

Specific Certification Conditions

认证特定条款 IATF 16949



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 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 客户应按照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移活动, 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/从另一家 IATF 认可的认证机构转移相关的未决问题。

- 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, 并在相关个人身份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。

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 standalone 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)

2.3.1 Audit cycle 审核周期

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. The last day of the surveillance audit shall not exceed the maximum allowable timing. 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。监督审核的最后一天不应超过允许的最长时间。

The last day of the recertification audit shall not exceed three (3) years (-3 months/+0 days) from the last day of the stage 2 certification audit or the previous recertification audit or transfer audit. 再认证审核的最后一天不应超过第二阶段认证审核或先前再认证审核或转移审核的最后一天起三 (3) 年 (-3 个月/+0 天)。

Recertification audits shall be scheduled to provide sufficient time for nonconformity management activities to be completed and the certification decision made before the expiration of the existing IATF 16949 certificate. 在现有 IATF 16949 证书到期之前, 应安排再认证审核, 以便有足够的时间完成不符合管理活动并做出认证决定。

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

2.4.1 Determining the audit duration for initial certification, surveillance, recertification, and transfer audits. 确定初次认证、监督、再认证和转移审核的审核时间

DEKRA Certification shall determine the audit duration required to accomplish a complete and effective audit of the client's quality management system. 德凯认证机构应有一个过程来确定完成对客户质量管理体系的完整和有效审核所需的审核时间。

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”。

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 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, 德凯认证应在审核末次会议日期后的六十(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(s) 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

2.4.2 Determining the audit duration for stage 1 readiness assessment (IATF Rules 5.2.1)

第 1 阶段准备评估的审核时间 (IATF 规则 5.2.1)

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, 计划在半(0.5)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, 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 阶段评估的时间是制造现场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, 那么中心场所不需要进一步的第 1 阶段准备评估活动。

For standalone 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。德凯认证应确定适当的审核时间。

2.4.3 Determining the audit duration for special audits (IATF Rules 5.2.2)

确定特殊审核的审核时间 (IATF 规则 5.2.2)

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标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:

1) 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。

2) 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。

c) 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, 则应考虑表 5.2.q 中的要求计划最少审核人日。

2.4.4 Determining the audit duration for certification structure with standalone remote support locations (IATF Rules 5.2.3) 确定具有独立远程支持场所的认证结构的审核时间 (IATF 规则 5.2.3)

DEKRA Certification shall calculate the minimum audit days for each client with one (1) or more standalone remote support locations 德凯认证应为具有一个(1)或多个独立远程支持场所的每个客户计算最少审核人日。

The distributed audit days shall be sufficient to ensure complete audit coverage over the audit cycle for all processes at all relevant client manufacturing sites and standalone remote support locations. 被分配的审核人日应足以确保在审核周期内对所有相关客户制造现场和独立远程支持场所的所有过程完全审核。

2.4.5 Determining audit duration – corporate scheme (IATF Rules 5.3) 确定审核时间-集团方案 (IATF 规则 5.3)

A fifteen percent (15%) reduction may be applied to the minimum audit days specified in Table 5.2 of the IATF Rules (before rounding) for the stage 2 certification, surveillance and recertification audits for any client's location that is part of a corporate scheme. 对于属于集团方案的任何客户场所的第 2 阶段认证、监督和再认证审核, 在圆整之前, 表 5.2 中规定的最少审核人日可减少百分之十五(15%)

2.5 Supporting activities (IATF Rules 5.5) 支持功能 (IATF 规则 5.5)

All support functions of a manufacturing site, regardless of whether these functions are performed at a manufacturing site or at a standalone remote support location, shall be audited as required to support the manufacturing site and to cover all applicable requirements from IATF 16949 standard aligned with the certification scope. 制造现场的所有支持功能, 无论这些功能是在制造现场还是在独立远程支持场所执行, 都应根据要求进行审核, 以支持制造现场, 并涵盖与认证范围一致的 IATF 16949 标准的所有适用要求。

Process interfaces and their interactions between manufacturing sites and remote support location shall be audited from all relevant client locations. 制造现场和远程支持场所之间的接口及其相互作用应从所有相关客户场所进行审核。

2.5.1 Audit program requirements for support functions (IATF Rules 5.5.1) 对支持功能的审核方案要求 (IATF 规则 5.5.1)

Following requirements shall be met when creating an audit program for manufacturing sites with support function performed onsite 为具有现场支持功能的制造现场制定审核方案时, 应满足以下要求:

a) Product design functions: included in the initial stage 2 audit, in each surveillance audit, and in the recertification audit. 产品设计功能: 应包含在初次第 2 阶段审核, 每次监督审核和再认证审核中。

All other support functions: included in the initial stage 2 audit, at least once more during the surveillance audit cycle, and in the recertification audit. 所有其他支持功能: 应包含在初次第 2 阶段审核, 监督审核周期内至少再进行一次, 和再认证审核中。

b) Stage 2 certification audit planning for a manufacturing site shall ensure that all its support functions performed at standalone remote support location are audited and relevant interfaces validated at the standalone remote support location before the audit at the manufacturing site. 制造现场的第 2 阶段认证审核策划应确保在制造现场审核之前, 在独立远程支持场所执行的所有支持功能都已经接受审核, 并在独立远程支持场所确认了相关接口。

Following requirements shall be met when creating an audit program for standalone remote support locations 为独立远程支持场所创建审核方案时, 应满足以下要求:

c) The audit program starts with an initial certification audit – or a transfer audit, where applicable – followed by an ongoing sequence of surveillance audits 审核方案应从初次认证审核开始, 或在适用的情况下进行转移审核, 然后是一系列持续的监督审核。

d) Audits shall be programmed and conducted based on audit due dates established from the initial certification audit or transfer audit date. 认证机构应根据初次认证或转移审核日期确定的审核到期日策划并执行审核。

e) Product design functions shall be audited annually (i.e., every twelve (12) months (-3/+3 months)). 产品设计功能应每年(即每十二(12)个月[-3/+3 个月])审核一次。

f) Non-product design functions shall be audited at least every two (2) years (i.e., every twenty-four (24) months (-3/+3 months)) 非产品设计功能应至少每两(2)年(即每二十四(24)个月[-3/+3 个月])审核一次。

2.5.2 Reviewing remote support location audit records (IATF Rules 5.5.3)

评审远程支持场所审核记录 (IATF 规则 5.5.3)

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:

- 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。
- 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。
- the provided information gives a clear indication of: 所提供的信息清楚地表明:
 - 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。
 - 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。
 - 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。
 - 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, 并通过在制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。
- 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认证机构合作, 提供要求的上述信息。

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 (IATF Rules 5.10). 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 (IATF 规则 5.10)。

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 个工作日内提交以下证据:

- the implemented containment action 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 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。

Where the information submitted for the fifteen (15) day response to a major nonconformity is rejected, the client is required to resolve the reason(s) for rejection and submit an acceptable nonconformity response within a maximum of thirty (30) calendar days from the audit closing meeting date. 如果提交的十五(15)天严重不符合项信息被拒绝, 客户应在审核末次会议后最多三十(30)个工作日内解决拒绝原因并提交可接受的不符合响应。

The client shall submit, within a maximum of sixty (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 个工作日内提交以下证据:

- the implementation of the planned systemic corrective action(s) to eliminate the root cause(s); 实施策划的 systemic 纠正措施, 以消除根本原因。
- 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。

Where the information submitted for the sixty (60) day response to a major nonconformity is rejected, the client is required to resolve the reason(s) for rejection and submit an acceptable nonconformity response within a maximum of ninety (90) calendar days from the audit closing meeting date (IATF Rules 5.11.3). 如果针对严重不符合的六十(60)天响应提交的信息被拒绝, 客户应在审核末次会议日期后最多九十(90)个工作日内解决拒绝原因并提交可接受的不符合响应 (IATF 规则 5.11.3)。

2.6.2 Client responsibility for a minor nonconformity (IATF Rules 5.11.2) 客户对一般不符合的责任 (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 个工作日内提交以下证据:

- 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 systemic 纠正措施有效性的方法和验证结果。

Where the information submitted for the sixty (60) day response to a minor nonconformity is rejected, the client is required to resolve the reason(s) for rejection and submit an acceptable nonconformity response within a maximum of ninety (90) calendar days from the audit closing meeting date (IATF Rules 5.11.3). 如果针对一般不符合的六十(60)天响应提交的信息被拒绝, 客户应在审核末次会议日期后最多九十(90)个工作日内解决原因并提交可接受的不符合响应 (IATF 规则 5.11.3)。

2.6.3 One hundred percent (100%) resolved conditions (Rules 5.11.3.1) 百分之百 (100%) 解决的条件 (规则 5.11.3.1)

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 one hundred percent (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 (60) 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, 并且无法在审核末次会议日期后的最多九十(90)个工作日内验证其有效性, 只有满足以下所有额外条件, 接受客户对严重不符合的十五(15)天响应或对一般不符合的六十(60)天响应后, 德凯认证考虑不符合被视为百分之百(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. 客户提供的证据表明, 在实施 systemic 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 systemic 纠正措施计划, 详细说明实施 systemic 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 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 systemic 纠正措施计划时间安排(见第 7.2 f 条), 安排一次性现场特殊审核验证 systemic 纠正措施的有效性, 但应在下一次常规审核前九十(90)个工作日内。

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

In cases of a major nonconformity, DEKRA Certification shall conduct a one-time special onsite audit (See IATF Rules 7.2 c) 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 audit. 如果是严重不符合, 德凯认证应在审核末次会议之日起最多九十(90)个工作日内进行一次现场特殊审核(见规则第 7.2 c 条), 以验证 systemic 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 not effectively implemented, the audit result shall be failed, the certification decision shall be negative, the IATF database shall be updated, and the certificate shall be immediately withdrawn. 如果针对严重不符合的已接受纠正措施(包括百分之百(100%)解决的纠正措施)未得到有效实施, 则审核结果应为失败, 认证决定应为否定, IATF 数据库应被更新, 证书应立即撤销。

2.6.5 Onsite verification of minor nonconformities (IATF Rules 5.11.5) 一般不符合的现场验证 (IATF 规则 5.11.5)

Onsite verification of the systemic corrective action(s) for a minor nonconformity shall occur at the next regular audit. 应在下一次常规审核时对一般不符合的系统性纠正措施进行现场验证。

In cases where the accepted corrective action for a minor nonconformity is found to be implemented but ineffective, a new major nonconformity shall be issued against the corrective action process, the previous minor nonconformity reissued as a major nonconformity and the decertification process shall be initiated. 如果发现针对一般不符合的已接受的纠正措施已实施但无效, 则应针对客户的纠正措施过程发布新的严重不符合, 先前的一般不符合应作为严重不符合重新发布, 并启动认证退出过程。

At the discretion of DEKRA Certification, verification for a minor nonconformity systemic corrective action can be performed during an onsite special audit within a maximum of ninety (90) calendar days from the closing meeting date of the audit. 根据德凯认证的判断, 在审核末次会议日期后最多九十(90)个工作日内, 可在现场特殊审核中对一般不符合的系统性纠正措施进行验证。

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

Specific Certification Conditions

认证特定条款 IATF 16949



A technical review with certification decision is required for stage 2 certification, surveillance, recertification, and special audits. 第2阶段认证、监督、再认证和特殊审核要求技术评审，并做出认证决定。

A certification decision shall be made as part of a min two (2) step technical review process conducted by IATF-approved technical reviewers. 认证决定应作为至少两(2)步技术评审过程的一部分，该技术评审由 IATF 批准的技术评审员执行。

In step 1, the reviewer shall review the audit package and other relevant information to approve the draft-report and issue the final report to the client within fifteen (15) calendar days of the closing meeting date of the audit. 第1步，技术评审员应评审审核包和其他相关信息以批准报告草案，并在审核末次会议日期后的十五(15)个日历日内向客户发布最终审核报告。

Following the completion of step 1, a technical reviewer shall make a certification decision of step 2, regardless of whether or not the audit resulted in nonconformities. 完成第1步后，技术评审员应在第2步中做出认证决定，无论审核是否导致不符合。

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 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的七(7)个日历日内将认证决定和证书状态的任何相关变更通知客户。

When the certification is withdrawn due to ineffective implementation of systematic corrective actions, the client shall complete a special audit before an initial audit is conducted. 当因为系统性纠正措施没有有效实施而导致认证被撤销时，客户需要在初次审核实施前先执行一次特殊审核。

2.8 Transfer audits (IATF Rules 7.1) 转移审核 (IATF 规则 7.1)

If the client chooses to change to DEKRA Certification, the location(s) for which the transfer is requested shall undergo a transfer audit. 如果客户选择转移到德凯认证，则申请转移的场所应接受一次转移审核。

- 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(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)。
- The allowable timing has not been exceeded. 没有超过允许的审核时间。
- No audits with the status of "open with corrective actions" exist with the previous certification body. 前认证机构不存在状态为“纠正措施未解决”的审核。
- No one hundred percent (100%) resolved nonconformities exist with the previous certification body. 前认证机构不存在百分之百(100%)解决的不符合。
- 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 条)。
- 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(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(见第 5.5.1 条)。
- All performance complaints in the IATF Complaint Management System are in the 'complete' stage. IATF 投诉管理系统(CMS)中的所有绩效投诉都处于“完成”阶段。
- The client shall provide the DEKRA Certification with the final audit reports and nonconformity records from the previous three (3) years. The 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. 客户向新认证机构提供了前三(3)年的最终审核报告和不符合记录。所提供的信息应包括客户对先前发布的所有不符合已被接受的证据，以及所有应当由前认证机构完成的验证活动已按要求执行的证据。
- The contract between the client and DEKRA Certification will come in effect after the DEKRA Technical reviewer accepted the provided information and the transfer is approved through the IATF-Database. 客户和德凯认证的合同只有在 DEKRA 技术评审人员接受了提供的信息并且转移在 IATF-Database 中已被批准的情况下才能生效。
- DEKRA Certification shall advise the client to notify the previous certification body about its intent to transfer. 德凯认证应建议客户将其转移意向通知前认证机构。

2.9 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)。

- 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)。
- 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)。
- 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)。
- verify the client's quality management system 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 要求的情况(见第 3.2 条)。
- 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)。

DEKRA Certification shall make the purpose of the special audit known to the client in advance. If the client refuses to allow DEKRA Certification to conduct a special audit required by the IATF Rules, the certification shall be withdrawn. 认证机构应提前告知客户特殊审核的目的。如果客户拒绝认证机构按本规则要求执行特殊审核，则应撤销认证。

DEKRA Certification 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. 德凯认证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。

2.10 Decertification process (IATF Rules 8) 认证退出过程 (IATF 规则 8)

2.10.1 Initiation of the decertification process (Rules 8.1) 认证退出过程的启动 (规则 8.1)

The start of the decertification process shall be 认证退出过程的开始时间应为：

- the date that DEKRA Certification receives a performance complaint through the IATF Complaint Management System, our relevant Oversight Office, or any automotive customer of the client. 认证机构通过 IATF 投诉管理系统收到 IATF OEM 成员、其相关监督办公室或客户的任何汽车顾客对客户的绩效投诉的日期。
- the closing meeting date of any surveillance, recertification, or special audit with reported nonconformities. 报告不符合的任何监督、再认证或特殊审核的末次会议日期。

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

Where a performance complaint is issued in the IATF CMS, DEKRA Certification shall gather additional information related to the complaint as needed to undertake a thorough analysis of the situation with the client to determine the severity of the situation, including the risk to the customers of the client and the impact on all related clients locations, considering, where applicable, IATF OEM CSR. 在 IATF CMS 中发出绩效投诉时，德凯认证应根据需要收集与投诉相关的其他信息，以便与客户一起对情况进行彻底分析，确定情况的严重程度，包括对客户的顾客的风险，以及对所有相关客户场所的影响，并在适用时考虑 IATF OEM 顾客特定要求。

Where nonconformities are raised during an audit, DEKRA Certification shall undertake an analysis of nonconformities issued in the audit report to determine the severity of the situation, including risk to the customers of the clients and the impact on all related client locations. 如果在审核中开具了不符合，德凯认证应对审核报告中发布的不符合进行分析，以确定情况的严重程度，包括对客户的顾客造成的风险以及对所有相关客户场所的影响。

The nonconformity management process shall be followed in parallel with the decertification process until the certification reinstatement of withdrawal decision. 不符合管理过程应与认证退出过程并行，直至做出认证恢复或撤销的决定。

This analysis shall be completed within a maximum of fifteen (15) calendar days from the start date of the decertification process. 该分析应在认证退出过程开始之日起最多十五(15)个日历日内完成。

2.11 Suspension decision (IATF Rules 8.3) 暂停决定 (IATF 规则 8.3)

Based on the situation analysis (see IATF Rules 8.2), the DEKRA Certification technical reviewer shall make the decision to suspend or not suspend the certificate within a maximum of fifteen (15) calendar days after the start date of the decertification process. 基于情况分析(见 IATF 规则 8.2)，德凯认证技术评审人员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，而审核中包含一个(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。

If the decision is to suspend the certificate, the decision shall be communicated to the client in writing and update the IATF-Database – and where applicable the IATF CMS – 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)个日历日内将决定书面通知客户，更新 IATF 数据库和 IATF CMS (适用时)。

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。

Specific Certification Conditions

认证特定条款 IATF 16949



In 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 流程图中定义的时间安排。

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。

2.11.2 Verification -Special audit (IATF Rules 8.4) 验证-特殊审核 (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的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）。

2.12 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 条 f) 中的要求适用。

2.13 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 beared 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

如果本文件或其部分无效或不适用（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。