



NSF-ISR AUTOMOTIVE ACCREDITATION SCHEME FOR ISO/TS 16949 AND IATF 16949

NSF –ISR ISO/TS16949 和 IATF 16949 汽车认证方案

1. Purpose 目的

This document defines or makes references to procedures and forms which describe NSF-ISR's system for meeting the current version of the Automotive Certification Scheme for IATF16949 – Rules for achieving and maintaining IATF recognition. This procedure supplements AESOP 7246 titled "NSF-ISR procedure". Procedure 7246 is based on 17021 and the TS rules. Procedure 7246 describes the NSF audit methodology and will not be repeated in this procedure.

该文件定义或引用了 NSF-ISR 为达到 IATF 认证的 ISO/TS16949 认证标准所要符合的汽车认证方案现行版本中阐述的程序和表格。该程序文件补充说明了名为“NSF-ISR 程序”的 7246 程序文件，而 7246 程序文件基于 17021 和 TS 标准阐释了 NSF 的审核方法论，就不在此赘述了。

2. Definitions and Personnel Reference 定义和相关人员

2.1 Definitions 定义

Site: Facility where customer-specified, production parts and/or service parts are manufactured and is eligible for certification.

现场: 客户指定的制造生产部件和/或服务部件并有认证资格的设施。

- **Extended manufacturing site:** Facility which is managed by a main site and follows the QMS of the main site. These are typically overflow manufacturing facilities and are dependent on the main site for most support processes. They are referenced on the main site certificate.

延伸现场: 设备由主站点管理，并且 QMS 遵循主站点的体系。这些都是典型的制造设施，并依赖于主场所的支持过程。他们与主场所的证书是相辅相成的。

Remote Support Location: Facility that provides a support function to a site, including non-manufacturing suppliers from within the same legal entity. NOTE: The concept of "internal supplier" is not supported by the IATF, even if the relationship is managed according the clients purchasing requirements.

外部支持场所: 为某一现场提供支持的设施，包括同一法人的非制造型供应商

注释: “内部供应商”这一观点是不被 IATF 认可的，即使是根据客户

采购要求所管理的供求关系。

Support Function: Non-manufacturing related activity or process (e.g. sales, purchasing, design) 支持功能: 与生产无关的活动或过程，如销售，采购，设计等。

Any deviations from this procedure must be approved by the Automotive Business Unit Manager or Technical Manager as IAOb approval may be required. 任何与该程序文件相违背的地方，都须得到汽车业务单位经理或技术经理的批准，有时还须得到 IAOb（美国国际汽车监督局）的批准。

3. Management System definition and structure 管理体系的定义和架构

The key processes, their sequence, interactions, measures of effectiveness and efficiency, objectives and the related procedures are depicted below in the System Map.

重要流程，及其前后顺序，相互作用，功效和效率的测量，目标和相关程序都阐述在下面的体系图表中

Core Processes	Contract Management		Operations Management		Audit Management		CB Review Management
Process Owner	BDM		Director of Operations		Automotive BUM		Automotive BUM
Objectives	Client retention, growth	>	Client satisfaction, client retention, database support	>	Client satisfaction, Rules adherence	>	Database accuracy, Rules adherence
Metrics	Choose an item.		Choose an item.		Choose an item.		Choose an item.
Related AESOPs	Choose an item.		Choose an item.		Choose an item.		Choose an item.



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Support Processes	Auditor Mgt	Record & Doc Mgt	Quality Assurance	Management			
Process Owner	Director, Auditor Management	Director, Technical Operations	Director, Quality Assurance	General Manager			
Objectives	Choose an item.	Rules Adherence	Systemic improvement	Growth, Profitability			
Metrics	Choose an item.	Choose an item.	Choose an item.	Choose an item.			
Related AESOPs	Choose an item.	Choose an item.	Choose an item.	Choose an item.			

4. Eligibility of Registrations and Scope of ISO/TS 16949 and IATF16949 Certificates

ISO/TS 16949 and IATF16949 证书的注册资格和范围

- 4.1 IATF and ISO/TS 16949 is applicable to all sites of a client where customer-specified production parts, service parts, and/or accessory parts supplied to automotive customers are manufactured. The scope of certification applies to all products supplied to automotive customers. IATF 和 ISO / TS 16949 适用于客户指定生产部件，服务部件和/或辅助部件供应给汽车客户的所有站点。认证范围适用于供应给汽车客户的所有产品。
- 4.2 Only manufacturing sites where production, service parts, and/or accessory parts that shall be mechanically attached or electrically connected to the vehicle are manufactured and supplied to automotive customers are eligible for IATF or ISO/TS 16949 certification. Locations where there is no manufacturing processes or production is not value-added are not eligible for ISO/TS16949 or IATF16949. 只有生产，维修部件和/或机械连接或电气连接到车辆的附件可以制造并提供给汽车客户的制造场所符合 IATF 或 ISO / TS 16949 认证。没有制造过程或生产的地点不增值，不符合 ISO / TS16949 或 IATF16949 的资格。
- 4.3 If the client is responsible for product design, then the scope should be “Design and manufacturing of XXX”. If product design occurs at a remote support location, product design cannot be excluded and shall be in the scope of registration.

如果客户有产品设计职能，那么认证范围应表述为 “Design and manufacturing of XXX ”。如果外部支持场所具有产品设计职能，那么也应体现在认证范围的描述中，不得删减。

- 4.4 **BDMs need to judge the eligibility of a client and create an FRS when receiving the application for registration.** The scope is defined in the FRS based on the Application for Registration and is displayed on the certificate received by the customer. Scope statements shall NOT include the statement “for the automotive industry” or any non manufacturing activities with the exception of design.

收到客户的认证申请表后，业务拓展经理应辨别成交的可行性，并制订 FRS。FRS 将按认证申请表来定义范围，该范围也会显示在颁发的证书上。认证范围的表述中不得含有 “for the automotive industry” 或其它任何非生产活动的字样（设计除外）

- 4.5 All remote support locations which support the Mfg site must be listed in the section “Sites that provide support to this location” in the Mfg site’s FRS and they will be included on the Annex of the certificate.

生产现场的 FRS 中有一项 “Sites that provide support to this location” （支持该现场的场所）。

这项中须列明支持生产现场的所有外部支持场所。



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Only the remote support locations which directly interface and support the site need to be listed in FRS and Annex of the certificate.

只有与该现场直接对接并对其提供支持的外部场所才能列入 FRS 及证书附页中。

Example A: RSL 1 (HQ) = Engineering, Purchasing; RSL 2 = Testing.

Mfg site receives support for product design and purchasing from RSL 1 and for annual validation testing directly from RSL 2.

FRS (mfg Site): **Sites that provide support to this location**= RSL 1 – Engineering, Purchasing; RSL 2 – Testing

例 A:

支持场所 1（总部）=工程，采购

支持场所 2 =测试

在产品设计及采购方面，生产现场受到来自 RSL1 的支持，并直接从 RSL 2 进行年度验证测试

Example B: RSL 1 (HQ) = Engineering, Purchasing; RSL 2 = Testing.

Mfg site interfaces with RSL 1 for Engineering, Purchasing, and Testing. RSL 2 takes direction from RSL 1 Engineering for annual validation testing. RSL 2 has no direct interface with the Mfg site.

FRS (mfg Site): **Sites that provide support to this location** = RSL 1 – Engineering, Purchasing

FRS (RSL 1): **Sites that provide support to this location** = RSL 2 – Testing

例 B:

支持场所 1（总部）=工程，采购

支持场所 2 =测试

制造现场与 RSL 1 接口，用于工程，采购和测试。RSL 2 从 RSL 1 指导工程进行年度验证测试。

（mfg 站点）：为此位置提供支持的场所= RSL 1 - 工程，采购

FRS（RSL 1）：为此位置提供支持的场所= RSL 2 - 测试

- 4.6 If a Mfg site supports other Mfg sites, then the other Mfg sites must be listed in “Sites that receive support from this location” in its FRS, and this site must be listed in “Sites that provide support to this location” in all other Mfg sites’ FRS.

如果生产现场 1 支持生产现场 2（2，3...），那么生产现场 2(2, 3...) 都须一一列在生产现场 1 的 FRS 中的“受到该现场支持的场所”这一项，且生产现场 1 须列在其它每个生产现场 2（2，3...）的 FRS 中的“对该现场提供支持的场所”

Please note the following example: 请注意以下案例:

ABC Company has 4 locations. The first location is in Detroit, MI. This location designs and manufactures brakes for the automotive industry (Ford) but it also provides product design and contract review support for manufacturing plants in Flint (GM), Grand Rapids (Ford), and Lansing (Chrysler).

ABC 公司有 4 个场所。第一个场所在密歇根州的底特律。这个场所为汽车行业（福特）生产刹车，但同时又为位于 Flint（通用），Grand Rapids（福特）和 Lansing（克莱斯勒）的制造工厂提供产品设计和合同评审支持

The scope of registration for each manufacturing location is: “The Design and Production of brakes.”

每个制造场所的认证范围都为“座椅的设计和生产”

In FRS of ABC Detroit, under the section “Sites that receive support from this location”, ABC Flint, ABC Grand Rapids, ABC Lansing should be listed.



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每个证书的附件都为“ABC公司位于密歇根州的底特律，认证范围：产品设计和合同评审支持”

In FRS of ABC Flint, ABC Grand Rapids, ABC Lansing, under the section “Sites that provide support to this location”, ABC Detroit should be listed

在ABC Flint, ABC Grand Rapids, ABC Lansing 的FRS中 都有一项“支持该现场的场所”。
ABC Detroit应列在该项中。

- 4.7 RSL functions in FRS and on IATF certificates shall be selected from the list below. Functions may not be combined, for example, auditors cannot combine “IT” and “Warranty Management” under “Quality System Management”. You only use “Quality System Management” when no other scope fits.

FRS 和 IATF 证书中表述的 RSL 支持职能应与下表一致。支持功能不能被合并，例如，审核员不可以将“IT”职能与“保证管理”职能合并到“质量体系管理”职能中。当没有其它范围可以与之匹配的情况下才可以选择与其相接近的“质量体系管理”职能

After sales	Calibration	Continuous Improvement	Contract review
Customer service	Distribution	Engineering	Facilities Management
Finance	Human resources	Info. Technologies	Internal Audit Management
Laboratory	Logistics	Maintenance	Management Review
Marketing	Packaging	Policy making	Process Design
Product Design	Production Equipment Development	Purchasing	Quality System Management
R&D	Repair	Sales	Sequencing
Servicing	Strategic planning	Supplier Management	Testing
Training	Warehousing	Warranty Management	

This is an FRS for a Remote Support Location:

下图为某 FRS 中的支持场所：

Facility Record Sheet	This scope section for the Remote Support FRS shall be empty.	
Audit Tracking for Standard ISO/TS 16949:2009		
Scope of Registration:	Policy Making, Sales, R&D, Design and Engineering, Testing, Purchasing, Human Resources, Corporate Quality, Warranty, Finance and Info. Technology.	
Exclusion:	Remote Support Location auditors shall ignore this section if the CRM puts the scope here by mistake.	
Accreditation:	IAOB/IATF:	
Standard Category: COSCHM Standard List Status: NALIST Manual Revision/Date: 25 / 1-Apr-13		Certificate Number: Certificate Issue Date: Registration Date: 23-Jul-12 Expiration Date: 22-Jul-15

Remote Support Scopes must always link to a specific site under the “sites that receive support from this location”.



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支持场所的范围总是连接到一个新的场所，这个场所接收并被支持。

Sites that receive support from this location						
Customer Code	Customer Name	Address	Scope	Primary Contact	No of Employees	List Status
1Y282	Bridgewater Lansing Ltd.	2369 S. Canal Rd, Lansing, Michigan, United States	REVIEW REMOTE SUPPORT FUNCTIONS FROM 4.10.3 AGAINST THIS SECTION OF THE FRS (e.g. Warranty Management and Info. Technology)	Darren Frye	654	LIST
30941	Johnson Controls Servicios S. de R.L. de C.V. - Ediasa 1 - Trim Plant	Ensamble De Interiores, Blv. Oscar Flores 4250, Colonia Las Acacias, Ciudad Juarez, Chihuahua, Mexico		Maria de Jesus Rodriguez	2,540	LIST
31282	Johnson Controls Inc. - Greenfield	1147 North Washington Street, Greenfield, Ohio, United States		Dave Sharp	242	LIST

5. TS Timing Requirements

TS 时间节点要求

- 5.1 **Rules for Achieving IATF Recognition 5th Edition** section 5.1.1, requires the audit cycle to be based upon the closing meeting dates (CMD) of the initial certification audit or recertification audit (whichever was most recent). It also states that the time interval between initial certification CMD and recertification audits CMD or between two recertification audits CMDs may not exceed three years. Additionally, at least one member of the registration (Stage 2) audit team must participate in all subsequent surveillance audits in the audit cycle. Any variation must be approved by the IAOb.

IATF 导则 5 中 5.1.1 章节要求审核周期应基于初审或复评（最近的）的末次会议日期。该章节也陈述了在初次认证和再认证审核之前或两个再认证审核之间的时间间隔，可能不超过 3 年。此外，（阶段 2）审核团队中至少有一名注册成员参与所有这轮后续的监督审核。任何变更必须经 IAOb 批准。

- 5.2 Please verify that you are NOT scheduling a recertification audit later than 3 years following the last registration or recertification audit and that enough time is allowed for the closure of CARs.

请验证你没有对超过了上次注册或再认证审核以及关闭 CARs 允许的足够时间的 3 年的项目安排再认证计划

- 5.3 Once you are reassigned to a TS client, immediately verify when the last recertification or registration/upgrade audit was conducted. You must conduct the next recertification audit as defined by this TS timing rule. Please contact the client to schedule the recertification audit. Explain the timing rules to the client and the impact it will have if the audit is conducted beyond the three year timing rule. This timing rule has nothing to do with the expiration date on the client's certificate. The audit must be conducted on time and all nonconformance must be resolved prior to the expiration date on the certificate.

一旦你被注册为 TS 客户，立即验证上一次再认证或注册/升级审核执行的时间。你必须按照 TS 导则已经定义的时间节点执行下一次的再认证审核。假如审核执行超过了 3 年时间规则，我们需要向客户解释这个时间规则以及它所产生的影响。这个时间节点规则与客户证书上的截止日期没有关系。审核必须按照进行，以及所有的不符合项都必须在证书到期日期之前完成。

- 5.4 Please notify The Scheduling Manager if you have any problems scheduling the audit.

假如对计划排程有任何问题，请通知区域经理。



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Recertification audits must be completed no later than the 3 year anniversary of the closing meeting of the last registration audit or recertification audit and no earlier than the 3 months prior to the 3 year anniversary date. 再认证审核必须在上一次注册审核或者再认证审核末次会议后的3年周期内执行，一天都不能延迟，以及提前的时间也不能超过3年审核周期的向前3个月。

Example例子

Registration audit closing meeting: January 13, 2010

注册审核末次会议：2010年1月13日

Reassessment audit can be conducted no sooner than October 13, 2013 (-3 months) and must be completed no later than January 12, 2013 (+0).

再认证审核可以在2012年10月13日（-3个月），2013年1月13日之间执行。

Per the Rules, IF WE CONDUCT THE RECERT AUDIT LATE, THEN THE CLIENT WILL NEED TO GO THROUGH A NEW STAGE 1 AND STAGE 2 AUDIT.

按照导则要求，假如我们晚执行再认证审核，客户需要重新通过新的阶段1和阶段2审核。

In cases where NSF-ISR does not conduct an audit within allowable timeframes due to knowledge that the client is transferring to another Certification Body (CB), we may not suspend the certificate and we are to cancel our certificate from the IATF database upon expiration or knowledge that the other CB has issued a replacement certificate.

为了防止NSF-ISR由于客户知识转移到另一个认证机构而不能在预定期间内审核，一旦审核范围日期超过，我们就要暂停证书，且我们还将基于证书到期日或者其他机构已发布的替换证书知识，从IATF数据库中暂停证书

- 5.5 Surveillance audit must be scheduled based on the closing meeting of the last Stage 2 or recertification audit. Surveillance audits can be done every 6 months (+/- 30 days), 9 months (-60 days + 30 days) or 12 months (-90 days +30 days). Each subsequent surveillance audit has to be based on the last Stage 2 or recertification audit. Semi-annual surveillance cycles require 5 surveillance audits. 9 month cycles require 3 surveillance audits. Annual cycles require 2 surveillance audits.

监督审核排程必须基于最近一次阶段2或再认证审核的末次会议。监督审核的执行频率可以按照每6个月（+/- 30天），9个月（-60天+30天）或12个月（-90天+30天）。每次随后的监督审核必须基于阶段2或再认证审核。半年的监督审核周期需要5次监审。9个月周期需要3次监审。一年周期需要2次监审。

Example:

Semi-Annual/6 Months: Registration audit closing meeting: January 13, 2010. The next surveillance audit must be conducted no earlier than June 13, 2011 (-1 month) and must be completed no later than August 12, 2011 (+1 month).

半年/6个月：注册审核末次会议：2010年1月13日。下次监审必须被执行，不得早于2011年6月13日，不得晚于2011年8月12日(+1月)

9 months: Registration audit closing meeting: January 13, 2010. The next surveillance audit must be conducted no earlier than August 13, 2011 (-2 months) and must be completed no later than November 12, 2011 (+1 month).

9个月：注册审核末次会议：2010年1月13日。下次监审必须被执行，不得早于2011年8月13日（-2个月），不得晚于2011年11月12日（+1个月）。



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Annual/12 months: Registration audit closing meeting: January 13, 2010. The next surveillance audit must be conducted no earlier than October 13, 2011 (-3 month) and must be completed no later than February 12, 2011 (+1 month).

每年/12个月：注册审核末次会议：2010年1月13日。下次监审必须被执行，不得早于2011年10月13日（-3个月），不得晚于2011年2月12日（+1个月）。

6. Pre Planning& Audit Planning Process

前期策划&审核计划过程

- 6.1 Remote Support Locations are included on the initial/ recertification audit and ongoing surveillance audits in accordance with a documented audit plan. **For initial/recertification audits, the remote support locations should be scheduled to be audited before auditing Mfg sites**

如果初评，复评及后续监督审核与审核计划一样都出现了外部支持场所，那么安排初评或复评审核时，须安排外部支持场所先于生产场所审核

- 6.1.1 All processes must be audited during the initial or recertification audit.

初评或复评审核中所有的过程都必须审核

- 6.1.2 Support processes must be audited at least once through the surveillance audit cycle. Design related support shall be audited as they come up during the audit plan and a minimum of once per year.

监督审核周期内支持过程须至少审核一次。审核计划出现设计职能时，那么设计职能也应审核，且至少1年一次。

- 6.2 We are required to do audit pre-planning prior to any on-site TS audit. See AESOP 8203. This communication process should commence roughly 6-7 weeks prior to the scheduled visit and the 8203 form is sent to the client to begin the process. For a special audit, an update of the prior audits pre-planning information will normally suffice.

我们要求在任何现场 TS 审核之前进行审核策划，见 AESOP8203.这个沟通过程应该在现场审核排程前的 6-7 周开始着手，且 8203 表单要寄给客户以便启动整个过程。一般来说，对于特殊审核，前期的审核审核计划信息必须要更新。

- 6.3 The 8203 form prompts the client for all the required information and it is imperative that we receive complete information from the client. Prior to developing the audit plan, this information must be reviewed and analyzed in sufficient detail to determine critical areas to be prioritized in the plan based upon risk to the customer, performance trends and criticality of the process(es). A summary of the client's performance and the result of the analysis must be recorded on the 8203. Employment headcount numbers shall be verified by the Auditor and any changes from the current FRS number communicated to the office for impact analysis related to required audit days for the upcoming audit.

8203 表单提供所有要求客户的信息，我们收到客户的完整信息是必要的，且要优先于审核计划，信息必须充分地评审，分析，以便基于客户风险，性能趋势，过程危机程度等等在计划里优先决定关键领域。客户表现总结以及分析结果必须记录在 8203 里。

When significant conditions are identified based on input from the client and these conditions appear to pose significant risk to the integrity of the QMS, be sure to prioritize the associated line of questioning. When such conditions are present, refrain from performing a "typical" process audit (e.g., inputs, outputs, metrics); rather, adjust your line of questioning so it addresses the big picture effectiveness of the QMS.



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当重要的条件的基础上确定从客户端输入这些条件似乎对质量管理体系的完整性构成重大风险，一定要把相关的提问。在这种情况下，不履行一个“典型”的过程审核（例如，输入，输出，度量）；相反，调整你的提问，它解决了质量管理体系的大画面效果。

- How has the “condition” been managed?
“条件”是如何被管理的
- What impact has the “condition” had on the effectiveness of the QMS?
“条件”对质量管理体系的有效性有什么影响？
- Has the “condition” had an impact on other aspects of the QMS?
“条件”对质量管理体系的其他方面有什么影响？
- What risks are associated with the “condition”? Has the organization identified any associated risks?
与“条件”相关的风险有哪些？机构有没有发现任何相关风险？
- Have root causes that contribute to the “condition” been identified? [where applicable]
有哪些有助于“条件”的根本原因？[如适用在哪里]
- What actions have been implemented to address the “condition”? Have actions been effective? [where applicable]
已经实施了什么行动来解决“条件”？行动是否有效？[如适用在哪里？]

Lastly, resulting priorities need to be clearly input into AESOP 8203 - TS 16949 Pre-Audit Planning Form and/or AESOP 13680 - ISO-TS 16949 Audit Agenda, as appropriate.

最后，导致重点需要明确输入 AESOP 8203 TS 16949 预审核的规划形式和/或 13680- ISO-TS 16949 审核日程，适当。

An example of a Pre-Planning priority: Issues to be investigated: 1) Impact of new ownership on QMS; 2) Management team includes 3 new members since last audit.

优先预计划的一个例子：要调查的问题：1) 质量管理体系新所有权的影响；2) 自上次审核后管理团队包括3个新成员

An example of an Audit Plan priority identified on-site if client indicates they were lacking in number of trained resources and turnover had been an issue: HR / Training – focus on lack of trained resources & unfavorable turnover trend or employee onboarding, orientation, training related to lack of resources / high turnover.

如果客户表明他们缺乏专业的资源并转向咨询老师—致力于在培训资源和不利趋势或职员入职、定位，缺乏资源/高周转率的相关培训，预计划的例子需现场确认

6.4 Please remind the client that consultants are not allowed to attend the audit.
请提醒客户咨询老师是不允许参与审核的。

6.5 During pre-planning, it is critical to identify any issues that could affect the implementation of the audit plan (e.g. security restrictions, labor laws, required travel documentation, etc).

前期策划期间，识别任何可能影响审核计划实施的问题都是很重要的（如，安全限制，劳动法规，要求的文档等等

6.6 When confirming the employee count, ensure that the client is including permanent (permanent, full-time, part time, salaried, hourly, etc.), contractors, and temporary employees (including day laborers).



在确认员工数量时，客户应包含职工（长期工，全职工，兼职，钟点工等），承包商，零时工（含散工）

- 6.7 If the customer has been placed on a special status condition by an IATF OEM (e.g. Q1 Revocation, CSI, CSII, New Business Hold, Needs Improvement, etc) then notify the Business Unit Manager and/or the Automotive Technical Manager IMMEDIATELY and indicate the status in the audit report.

如果客户已经把特殊审核状态放在 IATF OEM 上（如 Q1 撤销，CSI, CSII, 新业务，需求改进等等），那么立即通知企业单位经理或者汽车技术经理，并且在审核报告中标明状态。

- 6.8 If the organization failed to notify NSF-ISR w/in the IATF OEM customer specified required time frame of their special status condition, then issue a CAR.

如果企业未在 IATF OEM 里通知客户特殊状态所要求的详细时间框架，那么发布一个 CAR

- 6.9 The audit agenda/plan (AESOP 13680) should be completed and communicated to the client roughly 20 days prior to the scheduled visit according to the following protocols determined by pre-planning data:

根据下列协议的前期策划数据，审核计划（AESOP 13680）应预先完成并在实际审核前约 20 天之前粗略的传达给客户。

- 6.9.1 All required pre-planning information received: AESOP 8203 completed, **AESOP 13680 including at least one hour for pre-planning on site** issued to client.

需收到所有的前期策划信息：包括完整的 AESOP 8203 和 AESOP 13680（包括至少 1 小时的现场前期策划）

- 6.9.2 Some or no required pre-planning information received: AESOP 8203 completed with appropriate entry; AESOP 13680 issued to client with time added to the pre-audit meeting to review the missing information. (Note: an appropriate entry for missing information = No pre-planning information received. Request for information sent to client dd-mmm-yyyy. Time added to pre-audit meeting.)

一些无需前期策划的信息被收到：完整版的 AESOP8203。发给客户的 AESOP13680 需要添加时间 来审核前期策划所缺失的信息。（注意：缺少信息的适当条目=未收到前期策划信息。请求信息 dd-mmm-yyyy 前发送到客户。增加审核前期策划的时间）

- 6.9.2.1 If the missing information is provided prior to the on-site visit and permits complete and thorough pre-planning, make appropriate changes to AESOP 8203 and AESOP 13680 and re-issue AESOP 13680 to the client. The need to add time to the pre-audit meeting is at the lead auditor's discretion.

如果缺少的信息在审核前提供，并有完整的前期策划，对 AESOP 8203 和 AESOP 13680 进行 适当的修改并重新发给客户。是否为前期策划增加时间是由审核组长自由裁定的。

- 6.9.2.2 If missing pre-planning information is not received prior to the on-site visit, use the time added to the pre-audit meeting to complete the pre-planning and make appropriate revisions to AESOP 13680. Minimum additional time is 0.5 hour (=1.5 hrs pre-audit meeting) but total time for pre-audit meeting is at the Lead Auditor's discretion to permit effective pre-planning (Note: Do not update AESOP 8203 after you have arrived on-site.)

如果在现场审核前没有收到前期策划信息，需要在审核首次会议前增加前期策划时间并对 AESOP 13680 做出修改。最短的额外时间为 0.5 小时（=1.5 小时审核前期策划）但审核前期策划的总时间由审核组长自由裁定并有效实施。（注意：到达审核现场后不能再次修改 AESOP 8203.）



- 6.10 Failure to supply the required information for effective pre-planning can initiate the decertification process. A nonconformance can be issued at the discretion of the Lead Auditor. (Reference Rule 8.1.g)

未能提供有效的前期策划所需的信息可以启动认证退出流程。组长可以根据情况自由裁定是否开启不符合项。
(参考规则 8.1.g)

- 6.11 It is the Lead Auditors responsibility to ensure that they understand the client's process identification approach including the cross reference and coverage to the related TS requirements. Further, manufacturing processes must be adequately described and broken down into appropriate subprocesses. **The time to audit manufacturing processes should not be less than one third audit duration. And the other time distribution should be reasonable to deep dive audit the processes.** The audit agenda (AESOP 13680) coupled with the audit matrix (AESOP 9207) should together clearly describe QMS coverage in relation to TS requirement areas. Sub-processes should also be identified and handled in a consistent manner from a planning perspective.

审核组长有责任确保对客户的过程识别方法（包括对相关 TS 要求的交叉引用及引述）的理解。并且对制造过程必须充分描述并适当分解为多个子过程。生产制造过程的审核时间不得低于审核总时间的三分之一，剩余的审核时间应分配合理，对过程进行深入审核。审核日程（AESOP 13680）及审核矩形图（AESOP 9207）应清晰描述 TS 要求范围内涉及的质量管理体系方面的内容。子过程还应以策划时一贯的方式来识别和处理。

- 6.11.1 Each manufacturing process should be identified and allocated a distinct and separate duration. Lumping several manufacturing processes under a general heading for Production (Manufacturing) is not permitted.

每个制造过程都应该被识别并有其独立的周期。把几个不同的制造生产工艺合并到一个生产过程中是不允许的。

6.11.1.1 Proper Approach	3:00pm – 2 nd Shift – Manufacturing – Stamping 5:00pm – 2 nd Shift – Manufacturing – Welding
正确的方法	3:00pm – 第二班次 – 生产 – 冲压 5:00pm – 第二班次 – 生产 – 焊接
7.10.1.2 Improper Approach	3:00pm – 2 nd Shift – Manufacturing – Stamping & Welding
不正确的方法	3:00pm – 第二班次 – 生产 – 冲压 & 焊接

- 6.12 When planning to work beyond 8 hours to cover 3rd shift work, all time allocated beyond 8 hours must be applied to 3rd shift work only and shall not exceed 0.5 days (4 hours) per audit. 计划超过 8 小时工作以涵盖三班倒的企业，超过 8 小时分配的所有时间只能用于第三班轮班工作，每次审核不得超过 0.5 天（4 小时）

- 6.12.1 Proper Allocation: Conducting 2.5 audit days in 2 calendar days by programing 12 hours. Time allocated to 3rd shift work equals 4.0 hours.
正确分配：在 2 个日历日内，通过排 12 小时进行 2.5 个审核日。分配给第三班工作的时间等于 4.0 小时

- 6.12.2 Improper Allocation: Conducting 2.5 audit days in 2 calendar days by programing 12 hours. 1.5 hours allocated for 3rd shift work; 2.5 hours allocated to other processes.
Note: The allocations described above are total hours where 1 auditor for 4 hours is equivalent to 2 auditors for 2 hours.

不当分配：通过排 12 小时在 2 个日历天内进行 2.5 个审核日。1.5 小时分配给第三班工作；2.5 小时分配给其他过程



- 6.13 Reassessment audits require a review of the performance of the management system over the period of certification and includes a review of the previous surveillance audit reports. The previous surveillance report files will contain summaries of both internal and external performance along with nonconformances raised. The review of this info along with prior 12 months data will therefore reflect on the performance of the QMS over the period of certification. To access previous reports, please see the instructions in Appendix A and record results of review on the pre-planning form (AESOP 8203).

复评要求对证书周期管理系统绩效评估，包括对之前的监审报告的评审。之前的监督报告文件要包含内 外部绩效及不符合项的概况。在证书有效期内，该信息及前 12 个月数据的评审将反映在 质量管理体系的绩效上。访问以前的报告，请见附录 A 的说明已经记录前期策划表单上的评审结果（见 AESOP 8203）。

- 6.14 For initial/reassessment audit, make sure all processes are audited. For surveillance audits, make sure that all processes are audited during the surveillance cycle.
初审或复审要确保所有过程都被审核。监审要确保所有过程在监督周期内都被审核。

- 6.15 Audit plans must be updated to reflect any changes made to the original plan. The final audit plan must be uploaded in Oasis along with the original version which was sent to the client.

审核计划须即时更新以反映与原计划有异的不同之处。最终的审核计划及之前发给客户的原计划都须上传到 Oasis。

- 6.16 When related but separately certified manufacturing sites are being audited during the same period, it is important to ensure that each site audit activity is described on an audit agenda and that unique pre-planning reviews, opening and closing meetings occur for each site. It is not appropriate to combine these activities for separately certified sites.

当相关的独立出证的生产现场在同一时期被审，确保审核日志和前期策划评审以及每次现场的首末次会议里必须描述在每次审核活动里，这很重要！将这些活动结合为独立的验证 现场是不合适的。

7. Stage 1 Audits 阶段 1 审核

- 7.1 Auditors must create an audit plan (AESOP 13680) for the stage 1 audit

对于阶段 1 审核，审核员必须生成一份审核计划（AESOP 13680）

- 7.2 During the Stage 1 audit the lead auditor must verify the eligibility and scope including identifying all remote support locations. Please verify that the Organization defines each remote support location and the support functions of each in its quality system documentation, i.e. quality manual, process maps, etc. You must verify that this information is accurate and list the function as in the table in 4.7 in each visit.

1阶段审核中，审核组长须验证范围的合理性，辨别所有的外部支持场所。请确保集团在质量体系文件中定义了每个外部支持场所及其支持职能，比如质量手册，过程图等。审核员须确保该类信息的准确性并在每次现场审核时将支持职能列在4.7的表格内。

- 7.3 Employment headcount number shall be verified by the Auditor and any changes from the application number communicated to the office for impact analysis related to required audit days for the stage 2.

员工人数应由审核员确认，如发现与申请表中所填人数有任何出入，应及时反馈给总部，因为员工人数的变化将影响 2 阶段审核人天的分析与统计

- 7.4 Any change should be identified in “FRS Change” Section in the audit report, including any new remote location.



任何变化都应列在审核报告中的“FRS 变更”这部分，包括任何外部场所的新增。

- 7.5 Please note that the client must clearly provide you with evidence during the Stage 1 to support that the Organization addresses all the requirements of TS 16949. A Pre-planning form (AESOP 8203) should be sent to the client prior to the stage 1 to prompt them for the necessary information which will be reviewed on site. The same form may be updated for use during the stage 2 audit. You must review the following information with the client to determine their readiness and for input in your next audit plan:

请注意在 1 阶段审核期间，客户必须清晰地提供符合 TS16949 所有要求的证据。前期策划表单（AESOP 8203）应该在 1 阶段前发给客户，以便在现场能评审必要的信息。在 2 阶段审核中，更新 8203。你必须评审到以下信息决定他们是否准备好，以作为你下个审核计划的输入：

- Process maps showing sequence and interactions of processes, including remote support locations and functions
- 显示过程顺序和相互作用的过程图
-
- Key indicators and performance trends for previous 12 months as a minimum.
- 前12个月的关键指标和绩效趋势
-
- EVIDENCE THAT ALL THE REQUIREMENTS OF TS ISO/16949 ARE ADDRESSED IN THE ORGANIZATION'S PROCESSES
- 符合TS16949所有要求的证据
-
- Quality Manual
- 质量手册
-
- List of Customer Specific Requirements;
- 顾客特殊要求的清单
-
- Customer complaints;
- 客户投诉
-
- List of Qualified Internal Auditors;
- 有资格的内审员清单
-
- Internal Audit and Management planning and results from previous 12 months;
- 之前12个月内进行的内审和管理评审的策划和结果
-
- Customer satisfaction and complaints status, including customer report and score cards.
- 顾客满意和顾客投诉状态，包括顾客报告和记分卡
-

Absence of any of these indicators will prevent approval of the readiness review.

任何这些指标的缺失将阻碍准备就绪的批准

- 7.6 The processes listed in the client's quality manual must match the organization's processes shown on their actual Process Map. The processes shown on the Process Map must match the processes identified by the organization's internal audit plan. If the auditor chooses to combine audit processes due to the client breaking down their processes into sub-processes, the auditor must ensure that all of the processes identified by the client appear on the audit plan and the audit report (e.g., the client identified C1 APQP, C2 PPAP, C3 Product/Process Verification and Validation, the



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auditor can audit these processes altogether in one section note, but must include C1, C2, and C3 in the identification of the processes in the audit plan and report). The Process Map You need to address this in during the Stage 1 audits and always confirm during subsequent audits. Process Maps must include any outsourced processes and Remote Support Locations, including the process names for the supporting processes. The NSF matrix and NSF audit plan must match the organization's Process Map.

在客户质量手册中列出的过程必须与组织的显示实际的过程图相匹配。显示在过程图上的过程必须与识别在组织内审计划上的相匹配。在阶段 1 审核期间你需要符合这些，以及在后续的审核期间总是要确认这些。NSF 矩阵和 NSF 审核计划必须与组织过程图匹配

7.7 Auditors cannot write CARS on a Stage 1 audit.

在阶段 1 审核，审核员不能发出 CARs

8. On-Site Audits - Conducting Process Audits 现场审核 – 执行过程审核

- 8.1 Please follow your latest schedule which you might have revised during pre-planning on site. In case you don't finish a process in your scheduled time frame and consume the time for another process, please revise your schedule again to make sure such processes are postponed in the same visit or re-scheduled for next visit. Please follow guidance information in the audit schedule template in AESOP 13680.

请按最新的审核时间表执行，因为现场前期策划中审核时间表可能有所更改。如果某过程的审核时间超过预计的审核时间，而占用了本应审核其它过程的审核时间，那么就要及时更新审核时间表以确保当天审核的相关过程的审核时间顺延，或下次拜访工厂时重新安排相关过程的审核时间

- 8.2 It is the remote support location (RSL) auditor's responsibility to review the support functions listed in the FRS for the RSL being audited, audit the interfaces and report any additional scopes or differences in the FRS changes section of the audit report

审核外部支持场所的审核员应审核 FRS 中列出的支持职能，接口。

如发现范围新增或变更，则应记录在审核报告的“FRS 变更”这栏

- 8.3 Because site auditors are required to audit all processes, including all interfaces with RSLs, it is the site lead auditor's responsibility to ensure the accurate accounting of all remote support functions along with their locations. The site lead auditor must review the previous audit reports from all remote support locations, audit the interfaces and report any additional scopes or differences in the FRS changes section of the audit report. The audit agenda (AESOP 13680) and matrix (AESOP 9207) must clearly identify when support processes or interfaces are being audited including process names and locations.

因为现场审核员要按要求审核所有流程，包括和外部支持场所的所有接口，所以现场审核组长有职责确保场所及其所有外部支持职能的准确记述。现场审核组长须评审所有外部支持场所的上一轮审核报告，审核接口，且任何新增范围或差异都要记录在审核报告的 FRS 变更部分。审核计划(AESOP 13680) 以及审核矩阵表 (AESOP 9207)必须清楚的阐述被审核的支持过程或接口，包括其名称以及所在地。

- 8.4 Manufacturing shall be audited on all shifts where it occurs, including an appropriate sample of the shift change over. During the stage 2, recertification, and transfer audits, all manufacturing processes shall be audited on each shift, sampling of the shifts or processes is not allowed. At the subsequent surveillance audit cycle (depending on the number of audits-see TS Rule section 5.1.1), all manufacturing process shall be audited on each shift.



产生制造活动的所有班次都应进行审核，包括交接班时适宜地抽检。2 阶段/再认证和转机构审核期间，所有制造流程的每一班次都要进行审核，严禁对班次和流程进行抽检。后续的监督审核周期内（根据审核次数-参见 TS 导则 5.1.1 章节），所有制造流程的每一班次都应进行审核

Please ensure that all processes are audited on each shift, not all manufacturing equipment/assets (e.g. the assembly process could include different kinds of assembly equipment. For instance: welding; riveting; molding; snapping, etc.). Do not confuse the client by asking them to separate one particular assembly operation or piece of equipment from assembly process.

务必确保所有制造流程的每一班次都进行审核，而非每个制造设备/资产（比如装配流程会包括各类装配设备，如焊接，铆接，成型，对正孔位等）。不要让客户将某一特别的装配工位或是某个装配设备从装配流程中分离出来进行审核，该行为还会让客户感到很困扰

- 8.5 Auditors must verify the effective implementation of the control plan, FMEA and associated documents during the audit of manufacturing. The IAOb specified that during audits of production processes, auditors must verify control plan specifics with activities actually in place on the production floor and confirm the correlation between work instructions and the control plan.

对制造活动进行审核期间，审核员须确保控制计划，FMEA 和相关文件地有效实施。IAOB 明确指出 审核员在生产流程审核期间须确保控制计划与生产车间的实际活动相符，并确认作业指导书和控制计划的相关性。

- 8.6 At locations/sites where customer performance information exists it is required to begin each stage 2, surveillance, and re-certification audit with an hour minimum of audit time to review/verify the pre-planning performance information on-site prior to the opening meeting. This time is in addition to the scheduled audit time. This review shall include verification of changes to customer and internal performance data including a review of current online customer reports and/or scorecards. The audit team is required to adjust the audit plan as required based on any new information.

如果在现场客户绩效信息存在的话，要求在每个 2 阶段，监督，复评初的首次会议之前，在现场有最少 1 小时审核时间评估，验证前期策划绩效信息。这个时间要另外的加入审核计划时间。这个评估应包括客户和内部绩效数据变更的验证，以及目前在线客户报告或积分卡的评估。审核团队要求基于任何新信息调整审核计划。

- 8.7 Consultants are not allowed to attend on-site audits. No audit activities can begin until the consultant leaves the facility and you must contact the Business Unit Manager and/or the Automotive Technical Manager immediately if the client and the consultant refuse to cooperate.

咨询师不允许出席现场审核。假如客户和咨询师拒绝配合，审核活动不能继续进行直到咨询师离开，同时你必须立即与 BUM 和/或汽车技术经理进行沟通。

The automotive approach must assure that: 汽车方法必须保证：

- 8.7.1 Questioning the site's process for gathering, communicating and implementing customer-specific requirements.

对确认的每个流程的客观绩效进行质询，须侧重未达标的项目和对客户影响最大的因素



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8.7.2 The audit trails followed include verification that CSRs and other customer requirements have been met.

随后的跟踪审核包括对 CSRs 及达成其他客户要求的验证。

8.7.3 Processes are examined where they physically occur. This not only means auditing production in the production area, but auditing non-manufacturing processes in their respective areas. For example, do not audit design from the conference room when the design process does not occur in the conference room. If the design process occurs in the engineering department, then the auditor must examine the process by going to the engineering department and interviewing relevant personnel where they work.

要在过程的发生地进行审核过程。这个不仅意味着在生产区域审核生产，但是要在他们各自的区域来审核非制造过程。例如，当设计过程没有在办公室发生时，不能在办公室审核设计。假如设计过程发生在工程部，审核员必须在工程部面谈相关在此工作的人员，以及审核过程

8.7.4 Questioning the objective performance for all processes identified, with focus on where targets are not being met, and focus on issues that have the greatest impact on the customer.

对确认的每个流程的客观绩效进行质询，须侧重未达标的项目和对客户影响最大的因素

NOTE: This should typically be asked near the start of the audit session (i.e. before you start auditing the process details).

注释：绩效质询应在审核即将开始前特别提出（比如在流程细节即将审核前）

In spite of information obtained in pre-planning and management review, the auditor is still required to ask the process owner questions regarding their knowledge of the KPIs. Also, the auditor needs to ask if the process owner knows the corrective action that was taken (or is being taken) to address the issue(s) whenever the KPI is not met.

虽然从预先策划和管理评审中已得到相关信息，但审核员仍须质询流程负责人对有关 KPI 的认知。除此以外，审核员还须询问流程负责人，每当 KPI 没有达到时，是否知道解决该问题曾采取过的（或正在执行的）纠正措施

8.7.5 Questioning the clients' processes, the sequence and interactions, and performance against the measures defined with focus on the processes which directly impact the customer,

提问客户的过程，顺序及相互作用，以及关注直接影响顾客的过程，和采取措施的绩效

8.7.6 Following audit trails to linkages between customer concerns, performance against objectives and relevant process documents (e.g control plan, FMEA, etc.)

审核线索应联系到顾客的关注，背离目标的绩效，相关过程的文件（如控制计划，FMEA，等）

8.7.7 Questioning what plans are in place to ensure targets are met, and corrective action plans where objectives are not being met. A major nonconformity shall be issued if no action plan is in place to address the key customer objectives/targets which were not achieved.



提问确保目标达成的计划，以及目标未达成时的纠正措施计划。根据 S.I. 12，当重要的客户目的/目标没有达成且没有合适的解决方案时，就应开严重不符合项

- 8.7.8 The scheduled processes in your audit plan should be completely audited via the process approach. Auditing some related clauses during audit of other processes is not sufficient.

审核计划中安排的所有过程都要通过过程方法逐个审核到位。而不能抽查。

Example, If you are auditing measurement device management process it would not be acceptable to simply verify some devices' calibration status and calibration certificate during auditing production process or inspection process. You still need to audit the measurement device management process in process approach.

比如：审核测量工具管理过程时，不能在审核生产过程或验货过程中简单地验证某些工具的校准状态和校准证书。须用过程方法来审核测量工具的管理过程。

- 8.7.9 Ensuring that the organization has effectively implemented customer requirements.

确保组织已经有效地执行了顾客特殊要求

- 8.8 Information and evidence about the customer special requirements, including customer-specific quality management system requirements are to be audited. The customer-specific requirements shall be sampled for effective implementation over the 3 year audit cycle. Priority shall be given to customer-specific requirements issued by the IATF OEM members (BMW, Chrysler, Daimler AG, Fiat, Ford, GM, PSA Peugeot, Citroen, Renault, and Volkswagen AG); however, auditors are required to sample all customer specific requirements for any customer requiring ISO/TS16949 or IATF16949 (i.e. sub-Tiers). If an NCR is identified related to failure to implement customer specific requirements, auditors should issue the NCR against "5.2 Customer Focus" with the following statement of nonconformity "the process to ensure implementation of Customer specific requirements is not (completely) effective". Do not issue the NCR under other relative processes because the client may not take corrective actions on the Customer specific requirements process.

有关顾客特殊要求的信息和证据，包括要进行审核的顾客特殊的质量管理体系要求。顾客的特殊要求应在 3 年审核周期内抽样到。应把审核顾客特殊要求的优先权给 IATF OEM 成员（BMW, Chrysler, Daimler AG, Fiat, Ford, GM, PSA Peugeot, Citroen, Renault, and Volkswagen AG），然而，审核员应抽样到所有推崇 TS 的顾客特殊要求（如供应链）如果某不符合项经确认是由于未有效执行客人的特定要求，那么审核员应基于“5.2 客人侧重点”按以下描述开具不符合项“确保客户特定要求的流程未（完全）有效执行”。不要基于其它非相关流程开具不符合项，否则客户对客人的特定要求流程有可能不采取纠正措施

- 8.9 NSF auditors are required to determine the client's current customers during every on-site audit. NSF requires you to verify current customers following the formal opening meeting during the audit stage called "Management Process". During this stage you must verify with the client all of their automotive customers. You must ask direct questions to determine all the client's automotive customers especially the ones that require suppliers to be registered to ISO/TS 16949 or IATF16949

在每次现场审核期间，NSF 审核员应确定客户当前的顾客。在现场审核首次会议后的称为“管理过

程”的阶段 NSF 要求审核员要验证当前的顾客。在这个阶段，你必须验证客户所有的汽车顾客。你必须

直接跟客户确定所有汽车顾客，特别是要求注册 TS16949 的供应链。



- 8.10 You must verify if the list of automotive customers is consistent with objective evidence found during the audit. This must be done prior to requesting that reference to an IATF OEM Customer be removed from the FRS. If new automotive customers or any other QMS related changes are identified during the audit which contradicts prior information (from pre-planning) then the Auditor needs to understand the new change impact and spend appropriate focus during the current visit. There shall be a notation made in the FRS change section of the report to update NSF records for the new customer or other change. Other considerations based on this finding include the decision to raise a nonconformance for this omission and the decision to add time to the current audit for this coverage. If the audit team has any questions related to appropriate actions it should contact a member of the Technical team within the office immediately.

在审核过程中，你必须验证要求 TS 的顾客清单与实际的目标证据是一致的。这个必须在申请 IATF OEM 从 FRS 中移除前执行。如果在审核中有新的汽车客户或其他任何 QMS 变更被识别，这与审核前期的信息有矛盾，这时审核员需要了解新客户的影响，并且在审核中作适当的关注。对于新客户或任何其他变更，应在相应的 NSF 报告关于 FRS 变更的地方进行说明。其它考虑都应基于这个发现，包括对于遗漏的内容决定提出一个不符合，及增加时间到本次审核中去覆盖。如果审核组对措施有任何的问题，应立即联系办公室技术组的人员。

- 8.11 Immediately prior to the opening meeting, you must verify all current performance data on-site by having the appropriate site representative log in to their customers' supplier database (e.g. Covisint). ALL suppliers to Ford, GM, or Chrysler have access to supplier databases. If the site that you are auditing indicates they do not have access or they **do not receive a scorecard, then this should be further investigated by calling the customer STA** or contact a Technical team member if questions remain on how to handle a specific case. If an automotive customer has a supplier portal containing corrective action information, then details of issues and their status should be pulled directly from such portal during the detailed corrective action evidence review. This will ensure the integrity of the review of corrective action status.

在首次会议之后你应立即验证所有当前的绩效数据，这些数据需要现场的合适的代表登录到他们顾客的供应商数据库（如 Covisint）。所有 Ford, GM 或 Chrysler 的供应商都有权登录供应商数据库。假如你审核的现场无权访问供应商系统，或是未收到评分卡，那就要致电 STA 进行深入调查。如问题仍解决不了，则应联系相关技术人员。如果某汽车顾客有其供应链的网上开放平台，且该平台有我们客户的纠正措施信息，那么在评审该客户的纠正措施证据时就应把平台上相关细节和状态直接拉下来，以确保纠正措施状态的评审是完整的。

- 8.12 Focus your audit on a known problem part if at all possible and/or QMS processes whose performance appears suspect as a result of your complaint analysis.

如果在所有可能的或者 QMS 过程中，对于投诉的分析结果，那些绩效看似可疑，请把你的审核聚焦在一个已知的问题部分

- 8.13 Each on-site audit includes a review of :

每个现场的审核应包括以下的评审

8.13.1 Customer complaints and supplier response

顾客投诉和供应商反馈

8.13.2 Supplier internal audit and management review results and actions

供应商内部审核和管理评审的结果和措施



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8.13.3 New customers since the last audit

上一次审核之后的新顾客

8.13.4 Progress made toward continuous improvement targets

持续改善的过程

8.13.5 Effectiveness of corrective actions and verification since the last surveillance audit.

自从上次的监督审核后纠正措施和验证的有效性

8.13.6 Each process covered should be identified individually within the Oasis Audit Report and appropriate notes made pertaining to compliance and noncompliance to requirements.

所覆盖的每个过程在审核报告中都应被独立识别，与符合与不符合要求所相关的，都需做合适的备注

8.14 The audit durations are defined in NSF AESOP 10923 which is based on the duration table in the IATF Rules.

审核时间基于 IATF 标准中的人天表定义在了 AESOP10923 中。

8.15 If the duration of the audit exceeds 5 mandays a minimum of 2 auditors are required.

审核人日超过 5 天，至少要安排 2 名以上的审核员

8.16 If the duration of the audit is 1.0 manday, then no team auditor can be assigned in order to reduce the number of hours spent at a site unless it is a special audit.

假如审核的人日是 1.0 人日，不能为了减少现场的时间而委派组员审核员

8.17 If the auditor discovers that personnel at the client facility speaks a language in which they are not fluent, then the auditor must contact the office to discuss the recalculation of days (a minimum of adding 20% to that portion of the audit for translation) and the client must provide a translator/interpreter.

如果审核员发现客户端设备人员说不流利的语言,那么审核员必须联系办公室讨论的重算人天(至少增加了 20%, 部分审核的翻译),客户端必须提供翻译

- Example 1: Only the first shift in manufacturing has employees that do not speak English; the only language in which the auditor is fluent. A minimum of 20% more audit time needs to be added to manufacturing on the 1st shift only.

案例 1:只有第一班工厂的员工不说英语,审核员的唯一语言很流利。至少 20%的需要添加更多的审核时间制造的转变。



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- Example 2: The auditor is reviewing management review. Top management only speaks Japanese and the auditor is not fluent in this language. The auditor must add a minimum of 20% more time to the audit of management review.

案例 2: 审核员审核管理评审。高层管理人员只会说日语, 审核员不精通这门语言。审核员必须添加一个最低 20% 更多的时间来管理评审的审核

8.17.1 THE TRANSLATOR/INTERPRETER CANNOT BE THE MANAGEMENT REPRESENTATIVE OR ANYONE WHO IS KNOWLEDGABLE IN THE PROCESS BEING AUDITED.

翻译/口译员不能作为管理代表或那些被审核过程中的专家

- 8.17.2 If the language issues are **discovered on-site unexpectedly** and scheduling conflicts do not permit the auditor to extend the audit calendar days, then IAOb has given permission for auditors to extend the audit time (more than 8 hours a day) to “make-up” the additional time for translation at the current audit NOTE: THE ADDITIONAL TIME MUST BE ADDED TO THE CURRENT AUDIT AND CANNOT BE ADDED TO THE SUBSEQUENT AUDIT!

如果在现场突发语言问题, 调度冲突不允许审核员延长审核人天, 那么就要得到 IAOb 的允许来延长审核员的审核人天(每天 8 小时以上)以弥补当前审核中的翻译所需的额外时间, 注意: 额外的时间只能被加到当前的审核人天, 而不能计入下次审核人天

- 8.17.3 The auditor must add a comment to the audit report (in the Executive Summary (Oasis)/Audit Summary (AESOP 13073)) explaining the situation and the need to work longer than 8 hours.

审核员必须将评论添加到审核报告(在执行概要(Oasis))/审核总结(13073)解释情况和需要工作超过 8 小时。

- 8.18 The audit team must notify the client of nonconformities as soon as they are identified, including details of the objective evidence to support the finding. Do not wait until the daily debrief or the closing meeting to inform the client of your findings. If the auditor has not determined the classification of the finding(s) when nonconformity (ies) has (have) been detected, the client must be informed of the classification(s) once the determination has been made.

一旦审核团队识别到不符合项, 就必须通知客户, 包括支持这些发现的目标证据的细节。关于你的发现, 不要等到日报或者末次会议时才通知客户。当不符合项被保护的时候, 如果审核员不能决定问题点的类型, 一旦目标确定必须通知客户改问题点的类型

- 8.19 The auditor must strongly consider recommending certificate withdrawal under the following circumstances below. If the recommendation is not to withdraw the certificate, then the auditor must justify their recommendation in detail within the report. The following list is ordered from most likely to withdraw to less likely:

审核员在下列情况下, 必须强烈考虑推荐撤销证书, 如果推荐结论不是撤销证书, 审核员必须在报告中 详细说明其理由。以下列表是由极有可能撤销证书到极不可能撤销证书的情况

- 1) History of very poor customer performance (e.g. 2 consecutive years of poor scorecards with no positive trends)



过去非常差的客户绩效（例如：连续两年没有积极趋势的极差的积分卡）

- 2) Repeat of major issues in same area.

在相同的地方再次出现严重不符合项

- 3) If a customer audit finds the same major issue after they were closed by NSF-ISR.

在 NSF-ISR 关闭严重不符合项后, 客户审核发现该严重不符合项再次发生。

- 4) Multiple Major NCs identified which Auditors judgment and experience indicate they cannot be satisfied within 90 days.

审核员的判断和经验表明多个被识别的严重不符合项不能在 90 天之内关闭

- 5) Client failed to maintain their system; for example, multiple process failures related to the shipment of nonconforming product.

客户未能维持他们的体系, 例如, 多个工艺过程未达标导致不合格产品的发出

- 6) Concurrent major special status conditions from more than one IATF OEM

并发的主要特殊状态的条件来自于多个 IATF OEM

- 7) More than one major customer special status condition attained within 12 months

在 12 个月内取得多个主要客户特殊状态

- 8) Client failed to notify NSF-ISR of significant changes identified in IATF Rules , section 3.2

客户未能通知 NSF-ISR 关于在 TS Rules 4,section 3.2 中规定的重大变化

- 9) Suspended after each audit; twice consecutively.

连续两次审核后暂停

8.20 The Lead Auditor must recommend certificate withdrawal under the following circumstances:

在下列情况下审核组长必须推荐撤销证书

- 1) 100% resolved NCRs: Corrective actions not fully and effectively implemented within the agreed upon timeframe and verified during the special audit.

100%解决 NCRs:纠正措施没有完全有效地在规定的时间内实施并且在特殊审核中验证



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- 2) Failure to close minor NCRs in 90 days or before certification expiration.
没有在 90 天或者证书过期失效前关闭轻微不符合项
- 3) Insufficient evidence to lift the certificate suspension in 90 days or before certification expiration.
证据不足，不能在 90 天内或证书过期失效前取消证书暂停
- 4) Surveillance audit not conducted within 90 days of the audit boundary.
监督审核没有在审核界限的 90 天之内实施
- 5) Surveillance audit not completed within 90 days of a terminated surveillance audit.
没有在监督审核终止的 90 天内完成监督审核
- 6) If NSF-ISR is specifically directed to do so from an IATF OEM or IAOb due to performance concerns.
如果由于 IATF OEM 或者 IAOb 的性能问题，NSF-ISR 特别指示这样做
- 7) If an IATF OEM CSR condition requiring certificate withdrawal is met.
如果 IATF OEM CSR 条件要求，需撤销证书

- 8.21 Quality Alerts (e.g., "One Point Lesson" or any other name given by the client); as the name implies are more of a note than a work instruction. Generally, quality alerts cover one particularly important aspect of an operation to avoid a possible defect and has a limited floor life. Therefore, do not accept Quality Alerts as Work Instructions.

质量预警（比如：“一点课程”或是客户提供的其他名称）；正如名称所示，它并不仅仅是作业指导书中的一个注意事项。总之，质量预警覆盖了避免不良品出现的一个特别重要的操作程序，且其车间寿命有限。因此，不能将质量警告等同于作业指导书。

- 8.22 Auditors need to be aware of the legally enforceable contract between NSF-ISR and the client. This is typically documented in the form of an accepted quotation and the client signed back copy of the NSF-ISR Terms and Conditions (AESOP 11769). The contents of the quote are described within the FRS and the audit effort is communicated to Auditors within each job. The AESOP 4876 is our Policies for Accredited registration and this is referenced in the Terms and conditions document. Our Policy document (AESOP 4876) contains an Addendum for automotive certification which requires clients to follow the latest version on the IATF Rules.
审核员要对客户和NSF-ISR签订的具有法律强制力的合同有所认识。该合同以客户认可的报价单形式及客户回签的带有NSF-ISR的术语和条款的AESOP 11769副本被存档。报价内容已包含在合同中，每个作业的审核着重点已告知审核员。AESOP 4876 是我们认证注册的方针，并在术语和条款的文件中有所引用。该政策文件（AESOP 4876）包含汽车认证的一个附录，它要求客户遵循IATF最新版的规则
- 8.23 For all Registration, Surveillance, Verification or Reassessment audits, auditors shall email a completed copy of the NSF-ISR ISO/TS 16949 OR IATF16949 DRAFT AUDIT REPORT (AESOP 10132) to tsauditreports@nsf-isr.org and leave a copy with the customer. The sending of the draft report to the NSF office is required to ensure NSF meets the 20 day Rule for IATF db entries.



对于所有的注册，监督，验证或再认证审核，审核员应email一个完整的NSF-ISR ISO/TS16949 草稿审核报告 (AESOP 10132) 给 tsauditreports@nsf-isr.org，并留给客户草稿。给NSF办公室的草稿报告必须确保符合 IATF Rule 20 天的输入要求。

8.24 All final audit reports should be submitted to the office no later than 7 days from the closing meeting.

所有最终的审核报告必须在末次会议后的 7 天内提交给办公室

8.25 Remote locations: 支持场所

8.25.1 Auditors must review the certificate with the client during every audit to verify the accuracy of the scope of registration (site) including the scope of any remote support locations.

审核员在每次现场审核中必须以原证书与现在相比对，来确保主范围以及支持场所范围的准确性。

Remote support location auditors must ignore “Scope of Registration” section for any Remote Support Location FRS. This section is only applicable for site scopes, not Remote Support Location scopes because the Remote Support Location scopes will always be linked to a specific site. See the examples below: 支持场所的审核员必须忽略下图中“注册范围”区域，这个区域仅适用于主场所的范围，而不是支持场所的范围，支持场所的范围通常体现在一个特定的区域。如下图所示：

8.25.2 Auditors shall have process interface notes for each supporting scope listed in FRS. Please note that there may be slight discrepancies in terminology as we are to use Clients process naming terminology in our records other than the certificate, for example there may be a client process named “APQP” and on the certificate we call it “Process design” as APQP is not an option.

审核员应当为每个支持的范围提供过程接口的笔记，参见 4.10.3。请注意，在术语上可能会与我们的记录及客户有轻微的差异，例如，有可能是客户过程在证书上命名为“开发”，而我们称之为“过程设计”，因为“开发”并不是可选项。

8.25.3 Auditors must document supporting scope revisions in “FRS changes” section of the report very clearly to direct the CRM on necessary changes. Simply referencing the Remote Support Section of the audit report is not acceptable.

审核员必须在“FRS 变更”部分详细列出支持场所的变化，简单的引用报告中支持场所的变化是不被接受的。

8.25.4 Support Interfaces: Both the site and the remote support location auditors must audit the support interaction and interface both ways in detail.

支持接口：主场所以及支持场所的审核员必须从细节方面审双方的接口。



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8.25.5 When auditing a Remote Support Location, it is critical to audit, and document records that clearly link the activity/process to the site it supports. Audit notes must support the scope in the annex for each site, since it is the basis for apportioning audit days from each site to a remote support location. This is also true in situations when a site supports another site.

审核外部支持场所时，将明确连接活动/流程及其支持现场的纪录进行审核及归档是极为关键的。因为审核注释是分配各个现场及其外部支持场所的审核人天的基础，所以审核注释须支持每个现场的附件中的认证范围。这也适用于一对多现场的情况。

8.25.6 For the scenario above, when auditing the support function in Detroit, audit notes **MUST** support that design and contract records were sampled for products produced at each of manufacturing plants that Detroit supports. Records must be based on the automotive customer appropriate to that site.

根据以上情况，当审核底特律的支持职能时，审核注释须支持就底特律支持的每个制造工厂所生产的产品将设计和合同记录进行取样。记录须针对各现场相应的汽车客户

Example案例

Verified the following records that support design and contract processes at Grand Rapids, MI site and for Ford Contract 12345

确认福特位于 密歇根 Grand Rapids 工厂所支持的设计和合同流程方面的以下记录及福特合同 12345

Verified the following records that support design and contract processes at Flint, MI site and for GM Contract 23456,

确认通用位于密歇根 Flint 工厂所支持的设计和合同流程方面的以下记录及通用合同 23456

Verified the following records that support design and contract processes at Lansing , MI site and for Chrysler Contract 11125

确认克莱斯勒位于密歇根 Lansing 工厂所支持的设计和合同流程方面的以下记录及克莱斯勒合同 11125

Please Follow the NSF PDCA process and audit to specific requirements for each support process.

请遵循 NSF PDCA 流程并审核各个支持流程的特定要求

8.25.7 When auditing a remote support location or a site that supports another site, you must ensure that any customer specific requirements applicable to the supported site are sampled.

审核外部支持场所或支持其他现场的某一现场时，须确保适用于该支持现场的客户的每个特定要求都进行了取样

Example案例

You audit Site A

审核现场 Site A

Site A supports Site B

现场 A 支持现场 B

Site B has BMW as a customer, Site A does not

现场 B 的客户有 BMW，而现场 A 没有



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The sample of CSRs for the Site A audit must include BMW CSRs.

A 现场的顾客特殊要求取样必须包括 BMW 的 CSRs.

Also, you must sample projects related to other locations that receive support from the location you're auditing even if these projects do not occur at this location.

以此类推，进行审核的场所如还支持其他外部场所，那么与该外部场所相关的项目，不论是否也发生于该审核场所，也要进行取样

- 8.25.8 You must physically visit the remote support location to conduct the audit. The only exception for NSF not to do this audit is if a remote support location is audited by another approved CERTIFICATION BODY. The conditions for accepting another CERTIFICATION BODY'S audit are described in IATF Rules 5.5. option 2.

外部支持场所须进行现场审核，除非该场所已经由其它 TS 认可的认证机构进行审核。允许其它认证机构审核的条件在 TS 标准 5.5. 第二项中有详述。

When reviewing audit reports for Remote Support Locations audited by another Certification Body, verify the support defined within the report matches the support defined within the FRS and the AESOP 8203 Pre-Planning form. Any differences noted should be identified as an audit priority on the AESOP 8203 Pre-Planning form and AESOP 13680 Audit Agenda. The client's process descriptions should be reviewed to determine if the support functions / interfaces have been adequately defined and all applicable support interfaces should be audited from the perspective of the NSF site. Nonconformities are warranted if inconsistencies exist but contact the technical team for direction if conclusions are not easily determined. Ensure that any necessary changes are properly communicated to Operations for updating the FRS.

当收到支持场所由其它机构审核的报告时，需确认报告中的支持场所信息与 8203 以及其他表单的一致性。任何不一致的地方都应该在审核前期的 8203 表单以及 13680 审核计划表中体现出来。通过审核客户的过程描述来决定支持功能/接口是否被充分确定，且所有的支持接口都按照 NSF 方法被定义。在出现分歧的情况下开具不符合项，并且在难以以下结论的情况下请技术专家来指导。确保表单上的任何变化在审核时都被详细沟通过。

- 8.25.9 Identification of remote support locations needs to start at Stage 1 and be continually verified at the stage 2 and each subsequent surveillance and reassessment audit. The importance of identifying all remote support locations should be emphasized with the client and the potential negative impact on the certification in the event all remote support locations are not disclosed (e.g. termination of the audit, repeating the audit, issuance of a major NCR, suspension, etc).

外部支持场所的确认应始于阶段 1，并将在阶段 2 和后续每个监督审核及再评审中持续确认。应和客户强调外部支持场所逐一确认的重要性，及外部支持场所的遗漏对认证的潜在不利影响（如审核终止，重新审核，重大不符合项的签发，证书的暂停等）

- 8.25.10 Identification of remote support locations should include visiting corporate websites and interviewing management to ensure that (see section 9 for more information regarding responsibility):

外部支持场所的确认应包括访问公司网页和会见管理层，以确保下列要求（职责相关的更多信息见第 9 章节）

- All remote support locations are identified; i.e., none are missing from the certificate/FRS

所有外部支持场所都已确认，比如证书/FRS 上的外部支持场所无一遗漏



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- Addresses are correct on the certificate/FRS

证书/FRS 上的地址正确无误

- Support scopes (e.g., purchasing, calibration, design, IT, human resources, contract review, strategic planning, etc.) are confirmed and accurately listed on the certificate/FRS

认证范围（比如采购，校准，设计，IT，人力资源，合同评审，战略策划等）确认并准确列在证书/FRS 上

8.25.11 (Obsolete FAQ #20, Rules 4th for reference only) – MANUFACTURING SUPPLIERS ONLY!
Non-manufacturing relationships are to be treated as Remote Support Locations, not supplier (per the IAOB on 10/15/14).

（导则 4 中的 FAQ #20 仅供参考）-仅适用于制造型供应商！

非制造关系则将视为外部支持场所，而非供应商（参见 IAOB，10/15/14）

Conducting on site audit activities - 5.8 进行现场审核活动-5.8	Where a client and its supplier have common ownership, how is the supplier treated in the client's audit? 客户及其供应商的共同所有权所在，客户审核中应如何对待供应商	Adopted from previously issued FAQ #2 for Rules 3rd Edition. 源于先前发表的第3版标准的 FAQ #2 Where the supplier is at the same physical location as the client, the supplier shall be audited as part of the client – see Rules 4th Edition, section 1.0. 当供应商和客户在同一物理场所时，供应商应作为客户的一部分进行审核-参见第4版标准的1.0章节 Where the supplier is at a different physical location to the client, the supplier shall be addressed within the client's quality management system as a supplier, per ISO/TS 16949 OR IATF16949 – 7.4 Purchasing requirements 当供应商和客户在不同的物理场所时，供应商应作为客户质量管理体系中的供应商来对待，参见ISO/TS 16949 – 7.4采购要求
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9. Corrective Action Process 纠正措施流程

- 9.1 The writing of nonconformances against a quality management system is a key driver in improving that system. Nonconformities are expected to be raised when an Auditor discovers that processes and requirements are not fully implemented (see 9.6.4). When customer scorecards indicate poor performance, nonconformances related to customer satisfaction are expected. If overall action plans to improve are not evident then a Major nonconformance would be expected to be written. Proper classification of CARs is an expectation of IATF and soft grading is not permitted. We were cited for writing OFI's that appeared to be a minor and a minor that appeared to be a major in the past. The audit report requires all CARs be justified in terms of their classification, minor or major.



将纠正措施流程进行适宜地归类是 IATF 所期望的，而虚报等级则不被允许。我们就曾因将看似次要不符合项记录为改进机会和将看似重要不符合项纪录为次要不符合项的行为而受到过处罚。审核报告要求所有的纠正措施流程的归类，无论次要或重要不符合项，都要有理可依。

质量管理体系不符合项的描述对于推动其体系发展是一个关键驱动因素。如果相关过程和要求未被有效实施，将开启一个不符合项。(参照 9.6.4).如果顾客积分卡显示其绩效不佳，针对顾客满意度的不符合项将会被开启。如果整体的改善计划证据不够充分，那么将开启一个严重不符合项。

NOTE: Nonconformity is non-fulfilment of a requirement. This includes providing less than what is required or more than what is required.

注释：不符合项指不符合某一要求，包括供过于求和供不应求。

Example: Applying three beads of adhesive on a customer hood when the customer requirements (e.g. master visual standard) state that only two beads of adhesive was to be applied.

案例：客户要求其引擎盖只要滴 2 滴黏合剂（比如主要可视标准），而实际却滴了 3 滴

9.1.1 **Any** instance where there is even a probability that the client will ship nonconforming product to the customer ***must*** be classified as a **major NCR**.

客户将不符合产品交付给客人的任何情况或可能都须归为重要不符合项

Example 1: The client missed inspection(s) required in the control plan.

案例 1：客户遗漏了控制计划所要求的验货这一环节

Example 2: The client is missing the calibration record for **one** gage that is used to accept or reject the product according to customer specifications.

案例 2：依客人规格检查产品接收与否的测量仪没有进行校准记录

Example 3: The client mixed in **one** customer returned product with products that are ready to ship to the customer.

案例 3：客户将一个退货的产品混在了即将出货的产品里

Example 4: (For special characteristics) If C_{pk} falls below the customer acceptable level and the client did not quarantine affected products and still shipped affected products to the customer.

案例 4：（针对特殊特性）如果过程能力指标低于客户可接收水平，而客户对涉及的产品不但不隔离，还仍然发给客人

9.1.1.1 Justification for citing these instances as a minor NCR has to include a detailed explanation as to how the final product will conform to customer requirements. Any differences from the customer requirement must be approved by the customer, not the client (see 8.3.4 of TS 16949).

以上案例作为次要不符和项来举例说明时需有合理依据，包括确保成品将如何符合客人要求的详细说明。任何不合客人要求的细节都须得到客人（而非客户）的批准（参见 TS 16949 的 8.3.4）



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- 9.1.2 Please respond ASAP when a CERTIFICATION BOARD REVIEWER needs clarification regarding how you classified a CAR. Classifying CARs is very subjective so please justify within the CAR form or audit report any CAR that you feel may not be clear. The CERTIFICATION BOARD REVIEWER is an independent reviewer. If the CAR wording is not clear to them then there is a good chance it will not be clear to an AB. Please do not waste time arguing your point with the CERTIFICATION BOARD REVIEWER. It is not productive.

某家证书机构评审员需要说明你如何分类 CAR 时，请尽快做出反应。分类 CAR 是非常主观的，因此请在 CAR 表格里或任何 CAR 审核报告中标明，说你感到不清楚。证书机构评审员是独立的评审员。如果 CAR 措辞不准确，那么对于 AB 来说就会很不清楚。这将会没有成效。

When an NCR is issued against any requirement and the client submits a formal waiver from the customer, the auditor cannot close the NCR based on receipt of such waiver. The client must take corrective action regarding why the justification in the form of the waiver was not present prior to the issue (i.e.; how to prevent this from happening again in the future).

当任何违反要求的不符合项被开出后，且客户已经向客人提交正式的弃权声明书后，审核员收到客户提交的弃权声明后还不能关闭该不符合项。客户还须针对事发前为何没有及时提交弃权说明采取纠正措施（比如以后如何避免此类事件再次发生）

- 9.1.3 When a nonconformance is announced and the client has some concern, you should ask them to show you more evidence to justify not raising the NCR. It is not acceptable to cancel the NCR without any further investigation of additional evidence. Verbal evidence is not sufficient. These situations may remain as open issues until the closing meeting.

当某个不符合项提出时，客户可能会进行一些辩解，这时审核员应让他们提供更多证据，并判断是否要开不符合项。新证据未经彻查，不得撤回不符合项。口头证据是不充足的。不符合项最迟在末次会议结束时须确定下来。

- 9.2 Lead Auditors are responsible to manage and monitor client responses to identified nonconformances within the applicable NSF-ISR systems. Timely review and response to client submissions is expected. TS rules require corrective actions to be closed within 90 days of the audit. There are no exceptions. You must meet this deadline. For a recertification audit, you must close each open corrective action prior to the expiration date on the certificate. That is mandatory. Failure to comply with this deadline means the client's certificate is no longer valid. The client will be required to repeat a stage 1 and stage 2 audit in order to receive certification. This is the reason why recertification audits cannot be conducted past the three-year anniversary of its last registration or recertification audit. 审核组长负责管理和监控客户对于不符合项开启的响应，同时负责监控 NSF-ISR 系统。负责及时评审以及管理客户递交材料的及时性。TS 导则要求纠正措施应在审核结束后 90 天内关闭。无一例外。你必须符合这个时间限制。对于一个再认证审核，你必须在证书有效期到期前关闭每一个开放的纠正措施。那是强制的。无法遵守这个时限意味着客户的证书不将是有效的。客户可能被要求重新进行阶段一和阶段二审核。这就是为什么超出了上一轮注册或再注册审核后的 3 年周期的再认证不能被执行的原因。

- 9.2.1 Within a maximum of sixty (60) calendar days from the closing meeting of the site audit, the Lead Auditor shall ensure that the client submits evidence of the following:

在现场审核结束会议最多六十（60）个日历日内，审核组长应确保客户提交以下证据

- a) Implemented correction, 纠正措施



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b) Root cause including methodology used, analysis, and results, (e.g., “5 Why”; cause and effect diagram; fishbone analysis; etc.) 根本原因,包括使用的方法, 分析和结果 (例如, “5 为什么”; 因果图; 鱼骨分析等)

c) Implemented systemic corrective actions to eliminate the root cause(s) of each nonconformity, including consideration of the impact to other similar processes and products, 实施系统纠正措施, 解决每个不合格的根本原因, 包括考虑对其他类似工艺和产品的影响,

d) Verification of effectiveness of implemented corrective actions. 验证已实施的纠正措施的有效性

9.2.2 In exceptional case (s), where the implementation of corrective action cannot be completed within a maximum of 90 calendar days from the closing meeting of the site audit, the auditor may consider the nonconformity open, but 100% resolved when the following conditions have been met:

在特殊情况下,纠正措施的实施从现场审核末次会议起, 最多90天内不能完成的,审核员必须考虑开不符合项, 但在以下情况下, 必须100%解决:

a) Containment of the condition to prevent risk to the customer has been taken, including a review of the systematic impact on the clients process,

为了控制客户承担风险的情况, 包括评估系统对客户的影响过程

b) Documented evidence of an acceptable action plan, instructions, and records to demonstrate the elimination of the nonconformity condition, including a review of the systematic impact on the clients process,

记录可接受行动计划的证据、指令和记录证明消除不一致的情况, 包括评估系统对客户的影响过程

c) Schedule the on-site Special Audit (i.e. Verification audit) based on the accepted action plan promised date and prior to the next audit. This CANNOT be the day before (i.e., back-to-back) the next audit in the cycle. Auditor must contact the CRM to ensure that this audit is created in Oasis.

基于公认行动计划承诺的日期和下一次审核之前, 安排现场特别审核(例如验证审核), 且不能是下一个审计周期之前的日期。审核员必须联系 CRM 以确保该审核是在 Oasis 中创建的

d) In situations where 100% resolution has been determined, the auditor shall change the status of the NCR to “Closed, Not Approved” and record the justification in the Reviewer Comments section of the NCR in Oasis and record the date of the next Special Audit based on the proposed, reasonable corrective action date.

在决议已经 100%确定的情况下, 审核员应当将 NCR 的状态更改为“关闭,不批准”, 并记录评论员在 Oasis 的 NCR 中的评论部分, 且应基于推荐的, 合理的纠正措施日期记录下次特殊审核的日期。



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9.2.3 NSF-ISR Technical management must be informed in advance of a Lead Auditor justification for selecting this classification. NSF-ISR Technical management strongly discourages the use of this classification since 4th edition has been implemented for the following reasons:

NSF-ISR技术管理必须提前通知审核组长选择该分类的理由。NSF-ISR技术管理强烈阻止使用这种分类，从第四版开始，因以下原因实施：

- a) IAOB believes this to be the easy way out to keep the client cert and they will verify the justifications carefully over the next year.
IAOB认为这是维持客户证书的简单方法,且他们将会在第二年仔细验证理由。
- b) Auditor must arrange another separate on site verification audit for the 100% resolved issues.
为了100%解决问题，审核员需安排独立现场验证审核
- c) Auditor cannot arrange this on site verification audit immediately before the next audit to save travel costs, must be done separately according to the client promised date (IAOB issued an NCR to NSF-ISR for scheduling a back to back special audit and surveillance audit)
审核员不能安排现场验证审核，必须根据客户承诺日期(IAOB发布给NSF-ISR的NCR，安排一个背靠背特殊审核和监督审核)立即在下次审核前保留出差费用。
- d) Auditors who approved 100% resolved CARs must conduct the special audit by themselves
同意100%解决CARs的审核员必须自己组织特殊审核
- e) NSF-ISR typically does not pay for travel time unless client is reimbursing us.
NSF-ISR通常不支付出差时间，除非客户偿还给我们
- f) Avoidance of this scenario can only come from Lead Auditor diligence in following-up with the client to ensure corrective action is completed on time.
避免这种情况，只能来自审核组长多与客户跟踪,确保纠正措施按时完成

9.3 The following describes expectations for completing an NSF CAR form. Remember, clearly stated nonconformances with solid objective evidence references are difficult to dispute or appeal.

以下描述是对完成NSF CAR表单的期望。记住，用客观证据清楚的阐述不符合项才不会引起争议

Statement of requirement - Reference primary clause or sub-clause from TS Requirements which was not met. If issue was related to a Rules infraction then write issue against requirements 4.1 (failure to maintain QMS) and then add a secondary reference to Rules expectation.

要求描述- 参考TS要求的主要条款以及小条款. 如果违反导则则开启一个 4.1 的不符合项 (failure to maintain QMS) 并且添加一个对导则期望的二次引用。

Statement of nonconformity – eg. “The process for XXXXXXXX is not fully effective”.

不符合描述– 例如 “XXXXXXX的过程不是充分有效的”。

Objective evidence – Document the symptoms noted including specific objective evidence examples.

客观证据 – 列出详细描述客观证据的例子

Justification for classification - Document why the issue was classified as a major or minor NC with specific reference to the objective evidence and its implications.

理由分类 - 列出用客观证据描述为什么是严重或轻微不符合项以及其影响



- 9.4 All nonconformance must be APPROVED by the auditor prior to the expiration date, and CERTIFICATION BOARD/Certification Decision Review completed no later than the certificate's expiration date. Additionally, no auditors from the previous audit cycle may be used in the next audit cycle starting with the reassessment audit. The only exception is where an auditor from the prior cycle may be used to ensure an effective transition (Rules 5.6)

所有不符合项必须在到期日前全部解决，以及认证机构/认证决定人员的决定不能晚于证书到期日。此外，之前一轮的审核员不能在再认证审核组里面作为组员。当前一周期审核员要用来确认一个有效的过度（导则 5.6）时，例外

IF THE TIMING IS MISSED, THEN THE CERTIFICATE MAY BE SUSPENDED (LATE SURVEILLANCE) OR WITHDRAWN (LATE REASSESSMENT).

假如错过了时间节点，证书可能被暂停（监督延迟）或者撤销（再认证延迟）

10. IAOB Waiver Requests: 申请

- 10.1 All requests for IAOB Waivers shall be communicated to either the NSF-ISR Automotive Technical Manager, or the Automotive Business Unit Manager via email.

所有 IAOB Waiver 申请应与 NSF-ISR 汽车技术经理或汽车项目经理进行 Email 沟通

- 10.2 The waiver request will be made directly to the IAOB via email, by the Automotive Technical Manager, or the Automotive Business Unit Manager.

Waiver 申请将被直接通过 Email 由汽车技术经理或汽车项目经理提交给 IAOB

- 10.3 Completed waiver requests submitted for IAOB approval shall be saved on the NSF Server (P:\isr shared\Accreditation Bodies\IAOB-IATF\IAOB Approvals and Waivers).

已经提交的需要 IAOB 批准的完整的弃权申请应被保存在 NSF 的服务器上面（P:\isr shared\Accreditation Bodies\IAOB-IATF\IAOB Approvals and Waivers）

- 10.4 All approved waivers will also be sent via email to the Database Administrators responsible for updating the IATF db to ensure that they are fully aware of the nature of the approval, and to ensure that the IATF db can be updated correctly and accurately. As applicable, the details of the waiver (i.e. waiver number, approval date, and approval comments) shall be entered in the IATF database.

所有批准的 Waiver 也将通过 Email 被发送给负责更新 IATF DB 的技术专家，来确保他们完全明白这个批准的性质，以及确保 IATF DB 能把准确地更新。若适用，Waiver 的细节（如 Waiver 的人数，批准日期，批准意见）应输入 IATF 数据库。

- 10.5 Once a response has been given by the IAOB, the waiver details shall be reviewed by the Automotive Technical Manager and/or the Automotive Business Unit Manager to determine follow-up requirements.

一旦 IAOB 给出反馈，waiver 的具体情况应被汽车技术经理和/或汽车项目经理进行评审确定接下来的要求

- 10.6 Approved waivers shall be saved in the "Approved Waivers" folder on the shared drive for future reference.

批准的 waivers 应被保存在 "Approved Waivers" 文件夹，以便于后续参考的需要

- 10.7 The person responsible for making the original request to IAOB (Automotive Technical Manager, or the Automotive Business Unit Manager), will also be responsible for communicating the result of the IAOB review to the NSF-ISR person(s) affected by the waiver request.



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负责制定原始 IAOB 申请的人员（汽车技术经理，或汽车项目经理），也将负责沟通 IAOB 评审的结果，以及弃权申请所影响的 NSF-ISR 人员

- 10.8 Where conditional approval is granted by the IAOB, the Automotive Technical Manager, or the Automotive Business Unit Manager, will provide the details of the conditions to the affected personnel to ensure that conditions will be met.

对 IAOB 授予的有条件批准的地方，汽车技术经理，或汽车项目经理，将提供这个条件的具体情况给相关影响到确保这个条件满足的人员

- 10.9 The Automotive Technical Manager or the Automotive Business Unit Manager shall ensure the conditions of the waiver request have been implemented.

汽车技术经理或汽车项目经理应确保弃权申请的条件已经被实施

- 10.10 Where the waiver request is not approved by the IAOB, the Automotive Technical Manager, or the Automotive Business Unit Manager shall notify the affected persons of the decision accordingly to ensure that the affected Rule will be followed per normal conditions.

对 IAOB 未批准的弃权申请的地方，汽车技术经理或汽车项目经理应通知相关人员，并确保这个弃权申请的 Rule 条件将按照正常的 Rule 要求执行

11. IAOB Adding or Removing POVs , witness auditors and internal system auditors.

IAOB 增加或移除 POVs 和见证审核员和内部体系审核员

- 11.1 NSF's Automotive Business Unit Manager, or designee, must secure an approval from the IAOB office anytime an individual is added or removed from this list. These requests are now entered through the AMP portal whereas they were email requests in the past.

NSF 汽车企业单位经理或指定人员，须向 IAOB 申请可以随时从该表增加或移除某审核员，并得到 IAOB 的批准。增加或移除的申请在以前只能以邮件形式提出，而现在可以通过 AMP 平台提出

- 11.2 Along with the approval request, the Automotive Business Unit Manager, or designee, shall submit a draft copy of 10506 that notes the additions or removals on the form for the IAOB to review if needed.

除申请外，汽车企业单元经理或指定人员还应提交一份 10506 的草稿，上面要注明表格上新增或移除的地方，以便 IAOB 评审时需要

- 11.3 Once the request is approved by the IAOB, the Automotive Business Unit Manager, or designee shall:

一旦申请被 IAOB 所批准，汽车技术经理，或指定人员应

- 11.3.1 Notify the NSF administrative assistant, or designee, to update the NSF Oasis database so the individual has approved access in NSF's Oasis system.

通知 NSF 行政助理，或指定人员，去更新 NSF Oasis 数据库，因此，授权的个人可以访问 NSF Oasis 系统



11.3.2 Process the draft copy 10506 in NSF AESOP's system.

处理这个在 NSF AESOP 系统里的 10506 草稿

12. NOTIFICATION OF FACILITY CLOSURES

工厂关闭的通知

- 12.1 If you learn that a Site will cease its certification activities with NSF-ISR, then you must notify the Client Relationship manager (CRM).

假如你获悉一个现场将停止与 NSF-ISR 的认证活动，你必须通知客户关系经理

- 12.2 If a facility has relocated, then please notify the CRM.

假如工厂已搬迁，请通知客户关系经理

- 12.3 Ensure that all of the above information is noted in the FRS changes section of the Oasis audit report.

确保所有以上的信息被注释在 Oasis 审核报告中的 FRS 变更段落里

13. CHANGES TO THE IATF AUTOMOTIVE SCHEME AND NSF-ISR SYSTEM CHANGE MANAGEMENT

汽车方案和 NSF-ISR 汽车系统变更管理的变化

- 13.1 When there is a change to the IATF scheme which may affect NSF-ISR policies, practices or procedures, an impact assessment shall be completed and documented by the Scheme Technical Manager or designate and filed in the ISR Shared drive under the "Accreditation bodies/ IAQB-IATF/ Change management" folders.

当 IATF 方案发生变更，可能影响 NSF-ISR 政策，做法或程序时，应由方案技术经理完成一次审核并记录影响评估，或在 ISR 共享驱动器中根据“认证机构/ IAQB-IATF /更改管理”文件夹。

- 13.2 A file will be maintained in this location which logs the source of the change (eg. Communiqué, SI, FAQ, Requirement or Rules revision, etc.), summary of the change, impact of the change, date of change, and other relevant information. For significant revisions, this log or listing may simply reference a separate action plan or similar tool which shall be stored in the same folder.

文件将保持在这个位置记录的更改源（如公报、SI、FAQ、要求或规则的修订，等）的变化，总结变化的影响，日变化，以及其他相关信息。对于重大的修改，此日志或列表可以简单地引用一个单独的行动计划或类似的工具，将存储在同一个文件夹中



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Appendix A – Accessing Previous Surveillance Reports

附录 A – 访问之前监督报告

Planning for reassessments requires the auditor to review the previous cycle's surveillance audit reports and performance information. To do this, you will need to access iAudit.

复评的策划要求审核员评审上周期的监督审核报告和绩效信息。要完成这个，需要登入 iAudit

- 1) Select the audit from your calendar (if it's been scheduled) or through the Search function.

选择或搜索自己日程中计划好的某次审核

- 2) Under Visit Information, select the “Related Docs” tab, see below.

如图，在“访问信息”界面下，选择“相关文档”键

Audit #	Audit Category	Audit Type	Previous CAR 1	Previous CAR
1709547	REASSESSMENT	QMSI9K08		

Audit Type	Report Type	Audit Date
	FRS	
QMSI9K08	IQAR	04/08/2014
QMSI9K08	IQAR	04/14/2015
QMSI9K08	AUDIT_PLAN	04/12/2016
QMSI9K08	IQCAR	04/12/2016
QMSI9K08	IQAR	04/12/2016

- 3) Previous reports will be listed under “Miscellaneous Reports”. Click OPEN next to the report you'd like to view. If required information is not available then contact the Account manager (cc Technical) with requested additional info needs.

以前的报告都将列在“Miscellaneous Reports”下面。访问报告可点击报告旁的“OPEN”即可打开。如果里面还是没有想要的信息，可以联系客户经理（并抄送给技术员）来查找所需信息。

Appendix B – Transition audits to IATF 16949 from ISO/TS 16949:2009

附录 B-ISO/IATF16919: 2009 到IATF16949 的过渡审核

The NSF-ISR approach has been communicated in early December 2016 via webinar and made available to all clients. Descriptive information has been posted on the NSF website since this time. Basic approach involves an offsite document review utilizing our Delta checklist (AESOP 16912) to confirm an appropriate change management process



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was executed for our clients QMS followed by an on-site Transition audit which confirms implementation of changes. All associated locations (manufacturing sites and remote support locations (RSLs)) must go through the transition audits and RSLs are expected to be audited first. Basic steps are as follows:

NSF-ISR 方法已于 2016 年 12 月初通过在线研讨会通知了所有客户，描述信息也相应放在了 NSF 网站上。基本方法包括用 Delta 检查表 (AESOP16912) 进行非现场文件评审，以确认客户执行了适当的变更管理过程进行了确认变更开始的现场过渡审核。所有相关场所 (生产制造场所和外部支持场所 (RSLs)) 都须进行过渡审核，RSLs 要安排先审。基本步骤如下：

- 1) Each manufacturing site requires a document review be scheduled which is 4 hrs in duration. This audit requires the client to submit a completed AESOP 16912 delta checklist with supporting evidence to the Lead Auditor in advance of the audit date. The Auditor reviews all information offsite and completes the 16912 checklist with comments. Potential outcomes are: ready for transition audit; not ready for Transition audit; or Open issues to be resolved prior to Transition audit. These are scheduled audits and the main report is a completed 16912 checklist returned to the office.

每个生产制造场所都要求审核总人天中要有一个 4 小时的文件评审时间。审核要求客户在审核开始日之前向审核组长提交一份填好的 AESOP16912Delta 检查表，并附上支持证据。审核员评审所有非现场信息并将自己的意见填在 16912 检查表中。审核结论可以是：过渡审核已准备就绪；过渡审核未准备就绪；还有一些问题在过渡审核前有待解决。这些审核都要按计划时间来安排的，主要的报告是填写完整并返还给办公室的 16912 检查表。

- 2) Remote support locations go through a similar process however the document review is a 2 hr activity due to the limited nature of the review for RSLs. These audits are not formally scheduled but rely on the Auditor to complete the activity and provide the client feedback prior to the RSL Transition audit visit.

支持场所的审核流程与之类似，不过因 RSLs 的支持职能有限，文件审核时间只须用 2 小时。这些审核并未正式排程，审核员只需在 RSL 过渡审核开始日前完成并提供客户反馈即可。

References参考

- AESOP #10132 “NSF-ISR ISO TS 16949 DRAFT AUDIT REPORT”
AESOP #10132 “NSF-ISR ISO TS 16949 草稿审核报告”
- AESOP #7246 “NSF-ISR Audit Procedure”
AESOP #7246 “NSF-ISR 审核程序 “
- AESOP #9290 “IATF Auditor Guide First Ed April 2009”
AESOP #9290 “IATF 审核员指南 2009 4 月第一版”
- AESOP #8203 “NSF ISR Pre-Planning Form”
AESOP #8203 “NSF ISR 初步计划表格”
- AESOP #13680 “NSF-ISR Audit Plan”
AESOP #13680 “NSF-ISR 审核计划”
- Automotive Certification Scheme for ISO/TS 16949 OR IATF16949 - Rules for achieving and maintaining IATF Recognition



ISO/TS 16949 汽车认证计划—获得 IATF 认证导则

- IATF CB Communiqués, SI's, FAQ's, Errata
IATF 认证机构公告, SI's, FAQ's, Errata
- 3849 - NSF-ISR Quotations Discounting and Contract Review Practice
3849 -NSF-ISR 报价折扣以及合同评审惯例
- 7246 NSF-ISR Audit Procedure
7246 NSF-ISR 审核程序
- 4876 NSF-ISR Policies for Accredited Registration Services
4876 NSF-ISR 认可注册服务政策
- 10132 NSF-ISR ISO/TS 16949 OR IATF16949 DRAFT AUDIT REPORT
10132 NSF-ISR ISO/TS 16949 草稿审核报告
- 8585 NSF-ISR Requirements for Scopes of Registration
8585 NSF-ISR 注册范围要求
- 8203 NSF-ISR Audit Pre Planning Form
8203 NSF-ISR 审核初步计划表格

(End)



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Record Retention Table

AESOP #	AESOP Title 标题	Filing Responsibility (Choose one)	Storage Location (Choose one)	Naming Convention	Required Retention: AESOP 2751 Retention Authority
3862	NSF-ISR AUTOMOTIVE ACCREDITATION SCHEME FOR ISO/TS 16949 OR IATF16949 汽车认证计划	<input type="checkbox"/> BDM <input type="checkbox"/> Regional Mgr <input checked="" type="checkbox"/> BUM <input type="checkbox"/> Sales Asst <input type="checkbox"/> CRM <input type="checkbox"/> Pres/VP <input type="checkbox"/> Lead Auditor <input type="checkbox"/> Other (specify) <input type="checkbox"/> 业务经理 <input type="checkbox"/> 区域经理 <input checked="" type="checkbox"/> 业务单元经理 <input type="checkbox"/> 销售助理 <input type="checkbox"/> 客户关系经理 <input type="checkbox"/> 副总 <input type="checkbox"/> 审核组长 <input type="checkbox"/> 其他（具体说明）	<input checked="" type="checkbox"/> IQ <input checked="" type="checkbox"/> OASIS <input type="checkbox"/> Drive: (specify) 驱动盘 （具体说明）	<input checked="" type="checkbox"/> Document Naming Protocol AESOP 12632 <input type="checkbox"/> Other (specify) <input checked="" type="checkbox"/> AESOP 12632 文档命名 协议 <input type="checkbox"/> 其他（具体说明）	<input checked="" type="checkbox"/> Audit Manager <input type="checkbox"/> President/VP <input checked="" type="checkbox"/> 审核经理 <input type="checkbox"/> 副总

Amendment Record

Version # 版本号	Submitted Date 提交日期	Summary of Changes 变更概要
1	12/2012	Added process for removing and adding a POV 增加的移除或增加 POV 的程序
2	02/2013	Added clarifications regarding draft report requirements 就草稿报告要求增加说明 Added reference to the ISR Shared drive for waivers 在 ISR 共享驱动添加进入 waivers 路径 Replaced/changed titles 替换、更改标题 Removed Personnel Reference Section 移除参考人员部分
3	03/2014	Updated language to meet TS Rules 4 th edition. 更新语言满足 TS 准则 第四版 Removed section related to IAOb witness audit feedback as this will be posted to a guidance document for ongoing updates. 移除与 IAOb 见证审核反馈相关的部分，因为该内容将放在持续更新的指导文件中 Added key process definitions. 增加对关键过程的定义
4	05/2014	Updated pre-planning and planning sections based upon witness audit finding. 依据见证审核发现，更新前期策划和策划部分
5	10/2014	Revised definition of "Remote Support Location" in 2.1 修正 2.1 里外部支持场所的定义 Revised section 5 as a result of NSF-WA-14N-NC-1 (remote support locations and the IAOb confirmed IATF interpretation of "suppliers" related to FAQ #20 from TS Rules 4 th) 修正 NSF-WA-14N-NC-1 的第五部分，（外部支持场所和 IAOb 确认 IATF 在 FAQ #20 TS 准则四有关的对“供应商”的解释
6	11/2014	Updated procedure listing in 3. 更新程序 列表见 3. Clarified handling of transfers in 7.4 澄清对转机构案子的处理，见 7.4
7	12/2014	Added 6.2.1 and 6.2.2 to address requirements for 100% resolved NCRs. 将 6.2.1 和 6.2.2 加入 处理 100%解决 NCRs.要求
8	4/2015	Added notes to 9.16 & 9.17 due to witness audit findings. 增加 9.16 & 9.17 中对见证审核发现的注释



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31	6/2015	Added notes in 9.18 & 9.19 related to certificate withdrawal circumstances 增加 9.18 & 9.19 中对证书撤销状态的注释
32	10/2015	Added notes in 4.10 & 4.14 related to Remote Support Locations. 增加 4.10 & 4.14 中对外部支持场所的注释
33	12/2015	Added notes in 7.13 related to agenda expectations. 增加 7.13 中对议程期望的注释
34	1/2016	Various clarifications/additions due to witness audit findings 见证审核发现的各种澄清说明/新增
35	2/2016	Added clarification on writing NCs against CSRs. Clause 9.9 对照 CSRs 条款 9.9, 评判不符合项的新增说明
36	3/2016	Revisions to section 4.10 related to remote support location handling. 修正 4.10 中处理外部支持场所的部分
37	4/2016	Revisions to section 7.2 related to prioritizing audit questions during process audits.. 修正 7.2 中审核过程中的优先次序部分
38/39	7/2016	Various minor revisions and clarifications. 多个细微修正和澄清
40	9/2016	Added clause 7.10.1 due to IAOB witness audit finding. 基于 IAOB 见证审核发现增加了 7.10.1 条款
41	9/2016	Revised 7.8 and 7.9 due to IAOB witness audit finding. 基于 IAOB 见证审核发修正了条款 7.8 和 7.9
42	11/2016	Added section 13 to address change management. 增加了第 13 条地址变更管理
43	12/2016	Added sections 4.4.1, 5.2.1 (renumbered remaining), 7.15 对于 4.4.1, 5.2.1 部分 (重新编号), 增加了第 7.15 条
44	03/2017	Added section 4.10.1 related to RSL audits by another CB. 增加了 4.10.1 部分关于支持场所被其它机构审核
45	03/2017	Removed audit termination language in section 9.18; added annex B re. Transitions to IATF and several minor additions due to witness audit findings. Also reorganized information. 移除了 9.18 中审核终止的部分; 增加附录 B-向 IATF 的过渡审核, 基于见证审核发现的一些细微增加项, 并重组了信息。