



IATF 16949认证审核时间

IATF 16949 Certification Audit Time

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IATF 16949 认证审核时间

“审核时间” 包括“审核人日” + “额外审核时间”。

1 第 1 阶段准备评估的审核时间

1.1 第 1 阶段准备评估的“审核人日”应仅适用于第 1 阶段准备评估的首次和末次会议、评估活动的执行（第 1 和第 2 部分）以及第 1 阶段准备评估报告的编写。休息和客户场所之间的旅行时间不包括在“审核人日”内。

1.2 第 1 阶段准备评估的“额外审核时间”应适用于翻译和技术专家时间。

1.3 对于每个制造现场，适用时，为第 1 阶段准备评估（第 1 部分和第 2 部分），计划在现场执行一个半(1.5)至三(3)个人日的审核。

1.4 对于集团方案，计划在半(0.5)个到两(2)个审核人日对客户质量管理体系管理支持功能所在的中心场所执行一次第 1 阶段准备评估。

注：如果中心场所位于一个制造现场，第 1 阶段评估的时间是上述 1.3 中要求的审核人日之外的时间。

2 初次第二阶段审核、监督审核和再认证审核的审核时间

2.1 审核人日

初次第二阶段审核、监督审核和再认证审核的“审核人日”应符合表 1 中所列的最少审核人日，并且仅适用于审核首次和末次会议、审核客户过程和审核报告。休息和客户场所之间的旅行时间应排除在“审核人日”之外。

注：在 ZA-FCAV 认为适当的情况下，审核人日可能超过表 1 中的最少审核人日，以确保有效的审核和充分的抽样(如，考虑到组织的复杂性、顾客群和与组织相关的风险)。



表 1 最少审核人日

初次第2阶段审核		监督审核	再认证审核	
受审核实体： 员工人数	第 2 阶段现场审 核的最少审核人 日	年度监督审核最少 审核人日 (圆整前)	受审核单位： 员工人数	再认证审核最少 审核人日
1 – 11	2.5	1.25	1 – 14	2.0
12 – 18	3.0	1.5	15 – 28	2.5
19 – 27	3.5	1.75	29 – 49	3.0
28 – 39	4.0	2.0	50 – 80	3.5
40 – 54	4.5	2.25	81 – 122	4.0
55 – 71	5.0	2.5	123 – 176	4.5
72 – 93	5.5	2.75	177 – 246	5.0
94 – 117	6.0	3.0	247 – 332	5.5
118 – 146	6.5	3.25	333 – 436	6.0
147 – 179	7.0	3.5	437 – 562	6.5
180 – 216	7.5	3.75	563 – 710	7.0
217 – 257	8.0	4.0	711 – 883	7.5
258 – 304	8.5	4.25	884 – 1082	8.0
305 – 348	9.0	4.5	1083 – 1310	8.5
349 – 422	9.5	4.75	1311 – 1569	9.0
423 – 507	10.0	5.0	1570 – 1860	9.5
508 – 602	10.5	5.25	1861 – 2187	10.0
603 – 711	11.0	5.5	2188 – 2551	10.5
712 – 832	11.5	5.75	2552 – 2953	11.0
833 – 968	12.0	6.0	2954 – 3398	11.5
969 – 1119	12.5	6.25	3399 – 3886	12.0
1120 – 1286	13.0	6.5	3887 – 4419	12.5
1287 – 1470	13.5	6.75	4420 – 5001	13.0
1471 – 1673	14.0	7.0	5002 – 5632	13.5
1674 – 1895	14.5	7.25	5633 – 6317	14.0
1896 – 2138	15.0	7.5	6318 – 7057	14.5
2139 – 2402	15.5	7.75	7058 +	15.0
2403 – 2688	16.0	8.0		
2689 – 2999	16.5	8.25		
3000 – 3334	17.0	8.5		
3335 – 3695	17.5	8.75		
3696 – 4084	18.0	9.0		
4085 – 4502	18.5	9.25		
4503 – 4949	19.0	9.5		
4950 – 5427	19.5	9.75		
5428 – 5937	20.0	10.0		
5938 – 6482	20.5	10.25		
6483 – 7061	21.0	10.5		
7062 – 7676	21.5	10.75		
7677 +	22.0	11.0		

在表 1 所示的最多员工人数基础上每增加 1000 名员工，最少审核人日应增加半(0.5)个审核人日。

2.2 额外时间

2.1 “额外审核时间”与不计入表 1 定义的最少审核人日的审核活动有关，如，验证先前一般不符合、翻译时间、技术专家时间、重大变更调查、IATF OEM 质量和交付绩效问题调查、范围扩展 影响、搬迁影响等。



2.2 在每个日历日，每位审核员的审核时间(即“审核人日”+“额外审核时间”)不应超过十(10) 小时。

2.3 如果审核员或受审核人员不能流利地使用即将执行审核的语言，则应使用翻译。至少百分之二十(20%)的“额外审核时间”应分配给使用翻译的客户过程的审核。

2.4 当受审核客户场所不满足规定的 ATF OEM 质量和/或交付目标时，认证机构应根据表 2 中的规定在当前审核计划中增加“额外审核时间”。

表 2 绩效问题的额外最少审核小时数表

受审核场所	未达到质量和/或交付目标的IATF OEM顾客数量	
员工人数	1-2个IATF OEM 数量	3个或更多IATF OEM 数量
<500	4小时	6小时
500 -3000	5小时	7小时
>3000	6小时	8小时

2.5 如果需要对一般不符合的系统性纠正措施的有效实施进行验证，则应为每项一般不符合计划并执行半(0.5)小时至一(1)小时的“额外审核时间”。

2.6 如果认证范围发生变化，应增加“额外审核时间”，以调查认证范围变化对质量管理体系继续满足 IATF 16949 认证要求的能力的影响。

3 特殊审核的审核时间

3.1 特殊审核的“审核人日”应仅涉及审核首次会议和末次会议、审核客户过程和审核报告。休息时间和客户场所之间的旅行时间不应计入“审核人日”。

3.2 特殊审核的“额外审核时间”应包括翻译时间和技术专家时间。

3.3 在确定特殊审核时间时，按照 ZA-FCAV 确定的满足特殊审核目的和完成特殊审核目标所要求的适当审核人日执行。如果特殊审核的目的是验证系统性纠正措施的有效实施情况，每项严重不符合应计划并执行一(1)小时至三(3)小时的验证时间；每项一般不符合应计划并执行半(0.5)小时至一(1)小时的验证时间。

3.4 如果特殊审核目的与未达到 IATF OEM 记分卡中规定的 IATF OEM 质量和/或交付目标有关，则应考虑表 2 中的要求计划最少审核人日。



4 具有独立远程支持场所的认证结构的审核时间

4.1 在计算具有一个(1)或多个独立远程支持场所的每个客户的最少审核人日时,使用以下方法之一:

- 1) 通过将独立远程支持场所的员工人数分配到所支持的制造现场,计算每个制造现场和独立远程支持场所的最少审核人日。
- 2) 如表 1 所示,根据客户场所的员工人数,分别计算每个制造现场和独立远程支持场所的最少审核人日。

4.2 在计算最少审核人日时,不允许分配位于向另一个制造现场提供支持的制造现场的支持功能员工。

4.3 按 IATF 规则第六版的考虑因素,将计算出的总的最少审核人日应仅在制造现场和独立远程支持场所之间进行分配。

5 集团方案审核时间

集团方案中每个制造现场应确定自己单独的审核时间。

对于属于集团方案一部分的任何客户场所的第 2 阶段认证、监督和再认证审核,在圆整之前,表 1 中规定的最少审核人日可减少百分之十五(15%)。

计算出的总最少审核人日应仅在制造现场和独立远程支持场所之间进行分配。

6 审核时间的减少

在根据表 1 确定最少审核人日时,可在下列情况下予以减少:

- a) 对于一个制造现场,如果客户能够有证据证明其没有产品设计责任,则最少审核人日可减少百分之十五(15%);
- b) 从 ISO 9001 升级到 IATF 16949 时,第二阶段认证审核的最少审核人日可减少百分之三十(30%);如果认证范围扩大,则不应减少。现有的 ISO 9001 认证和新的 IATF16949 认证的认证机构应是同一家。当 ISO 9001 认证的客户转移到新认证机构时,在对 IATF 16949 进行升级审核之前,新认证机构应进行 ISO 9001 再认证或监督审核。
- c) 对于集团方案的应用最少审核人日可减少百分之十五(15%)。
- d) 对于从 IATF 16949 符合证明函升级到 IATF 16949 认证,如果满足“从符合证明函升级到 IATF 认证”的所有要求,第 2 阶段认证审核的最少审核人日可减少百分之三十(30%);
- e) 申请新的符合证明函时,不要求进行第 1 阶段准备评估,第 2 阶段认证审核的最少审核人日可减少百分之三十(30%)。
- f) 对于先前证书撤销、注销或到期后的初次认证审核,不需要第 1 阶段准备评估,并且第 2 阶段认证审核的最少审核人日可以等同于再认证审核的最少审核人日,如果:
 - 1) 初次认证审核的认证机构与先前发布证书的认证机构是同一家;
 - 2) 自先前证书被撤销、注销或过期以来,不超过十二(12)个月;
 - 3) 在撤销证书的情况下,满足第 IATF 规则 8.7 “认证撤销后的措施”条中的要求。
- g) 将上述 a)-e) 的减少合并计算,则审核人日减少的上限为百分之三十(30%)。



IATF 16949 Certification Audit Time

"Audit time" includes "Audit manday" + "Additional audit Time".

1 Stage 1: Audit time of readiness review

1.1 The audit days for the Stage 1 Preparatory Assessment shall apply only to the first and last meetings of the Stage 1 Preparatory Assessment, the execution of the evaluation activities (Parts 1 and 2) and the preparation of the Stage 1 Preparatory Assessment Report. Travel time between breaks and client sites is not included in the "Audit days".

1.2 The "additional Audit time" for the preparation of the assessment in Stage 1 shall apply to the time of the translator and technical expert.

1.3 For each manufacturing site, where applicable, prepare the assessment (Parts 1 and 2) for Stage 1 and plan to perform an audit at the site for one and a half (1.5) to three (3) personal days.

1.4 For Group Programs, a Stage 1 Readiness Assessment is planned to be carried out at the central site where the Client's quality system management support function is located within half (0.5) to two (2) auditor days.

Note: If the central site is located at a manufacturing site, the Stage 1 assessment will be outside of the auditor days required in 1.3 above.

2 Audit time for Initial Stage 2 Audits, Surveillance Audits, and Recertification Audits

2.1 Audit Day

The "auditor days" for the initial Stage 2 audit, surveillance audit, and recertification audit shall be in line with the minimum auditor days listed in Table 1 and shall apply only to the first and last meeting of the audit, the audit of the client process, and the audit report. Travel time between breaks and client premises should be excluded from the "Audit Day".

Note: Auditor days may exceed the minimum number of auditor days in Table 1 as deemed appropriate by ZA-FCAV to ensure effective audits and adequate sampling (e.g., taking into account the complexity of the organization, customer base, and risks associated with the



organization).

Table 1 Minimum number of Audit days

Initial Stage 2 Audit		Surveillance Audit
Audited entity: Number of employees	Minimum audit days for Stage 2 site audit	Minimum audit days for annual surveillance audit (before rounding)
1 – 11	2.5	1.25
12 – 18	3.0	1.5
19 – 27	3.5	1.75
28 – 39	4.0	2.0
40 – 54	4.5	2.25
55 – 71	5.0	2.5
72 – 93	5.5	2.75
94 – 117	6.0	3.0
118 – 146	6.5	3.25
147 – 179	7.0	3.5
180 – 216	7.5	3.75
217 – 257	8.0	4.0
258 – 304	8.5	4.25
305 – 348	9.0	4.5
349 – 422	9.5	4.75
423 – 507	10.0	5.0
508 – 602	10.5	5.25
603 – 711	11.0	5.5
712 – 832	11.5	5.75
833 – 968	12.0	6.0
969 – 1119	12.5	6.25
1120 – 1286	13.0	6.5
1287 – 1470	13.5	6.75
1471 – 1673	14.0	7.0
1674 – 1895	14.5	7.25
1896 – 2138	15.0	7.5
2139 – 2402	15.5	7.75
2403 – 2688	16.0	8.0
2689 – 2999	16.5	8.25
3000 – 3334	17.0	8.5
3335 – 3695	17.5	8.75
3696 – 4084	18.0	9.0
4085 – 4502	18.5	9.25
4503 – 4949	19.0	9.5
4950 – 5427	19.5	9.75
5428 – 5937	20.0	10.0
5938 – 6482	20.5	10.25
6483 – 7061	21.0	10.5
7062 – 7676	21.5	10.75
7677 +	22.0	11.0

Recertification Audit	
Audited entity: Number of employees	Minimum audit days for recertification audit
1 – 14	2.0
15 – 28	2.5
29 – 49	3.0
50 – 80	3.5
81 – 122	4.0
123 – 176	4.5
177 – 246	5.0
247 – 332	5.5
333 – 436	6.0
437 – 562	6.5
563 – 710	7.0
711 – 883	7.5
884 – 1082	8.0
1083 – 1310	8.5
1311 – 1569	9.0
1570 – 1860	9.5
1861 – 2187	10.0
2188 – 2551	10.5
2552 – 2953	11.0
2954 – 3398	11.5
3399 – 3886	12.0
3887 – 4419	12.5
4420 – 5001	13.0
5002 – 5632	13.5
5633 – 6317	14.0
6318 – 7057	14.5
7058 +	15.0

For each additional 1,000 employees on top of the maximum number of employees shown in Table 1, the minimum Audit days shall be increased by half (0.5) Audit days.



2.2 Additional Time

2.1 "Additional Audit Time" relates to audit activities that do not count towards the minimum Audit days as defined in Table 1, e.g., verification of prior general non-conformance, translation time, technical expert time, significant change investigations, IATF OEM quality and delivery performance issues investigations, scope expansion impacts, relocation impacts, etc.

2.2 The audit time (i.e., "Audit Day" + "Additional Audit Time") shall not exceed ten (10) hours per auditor per calendar day.

2.3 If the auditor or the person being audited is not fluent in the language in which the audit is to be performed, a translation should be used. At least twenty percent (20%) of the "additional Audit time" shall be allocated to the Audit of the client's process using the translation.

2.4 When the audited customer site does not meet the stated ATF OEM quality and/or delivery targets, the certification body shall add "additional audit time" to the current audit schedule as specified in Table 2.

Table 2 Table of additional minimum audit hours for performance issues

Audited premises	Number of IATF OEM customers who did not meet quality and/or delivery targets	
Number of employees	1-2 IATF OEM quantity	3 or more IATF OEM quantities
<500	4 hours	6 hours
500 -3000	5 hours	7 hours
>3000	6 hours	8 hours

2.5 If verification of the effective implementation of systematic corrective actions for general non-conformities is required, an "additional audit time" of half (0.5) hours to one (1) hour shall be performed for each general non-conformance plan.

2.6 In the event of a change in the scope of certification, an "additional audit time" should be added to investigate the impact of the change in the scope of certification on the quality management system's ability to continue to meet the requirements of the IATF 16949 certification.



3 Audit time for special audits

3.1 The "Auditor Days" for Special Audits shall relate only to the Audit of the first and last meetings, the Audit of the client process and the audit report. Breaks and travel time between client sites should not be counted as "Audit days".

3.2 "Additional Audit time" for special audits shall include translation time and technical expert time.

3.3 When determining the time for special audits, the appropriate auditor days determined by ZA-FCAV to meet the purpose of the special audit and complete the objectives of the special audit shall be executed. If the purpose of the special audit is to verify the effective implementation of the systemic corrective action, each serious non-conformance shall be scheduled and performed for a period of one (1) hour to three (3) hours of verification time; Each item generally does not conform to the scheduled and performs verification time of half (0.5) hours to one (1) hour.

3.4 If the purpose of the special audit is related to failure to meet the IATF OEM quality and/or delivery objectives set out in the IATF OEM Scorecard, the minimum number of auditor days required in Table 2 shall be considered.

4 Audit time for a certified structure with an independent remote support location

4.1 Use one of the following methods when calculating the minimum Audit days per Customer with one (1) or more independent remote support locations:

- 1) Calculate the minimum number of audit days per manufacturing site and independent remote support location by assigning the number of employees at the independent remote support location to the supported manufacturing site.
- 2) As shown in Table 1, the minimum number of audit days for each manufacturing site and the independent remote support location is calculated separately based on the number of employees at the customer site.

4.2 When calculating the minimum number of Audit days, it is not allowed to assign a support function employee who is located at a manufacturing site that provides support to another manufacturing site.

4.3 The total minimum number of auditor days to be calculated shall be allocated between the manufacturing site and the independent remote support location only, as considered in the sixth edition of the IATF Rules.



5 Group Scheme Audit time

Each manufacturing site in the group program should determine its own individual audit time.

For Stage 2 certification, surveillance and recertification audits at any customer site that is part of the Group's program, the minimum auditor days set out in Table 1 may be reduced by fifteen percent (15%) prior to rounding.

The calculated total minimum Audit days should be split between the manufacturing site and the independent remote support location only.

6 Reduction in Audit time

When the minimum number of examiners is determined in accordance with Table 1, it may be reduced in the following circumstances:

- a) For a manufacturing site, the minimum number of auditor-days may be reduced by fifteen percent (15%) if the customer can demonstrate that it has no product design responsibility;
- b) When upgrading from ISO 9001 to IATF 16949, the minimum auditor-days for Stage 2 certification audits can be reduced by thirty percent (30%); If the scope of certification is expanded, it should not be reduced. The existing ISO 9001 certification and the new IATF16949 certification body should be the same. When an ISO 9001 certified customer transfers to a new certification body, the new certification body should conduct an ISO 9001 recertification or surveillance audit prior to an upgrade audit of IATF 16949.
- c) The minimum number of Audit days for the application of the Group solution can be reduced by fifteen percent (15%).
- d) For upgrading from an IATF 16949 Certificate of Conformance Letter to IATF 16949 certification, the minimum auditor days for a Stage 2 certification audit may be reduced by thirty percent (30%) if all requirements for Upgrading from a Certificate of Conformity Letter to IATF Certification are met;
- e) A Stage 1 readiness assessment is not required when applying for a new Certificate of Compliance, and the minimum number of auditor days for a Stage 2 certification audit can be reduced by thirty percent (30%).
- f) For the initial certification audit after the revocation, cancellation, or expiration of a previous certificate, the Stage 1 Readiness Assessment is not required, and the



minimum auditor days for the Stage 2 certification audit can be equal to the minimum auditor days for the recertification audit if:

- 1) The certification body for the initial certification audit is the same as the certification body that previously issued the certificate;
 - 2) not more than twelve (12) months have elapsed since the previous certificate was revoked, cancelled or expired;
 - 3) In the case of certificate revocation, meet the requirements in Article 8.7 of IATF Rule "Measures after Certification Revocation".
- g) If the reductions in a)-e) above are combined, the maximum reduction in examiner days is thirty percent (30%).