

1 Area of applicability 适用范围

These conditions are part of the contractual agreement (hereinafter "Certification Agreement") between DEKRA Certification GmbH (hereinafter DEKRA Certification) and organizations certified or to be certified against the "Quality management systems requirements for automotive production and relevant service parts organizations – IATF 16949" (hereinafter referred to as "IATF 16949") – in this specific certification conditions named as "client". 本条款为 DEKRA Certification GmbH (以下简称“德凯认证”) 与按照“汽车生产及相关服务部件组织的质量管理体系要求——IATF 16949”(以下简称“IATF 16949”) 获得认证或待认证的组织(在本特定认证条款中称为“客户”)之间签订的合同协议(以下简称“认证协议”)的一部分。

These conditions are applicable if not in violation of: 本条款在不违反以下要求时适用:

- any law and/or statutory/regulatory requirement 任何法律及/或法定/监管要求;
or 或
- the requirements defined in the most recent "Automotive certification scheme for IATF 16949 - Rules for achieving and maintaining IATF recognition" including all valid Sanctioned Interpretations - to be found on the website www.iatfglobaloversight.org - (hereinafter "IATF rules"). 最新版的“IATF 16949 汽车认证方案——获得并保持 IATF 认可的规则”(包括所有有效的批准解释, 可在 www.iatfglobaloversight.org 网站上找到, 以下简称“IATF 规则”)中定义的要求。

In case of any conflict, the solution shall be closest to the applicable legal requirements, or the judgement of the authorized IATF oversight office, or the IATF rules (in this order). 在发生冲突时, 解决方案应最接近适用的法律要求、授权 IATF 监督办公室的裁决或 IATF 规则(按此顺序)。

The below stated regulations in Section 2 of this document are a nonexhaustive enumeration. 本文第 2 节中所述规定为非详尽列举。

2 Certification according to IATF 16949 根据 IATF 16949 的认证

For certifications against IATF 16949 the stipulations contained in most recent version of the IATF rules also form a constituent part of the contractual relationship between DEKRA Certification and its clients. 对于根据 IATF 16949 的认证, IATF 规则最新版本中的规定也构成德凯认证与其客户之间合同关系的一部分。

2.1 Certification agreement (IATF Rules 3.1) 认证协议 (IATF 规则 3.1)

- The client shall provide DEKRA Certification information related to previous and/or existing certification to IATF 16949 prior contract signature. 客户应在合同签订前向德凯认证提供与先前和/或现有 IATF 16949 认证相关的信息。
- the client shall notify DEKRA Certification of any imminent changes (See IATF Rules 3.2); 客户应通知德凯认证任何即将发生的变更(参见 IATF 规则 3.2)。
- the client shall not refuse an IATF witness audit of DEKRA Certification; 客户不应拒绝 IATF 对德凯认证的见证审核。
- the client shall not refuse a DEKRA Certification internal witness audit; 客户不应拒绝德凯认证的内部见证审核。
- the client shall not refuse the of IATF observers; 客户不应拒绝 IATF 观察员的出席。
- the client shall not refuse the request of DEKRA Certification to provide the final report and nonconformity reports to the IATF; 客户不应拒绝德凯认证向 IATF 提供最终报告和不符合项报告的要求。
- the only use of the IATF logo is as displayed on the certificate or the letter of conformance issued by DEKRA Certification: Any other uses of the IATF logo is prohibited;
Note: The client may duplicate the IATF 16949 certificate bearing the IATF logo for marketing and advertising purposes.
IATF 标志仅允许在德凯认证签发的证书或符合证明函上显示, 禁止任何其他形式的使用。
注: 客户可出于营销和广告目的复制带有 IATF 标识的 IATF 16949 证书。
- Quality management system-related consultants to the client shall not physically present at the client's site during an audit and shall not participate in the audit in any way either directly or indirectly. The client's failure to meet this contractual requirement shall result in audit termination by DEKRA Certification. 在审核期间, 与客户质量管理体系相关的咨询师不得在客户现场出现, 也不得以任何方式直接或间接参与审核。客户如未满足此合同要求, 将导致德凯认证终止审核。
- The client provides pre-audit planning information to DEKRA Certification as required. 客户应按德凯认证的要求提供审核前审核策划。
- The client shall notify DEKRA Certification of its intent to transfer once a legal contract is signed with a new certification body.
Note 1: This notification may allow the contract to be extended until all transfer activities are complete with the new certification body, which allows the IATF 16949 Certificate to remain valid for a maximum of one-hundred-and-twenty (120) calendar days after the recertification audit due date or until the certificate expiration date, whichever comes first. In cases where a transfer occurs at a surveillance audit, the IATF 16949 certificate would be allowed to remain valid for a maximum of two-hundred-and-ten (210) after the surveillance audit due date.
Note 2: DEKRA Certification may have other valid reasons for cancelling the contract or withdrawing the client's certification before the transfer activities are completed.
一旦与新认证机构签订法律合同, 客户应将其转移意图通知德凯认证。
注 1: 此通知可允许合同延期, 直至新认证机构完成所有转机构活动, 从而允许 IATF 16949 证书在再认证审核到期日后最多保持一百二十(120)日历日或证书到期日(以先到者为准)前保持有效。如果在监督审核时发生转移, 则 IATF 16949 证书的有效期限最长为监督审核到期日后的二百一十(210)日历日。
注 2: 德凯认证可能有其他正当理由在转移活动完成前取消合同或撤销客户认证。
- The client shall work with DEKRA Certification to resolve open issues related to its transfer to or from another IATF-recognized certification body. 客户应与德凯认证合作, 解决与向另一家 IATF 认可的认证机构转移或从另一家 IATF 认可的认证机构相关的未决问题。

- The client shall remove all references to IATF 16949 certification from all internal and external marketing channels - including, but not limited to, websites and printed and electronic media - when its certification is cancelled, withdrawn, or expired. 当其认证被注销、撤销或过期时, 客户应从所有内部和外部营销渠道删除所有提及 IATF 16949 认证的内容, 包括但不限于网站、印刷和电子媒体。
- DEKRA Certification shall notify its clients within ten (10) calendar days of any changes in the DEKRA Certification's ownership status or loss of IATF recognition. 德凯认证应在十个(10)日历日内通知其客户认证机构所有权状态的任何变更或 IATF 认可的丧失。
- DEKRA Certification shall work with the client to resolve open issues related to the client's transfer to or from another IATF-recognized certification body. 德凯认证应与客户合作, 解决与客户转移到另一家 IATF 认可的认证机构或从另一家 IATF 认可的认证机构转移相关的未解决的问题。
- DEKRA Certification, including all of its sponsored IATF 16949 auditors, shall comply with all relevant data protection laws for the respective client's jurisdictions and provide sufficient transparency regarding the use of relevant personally identifiable information. 德凯认证, 包括担保的所有 IATF 16949 审核员, 应遵守各自客户司法管辖区的所有相关数据保护法, 并在相关个人信息的使用方面提供足够的透明度。

A violation of one of the client's obligations in clause 2.1 must be considered as material breach of the certification contract and shall lead to appropriate actions by DEKRA Certification, including, but not limited to, audit termination, audit cancellation, or certification withdrawal. 违反第 2.1 条中客户义务的任何一项均视为认证合同的重大违约, 并应导致德凯认证采取适当措施, 包括但不限于审核终止、审核取消或认证撤销。

2.2 Notice of changes (IATF Rules 3.2) 变更通知 (IATF 规则 3.2)

The client shall inform DEKRA Certification of imminent changes that may affect the capability of the quality management system to continue to fulfill the requirements of the IATF 16949 certification. 客户应通知德凯认证即将发生的变更, 这些变更可能影响质量管理体系继续满足 IATF 16949 认证要求的能力的变更。

These include, for example, changes relating to: 这些变更, 包括与以下方面有关的变更:

- legal status 法律状况。
- Ownership status (e.g., mergers, acquisitions, alliances, joint venture, etc.) 所有权状况(如, 合并、收购、联盟、合资企业等)
- management structure (e.g., top management, key decision-making staff, etc.) 管理结构(例如, 最高管理者、关键决定人员等)
- contact address or location 联系地址或场所。
- relocation of manufacturing process(es) or support activities 制造过程或支持活动的搬迁。
- closure or relocation of a manufacturing site, extended manufacturing site or a stand alone remote support location 关闭或搬迁制造现场、扩展制造现场或独立远程支持场所。
- scope of operations under the quality management system, including any new locations and/or support relationships to be covered in the certification scope 质量管理体系下的运行范围, 包括将在认证范围内涵盖的任何新场所和/或支持关系。
- outsourcing of quality management system processes to other organizations 将质量管理体系过程外包给其他组织。
- customer dissatisfaction scenarios that require DEKRA Certification notification as described in IATF OEM customer-specific requirements (e.g. special status conditions, etc.) 根据 IATF OEM 顾客特定要求(例如, 特殊状态条件等)中所述, 要求德凯认证通知顾客不满意情况。
- a signed contract with another IATF-recognized certification body 与另一家 IATF 认可的认证机构签订的合同。

DEKRA Certification shall take appropriate actions based on the changes communicated by the client, including special audits. 德凯认证应基于客户传达的变更, 采取适当行动, 包括特殊审核。

2.3 Audit program for manufacturing sites (IATF Rules 5.1) 制造现场审核方案 (IATF 规则 5.1)

The Audit program for a manufacturing site has a three (3) year audit cycle and a corresponding three (3) year certificate cycle. 制造现场的审核方案有一个三(3)年的审核周期和相应的三(3)年证书周期。

The first three (3) year audit cycle of a manufacturing site shall include an initial certification audit (stage 1 readiness review and Stage 2 certification audit) followed by a surveillance audit in the first and second years. 制造现场的第一个三(3)年审核周期应包括初次认证审核(第 1 阶段准备评估和第 2 阶段认证审核), 然后在第一年和第二年进行审核。

The first three (3) year audit cycle starts from the last day of the stage 2 certification audit. Each subsequent audit cycle starts from the last day of the recertification audit. 第一个三(3)年审核周期从第 2 阶段认证审核的最后一天开始。每个随后的审核周期从再认证审核的最后一天开始。

Surveillance audits shall be scheduled from the last day of the stage 2 certification audit, the last day of the recertification audit or, the last days of the transfer audit. The allowable timing is -3 months/+3 months. 监督审核应从第二阶段认证审核、再认证审核或转移审核的最后一天开始安排。允许的时间范围是-3 个月/+3 个月。

2.4 Audit day determination (IATF Rules 5.2) 审核时间确定 (IATF 规则 5.2)

Where verification of the effective implementation of systematic corrective action from minor nonconformities is required, between one-half (0.5) and one (1) of additional audit time shall be planned and conducted for each minor nonconformity. 当需要验证对轻微不符合项采取的系统性纠正措施的有效实施时, 应为每个一般不符合项计划并执行 0.5 至 1 个小时的“额外审核时间”。

Specific Certification Conditions

特殊认证条款 IATF 16949



If the certification scope changes, additional audit time shall be added to investigate the impact of the certification scope change on the capability of the quality management system to continue to fulfill the requirements of the IATF- 16949 certification: 如果认证范围发生变化, 应增加额外审核时间, 以调查认证范围变化对质量管理体系继续满足 IATF 16949 认证要求能力的影响:

When the audited client location does not meet the IATF OEM quality and/or delivery targets specified in the IATF OEM scorecard(s), submitted with audit planning information and/ or current score cards reviewed in the opening meeting, DEKRA Certification shall add additional audit time to the current audit plan as defined below. 依据审核策划信息中提交的 IATF OEM 记分卡和/或在首次会议上评审的当前 IATF OEM 记分卡, 当受审核客户场所不满足规定的 IATF OEM 质量和/或交付目标时, 德凯认证应按照以下规定在当前审核计划中增加“额外审核时间”。

The only exception is if the client can provide evidence of verification of the effectiveness of the implemented systematic corrective actions for the effective implementation of the corrective actions for the quality and/or delivery performance issues, in which no increase is applied: where it is not possible to add the additional time to the current plan, DEKRA Certification shall conduct a special audit within sixty (60) calendar days of the closing meeting date of the audit, 唯一例外是, 如果客户能够提供针对质量和/或交付绩效问题实施的系统性纠正措施的有效性的验证证据, 在这种情况下, 不用增加。如果无法在当前计划中增加额外时间, 德凯认证应在审核结束会议日期后的六十 (60) 个日历日内执行特殊审核。

Note 1: This requirement does not apply if the audited organization is an IATF OEM.

注 1: 如果受审核的组织是 IATF OEM, 则此要求不适用。

Note 2: In a Corporate audit scheme, the increase in audit days applies only to the client location where the IATF OEM quality and/or delivery targets are not being met. 注 2: 在集团审核中, 审核人日的增加仅适用于未达到 IATF OEM 质量和/或交付目标的客户场所。

| Number of employees 员工人数 | 1 – 2 IATF OEMs 1 – 2 个 IATF OEM 数量 | 3 or more IATF OEMs 3 个 或更多 IATF OEM 数量 |
|-----------------------------|----------------------------------------|--------------------------------------------|
| < 500 | 4 hours/小时 | 6 hours/小时 |
| 500 - 3000 | 5 hours/小时 | 7 hours/小时 |
| > 3000 | 6 hours/小时 | 8 hours/小时 |

For each manufacturing site, DEKRA Certification shall plan and conduct between one and one-half (1.5) and three (3) audit days onsite for the stage 1 readiness assessment, as appropriate. 对于每个制造现场, 适用时, 为第 1 阶段准备评估, 计划并执行 1.5 至 3 个人天的审核。

For a corporate scheme, DEKRA Certification shall plan and conduct a one-time stage 1 readiness assessment between one-half (0.5) and two (2) audit days for the central location where the client's quality management system support function resides. The stage 1 readiness assessment at the central location may be conducted onsite or remotely and shall be conducted before the stage 1 readiness assessment at any of the supported manufacturing sites. 对于集团审核, 对于集团方案, 计划在半(0.5)个到两(2)个审核人日对客户质量管理体系支持功能所在的中心场所执行一次第 1 阶段准备评估。中心场所的第 1 阶段准备评估可在现场或远程执行, 并应在任何受支持的制造现场的第 1 阶段准备评估之前执行。

Note 1: If the central location resides in a manufacturing site, the time for the stage 1 assessment is additional to the required audit days at the manufacturing site.

注 1: 如果中心场所位于一个制造现场, 第 1 阶段评估的时间是上述 b) 中要求的审核人日之外的时间。

Note 2: If the central location is already included in the IATF 16949 certification of another manufacturing site in the corporate scheme, and if the conditions for accepting the audit report are met, then no further stage 1 readiness assessment activity is required at the central location.

注 2: 如果中心场所已经包括在集团方案中另一个制造现场的 IATF 16949 认证中, 并且如果接受审核报告的条件得到满足(见第 5.5.3 条), 那么中心场所不需要进一步的第 1 阶段准备评估活动。

For stand-alone remote support locations, not covered above DEKRA Certification shall determine whether a stage 1 readiness review assessment is needed to meet the objectives and requirements for a stage 1 readiness assessment at a manufacturing site or central location. DEKRA shall determine the appropriate audit duration:

对于上次未涵盖的独立远程支持场所, 德凯认证应确定是否需要第 1 阶段准备评估, 以满足制造现场或中心场所第 1 阶段准备评估的目标和要求。认证机构应确定适当的审核时间。

DEKRA Certification shall determine the special audit duration considering: 德凯认证应确定特殊审核时间:

a) The appropriate number of audit days required to meet the purpose and accomplish the objectives of a special audit.

满足特殊审核目的和完成特殊审核目的所要求的适当审核人日。

b) Where the special audit's purpose is to verify the effective implementation of systematic corrective actions, audit time shall be allocated to the audit plan as follows:

如果特殊审核的目的是验证系统性纠正措施的有效实施情况, 审核时间应按以下方式分配给审核计划:

Each major nonconformity shall have between one (1) and three (3) hours planned and executed for verification.

每项严重不符合项, 应计划并执行 1 至 3 小时的验证时间。

Each minor nonconformity shall have between one-half (0.5) hour and one (1) hour planned and executed for verification.

每项一般不符合项, 应计划并执行 0.5 至 1 小时的验证时间。

Where special audits are related to IATF-OEM quality and/or delivery targets specified in the IATF OEM scorecard(s) not being met, see above, minimum audit days shall be planned considering above mentioned requirements – in table 5.2.q of the IATF rules.

如果特殊审核目的与未达到 IATF OEM 记分卡中规定的 IATF OEM 质量和/或交付目标有关(见第 5.2.9 条), 则应考虑表 5.2.q 中的要求计划最少审核人日。

2.5 Determining the audit duration for certification structure with stand-alone remote locations 确定具有独立远程支持场所的认证结构的审核时间

Supporting activities (IATF Rules 5.5) 支持活动 (IATF 规则 5.5)

DEKRA Certification may accept the audit by another certification body of the remote supporting locations subject to the following conditions being met prior to each audit: 在满足以下条件时, 每次审核前, 德凯认证可接受其他认证机构对远程支持场所的审核:

- a) the audit was conducted to IATF 16949 by an IATF-recognized certification body; 审核是由 IATF 认可的认证机构按照 IATF 16949 要求进行的。
- b) the latest version of the audit plan and final audit report, including all related nonconformities and nonconformity management records, are accessible in a language agreed upon by the client and the certification body that conducted the audit 审核计划和最终审核报告的最新版, 包括所有相关的不符合和不符合管理记录, 以客户和执行审核的认证机构商定的语言提供。
- c) the provided information gives a clear indication of: 所提供的信息清楚地表明:
 - 1) which support functions at the remote support location provide support to the manufacturing site 位于远程支持场所的哪些支持功能向制造现场提供支持
 - 2) which processes performed at the remote support location pertain to the relevant support function(s) 在远程支持场所执行的哪些过程涉及到相关支持功能
 - 3) the relevant support function processes used to support the manufacturing site being audited according to the intervals required by these Rules 根据本规则要求的时间间隔。用于支持受审核的制造现场的相关支持功能过程。
 - 4) which processes were audited and that the interfaces were audited in detail for the manufacturing sites sampled with clearly stated inputs and outputs (i.e., interactions) 审核了哪些过程, 并通过在造现场清晰的输入和输出(即相互作用)抽样对接口进行详细审核。
- d) The client shall be responsible for providing the information mentioned above in cooperation with the certification body that conducted the audit at the remote support location. 客户应负责与在远程支持场所执行审核的 1 认证机构合作, 提供要求的上述信息。
- e) verification of the client's corrective actions are conducted by the certification body that audited the remote supporting location. Copies of all onsite verification activities reports shall be provided by the client to the certification body. 对客户纠正措施的验证应由审核远程支持场所的认证机构执行。客户应向认证机构提供所有现场验证活动报告的副本。

2.6 Nonconformity management (IATF Rules 5.11) 不符合管理 (IATF 规则 5.11)

In situations where nonconformities are issued, the audit team shall inform the client of the required next steps and the timing of the decertification process at the audit closing meeting. 在发出不符合的情况下, 审核组应在审核末次会议上告知客户所需的下一步行动以及认证退出流程的时间安排。

The client and the certification body are responsible for managing audit nonconformities per the requirements detailed below. The IATF NC CARA shall be used to exchange the responses between the audit team and the client for each nonconformity. 客户和认证机构负责根据下面详述的要求对审核不符合进行管理。审核组和客户之间交换每一个不符合的响应应使用 IATF NC CARA (Common Audit Report Application)。

2.6.1 Client responsibility for major nonconformities (IATF Rules 5.11.1) 客户对严重不符合的责任 (IATF 规则 5.11.1)

The client shall submit, within a maximum of 15 calendar days from the closing meeting of the site audit, evidence of the following: 客户应在现场审核末次会议后的最多 15 个日历日内提交以下证据:

- a) the implemented containment action and their effectiveness 已实施的遏制措施及其有效性。
- b) the implemented correction; 已实施的纠正。
- c) the root cause analysis, including the methodology used, the results, and the consideration of the root cause's impact on other processes and products; 根本原因分析, 包括使用的方法、结果以及对根本原因对其他过程和产品影响的考虑。
- d) The systemic corrective action plan to eliminate the identified root cause(s) and the method(s) identified for verifying the effectiveness of the systemic corrective action(s). 消除已识别的根本原因的 systemic 纠正措施计划, 以及为验证 systemic 纠正措施的有效性而识别的方法。

The client shall submit, within a maximum of 60 calendar days from the closing meeting of the site audit, evidence of the following: 客户应在现场审核末次会议后的最多 60 个日历日内提交以下证据:

- a) the implementation of the planned systemic corrective action(s) to eliminate the root cause(s); 实施策划的系统性纠正措施, 以消除根本原因。
- b) the result of verification of effectiveness for the implemented systemic corrective action(s). 已实施的 systemic 纠正措施有效性的验证结果。

Specific Certification Conditions

特殊认证条款 IATF 16949



2.6.2 Client responsibility for a minor nonconformity (IATF Rules 5.11.2) 客户对一般不符合项的责任 (IATF 规则 5.11.2)

The client shall submit, within a maximum of 60 calendar days from the closing meeting of the site audit, evidence of the following: 客户应在现场审核末次会议后的最多 60 个日历日内提交以下证据:

- the implemented containment actions and their effectiveness 已实施的遏制措施及其有效性。
- the implemented correction; 已实施的纠正。
- the root cause analysis including the methodology used, the results, and the consideration of the root cause's impact on other processes and products; 根本原因分析, 包括所使用的方法、结果以及对根本原因对其他过程和产品影响的考虑。
- the implementation of the systemic corrective action(s) to eliminate the root cause(s); 系统性纠正措施的实施, 以消除根本原因。
- the method(s) used for verifying the effectiveness of the systemic corrective action(s) and the verification result. 用于验证系统性纠正措施有效性的方法和验证结果。

2.6.3 Certification decision (IATF Rules 5.12) 认证决定 (IATF 规则 5.12)

The certification decision shall be made within a maximum of one-hundred-twenty (120) calendar days from the last day of the stage 2 certification, surveillance, or recertification audit and shall be made before the expiration of the existing certificate. 认证决定应在第 2 阶段认证、监督或再认证审核的最后一天起最多一百二十 (120) 个日历日内做出, 并应在现有证书到期前作出。

The certification body shall inform the client of the certification decision (see section 10.0) and any related change in the certificate status within seven (7) calendar days of the date of the decision. 认证机构应在认证决定之日后七 (7) 个日历日内将认证决定(见第 10.0 条)和证书状态的任何相关变更通知客户。

If found acceptable, the nonconformity shall be closed and DEKRA Certification shall verify the effective implementation of the identified corrective actions at the next audit (See IATF Rules 5.2 and 5.11.5), unless a special audit was conducted (See IATF Rules 5.11.4 and 7.2) 如果不被接受, 则应关闭该不符合项, 并且德凯认证应在下次审核时验证所确定的纠正措施的有效实施情况(见 IATF 规则 5.2 和 5.11.5), 除非已进行了特殊审核(见 IATF 规则 5.11.4 和 7.2)。

If found not acceptable, DEKRA Certification shall resolve the outstanding issues with the client within a maximum of 90 calendar days from the closing meeting of the site audit. If the resolution cannot be completed, the nonconformity shall be considered as rejected. The final audit result shall be considered as failed and the IATF-database shall be updated accordingly. The certification decision shall be negative (See IATF Rules 5.12 a-d) and the client shall start with an initial certification audit (Stage 1 and Stage2) The current valid certificate shall be withdrawn. 如果不符合项不被接受, 德凯认证应在现场审核末次会议后的最多九十 (90) 个日历日内与客户解决悬而未决的问题。如果无法解决, 则该不符合项应被视为被拒绝。最终审核结果应被视为失败, 并且 IATF 数据库应相应更新。认证决定应为否定(见 IATF 规则 5.12 a-d), 客户应从初始认证审核开始(第一阶段和第二阶段)。现有证书证书应被撤销。

In exceptional cases where the client cannot completely implement the planned systemic corrective actions and verify their effectiveness within a maximum of ninety (90) calendar days from the audit closing meeting date, DEKRA Certification shall consider the nonconformity open but 100% resolved only if all of the following additional conditions are met upon the acceptance of the client's fifteen (15) day response to a major nonconformity or the client's sixty days response to a minor nonconformity: 特殊情况下, 如果客户无法完全实施策划的系统性纠正措施(如: 需要新的或升级的制造或 I 系统来消除问题的根源等), 并且无法在审核末次会议日期后的最多九十(90)个日历日内验证其有效性, 只有满足以下所有额外条件, 接受客户对严重不符合项的十五(15)天响应或对一般不符合项的六十(60)天响应后, 不符合项应被视为百分之百(100%)解决:

- The client provides evidence that containment is, and shall remain, in place until the systemic corrective actions are implemented and verified for effectiveness 客户提供证据表明, 在实施系统性纠正措施并验证其有效性之前, 遏制措施已经实施并应继续实施。
- The client provides a documented systemic corrective action plan which details the actions, timing, and responsibility for the implementation of the systemic corrective action (s). 客户提供一份文件化的系统性纠正措施计划, 详细说明实施系统性纠正措施的措施、时间和责任。
- The justification for the one hundred percent (100%) resolved determinations recorded in the IATF NC CARA 百分之百(100%)解决确定的理由记录在 IATF NC CARA 中。
- A one-time onsite special audit is scheduled to verify the effectiveness of the systemic corrective actions based on the accepted systemic corrective actions based on the accepted systemic corrective action plan timing (see section 7.2 f), but no less than ninety (90) calendar days before the next regular audit. 根据已接受的系统性纠正措施计划时间安排(见第 7.2 f), 安排一次性现场特殊审核 d) 证系统性纠正措施的有效性, 但应在下一次常规审核前不少于九十(90)个日历日。

2.6.4 Onsite verification of major nonconformities (IATF Rules 5.11.4) 严重不符合项的现场验证 (IATF 规则 5.11.4)

In cases of a major nonconformity, DEKRA Certification shall conduct a special onsite audit (See IATF Rules 7.2c) for the verification of the effective implementation of systemic corrective actions within a maximum of ninety (90) calendar days from the closing meeting date of the site assessment. 如果是严重不符合, 德凯认证应在现场评估末次会议之日起最多九十 (90) 个日历日内进行一次现场特殊审核(见 IATF 规则 7.2 c), 以验证系统性纠正措施的有效实施情况。

In cases where the accepted corrective actions for a major nonconformity - including those that are one hundred percent (100%) resolved - are effectively implemented, the audit result shall be failed, the certification decision shall be negative (see section 5.12, the IATF database shall be updated, and the certificate shall be immediately withdrawn. 如果针对严重不符合项的已接受纠正措施(包括百分之百(100%)决的纠正措施)未得到有效实施, 则审核结果应为失败, 认证决定应为否定(见第 5.12 条), IATF 数据库应更新, 证书应立即撤销。

2.6.5 Onsite verification of minor nonconformities (IATF Rules 5.11.5) 轻微不符合项的现场验证 (IATF 规则 5.11.5)

Onsite verification of the corrective action for a minor nonconformity within a maximum of 90 calendar days from the closing meeting of the site audit is at the discretion of DEKRA certification based on the knowledge and experience. DEKRA 认证可根据知识和经验决定对轻微不符合项的纠正措施进行现场验证, 现场验证应在现场审核末次会议后的最多九十 (90) 个日历日内进行。

In cases where the accepted corrective action plan for a minor nonconformity is found to be not effectively implemented, a new major nonconformity shall be issued against the corrective action process (See IATF 16949; clause 10.2), the previous minor nonconformity reissued as a major nonconformity and the decertification process shall be initiated (see section 8.0). 如果发现针对一般不符合项的已接受的纠正措施未有效实施, 则应针对纠正措施过程发布新的严重不符合项(见 IATF 16949 第 10.2 条), 先前的一般不符合项应作为严重不符合重新发布, 并启动认证退出过程(见第 8.0 条)。

2.7 Transfer audits (IATF Rules 7.1) 转机构审核 (IATF 规则 7.1)

- The previous certification body shall be recognized by IATF; 之前的认证机构应获得 IATF 的认可。
- The manufacturing site certificate issued or, in the case of a standalone remote support location, at least one (1) manufacturing site certificate on which the standalone remote support location is referenced is issued (i.e., the certificate is not suspended, canceled, withdrawn, or expired) 发布了制造现场证书, 或在独立远程支持场所的情况下, 至少发布了一张(1)张制造现场证书, 该独立远程支持场所在其上被引用(即证书未被暂停、注销、撤销或过期)。
- Since the last transfer audit, at least two (2) surveillance audits have been conducted where the transferring client location is audited on an annual audit interval (see rules sections 5.1.1 and 5.5.1). 自上次转移审核以来, 至少执行了两(2)次监督审核, 在转移的客户场所是基于年度审核间隔进行审核的情况下(见规则第 5.1.1 和 5.5.1 节)。
- Since the last transfer audit, at least one (1) surveillance audit has been conducted where the transferring client location is a standalone remote support location that has support functions that are audited on a two (2) year audit interval (see section 5.5.1). 自上次转移审核以来, 至少执行了一张(1)次监督审核, 在转移的客户场所是一个独立远程支持场所及其支持功能是基于两(2)年审核间隔进行审核的情况下(见规则第 5.5.1 节)。
- The new certification body shall not transfer a client in any IATF OEM special status condition until after the existing certification body has conducted at least one onsite audit to verify the effective implementation of the identified corrective actions; 新认证机构不得转移处于 IATF OEM 特殊状态条件的任何客户, 直至现有认证机构至少进行一次现场审核以验证所确定的纠正措施的有效实施之后。
- If the certificate was suspended within the previous 12 months and the suspension was initiated due to clauses 8.1. a), b) of the IATF Rules, the new certification body shall not transfer the client until after the existing certification body has conducted at least one onsite audit to verify the effective implementation of the identified corrective actions; 如果证书在过去十二个月内被暂停, 且暂停是由于 IATF 规则的 8.1.a)、b) 条款而启动的, 则新认证机构不得在现有认证机构至少进行一次现场审核以验证所确定的纠正措施的有效实施之前转移该客户。
- The client shall provide the new certification body with the audit reports and nonconformity records from the previous three (3) years. This information provided shall include evidence that client responses to all previously issued nonconformities have been accepted and all verification activities that should have been completed by the previous certification body were conducted as required. 客户应向新认证机构提供前三(3)年的审核报告和不符项记录。所提供的信息应包括客户对先前发布的不符项已被接受的证据, 以及所有应由前认证机构完成的验证活动已按要求执行的证据。
- a transfer is possible after the relevant IATF Oversight Office has verified the information and approved the transfer, the contract between the client and DEKRA Certification will come in effect after the approval from IATF Oversight; 在相关 IATF 监督办公室核实信息并批准转机构后, 转机构才可进行; IATF 监督办公室批准后, 客户与德凯认证的合同方可生效。
- The new certification body shall advise the client to notify the previous certification body about its intent to transfer (see section 3.2 j). 新认证机构应建议客户将其转机构意向通知前认证机构(见第 3.2 j 条)。

2.8 Special audits (IATF Rules 7.2) 特殊审核 (IATF 规则 7.2)

Special audits at a client location are required or may be conducted at the discretion of the certification body to: 要求或可由认证机构酌情在客户场所执行特殊审核, 以:

- Verify the effective implementation of systemic corrective actions in response to a performance complaint (See section 8.4); 验证针对绩效投诉的系统性纠正措施的有效实施情况(见第 8.4 条)
- Verify that implemented systemic corrective actions are producing improvement in the achievement of customer performance targets (see section 5.2q) 验证所实施的系统性纠正措施在实现顾客绩效目标方面产生了改进(见第 5.2q 条)。
- verify the effective implementation of systemic corrective actions for major nonconformities (see section. 5.11.4 and 8.4) 验证严重不符合的系统性纠正措施的有效实施情况(见第 5.11.4 和 8.4 条)。

- d) verify the effective implementation of systemic corrective actions for minor nonconformities (see section 5.11.5 and 8.4) 验证一般不符合的系统性纠正措施的有效实施情况 (见第 5.11.5 和 8.4 条)。
- e) verify the effective implementation of systemic corrective actions for nonconformities in one hundred percent (100%) resolved status (see section 5.11.3.1) 验证百分之百 (100%) 解决状态下的不符合的系统性纠正措施的有效实施情况 (见第 5.11.3.1 条)。
- f) verify the effective implementation of systemic corrective actions in response to withdrawn certification (see section 8.7) 验证针对撤销证书采取的系统性纠正措施的有效实施情况 (见第 8.7 条)。
- g) verify the client's compliance with IATF 16949 requirements after significant changes (see section 3.2) 验证客户质量管理体系重大变更后符合 IATF 16949 的情况 (见第 3.2 条)。
- h) verify the client's quality management system compliance with IATF 16949 after relocation (see section 5.15) 验证搬迁后客户质量管理体系符合 IATF 16949 的情况 (见第 5.15 条)。

The certification body shall enter all the required audit details, including the reason for the special audit, into the IATF database within twenty (20) calendar days from the closing meeting of the special audit. This information shall be in the specified format and in English. 认证机构应在特殊审核末次会议后二十 (20) 个日历日内将所有要求的审核详细信息, 包括特殊审核的原因, 录入 IATF 数据库。该信息应采用规定的格式和用英文填写。

2.9 Decertification process (IATF Rules 8) 认证退出流程 (IATF 规则 8)

2.9.1 Analysis of situation (IATF Rules 8.2) 情况分析 (IATF 规则 8.2)

DEKRA Certification shall undertake an immediate analysis of the situation to determine the severity of the situation and risk to the customers of the certified client, taking into account, where applicable, IATF OEM customer-specific requirements. 德凯认证应立即与客户一起对情况进行分析, 确定情况的严重程度和对顾客的潜在风险, 并在适用时, 考虑 IATF OEM 顾客特定要求。

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. 当受影响场所是集团审核的一部分时, 分析应包括对关注点及其对所有场所影响的审查。

2.9.2 Certificate suspension decision (IATF Rules 8.3) 证书暂停决定 (IATF 规则 8.3)

Based on the situation analysis (see IATF Rules 8.2), the DEKRA Certification decision function shall make the decision to suspend or not suspend the certificate within a maximum of 15 calendar days after the start date of the decertification process. 基于情况分析 (见 IATF 规则 8.2), 德凯认证决定职能应在认证退出流程开始后的最多 15 个日历日内, 就是否暂停证书作出决定。

The certification shall be suspended if the initiation of the certificate decertification process is related to an audit containing one (1) or more major nonconformities confirmed by a technical reviewer upon final audit report issuance. 如果认证退出流程的启动与审核有关, 而审核中包含一 (1) 个或多个由技术评审员在最终审核报告发布时确认的严重不符合项, 则应暂停认证。

In the decision is to suspend the certificate, the decision shall be communicated to the client within a maximum of seven (7) calendar days after the date of the decision. 如果决定暂停证书, 则应在决定日期后的最多七 (7) 个日历日内将决定通知客户。

If the suspension decision is related to a performance complaint, the certification body shall require the client to submit the problem-solving response in the IATF CMS within a maximum of twenty (20) calendar days after the suspension notification. 如果暂停决定与绩效投诉有关, 认证机构应要求客户在收到暂停通知后最多二十 (20) 个日历日内, 在 IATF CMS 中提交解决问题的响应。

In the situations where the decision is not to suspend the certificate when minor nonconformities have been issued, the client shall follow the normal process for nonconformity management (see IATF Rules 5.11). In all other situations, the timings as defined in the IATF Rules 8.0 flow chart shall be maintained. 如果在发现一般不符合时决定不暂停证书, 客户应遵循常规的不符合项管理流程 (见 IATF 规则 5.11)。在所有其他情况下, 应遵循 IATF 规则 8.0 流程图定义的时间安排。

Certificate suspension is a temporary status not exceeding 120 calendar days (see IATF Rules 8.0 flowchart for a list of activities), which results in either the reinstatement or withdrawal of the certificate. During the suspension period, the certificate remains valid and is still recognized by the IATF. 证书暂停是一种不超过一百二十 (120) 个日历日的临时状态 (见 IATF 规则 8.0 流程图中的活动列表), 其结果要么是恢复证书, 要么是撤销证书。在暂停期间, 证书仍然有效, 并且仍被 IATF 认可。

2.9.3 Verification (IATF Rules 8.4) 验证 (IATF 规则 8.4)

DEKRA Certification shall review the client's root-cause analysis and systemic corrective action plan and decide on its acceptability before conducting the onsite special audit. 在执行现场特殊审核之前, 德凯认证应评审客户的根本原因分析和系统性纠正措施, 并决定其可接受性。

The onsite special audit shall be conducted to verify the effective implementation of the systemic corrective actions from the client's accepted systemic corrective action plan within a maximum of ninety (90) calendar days after the start date of the decertification process. 现场特殊审核应在认证退出流程开始后最多九十 (90) 个日历日内执行, 以验证客户已接受的系统性纠正措施计划中的系统性纠正措施的有效实施。

The special audit shall result in one (1) of the following recommendations: 特殊审核应提出以下推荐之一 (1):

- a) withdrawal of the certification when the accepted systemic corrective action plan is found to be not effectively implemented 当发现已接受的系统性纠正措施计划未得到有效实施时, 撤销认证。
- b) reinstatement of the certification if: 恢复认证, 如果:

1. the accepted systemic corrective action plan is found to be effectively implemented 发现已接受的系统性纠正措施计划得到有效实施
2. the implementation of the accepted systemic corrective actions for one hundred percent (100%) resolved nonconformities is found to be progressing as planned and containment is found to be in place and effective at the time of the onsite special audit (see section 5.11.3.1) 在现场特殊审核时, 发现针对百分之百 (100%) 解决不符合的已接受系统性纠正措施的实施正在按计划进行, 且遏制措施已到位并有效 (见第 5.11.3.1 条)。

2.10 Certificate withdrawal (IATF Rules 8.6, 8.7) 证书撤销 (IATF 规则 8.6, 8.7)

When DEKRA Certification decides to reinstate or withdraw the certification, its client shall be notified and DEKRA Certification shall update the IATF Database, within a maximum of seven (7) calendar days after the date of the decision. 当德凯认证决定恢复或撤销认证时, 认证机构应在做出决定后最多七 (7) 个日历日内通知其客户并更新 IATF 数据库。

If DEKRA Certification decided to withdraw the certificate, the client shall return the certificate. 若德凯认证决定撤销证书, 客户应归还该证书。

In the case of certification withdrawal within a corporate scheme, the withdrawal shall apply only to the affected site(s). 在集团方案中撤销认证的情况下, 撤销决定应仅适用于受影响的场所。

When the certificate is withdrawn due to ineffective implementation of systemic corrective actions, the client shall complete a special audit before an initial certification audit is conducted. The special audit shall verify the effective implementation of systemic corrective actions related to the issue(s) that resulted in certification withdrawal. 因未有效实施系统性纠正措施而撤销证书时, 客户应在执行初次认证审核之前完成特殊审核。特殊审核应验证导致认证撤销问题相关的系统性纠正措施的有效实施情况。

The special audit shall be performed by either the existing certification body or by another IATF recognized certification body after the client has had time to implement effective corrective actions. 特殊审核应在客户有时间实施有效的纠正措施后, 由现有认证机构或另一个 IATF 认可的认证机构执行。

If during the special audit, the issue(s) that resulted in certification withdrawal still exists, the special audit result shall be failed and the IATF Database updated accordingly. The client shall have additional special audit(s) until the issues that resulted in certification withdrawal have been solved and systemic corrective actions effectively implemented before proceeding to an initial certification audit. 如果在特殊审核中, 导致认证撤销的问题仍然存在, 则特殊审核结果应为失败, 并相应更新 IATF 数据库。客户应接受额外的特殊审核, 直至导致认证撤销的问题得到有效实施系统性纠正措施后, 方可进入初次认证审核。

In cases where the client decides to stay with the existing certification body for an initial certification audits, requirements in rules 5.4 f) apply 如果客户决定留在现有认证机构进行初次认证审核, 第 5.4 f) 中的要求适用。

2.11 Additional costs resulting from the Certification Agreement 认证协议产生的额外费用

For any additional costs and efforts that occur in relation to the IATF certification (i.e., additional audit time, additional preparation time, special audits, verifications) the cost will be borne by the certified organization. 与 IATF 认证相关的任何额外费用和投入 (如额外审核时间、额外准备时间、特殊审核、验证等) 应由获证组织承担。

3 Final clause 最后条款

If this document, or a part of it, is or becomes invalid or not applicable (despite any reason), the other clauses of this document or any other document outside this remain valid and applicable. If the whole document is not applicable the certification contract is not touched. 若本文件或其任何部分无效或不可适用 (无论出于何种原因), 本文件的其他条款或本文件以外的任何文件仍保持有效和可适用。若整个文件不适用, 则不影响认证合同的效力。