求的记录

IATF 16949
Requirements are defined in IATF Rules, Clause 9.要求在 IATF 规则第 9 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 9.要求在 VDA 第 6 卷第 9 条中定义。

KBA
Requirements are defined in the Rules for designation/recognition of Technical Services, Clause 3 (Definition of terms).要求在《技术服务的指定/认可规则》第 3 条（术语的定义）中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- RE_06_04_Lenkung von Aufzeichnungen allgemein (Control of Records in general) (also for KBA)

9.1 Certification records

IATF 16949
Requirements are defined in IATF Rules, Clause 9.要求在 IATF 规则第 9 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 9.要求在 VDA 第 6 卷第 9 条中定义。

Following processes, regulations and forms ensure effective implementation 以下流程，法规和表格可确保有效实施：
- RE_06_04_Lenkung von Aufzeichnungen allgemein (Control of Records in general) (also for KBA)
- WIS Uploads 上传至 WIS
- Records in regional offices 区域办事处的记录

9.2 Personnel records 认证记录

IATF 16949
Requirements are defined in IATF Rules, Clause 9.要求在 IATF 规则第 9 条中定义。

VDA 6.x
Requirements are defined in VDA Volume 6, Clause 9.要求在 VDA 第 6 卷第 9 条中定义。

The auditor administration function ensures effective implementation (also for KBA).以下流程，法规和表格可确保有效实施：

10 TERMS AND DEFINITIONS 术语和定义

See IATF Rules, Clause 10 and VDA Volume 6, Clause 10.请参阅 IATF 规则第 10 条和 VDA 第 6 卷第 10 条。

11 ANNEX 附件

See IATF Rules, Clause 11 and VDA Volume 6, Clause 11.请参阅 IATF 规则第 11 条和 VDA 第 6 卷第 11 条。