

# Guideline for the conducting of Automotive Audits

## 汽车指导纲要

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## Based on:

IATF Certification scheme, 6th 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

**qualityaustria** basic requirements in the Intranet (incl. associated internal SI's)  
**qualityaustria** library of decisions in the intranet (Information Platform Automotive)

## 基于：

IATF认证方案·第6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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## 1. ELIGIBILITY FOR CERTIFICATION TO IATF 16949 - 汽车领域的认证资格

### 1.1. Certification structure eligibility requirements 认证结构资格要求

#### IATF 16949

The scope is defined in the IATF Rules, Clause 1.1 范围在IATF规则第1条中定义。

#### VDA 6.x

The scopes of VDA 6.X regulations are defines 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QA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. CERTIFICATION BODY GOVERNANCE, INTERNAL CONTROL, ANS RISK MANAGEMENT ZERTIFIZIERUNGSGESELLSCHAFTEN – 认证机构治理、内部控制、ANS风险管理

### 2.1. General IATF recognition requirements for certification bodies IATF对认证机构的一般认可要求

#### IATF 16949

The scope is defined in the 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条中定义了要求。

#### 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 Certification observes and complies with the requirements defined in this Clause. These requirements are generally assured by Accreditation. QA认证遵守本条款中规定的要求。这些要求通常通过认可保证。

### 2.1.1 Legal entity structure 法人实体结构

#### IATF 16949

The scope is defined in the IATF Rules, Clause 2.1.1 在IATF规则第2.1.1条中定义了要求。

Quality Austria Certification 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. QA认证确认，作为认证机构，它是法人实体的一个明确部分，其结构包括权力范围以及与同一法人实体内其他部分的关系。

### 2.1.2 Joint Ventures

#### IATF 16949

The scope is defined in the IATF Rules, Clause 2.1.2 在IATF规则第2.1.2条中定义了要求。

Qualityaustria's designated office approved as the contracted office is the Customer Service Center (CSC) in Linz. 客户服务中心（CSC）是QA指定的签约办公室。

For IATF 16949, there are two regional offices in Shanghai und Delhi:

对于IATF 16949，在上海和德里有两个签约办事处：

- **OQS Asia Pacific**

6F JH Plaza 2008 Huqingping Road  
Shanghai, CN 201702  
China

中国上海沪青平公路2008号竞衡大业广场6楼

- **Quality Austria Central Asia Private Limited**

ATS Bouquet "Tower C" 201 & 202, Sector 132, Greater Noida,  
Gautam Budha Nagar 201301 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 Certification, 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，QA认证负责所有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. QA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。

The collaboration with local offices for IATF 16949 is described in the IATF regional Office Matrix.

IATF 16949与当地办事处的合作在IATF区域办事处矩阵中有所描述。

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
- IATF regional Office Matrix 区域办事处矩阵

### 2.1.3 Outsourcing of certification activities 认证活动外包

#### IATF 16949

The scope is defined in the IATF Rules, Clause 2.1.3 在IATF规则第2.1.3条中定义了要求。

### 2.2. Management system requirements 管理体系要求

Quality Austria Certification 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 2.2 of IATF Rules).  
QA认证负责建立、记录、维护、控制、监督和改进其与IATF 16949、VDA 6.X和KBA相关的质量管理体系，无论这些活动在哪里进行（请见IATF规则第2.2条）。

#### Management system requirements

Quality Austria Certification shall document its organizational structure, showing duties, responsibilities, and authorities of management and other certification personnel and any committees.  
QA认证应记录其组织结构，说明管理层和其他认证人员以及任何委员会的职责、责任和权限。

All lines of authority from regional contracted offices of Quality Austria Certification involved in the IATF 16949 certification process are clearly regulated in the corresponding documents and schemes. Appropriate internal regulations ensure that the roles, responsibilities and authorities of the entire certification body are defined in a binding manner. 涉及IATF 16949认证过程的QA认证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。

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 Certification 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. A common management system is defined and can be found on the Intranet (RE\_06\_01). QA认证已为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）。定义了一个公共管理系统，可以在Intranet (RE\_06\_01) 上找到它。

Control of documents is carried out acc. to PB\_06\_03\_01e\_Control of internal specification documents and PB\_06\_03\_02\_Lenkung von externen Dokumenten (Control of external documents).  
文件控制按照PB\_06\_03\_01e\_内部规范文件控制和PB\_06\_10\_02\_Lengung von externen Dokumenten（外部文件控制）进行。

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. Translations (e.g. in China) can be provided by 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。翻译（例如在中国）可由当地合作伙伴办事处提供。翻译文档的子分发也由本地合作伙伴办事处完成。

## 2.3. Communication of changes 变更的沟通

### 2.3.1 Communication of changes to the oversight office 将变更通知监督办公室

#### IATF 16949

Requirements are defined in IATF Rules, Clause 2.3.1 在IATF规则第2.3.1条中定义了要求。

Handling of all waiver requests to the VDA QMC shall include the following steps:

处理向VDA QMC提出的所有豁免请求应包括以下步骤:

- a) Preparation and sending of the waiver request to the VDA QMC by CSC  
由CSC准备并向VDA QMC发送豁免请求
- b) After the approval / rejection of the waiver request, the documentation is provided in the overview list "Waiver Request Übersicht Automotive" 批准/拒绝豁免请求后，在概述列表"豁免请求Übersicht Automotive"中提供文件
- c) Required actions (e.g. sending report in the case of partial certification) are carried out and implemented by the CSC. 所需的行动（例如，在部分认证的情况下发送报告）由CSC执行和实施。

#### VDA 6.x

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

#### KBA:

Quality Austria Certification 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 regarding 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. QA认证立即通知KBA所有可能对其指定具有重要意义的情况。特别是，KBA应被告知有关认证的变化和重要事件，并应要求提供德语或英语的各自机构的评估结果，如果这与KBA指定有关。

Information obligations 信息义务:

Quality Austria Certification immediately informs the KBA in the following situations according to Annex 4, point 1: 根据附件4第1点，QA认证在以下情况下立即通知KBA:

- semi-annual inventory report to procedures under KBA designation 按KBA指定程序提交半年度库存报告
- immediate information in case of major nonconformities 在发生严重不符合项时立即提供信息
- refusal of a certificate 拒绝证书
- initiated administrative or criminal proceedings with significance for the designation 提起对指定具有重要意义的行政或刑事诉讼

Quality Austria Certification observes and complies with the requirements defined in these Clauses. QA认证遵守并符合这些条款中规定的要求。

### 2.3.2 Communication of changes to clients 向客户传达变更

#### IATF 16949

Requirements are defined in IATF Rules, Clause 2.3.2 在IATF规则第2.3.2条中定义了要求。

#### VDA 6.x

Requirements are defined in VDA Volume 6, Clause 3.2 要求在VDA第6卷第3.2条中定义。



## 2.4. Management of business continuity risks 业务连续性风险管理

### IATF 16949

Requirements are defined in IATF Rules, Clause 2.4 在IATF规则第2.4条中定义了要求。

The local risk analyses for the certification process at the partners shall be determined by them and evaluated by the respective responsible persons as part of the HQ management review. 合作伙伴认证过程的本地风险分析应由合作伙伴确定，并由各自的负责人进行评估，作为总部管理评审的一部分。

Further documented information 详细信息可查阅：

- RE\_15\_01\_02\_Risikomanagement\_Rechtssicherheit\_Legal Management\_Legal certainty 法律管理——法律确定性
- RE\_05\_02\_02\_02\_Partnermanagement 合作伙伴管理
- Managementreview 管理评审

## 2.5. Management of impartiality risks 公正性风险管理

### 2.5.1 Threats to impartiality 对公正性的威胁

- Quality Austria Council

### 2.5.2 Conflict of Interest 利益冲突

In order to ensure impartiality and independence, Quality Austria Certification complies with the general Regulations in force on this matter: 为了确保公正性和独立性，QA认证在这方面遵守现行的通用法规

- RE\_01\_02\_10-2\_qualityaustria Code of Conduct 行为准则
- RE\_05\_01\_01\_01\_Conditions for auditors 审核员条件
- WIS (Declaration for Impartiality 公正性声明)

### 2.5.3 Impartiality risk assessment 公正性风险评估

The risk assessment for impartiality is ensured by RE\_02\_01\_08\_Sources of Impartiality. This is regularly presented to the Quality Austria Council by GF/QM and updated as required. RE\_02\_01\_08\_公正性来源确保了公正性的风险评估。这由GF/QM定期提交给QA委员会，并根据需要进行更新。

- RE\_02\_01\_08\_Identifikation und Analyse möglicher Quellen der Unparteilichkeit (Identification and analysis of possible sources of impartiality 识别和分析公正性的可能来源)

## 2.6. Certification body internal system audits 认证机构内部体系审核

Regulation RE\_06\_07\_01e\_Rules for internal Audits defines the requirements for conducting internal audits in the area of system and product certification. RE\_06\_07\_01e\_内部审计规则规定了在体系和产品认证领域进行内部审计的要求。

Compliance with the contracts, specifications, relevant Certification Body Communiqués and Stakeholder Communiqués is reviewed at the contract office and each regional office at least once a

year (-3/+3 months) in the form of an on-site office audit. 合同办公室和每个区域办事处每年至少一次（-3/+3个月）以现场办公室审核的形式审查合同、规范、相关认证机构公报和利益相关者公报的合规性。

### **IATF 16949**

Requirements are defined in IATF Rules, Clause 2.6 要求在IATF规则第2.6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条中定义。

### **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。

Implementation is ensured by the following processes and forms:

- FO\_10\_02\_02\_IATF-16949\_R6\_internal action plan Automotive 内部不符合项
- FO\_06\_07\_07\_interne office Audits\_3 Jahresprogramm\_3 annual programme 3 年度计划
- FO\_06\_07\_07-01\_IATF-16949\_R6\_Matrix for internal audits Automotive 汽车内部审核矩阵
- FO\_06\_07\_03e\_Audit report\_internal office audit 审核报告-内部办公室审核

## **2.7. Certification body internal witness audits 认证机构内部见证审核**

Regulation RE\_06\_07\_01e\_Rules for internal Audits defines the requirements for conducting internal witness audits in the area of system and product certification. RE\_06\_07\_01e\_内部审核规则规定了在体系和产品认证领域进行内部见证审核的要求。

### **IATF 16949**

Requirements are defined in IATF Rules, Clause 2.7 要求在IATF规则第2.7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). The initial witness audit must be conducted within the first three audits. For maintaining the appointment, an internal witness audit must be carried out every 3 years.

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。

初次见证审核必须在前三个审核中进行。为了维持任命，必须每3年进行一次内部见证审核。

Further documented information 详细信息可查阅:

- TP\_05\_01\_05\_01e\_Witness audits internal 内部见证审核
- CL\_05\_01\_05\_01\_Witness Audits\_auditors 见证审核-审核员
- FO\_10\_02\_02\_IATF-16949\_R6\_internal action plan Automotive 内部不符合项
- PLANUNG IATF Witnessaudits\_ab 07 2021

## 2.8. 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。

The regional offices have access to all complaints and appeals in Seafile relating to their respective IATF certification activities. 各区域办事处可查阅有关其各自IATF认证活动的所有申诉和投诉。

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):

- 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”
- 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)
- Ensuring that any appropriate correction and systemic corrective actions are taken and checked for effectiveness 确保采取适当的纠正和系统的纠正措施并检查有效性
  - Documentation on Adhoc-NC-report in CARA CARA中adhoc -NC报告的文件
  - 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。
- Providing progress reports and the outcome 提供进度报告和结果
  - within 15 days the veto decision shall be done 必须在15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 shall 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)
- 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 chapter 8.1ff in this guideline and manual - IATF Complaint Management System.

另请参阅参见本指南和手册中的第8.1ff章- IATF投诉管理系统。

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。

## 2.9. Management review 管理评审

The management review of Quality Austria Certification is carried out at the Headquarters (contracted office) once a year (-1/+1 month). The results of the local management reviews must be used as input to this management review. The appropriate implementation of requirements is ensured through

ongoing management team meetings. QA认证的管理评审每年在总部（合同办公室）进行一次（-1/+1个月）。本地管理评审的结果必须作为本次管理评审的输入。通过持续的管理团队会议确保要求的适当实施。

#### **IATF 16949**

Requirements are defined in IATF Rules, Clause 2.9 要求在IATF规则第2.9条中定义。

#### **VDA 6.x**

Requirements are defined in VDA Volume 6, Clause 2.7 要求在VDA第6卷2.7节中定义。

### **2.10. IATF ongoing monitoring activities IATF持续监测活动**

Planning, implementation and follow-up (nonconformity management) of ongoing monitoring activities are carried out in accordance with requirements and defined deadlines (e.g. AMP system). 根据要求和规定的截止日期（如AMP系统）对持续监测活动进行规划、实施和跟进（不符合项管理）。

### **2.11. Certification body de-recognition process 认证机构撤销认可程序**

#### **IATF 16949**

Requirements are defined in IATF Rules, Clause 2.11 要求在IATF规则第2.11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条中定义。

#### **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). 为了保持识别的正确性，有效地执行了要求。取消识别过程的启动是根据

法规TP\_06\_07\_001\_Korrekturmaßnahmen aus externen IATF-Audits（外部IATF审核的纠正措施）。

## **3. CERTIFICATION BODY LEGAL CONTRACT REQUIREMENTS WITH THE CLIENT - 认证机构与客户签订的法律合同要求**

#### **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 要求在VDA第6卷第3.1条中定义。

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

Audit type	Documents
Certification audit (CA) or transfer audit (TA) 初审或转机构审核	<ul style="list-style-type: none"> <li>▪ FO_27_01_216_Supplemental contract of non-Austrian customers 非奥地利客户的补充合约</li> <li>▪ Commercial Agreement 商业协议</li> <li>▪ GTC</li> </ul>
Recertification audit (RA) 重审	<ul style="list-style-type: none"> <li>▪ FO_27_01_216_Supplemental contract of non-Austrian customers 非奥地利客户的补充合约</li> <li>▪ Commercial Agreement 商业协议</li> <li>▪ GTC</li> </ul>

### KBA

The qualityaustria General Terms and Conditions (RE\_02\_04\_01e\_GTC\_System Certification) are sent to and accepted by the client together with the offer.  
 qualityaustria通用条款和条件 (RE\_02\_04\_01e\_GTC\_System Certification) 与报价一起发送给客户并被客户接受。

Further documented information 详细信息可查阅:

- FO\_27\_01\_216\_Supplemental contract of non-Austrian customers 非奥地利客户的补充合约
- RE\_02\_04\_01-1e\_GTC\_System Certification\_Partner International 体系认证-国际合作河北
- RE\_02\_04\_01e\_GTC\_System Certification 体系认证

## 4. PERSONNEL RESOURCE REQUIREMENTS MANAGEMENT - 人力资源需求管理

### 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 在VDA第6卷第3.1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).

技术服务指定/认可规则附件3 (部署人员的最低要求) 中规定了要求。

- 1 General 概述
- 2 admission criteria 准入标准
- 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

#### 4.1. Technical Reviewer approval criteria 技术评审员批准标准

### IATF 16949

Requirements are defined in IATF Rules, Clause 4.1 要求在IATF规则第4.1条中定义。

#### **VDA 6.x**

Requirements are defined in VDA Volume 6, Clause 4.1 在VDA第6卷第4.1条定义了要求。

Further documented information 详细信息可查阅:

- RE\_27\_01\_063e\_Approval of Business Transactions (description of the requirements for veto-persons) 商业交易的批准 (veto要求说明)
- RE\_02\_01\_04\_Vetorechtsbeauftragte (technical reviewer overview 技术评审员概述)
- Veto nomination 提名
- <https://iatf-amp.org>

### **4.2. Application process and criteria for IATF 16949 auditors IATF 16949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 VDA第6卷第4.2条定义了要求。

Further documented information 详细信息可查阅:

- Appointment of auditors 审核员任命
- RE\_05\_01\_05\_01e\_General Qualification Guidelines for qualityaustria auditors QA审核员通用资格指南
- Requirements of <https://vda-qmc.de/aus-und-weiterbildung/schulungsangebot/> and AIAG
- <https://admin.iatfadp.com/>

### **4.3. Auditor qualification process Auditor 审核员资格认证流程**

#### **IATF 16949**

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

#### **VDA 6.x**

Requirements are defined in VDA Volume 6, Clause 4.3 VDA第6卷第4.3条定义了要求。

#### **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。

Further documented information 详细信息可查阅:

- RE\_05\_01\_05\_01e\_General Qualification Guidelines for qualityaustria auditors QA审核员通用资格指南
- FO\_05\_01\_04\_01\_IATF-16949\_R6\_Evidence of automotive training for new auditors 新审核员接受汽车培训的证据

#### **4.4. Maintaining auditor qualification and approval 维持审核员资格和批准**

##### **IATF 16949**

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

If necessary, mentoring is used to support the competence for the ATAFs. This is described in the RE\_05\_01\_06\_01e\_Maintenance of competence for auditors.

如有必要，可以使用指导来支持ATAFs的能力。RE\_05\_01\_06\_01e\_维护审核员的能力对此进行了描述。

##### **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).

技术服务指定/认可规则附件3（部署人员的最低要求）第4点（能力监测）中规定了要求。

This includes 这包括：

- 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

Further documented information 详细信息可查阅：

- RE\_05\_01\_05\_01e\_General Qualification Guidelines for qualityaustria auditors QA审核员通用资格指南
- RE\_05\_01\_06\_01e\_Maintenance of competence for auditors 维持审核员的能力
- <https://admin.iatfadp.com/>
- Regular resources monitoring 定期资源监控

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.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）。

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. 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。

#### **4.5. Internal witness auditor approval criteria 内部见证审核员批准标准**

##### **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 4.4 VDA第6卷第4.4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 4 (monitoring of competence) The initial witness audit must be conducted within the first three audits. For maintaining the appointment, an

internal witness audit must be carried out every 3 years. 技术服务指定/认可规则附件3（部署人员的最低要求）第4点（能力监控）中规定了要求。初始见证审核必须在前三次审核中进行。为了维持任命，必须每3年进行一次内部见证审核。

Further documented information 详细信息可查阅:

- RE\_06\_07\_01e\_Rules for internal audits 内部审核规则
- CL\_05\_01\_05\_01e\_Checklist witness audits for auditors 审核员见证审核清单
- <https://admin.iatfadp.com/>
- <https://iatf-amp.org>

#### **4.5.1. Maintaining internal witness auditor approval 维持内部见证审核员的批准**

##### **IATF 16949**

Requirements are defined in IATF Rules, Clause 4.5.1 要求在IATF规则第4.5.1条中定义

##### **VDA 6.x**

Requirements are defined in VDA Volume 6, Clause 4.4 VDA第6卷第4.4条定义了要求

Further documented information 详细信息可查阅:

- <https://admin.iatfadp.com/>
- <https://iatf-amp.org>
- Regular resources monitoring 定期资源监控

#### **4.6. Internal system auditor approval criteria 内部体系审核员批准标准**

##### **IATF 16949**

Requirements are defined in IATF Rules, Clause 4.5.1 要求在IATF规则第4.5.1条中定义

##### **VDA 6.x**

Requirements are defined in VDA Volume 6, Clause 4.5 VDA第6卷第4.5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) 技术服务指定/认可规则附件3（部署人员的最低要求）第1点（一般要求）中规定了要求。

Further documented information 详细信息可查阅:

- RE\_06\_07\_01e\_Rules for internal audits 内部审核规则
- <https://admin.iatfadp.com/>
- <https://iatf-amp.org>

#### **4.7. IATF Database specialist competence criteria IATF数据库专家能力标准**

##### **IATF 16949**

Requirements are defined in IATF Rules, Clause 4.7 要求在IATF规则第4.7条中定义。

Further documented information 详细信息可查阅:

- FO\_03\_01\_02-2\_GB1 Team Automotive\_Einschulungsplan\_neue\_MitarbeiterInnen  
(New employee training plan)



- RE\_27\_01\_023-1\_IATF Datenbank Eintragung\_CSC (IATF Database Entry – CSC IATF数据库输入)
- RE\_02\_01\_20\_CSC\_Stellvertretungsregelung (valid for CSC staff- Substitution regulation 适用于CSC员工-替代规定)
- RE\_02\_02\_101\_CSC\_Sachbearbeiter\_Produktkoordination\_Automotiv\_Aerospace\_Rollenbeschreibung (CSC Staff- Role description CSC员工-角色描述)

## 5. AUDIT AND CERTIFICATION REQUIREMENTS - 审核和认证要求

### 5.1. Audit programm Auditprogramm

#### 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 VDA第6卷第5.1条定义了要求。

### 5.2. Determining the audit duration for initial certification, surveillance, recertification, and the transfer audits 确定初审、监督、重新认证和转移审核的审核持续时间

#### 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 VDA第6卷第5.2条定义了要求。

#### 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\_最少审核时间) · 最少为 4 小时 · 在监督情况下不超过 8 小时。

If during the audit preparation the scope of certification is expanding (at RA or SA) the audit time shall increase (e.g. new EMS). 如果在审核准备期间 · 认证范围正在扩大 (在RA或SA) · 则审核时间应增加 (例如新的EMS) 。

This increase shall be recorded in the FO\_27\_01\_249e\_IATF16949\_R6\_Verification Audit planning. 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! 此增加应记录在

FO\_27\_01\_249e\_IATF16949\_R6\_验证审核策划中。对于升级审核 (来自ISO 9001或VDA 6.1) · 要求IATF第2阶段审核的最后一个审核日是证书 (ISO 9001或VDA6.1) 有效期结束的最后一天。否则 · 不允许减少审核天数!

A reduction is also not permitted if the scope is expanded. 如果范围扩大, 也不允许减少。

Further documented information 详细信息可查阅:

- RE\_25\_03\_01e\_Minimum audit time 最少审核时间
- FO\_25\_03\_17-1\_IATF-16949\_R6\_Calculator
- FO\_27\_01\_248\_IATF-16949\_R6\_Audit planning information 审核策划信息
- FO\_27\_01\_249\_IATF-16949\_R6\_Verification audit planning 审核策划验证

- FO\_27\_01\_106\_3 Phasen VDA

### 5.2.1. Determining the audit duration for stage 1 readiness assessments 确定一阶段的审核持续时间

#### IATF 16949

Requirements are defined in IATF Rules, Clause 5.2.1 要求在IATF规则第5.2.1条中定义。

Calculation of the audit time 审核时间计算:

Single Manufacturing Site and Single Manufacturing Site with EMS 单一现场和有EMS的单一现场		Corporate Scheme 集团审核	
Number of employees 员工数	Audit days 审核人天	Number of supported manufacturing sites 被支持的制造现场	Audit days for central location of corporate scheme 集团审核的中心地点审核天数
1~257	1,5	2	0,5
258~507	2	3~4	1
508~1119	2,5	5~7	1,5
1120~	3	8~	2

#### VDA 6.x

Requirements are defined in VDA-Volume 6, Clause 5.2 VDA第6卷第5.2条中定义了要求。

Further documented information 详细信息可查阅:

- RE\_25\_03\_01e\_Minimum audit time 最少审核时间
- FO\_25\_03\_17-1\_IATF-16949\_R6\_Calculator
- FO\_27\_01\_248\_IATF-16949\_R6\_Audit planning information 审核策划信息
- FO\_27\_01\_249\_IATF-16949\_R6\_Verification audit planning 审核策划验证

### 5.3. Determining the audit duration – corporate scheme 确定审核持续时间-集团方案

#### 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 VDA第6卷第5.3条中定义了要求。

Further documented information 详细信息可查阅:

- RE\_25\_03\_01e\_Minimum audit time 最少审核时间
- FO\_25\_03\_17-1\_IATF-16949\_R6\_Calculator

### 5.4. Determining the audit duration – permitted reductions 确定审核持续时间-允许减少

#### 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 VDA第6卷第5.4条中定义了要求。

Further documented information 详细信息可查阅:

- RE\_25\_03\_01e\_Minimum audit time 最少审核时间
- FO\_25\_03\_17-1\_IATF-16949\_R6\_Calculator

## 5.5. Support functions 支持职能

### IATF 16949

Requirements are defined in IATF Rules, Clause 5.5 要求在IATF规则第5.5条中定义。

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. 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. 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...) 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审核组长进行沟通，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条中定义。

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.

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。

Further documented information 详细信息可查阅:

- FO\_27\_01\_153\_IATF 16949\_R6\_Check - Audit at RSF by other CB 由其他认证机构审核RSF
- FO\_25\_03\_22\_IATF RSF-Matrix IATF RSF-矩阵

## 5.6. Establishing 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 VDA第6卷第5.6条中定义了要求。

Further documented information 详细信息可查阅:

- TP\_27\_01\_13\_01e\_Operational planning for audit and assessment 审核和评估的运作计划

## 5.7. Audit planning 审核策划

### IATF 16949

Requirements are defined in IATF Rules, Clause 5.7 要求在IATF规则第5.7条中定义。

Additional requirements regarding the minimum audit time in the production are specified in IATF Rules, clause 10 "Manufacturing shop floor". 关于生产过程中最低审核时间的附加要求请见IATF规则第10条"制造车间"。

## VDA 6.x

Requirements are defined in VDA-Volume 6, Clause 5.7 在VDA第6卷第5.7条中定义了要求。

## 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\_ 审核一般流程)

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 (for application examples, see internal SI10304). 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 (有关应用示例, 请参见内部 SI 编号10304)。

Further documented information 详细信息可查阅:

- FO\_27\_01\_106\_3 Phasen VDA
- FO\_27\_01\_248\_IATF-16949\_R6\_Audit planning information 审核策划信息
- FO\_27\_01\_249\_IATF- 16949\_R6\_Verification audit planning 审核策划验证
- FO\_27\_01\_134\_IATF-16949\_R6\_Auditplan 审核计划

## 5.8. Conducting audits 执行审核

### 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条中定义。

## **KBA**

Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 2 (Requirements for the process for evaluating the fulfilment 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。

Further documented information 详细信息可查阅:

- FO\_27\_01\_106\_3 Phasen VDA
- CL\_27\_01\_162\_IATF-16949\_R6\_CARA
- CL\_27\_01\_101\_ISO 9001\_2015 (for KBA)
- CL\_27\_01\_046\_Audit Stage 1\_Anlage (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
- CL\_25\_03\_07e\_Risk assessment for remote audit 远程审核风险评估

## **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 VDA第6卷第5.9条中定义了要求。

## **KBA**

KBA Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 2 (Requirements for the process for evaluating the fulfilment of approval-relevant requirements by the manufacturer in the "CoP information" procedure) Point 3 (evaluation of the determination made). KBA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。

Further documented information 详细信息可查阅:

- FO\_27\_01\_040e\_Action plan VDA 6.X 不符合项报告
- FO\_27\_01\_033\_Action plan for KBA-Audits 审核的不符合项报告
- CARA NC Management NC管理

## **5.10. Audit reporting 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**

Requirements are defined in VDA-Volume 6, Clause 5.10 要求在VDA第6卷第5.10条中定义。

## **KBA**

Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 2 (Requirements for the process for evaluating the fulfilment 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。

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。

Further documented information 详细信息可查阅：

- FO\_27\_01\_138\_Audit report Automotive\_IMS (only for VDA 6.x Audits) 汽车审核报告\_IMS（仅适用于VDA 6.x 审核）
- CARA-report CARA-报告
- Cop-Information (for KBA audits) Cop-信息（对于KBA审核）

### 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 VDA第6卷第5.11条中定义了要求。

#### KBA:

Deadlines are the same as for ISO 9001 according to ISO/IEC 17021-1, see PB\_27\_01\_01e\_audit process general. 截止日期与ISO 9001相同，根据ISO/IEC 17021-1，见PB\_27\_01\_01e\_审核过程总则。

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

- There is a risk 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

Further documented information 详细信息可查阅：

- FO\_27\_01\_040e\_Action plan VDA 6.x 不符合项报告VDA 6.x
- CARA NC Management CARA NC管理
- FO\_27\_01\_129\_Ergänzungsbericht VDA (only for VDA 6.x Audits)
- FO\_27\_01\_033e\_Action plan (for KBA-Audits) 不符合项报告（对于KBA审核）
- PB\_27\_01\_01e\_audit process general 通用审核过程

## 5.12. Technical review and certification decision 技术评审和认证决定

### 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条中定义。

### 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。

Further documented information 详细信息可查阅:

- RE\_27\_01\_063e\_Approval of Business Transactions 商业交易的批准
- RE\_02\_01\_04\_Vetorechtsbeauftragte (technical reviewer overview 技术评审员概述)

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 VDA第6卷第5.13条中定义了要求。

### KBA

KBA Requirements are defined in the Rules for designation/recognition of Technical Services, Annex 2 (Requirements for the process for evaluating the fulfilment of approval-relevant requirements by the manufacturer in the "CoP information" process) Point 4 (decision on the fulfilment of the approval-relevant requirements) 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. 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。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。

Further documented information 详细信息可查阅：

- TP\_27\_01\_10\_01e\_Issung certificates 证书核发
- FO\_27\_01\_010-4\_Order certificate print 证书打印订单
- RE\_27\_01\_090\_IATF 16949\_R6\_Regelung zur Änderung des Zertifikatsstatus von IATF 16949 Zertifikaten (valid for CSC only - Rules for changing the certificate status 仅对CSC有效-更改证书状态的规则)

#### **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。

#### **5.15. Relocation 搬迁**

##### **IATF 16949**

Requirements are defined in IATF Rules, Clause 5.15 要求在IATF规则第5.15条中定义。

## **6. APPLICATION PROCESS AND BASIC AUDIT TYPES - 申请流程和基本审核类型**

### **6.1. Application process 申请过程**

#### **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。

#### **6.1.1. Application for certification 申请认证**

##### **IATF 16949**

Requirements are defined in IATF Rules, Clause 6.1.1 要求在IATF规则第6.1.1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。

Further documented information 详细信息可查阅：

- FO\_25\_03\_14\_IATF 16949\_R6\_Information for offer Automotive 汽车报价信息
- FO\_25\_03\_03e\_information offer making ISO 9001 (for KBA) only for new clients
- RE\_25\_03\_05e\_Regulation offer submission Automotive 汽车报价提交规定



### 6.1.2. Application review 申请评审

#### IATF 16949

Requirements are defined in IATF Rules, Clause 6.1.2 要求在IATF规则第6.1.2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。

Further documented information 详细信息可查阅:

- FO\_25\_03\_14\_IATF 16949\_R6\_Information for offer Automotive 汽车报价信息
- FO\_25\_03\_03e\_information offer making ISO 9001 (for KBA) only for new clients
- FO\_27\_01\_137\_IATF16949\_R6\_Application for EMS
- FO\_27\_01\_161e\_Pre-Transfer Review 转移前审查

### 6.2. Initial certification audit 初审

#### 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 6.4 and 6.5 要求在VDA第6卷第6.4, 6.5条中定义。

Further documented information 详细信息可查阅:

- IATF CARA Report Stage 1 readiness assessment 一阶段IATF CARA报告
- FO\_27\_01\_248\_IATF-16949\_R6\_Audit planning information 审核策划信息
- FO\_27\_01\_249\_IATF-16949\_R6\_Verification audit planning 审核策划验证
- FO\_27\_01\_134\_IATF-16949\_R6\_Auditplan 审核计划
- CL\_27\_01\_162\_IATF 16949 CARA\_R6
- CARA-Report CARA-报告
- CARA NC Management CARA NC 管理
- CL\_27\_01\_047\_Audit Stage 1\_VDA 6.x
- FO\_27\_01\_106\_3 Phasen VDA
- 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
- FO\_27\_01\_138\_Audit report Automotive\_IMS (only for VDA 6.x Audits) 汽车审核报告\_IMS (仅适用于VDA 6.x 审核)
- FO\_27\_01\_040e\_Action plan Automotive VDA 6.x 汽车不符合项报告VDA 6.x
- FO\_27\_01\_129\_Ergänzungsbericht VDA (only for VDA 6.x Audits 仅适用于VDA 6.x 审核)
- CL\_27\_01\_046\_Audit Stage 1\_Anlage\_KBA
- KBA CoP\_Auskunft (432-Q-2.90E)
- FO\_27\_01\_010-4\_Order certificate print 证书打印单
- LB\_27\_01\_03\_05e\_Certification Audit Stage 1 一阶段认证
- LB\_27\_01\_03\_06e\_Certification Audit Stage 2 二阶段认证
- RE\_27\_01\_063e\_Approval of Business Transactions 商业交易的批准
- RE\_02\_01\_04\_Vetorechtsbeauftragte (technical reviewer overview 技术评审员概述)

### 6.3. Surveillance audit 监督审核

#### 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 6.7 要求在VDA第6卷第6.7条中定义。

Further documented information 详细信息可查阅:

- FO\_27\_01\_106\_3 Phasen VDA
- FO\_27\_01\_248\_IATF-16949\_R6\_Audit planning information 审核策划信息
- FO\_27\_01\_249\_IATF- 16949\_R6\_Verification audit planning 审核策划验证
- FO\_27\_01\_134\_IATF-16949\_R6\_Auditplan
- FO\_27\_01\_138\_Audit report Automotive\_IMS (only for VDA 6.x Audits) 汽车审核报告\_IMS (仅适用于VDA 6.x 审核)
- CARA-Report
- FO\_27\_01\_040e\_Action plan Automotive VDA 6.x 汽车不符合项报告VDA 6.x
- CARA NC Management CARA NC管理
- FO\_27\_01\_129\_Ergänzungsbericht VDA (only for VDA 6.x Audits)
- FO\_27\_01\_010-4\_Order certificate print 证书打印单
- CL\_27\_01\_162\_IATF 16949 CARA\_R6
- CL\_27\_01\_101\_ISO 9001\_2015 (for KBA connection with ISO 9001 certificate)
- KBA CoP\_Auskunft (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 监督审核
- RE\_27\_01\_063e\_Approval of Business Transactions 商业交易的批准
- RE\_02\_01\_04\_Vetorechtsbeauftragte (technical reviewer overview 技术评审员概述)

## 6.4. Recertification audit 再认证审核

### 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 6.8 要求在VDA第6卷第6.8条中定义。

Further documented information 详细信息可查阅:

- FO\_27\_01\_134\_IATF-16949\_R6\_Auditplan 审核计划
- FO\_27\_01\_106\_3 Phasen VDA
- FO\_27\_01\_248\_IATF-16949\_R6\_Audit planning information 审核策划信息
- FO\_27\_01\_249\_IATF- 16949\_R6\_Verification audit planning 审核策划严重
- FO\_27\_01\_138\_Audit report Automotive\_IMS (only for VDA 6.x Audits) 汽车审核报告\_IMS (仅适用于VDA 6.x 审核)
- CARA-Report CARA-报告
- FO\_27\_01\_040e\_Action plan Automotive VDA 6.x 汽车不符合项报告VDA 6.x
- CARA NC Management CARA NC管理
- FO\_27\_01\_129\_Ergänzungsbericht VDA (only for VDA 6.x Audits)
- FO\_27\_01\_010-4\_Order certificate print 证书打印单
- CL\_27\_01\_162\_IATF 16949 CARA\_R6
- CL\_27\_01\_101\_ISO 9001\_2015 (for KBA connection with ISO 9001 certificate)
- KBA CoP\_Auskunft (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\_09\_Rercertification Audit 再认证审核
- RE\_27\_01\_063e\_Approval of Business Transactions 商业交易的批准

- RE\_02\_01\_04\_Vetorechtsbeauftragte (technical reviewer overview 技术评审员概述)

## 7. OTHER AUDIT TYPES AND REMOTE AUDITING - 其他审核类

### 7.1. Transferaudit 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。

Further documented information 详细信息可查阅:

- FO\_27\_01\_134\_IATF-16949\_R6\_Auditplan 审核计划
- FO\_27\_01\_106\_3 Phasen VDA
- FO\_27\_01\_248\_IATF-16949\_R6\_Audit planning information 审核策划信息
- FO\_27\_01\_249\_IATF- 16949\_R6\_Verification audit planning 审核策划验证
- FO\_27\_01\_138\_Audit report Automotive\_IMS (only for VDA 6.x Audits) 汽车审核报告\_IMS (仅适用于VDA 6.x 审核)
- CARA-Report CARA-报告
- FO\_27\_01\_040e\_Action plan Automotive VDA 6.x 汽车不符合项报告VDA 6.x
- CARA NC Management CARA NC管理
- FO\_27\_01\_129\_Ergänzungsbericht VDA (only for VDA 6.x Audits)
- FO\_27\_01\_010-4\_Order certificate print 证书打印单
- CL\_27\_01\_162\_IATF 16949 CARA\_R6
- CL\_27\_01\_101\_ISO 9001\_2015 (bei KBA)
- CL\_27\_01\_010\_VDA 6\_1
- CL\_27\_01\_130\_VDA 6.2\_2017 inklusive ISO 9001\_2015
- CL\_27\_01\_031\_VDA 6.4\_2017 inklusive ISO 9001\_2015
- RE\_27\_01\_063e\_Approval of Business Transactions 商业交易的批准
- RE\_02\_01\_04\_Vetorechtsbeauftragte (technical reviewer overview 技术评审员概述)
- FO\_27\_01\_161\_Pre-Transfer Review 转移前评审

### 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。

Further documented information 详细信息可查阅:

- FO\_27\_01\_134\_IATF-16949\_R6\_Auditplan 审核计划
- FO\_27\_01\_138\_Audit report Automotive\_IMS (only for VDA 6.x Audits) 汽车审核报告\_IMS (仅适用于VDA 6.x 审核)
- IATF CARA-Report CARA-报告
- FO\_27\_01\_040e\_Action plan Automotive VDA 6.x 汽车不符合项报告VDA 6.x
- CARA NC Management CARA NC管理
- FO\_27\_01\_010-4\_Order certificate print 证书打印单
- RE\_27\_01\_063e\_Approval of Business Transactions 商业交易的批准

- RE\_02\_01\_04\_Vetorechtsbeauftragte (technical reviewer overview 技术评审员概述)

### 7.3. Using the remote audit method 使用远程审核方法

#### IATF 16949

Requirements are defined in IATF Rules, Clause 7.3 要求在IATF规则第7.3条中定义

Further documented information 详细信息可查阅:

- CL\_25\_03\_07e\_Risk assessment for remote audit 远程审核风险评估
- RE\_25\_03\_03e\_Remote assessment 远程评估

## 8. DECERTIFICATION PROCESS - DEZERTIFIZIERUNGSPROZESS

Further regulations are defined in document RE\_10\_01\_01e\_Appeals and Complaints and in Clause 2.8 of this guideline.

文件RE\_10\_01\_01e\_申诉和投诉及本指南第2.8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。

Further documented information 详细信息可查阅:

- Standard letter Initiation of decertification process 标准信函取消认证流程的启动

### 8.2. Analysis of the 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 8.2 要求在VDA第6卷第8.2条中定义。

Further documented information 详细信息可查阅:

- 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 CARA中关于Adhoc-NC-报告的文件
- IATF CMS- IATF Complaint Management System IATF CMS-IATF投诉管理系统

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:当受影响地点是集团审核的一部分时,分析应包括对问题及其对所有现场的影响的审查。

### **8.3. Suspension decision 暂停决定**

#### **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。

Further documented information 详细信息可查阅:

- Veto decision 决定
- Standard letter if Initiation of suspension 暂停启动的标准信函
- or Standard letter End of decertification process 或取消认证过程结束的标准信函

### **8.4. Special Audit 特殊审核**

#### **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。

Further documented information 详细信息可查阅:

- 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CARA NC管理文件

### **8.5. Certification reinstatement or withdrawal decision 认证恢复或撤销决定**

#### **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条中定义。

Further documented information 详细信息可查阅:

- Veto decision 决定

### **8.6. Certification reinstatement and withdrawal actions 撤销认证后的行动**

#### **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 要求在VDA第6卷第8.6条中定义。

## **8.7. Actions after certification withdrawal 撤销认证后的行动**

### **IATF 16949**

Requirements are defined in IATF Rules, Clause 8.7 要求在IATF规则第8.7条中定义

## **VDA 6.x**

Requirements are defined in VDA-Volume 6, Clause 8.7 要求在VDA第6卷第8.7条中定义。

## **9. RECORDS REQUIRED OF THE CERTIFICATION BODY - 认证机构要求的**

### **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。

Further documented information 详细信息可查阅:

- RE\_06\_03\_01e\_Control of records (also for KBA) 记录控制 (也适用于KBA)

### **9.1. Certification records 认证记录**

#### **IATF 16949**

Requirements are defined in IATF Rules, Clause 9.1 要求在IATF规则第9.1条中定义。

#### **VDA 6.x**

Requirements are defined in VDA-Volume 6, Clause 9.1 要求在VDA第6卷第9.1条中定义。

Further documented information 详细信息可查阅:

- RE\_06\_03\_01e\_Control of records (also for KBA) 记录控制 (也适用于KBA)
- Records in regional offices 区域办事处的记录

### **9.2. Personnel records 个人记录**

#### **IATF 16949**

Requirements are defined in IATF Rules, Clause 9.2 要求在IATF规则第9.2条中定义。

#### **VDA 6.x**

Requirements are defined in VDA-Volume 6, Clause 9.2 要求在VDA第6卷第9.2条中定义。

Compliance is ensured by HR and ATAF management (also for KBA). 人力资源和ATAF管理层确保合规性 (也适用于KBA)。

## 10. TERMS AND DEFINITIONS - 术语和定义

See IATF Rules, Clause 10 and VDA Volume 6, Clause 10. 要求在IATF规则第10条中定义。

For KBA, the requirements are defined in the rules for the designation/recognition of technical services Chapter 3 (Definition). 对于KBA, 这些要求在技术服务指定/认可规则第3章(定义)中进行了定义。

## 11. ANNEX - 附件

See IATF Rules (Annx1-3) and VDA Volume 6, Clause 11 请参见IATF规则(附件1-3)和VDA第6卷第11条。