

**SECTOR SPECIFIC SCHEME REQUIREMENTS IATF AUTOMOTIVE SCHEMES
IATF 汽车项目特殊项目要求**

General information regarding elements of the certification process is described below. A degree of flexibility and options in the certification process are available so please feel free to contact us to discuss how we can better serve your organization. 针对认证过程要素的通用信息描述如下，由于在认证过程中的灵活性和可选择性的程度不一样，所以请与我们联系讨论如何更好地为您的组织服务。

SAI Global Full Service Team SAI Global 全过程服务团队

Upon selection of SAI Global as your Registrar and submission of the signed Application for Certification, SAI Global will assign your dedicated service team. 如果选择 SAI Global 作为您的认证注册方或注册申请方，SAI Global 会给您指定专业的服务团队。

Your service team will be selected to suit your specific industry and will consist of Account Management personnel (such as Business Development Manager, Sales Support Team, Scheduler, and Client Services Team), a Lead Auditor and other team members as needed to support your certification. The roles of each member of your service team are as follows: your Business Development Manager and Sales Support Team will manage the business relationship, including contract negotiation and changes to your certification requirements; your Scheduler and the Client Service Team will manage the back office processes including scheduling and customer service related to certificates and invoicing; your Lead Auditor will manage the delivery relationship. As your primary contact with SAI Global, the Lead Auditor assigned provides you with ongoing industry developments and interpretations and ensures coordination of all audit-related activities for your company. If additional audit team members are required, they are selected from our experienced auditor base. Your audits will be consistent in approach, technically sound and relevant to your business needs. 您的服务团队将会从熟悉您所在领域的人员中选择，包括客户管理人员（如业务开发经理、销售支持团队、排程人员、客户服务团队）、主任审核员和其它需要支持您认证的人员。每位成员的职责包括：您的业务开发经理和销售支持人员将会管理与业务有关的事宜，包括合同谈判和您认证要求的变更；您的排程人员和客户服务人员将会管理项目支持过程包括排程、与证书及发票有关的客户服务；您的主任审核员将会管理您的认证交付过程。作为您与 SAI Global 的面对面的联系人员，将会给您指定一位主任审核员，帮助您后续的行业领域的发展和解释，以保证帮您协调所有与审核有关的活动。如果增加了其它的审核成员，这些审核成员会从我们的有丰富经验的审核员数据库选取。您的审核会根据您的经营需要以专业和技术的方式进行。

Certification Audit 认证审核

The goal of the certification audit is to assess the effective implementation of your management system to the requirements of the standard and your management system documentation. The audit is conducted in two Stages.

The Stage 1 audit is conducted on site and consists of a documentation review, readiness evaluation, and establishes the audit scope and audit plan. The Stage 2 audit is conducted on site and consists of a review to ensure that the management system has been fully implemented and is in conformance to the requirements of the standard or normative document. 认证审核的目标是按照标准和您的管理体系文件的要求去评估您管理体系实施的有效性。审核包括两个阶段，一阶段审核在现场实施包括文件评审、准备性评估、确定审核范围和二阶段审核计划。二阶段的现场审核是评审您的管理体系是否得到充分实施，且是否满足相关标准或引用文件的要求。

All audit activities are mutually planned with your assigned Auditor prior to the audit. An audit plan is provided detailing the scope and objectives of both the Stage 1 and Stage 2 audit, the audit team members, the processes to be audited and the timelines. While onsite your audit team will work to verify that the management system meets the requirements of the standard and your system documentation by assessing objective evidence. At the conclusion of the onsite audit, you will be immediately informed of the results. A formal audit report will be issued after the audit. The report includes information relative to positive aspects of the system, opportunities for improvement and system non-conformances. 所有的审核活动会在审核前由给您指定的审核员进

行策划。一二阶段审核计划会包括审核范围、审核目的、审核组成员、被审核的过程及时间安排。当现场审核时，审核组会去评估收集到的审核证据，以验证您的管理体系是否达到了标准和您的管理体系文件的要求。在现场审核结束时，您会立即得到审核的结果。正式的审核报告会在审核后发给您，包括包括您管理体系的正面审核发现、改进的机会和体系的不符合项。

Certificate Issuance 证书颁发

Upon successful completion of the certification process (including resolution of non-conformances if applicable), your Team Leader compiles a Certification Package for review by our Certification Team. Upon completion of the review, the Certification Team prepares and forwards your Certificate of Registration. Your certificate will include details such as: legal company name, site address, standard, scope of certification, the initial certification date and the expiry date. 基于成功的认证过程的完成（如适用，包括不符合项的纠正措施），审核组长会提交认证审核报告包给技术评审团队进行技术评审。如果评审通过，认证机构会准备和向您发出注册证书。您的证书会包括公司名称、实施现场地址、标准、认证范围、初次认证日期和证书失效日期。

The official certificate is forwarded, along with a link to our marketing website. The Marketing tools will provide you with useful ideas on how to capitalize on your ISO certification, provide you with the official 'SAI Global registered mark' artwork and the guidelines of use. Your successful certification will also be published in our online Directory of Registered Companies, at www.saiglobal.com. 正式的证书可以链接到我公司的系统，这个工具可以帮助您如何利用您的认证，您可以在网站上下载正式的 SAI Global 注册标志和如何使用它的指南。同时您的证书也可以在我们在线的证书注册网站 www.saiglobal.com 上查询到。

**IATF Automotive Schemes Supplemental Requirements
IATF 汽车项目补充要求****Conditions of Registration 注册条件**

Please be aware that: 请知晓

Your organization shall notify SAI Global, without delay, of matter that may affect the capability of the management system to continue to fulfil the requirements of the ISO/TS or IATF 16949 certification. 如果发生以下影响到管理体系是否持续符合 ISO/TS 或 IATF 16949 认证要求的任何情况，您必须将这些情况立即通知到 SAI Global。

These include: 这些情况包括

- changes relating to legal or commercial status (e.g. joint venture, subcontracting with other organizations), 影响到公司法律或商务状态（如合资、分包给其它组织）
- to organizational and management changes to key personnel (e.g. key managerial, decision-making, or technical staff), 影响到组织或管理的关键人员的变化（如关键的管理层、决策人员或技术人员）
- changes in ownership status (e.g. mergers and acquisitions), 股权的变化（如合并或收购）
- changes to contact address or location, 地址或场所的变更
- changes to scope of operations under the certified management system, 在管理体系范围内的运营范围的变更
- IATF subscribing OEM customer special status (see section 8.0 of the *Rules 5th Edition*), IATF 成员中的 OEM 客户特殊状态（参见第五版规则第 8 章）
 - Major changes to the management system and processes, such as: significant reduction or increase in the number of employees or in the manufacturing shifts, including the addition of or changes to dedicated weekend shifts 管理体系或过程的重大变更，比如员工人数或制造班次的显著增加或减少，包括额外的周末班次的变化
 - addition of production lines or new manufacturing processes 新增加的生产线或新的制造过程
 - the move of a production line within the site or to another site 生产线搬迁到了另外的现场，或是内部的其化地方
 - the move of the plant (must be communicated prior to the move) 工厂搬迁（必须在搬迁之前与认证机构沟通）
 - the addition of or changes to support functions 支持职能的增加或变化
- your intent to transfer to a new IATF-recognized certification body 您准备将您的认证转到另外一个 IATF 认可的认证机构

Failure by your organization to inform SAI Global of a change is considered a breach of the legally enforceable agreement and may result in the withdrawal of your ISO/TS or IATF 16949 certificate by SAI Global. 如果您没有将上述变化通知 SAI Global，我们将认为您违背了与 SAI 之间的合同要求，这将会导致您的 ISO/TS 或 IATF 16949 证书的吊销。

- Your organization cannot refuse an IATF witness audit of SAI Global on your site. 您不能拒绝 IATF 在您现场针对 SAI Global 的见证
- Your organization cannot refuse the presence of an SAI Global witness auditor. 您不能拒绝 SAI Global 的内部见证审核员的见证
- Your organization cannot refuse the presence of an IATF representative or their delegates. 您不能拒绝 IATF 代表或指派人员进入您的现场

- Your organization cannot refuse the request of SAI Global to provide the final audit report to the IATF. 您不能拒绝 SAI Global 向 IATF 提供最终报告的要求
- Consultants to your organization cannot be physically present at your site during the audit or participate in the audit in any way. 任何情况下，在审核时您的咨询顾问不能在现场
- The only use of the IATF logo in relation to this certification scheme is as displayed on the certificate issued by the Certification Body. Any other use of the IATF logo, separately or not, is prohibited. Note: Your organization can make copies of the ISO/TS or IATF 16949 certificate bearing the IATF logo for marketing and advertising purposes. IATF 的标志只能在认证机构的证书上出现，其它任何 IATF 标志的使用都是不允许的。注：您可以使用 ISO/TS 或 IATF 16949 证书（包含 IATF 标志）用作市场或广告用途。
- Your organization must notify SAI Global of any prior ISO/TS or IATF 16949 certification in the application process. 在申请过程 ISO/TS 或 IATF 16949 认证前您必须通知 SAI Global 认证所需要的信息

NOTE: When transferring to a new CB, failure of your organization to disclose information to the new CB about previous ISO/TS or IATF 16949 certification is considered a breach of the legally enforceable agreement and shall result in the withdrawal of your ISO/TS or IATF 16949 certificate or failure to make a positive certification decision. 注：当您转换到一个新的认证机构时，如果你没有向新的认证机构披露以前的 ISO/TS 或 IATF 16949 认证信息，会被认为违背了有法律强制性的合同要求，将会导致您的 ISO/TS 或 IATF 16949 认证失效。

IATF Requirements for Certification Bodies
关于认证机构的 IATF 要求

SAI Global is contracted and recognized by the International Automotive Task Force (IATF) and its relevant Oversight office (IAOB) to perform activities in support of the IATF certification scheme. Subcontracting any part of the certification activities on behalf of the certification body is not permitted. 经国际汽车工作组（IATF）及其相关监督办公室（IAOB）委托和认可，SAI Global 将开展相关活动，为 IATF 认证方案提供支持。在此，不允许以认证机构的名义，转包认证活动的任何部分。

The ongoing recognition of SAI Global is verified through the relevant IATF Oversight office (IAOB) activities.

Those activities are: 通过相关 IATF 监督办公室（IAOB）活动，对 SAI Global 获得的持续认可予以进行验证。

此类活动包括：

- Witness audits 见证审核
 - Witness audits are conducted at a site and /or a remote supporting location witnessing an audit team from SAI Global during an IATF 16949 audit. One witness audit may include multiple physical locations of a client. 在 IATF 16949 审核期间，在某一地点和/或远程支持场所，开展见证审核，对 SAI Global 审核小组工作予以见证。某项见证审核可能包括某一客户的多个物理位置。
- OEM directed witness audits OEM 指定的见证审核
 - Witness audits requested by the OEM conducted at a site assigned by the OEM at their discretion (usually due to poor performance); The OEM representative can also be involved in this audit.
In both cases, the IATF witness auditor and the customer (OEM) representative shall not interfere with the audit. 在 OEM 自行指定地点开展 OEM 要求的见证审核（通常因绩效不佳所引起）；OEM 代表也可参与该审核。在两种情况下，IATF 见证审核人员和客户（OEM）代表均不得对该审核造成干扰。
- Office assessments 办公室评估
 - Conducted annually at SAI Global contracted office. The results from the office assessments may lead to additional assessments at the contracted office or other regional offices. 每年，在 SAI Global 的签约办公室实施评估。根据办公室评估结果，可在签约办公室或其它地区办公室处实施追加评估。
- Non- conformance management 不符合性管理
 - A non-conformity can be issued at either an office assessment, witness audit or as a special nonconformity due to performance related issue, complaint received from the IATF members or any violation of the Rules for achieving and maintaining IATF recognition. 根据办公室评估和见证审核，提出不符合性，或因绩效相关问题、IATF 成员投诉或违反实现和维持 IATF 认可规定引起的特定不符合性。
 - SAI Global has 90 days from the issue date of the non-conformance to implement a corrective action and verification of effective implementation for both major and minor non-conformity. If SAI global fails to submit the corrective action, the relevant IATF Oversight body (IAOB) shall initiate the de-recognition process. 自不符合性通知之日起 90 天内，SAI Global 可对主要和次要不符合性

采取改进措施，并对于实施效果予以验证。如 SAI Global 未能提交改进措施，相关 IATF 监督机构（IAOB）应启动取消认可程序。

In addition to the above-mentioned activities, SAIG's quality management system performance is measured through a number of process KPIs (key process indicators) designed for maintaining the integrity of the IATF database management such as: 除了上述活动外，可通过所设计的保持 IATF 数据库管理完整性的许多 KPIs（关键绩效指标）程序，对 SAIG 的质量管理体系绩效进行评测，比如

- Timeliness for Entry of Certificates (7 day metric) 证书输入及时性（7 天）
- Timeliness for Entry of Audits (20 days metric) 审核输入及时性（20 天）
- Timeliness for Issuance of Certificates (120 day metric) 证书发放及时性（120 天）
- Timeliness for Upload of Certificates (20 day metric) 证书上传及时性（20 天）

Finally, SAIG's performance is also measured for effectiveness and efficiency of the auditing process. The IATF Oversight body (IAOB) collects information on the following parameters: 最后，对 SAIG 的审计过程效果和效率进行评测。IATF 监督机构（IAOB）将收集下列参数信息：

- Number of audits with 0 non-conformances issued to the client 向客户发出的 0 条不符合审核数量
- Number of major/minor nonconformities raised per audit 每次审核发现的主要/次要不符合性数量
- Ratio of major nonconformities / number of nonconformities 主要不符合比例/不符合数量
- Ratio of major nonconformities (when witnessed) / number of nonconformities 主要不符合比例（见证情况下）/不符合数量

Although the auditing process indicators don't have a firm target and are calculated as a benchmark, year after year, the under-performing certification bodies are subject to rigorous systemic corrective actions addressing any signs of IATF auditor's soft-grading with the ultimate goal to improve the overall quality performance of the OEM supplier's base. 虽然审核过程指标未设立明确目标和进行标杆计算，但随着时间推移，绩效不佳的认证机构将面临更为严格的系统性改进措施，从而满足 IATF 审核人员的分级预期，以实现最终目标，由此提升 OEM 供应商的整体质量性能。