IATF 16949 换版说明

Instruction for IATF 16949 Transition

各获证客户及新客户：

IATF已于 2016 年 10 月发布新版标准IATF 16949: 2016，并发布相关换版策略，现CASC将换版策略相关内容形成此换版说明，供各位客户参考。此策略的英文原版参见 IATF 官网最新信息 http://www.iatfglobaloversight.org/。组织可在IATF网站上订阅邮件以便当已发布的方案有变化时自动接受邮件通知。CASC将定期举办新标准的研讨会，请关注 CASC 网站相关信息 http://www.casc-cert.com。

Every certified and new client,

IATF has issued the new standard IATF16949:2016 on Oct 2016, and released the transition strategy, now CASC compiled this instruction base on the transition strategy for your reference. You can also find the original edition on IATF's website http://www.iatfglobaloversight.org/, and you can apply the auto-mail on the IATF's website to get the newest information about the transition. CASC will regularly hold the seminar about this new standard, please pay attention to our website http://www.casc-cert.com.

一、 领先一步 Get A Jump Start

购买一本 IATF16949:2016 标准，并采购一本 ISO9001:2015

标准，两个标准都是获得 IATF16949 认证所需的。

Purchase of copy of IATF 16949:2016 standard when it is available on 3 October 2016. Also, purchase a copy of ISO9001:2015. Both standards are needed to achieve certification to IATF16949.

二、 差异分析 Gap Analysis

执行 IATF16949:2016 和 ISO9001:2015 的差异分析，优先考虑在年底前完成这项工作，对每个制造现场和任何外部支持职能/场所完成差异分析。

Perform a gap analysis to IATF 16949:2016 and ISO9001:2015. Make it a priority to complete before year end, Complete a gap analysis for each manufacturing site and any remote support function/location.

-IATF 不会发布一个通用的差异分析工具；组织要自己建立

IATF will not publish a common gap analysis tool; organizations will have to create their own

-CASC 不被允许执行差异分析或实施一次预审核

CASC is not permitted to perform a gap analysis or conduct a pre audit.

三、 措施计划 Action Plan

开发一份措施计划来关闭当前质量管理体系与新版IATF16949 和 ISO9001 要求之间的差异。

Close the gaps between current quality management system and the new requirements in IATF 16949 and ISO9001

-计划应包含时间点、关键里程碑、职责和状态

Plan should include timing, key milestones, responsibilities and status

-保持计划的更新 Keep the plan up to date

四、　理解 IATF 换版策略 Understand the IATF Transition strategy.

-换版策略应用到制造现场和外部支持职能/场所

Transition process applies to manufacturing sites and remote support functions/locations

-通读换版策略以理解要求是怎样影响/应用到你们的组织的

Read through the transition strategy to understand how the requirements affects/applies to your organization

-了解 IATF 通过 IATF 全球监督网站发布的策略的后续变化

Be aware of subsequent changes to the strategy that are released by the IATF via the IATF Global Oversight website

-有任何问题直接向 CASC 提出 Direct any questions to CASC

五、　管理评审 Management Review

在 CASC 实施换版审核前，实施一个完整的 IATF16949 内部审核和一次管理评审

Conduct a full internal systems audit to IATF 16949 and a management review prior to the transition audit by CASC

-要求展现质量管理体系符合所有 IATF16949 要求

Required to show the quality management system is in compliance to all IATF 16949 requirements

-对于内审，能够通过结合之前的 ISO/TS16949 内审和补充内审去覆盖 IATF16949 的额外要求来实现

For internal audits, this can be accomplished through a combination of previous internal system audits to ISO/TS 16949 and a supplemental internal system audit(s) to cover the additional requirements of IATF 16949

-对于管理评审，能够通过结合之前符合 ISO/TS16949 要求的管理评审和符合 IATF16949 额外要求的补充管理评审来实现。

For management review, this can be accomplished through a combination of a previous management review in compliance with ISO/TS 16949 requirements and a supplemental management review in compliance with the additional requirements of IATF 16949

六、　识别换版审核 Identify Transmit Audit

识别哪些在 2017 年或 2018 年的"定期安排的审核"将被实施 IATF16949 换版审核：

Identify which "regularly scheduled audit¡" in 2017 or 2018 will be the transition audit to IATF 16949.

-已通过 ISO/TS16949 认证的制造现场和外部支持场所应通过

换版审核换版为 IATF16949.

Manufacturing sites and remote support functions/locations certified to ISO/TS 16949 shall transition to IATF 16949 through a transition audit.

-换版审核将发生在下次"定期安排的审核"，包括在 IATF 规则 5.5.1 中允许的时间限

Transition audit will occur at the next "regularly scheduled audit", including allowable timing in IATF Rules 5.1.1

-换版审核"替换"下次常规安排的监督或复评审核

Transition audit REPLACES the next regularly scheduled surveillance or recertification audit

-IATF16949 的换版审核可以在尽早开展-2017 年 1 月 1 日，但 2017 年 10 月 1 日是强制开始日期。

Transition audits to IATF 16949 can start as early as 1 January 2017, but are mandatory starting 1 October 2017
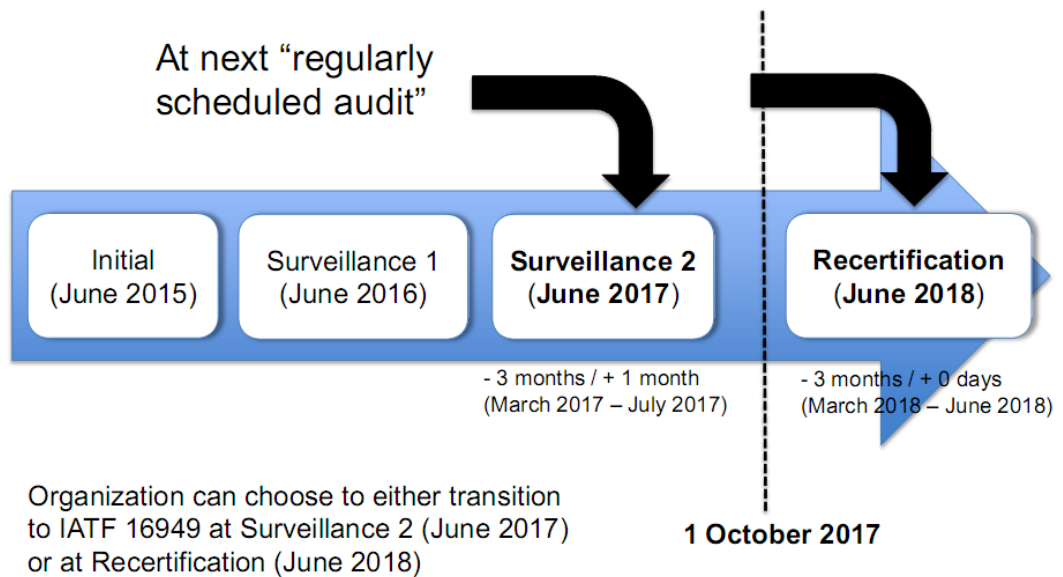
Transition audit

-自愿换版：对于发生在 2017 年 1 月 1 日至 2017 年 9 月 30 日之间的任何审核（初次、监督或复评），组织可以选择实施 IATF16949 的换版审核，或者实施 ISO/TS16949 的审核
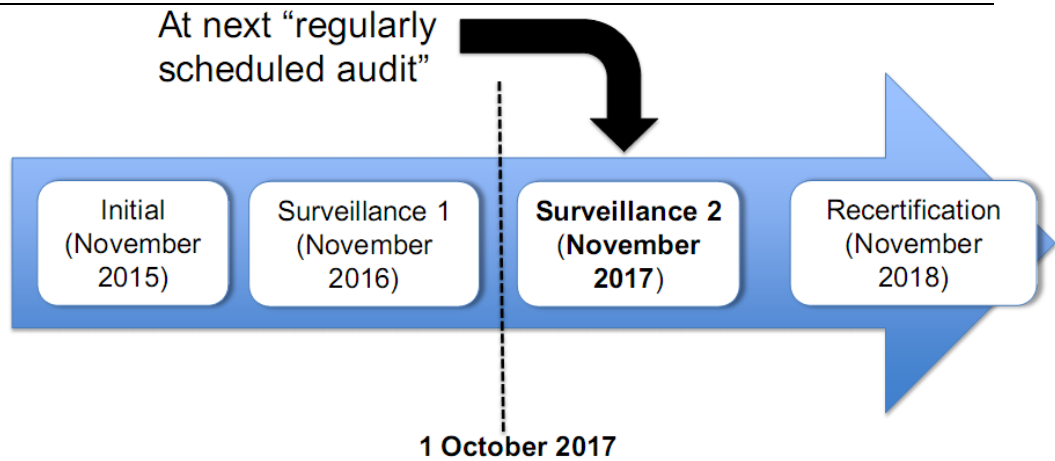
Voluntary Transition: For any audit (initial, surveillance or recertification) occurring between 1 January 2017- 30 September 2017, the organization can choose to have a

transition audit to IATF 16949 or have an audit to ISO/TS 16949

-强制换版：对于任何自 2017 年 10 月 1 日后开始的审核，如果组织还没有在此之前换版，在下次常规安排的审核时换版审核是强制的

Mandatory transition:： For any audit (initial, surveillance or recertification) starting after 1 October 2017, and if the organization has not already transitioned prior to that date, the transition audit is mandatory at the next regularly scheduled audit.

At next "regularly scheduled audit"

| Initial (November 2015) | Surveillance 1 (November 2016) | **Surveillance 2 (November 2017)** | Recertification (November 2018) |

1 October 2017

Organization is required to transition to IATF 16949 at Surveillance 2, if the audit is conducted after 1 October 2017

七、 理解未按时实施换版审核的后果 Understand the consequences for failing to conduct the transition audit on time

-如果不能满足时间限的要求（并且换版审核正在替换监督审核），认证退出过程（如暂停）将被启动

If the timing requirements cannot be met (and the transition audit was replacing a surveillance audit), the decertification process (i.e. suspension) will be initiated

-允许额外的 90 个日历日去安排和完成一次现场换版审核

Allows for another 90 calendar days to schedule and complete an on site transition audit

-如果现场换版审核未在 90 个日历日发生，当前 ISO/TS16949 证书将被撤销，组织将重新开始一次 IATF16949 的初次认证审核。If the on site transition audit does not occur within 90 calendar days, the current ISO/TS 16949 certificate will be

withdrawn

-如果时间限的要求未能被满足（并且换版审核将要替代一次复评审核），当前证书将保持有效直至证书过期，组织将重新开始一次 IATF16949 初次认证审核 If the timing requirements cannot be met (and the transition audit was replacing a recertification audit), the current ISO/TS 16949 certificate will remain valid until the certificate expiration date. Organization would start over with an initial certification audit to IATF 16949

八、 获得 ISO/TS16949 认证的组织在以下情况时不能换版为 IATF16949 Organizations certified to ISO/TS 16949 cannot transition to IATF 16949 at:

-一次特殊审核，在审核周期内，常规安排的审核之外有一次特殊审核时 A special audit. As a special audit is outside of the "regularly scheduled audit" in the audit cycle

-一个转换审核。ISO/TS16949 的获证组织不能在更换 IATF 认可的认证机构同时实施换版审核，IATF 已经落实保障措施防止此类问题发生 A transfer audit. ISO/TS 16949 certified organization cannot change IATF recognized certification bodies and have a transition audit at the same time. IATF has put safeguards in place to prevent this from occurring.

-在特殊情况下，组织在 IATF 换版策略发布前(2016 年 8 月)启

动了转换过程的，可以给予特权（见 IATF 换版策划 FAQ）

In exceptional cases, organizations that initiated the transfer process before the release of IATF transition strategy (August 2016) may be "grandfathered" (see IATF Transition Strategy FAQs to be released)

九、　换版审核过程的关键点 Key points about the transition audit process

换版过程包含以下步骤：Transition process includes the following steps:

换版审核—不符合管理—证书决定—证书颁发。

Transition Audit- Nonconformity management- Certificate decision- Certificate issuance

-换版审核开始一个新的 3 年审核周期 Transition audit starts a new 3 year audit cycle

-换版审核等值于一次复评审核，是一次完整的体系审核，覆盖 IATF16949:2016 和 ISO9001:2015 所有要求 Transition audit is equivalent to a recertification audit which is a full systems audit covering all requirements of IATF 16949:2016 and ISO9001:2015

-换版审核的持续时间等同于一次复评审核，并且所有适用的裁剪可以被申请（例如集团、无设计等）

Duration of the transition audit will be equivalent to a

recertification audit and all appropriate reductions can be applied (i.e. corporate scheme, non-design, etc.)

-为换版审核开始前的非现场文件评审，组织将被要求向CASC提交他们更新的质量手册，更新的/新的程序和符合IATF16949的证据。Organizations will be required to submit their updated quality manual, updated/new procedures and evidence about conformity to IATF 16949 to CASC prior to the start of the transition audit for an off-site documentation review

-未能在计划换版审核前提供上述非现场文件评审的信息，将不能进行现场审核，换版审核不能在要求的时限内实施，组织应从初次审核重新开始认证。Consequence for not providing the above off-site documentation review information prior to on-site transition audit is not start the audit, if the transition audit cannot be conducted within the required timeframe, the organization shall start over with an initial audit.

-所有IATF第五版规则的要求对审核组、实施审核、不符合管理和认证决定适用All IATF Rules 5th Edition requirements for the audit team, conducting the audit, nonconformity management and the certification decision applies

-IATF 已经批准里一些规则的偏离，以支持组织和 CASC 完成换版过程 IATF has approved a few deviations to the Rules to support organizations and certification bodies in

accomplishing the transition process

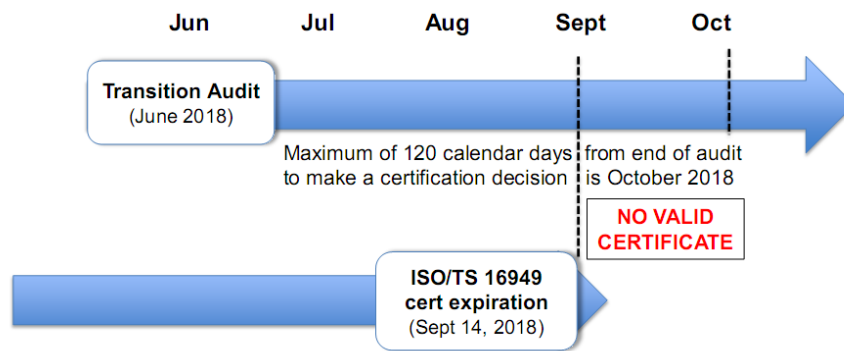-如果一个肯定的认证决定被作出，一个新的 3 年证书周期则开始。If a positive certification decision is made a new 3 year certificate cycle begins

十、　考虑换版审核接近当前 ISO/TS16949 证书超期的风险 Consider the risks of the transition audit being too close to the expiration of the current ISO/TS 16949 certificate

-如果在换版审核中开出不符合，有一个最多 90 个日历日的期限来完成不符合管理过程 If there are nonconformities issued at the transition audit there is a maximum of 90 calendar days for the nonconformity management process to be completed

-加上最多 30 个日历，由 CASC 作出认证决定。自末次会议日开始，总共 120 个日历日（4 个月）。Plus a maximum of 30 calendar days for a certification decision to be made by CASC. A total of 120 calendar days (4 months) from the date of the closing meeting

-风险是你们的证书可能在此过程完成前超期。Risk is your certificate could expire before the process is complete!

Organization's ISO/TS 16949 certificate expired (14 September 2018) before the new IATF 16949 certificate was issued

IATF 批准了一项偏差以允许 CASC 在当前 ISO/TS16949 证书超期后作出肯定的认证决定，此认证决定应在自换版审核最后一天开始的 120 个日历日内作出。

IATF approved a deviation to allow the certification bodies to make a positive certification decision after the expiration date of the existing ISO/TS 16949 certificate as long as the decision is made within a maximum of 120 calendar days from the last day of the transition audit.

-如之前页面显示的图表，这也许会导致一段时期内客户的 ISO/TS16949 证书已过期，没有有效的证书。

As the graphic on previous slide showed, this might result in a period where the client¡¯s ISO/TS 16949 certificate has expired and no valid certificate exists

-当决定换版审核的日期时考虑此风险。Consider the risks when deciding on the date for the transition audit!

十一、　　与 CASC 沟通你们所策划的实施换版审核的日期

Communicate to CASC the dates you are planning to have the transition audit

-尽快锁定审核日期，早起的鸟有虫吃。Lock in the audit date as soon as possible. "Early bird gets the worm"

-如果你们一直等到很接近下次常规安排的审核时，很可能 CASC 没有可获得的有资格的资源来支持审核。If you wait until too close to your next regularly scheduled audit, it is possible CASC may not have available qualified resources to support the audit

新客户须知：New client need to Know

1. 跳跃式启动，当可获取时购买 IATF16949:2015 标准，并购买 ISO9001:2015。Get a jump start. Buy the IATF 16949:2016 standard when it is available and buy ISO9001:2015.

2. 与 CASC 签订一份具有法律效力的协议（如合同），如果你已经有了，那你做的很好。Get a legally enforceable agreement (i.e. contract) signed with CASC. If you already have one, great you are well on your way.

3. ISO9001:2015 认证是符合 IATF16949 要求的很好的第一步，但不强制-额外审核人日裁剪的资格。Certification to ISO9001:2015 is a good first step in meeting the requirements of IATF 16949, but is not mandatory.- Eligible for additional audit day reductions

4. 执行 IATF16949 和 ISO9001:2015 的差异分析。生成一份措施计

划来关闭差异，包括时限和职责。Perform a gap analysis to IATF 16949 and ISO9001:2015.　Create an action plan to close the gaps, including timing and responsibility.

5. 利用差异分析文件来确定是否实施一个 ISO/TS16949（截止 2017 年 10 月 1 日）或 IATF16949 的初次审核，衡量风险和成本。Use the gap analysis document to help determine if an initial audit will be performed to ISO/TS 16949 (which is allowed until 1 October 2017) or to IATF 16949.

6. 如果你们的组织选择一个 ISO/TS16949 初次审核，证书将于 2018 年 9 月 14 日到期。这对于所有 ISO/TS16949 证书是强制的 If your organization chooses an initial audit to ISO/TS 16949, the certificate expiration will be 14 September 2018.　- Mandatory for all ISO/TS 16949 certificates

7. 与 CASC 尽快确认你们的初次审核日期。Confirm your initial audit date with CASC as soon as possible.

8. 换版审核的人日裁剪在换版策略中有解释（如从 ISO9001:2015 或 VDA6.1,符合性证明升级），如果从 ISO9001:2008 升级，不允许有升级折扣。Reductions for the transition audit days are explained in the transition strategy (i.e. upgrade from ISO9001:2015 or VDA 6.1, Letter of Conformance).　No upgrade discount permitted if upgrading from ISO9001:2008

北京九鼎国联认证有限公司　　　　2017 年 6 月 26 日