Contents 目录

Disclaimer 声明

为便于客户理解，此认证指南以中英双语版本提供。当中文翻译与英语原文出现歧义时，以英语内容为准。

For ease of understanding, this Guideline for Certification is provided in both Chinese and English. In the event of any discrepancy between the Chinese translation and the English original, the English content shall prevail.

About Us 关于我们

Since 1995, Performance Review Institute Certification has helped a multitude of organizations achieve and realize their true potential through the development of management systems. As an affiliate of SAE International — a technical society serving the global mobility industry since 1905 — PRI Certification is uniquely motivated with a commitment to raise the bar in any industry it serves.

自 1995 年以来，质量评审协会认证机构(PRI Certification)通过管理体系的发展，帮助众多组织实现并发挥其真正的潜力。作为 SAE 国际(一个自 1905 年以来服务于全球机动行业的技术协会)的联盟组织，PRI Certification 致力于提高其所服务的各行业的标准。

Our knowledgeable, experienced and committed people make the difference — and make PRI Certification the most qualified to understand the complex challenges that lay before management system representatives and certified Lead Auditors in today's economy and workforce. Beyond their tangible qualities, PRI employees have something else — a passion for the work they do every day. In fact, our clients come to learn that PRI Certification cares as much about their certification as they do.

渊博的知识、丰富的经验、敬业的员工使我们与众不同 。使 PRI Certification 能够了解当今经济和劳动力中管理体系代表和经认证的主任审核员面临的复杂挑战。除了他们的有形素质，PRI 员工还拥有对他们每天所做的工作的热情。事实上，我们的客户逐渐了解到，PRI Certification 和他们一样关心他们的认证。

PRI Certification's passion is to help increase our clients improve their management system performance and enhance their customer/stakeholder relationships. We are a mission-driven, not-for-profit organization respected internationally for our professionalism, knowledge and attention to detail. Our success is built on long term client relationships that position you to achieve your goals.

PRI 的热情可以帮助我们的客户提高他们的管理体系绩效，并加强他们的客户/利益相关方的关系。我们是一个以使命驱动的非营利组织，以我们的专业、知识和对细节的关注而受到国际上的尊重。我们的成功建立在长期的客户关系上，这将帮助您实现您的目标。

For further information, including our Quality Policy and Statement of Impartiality, visit us at www.priregistrar.org.

欲了解更多信息，包括我们的质量政策和公正声明，请访问我们的网站 www.priregistrar.org。

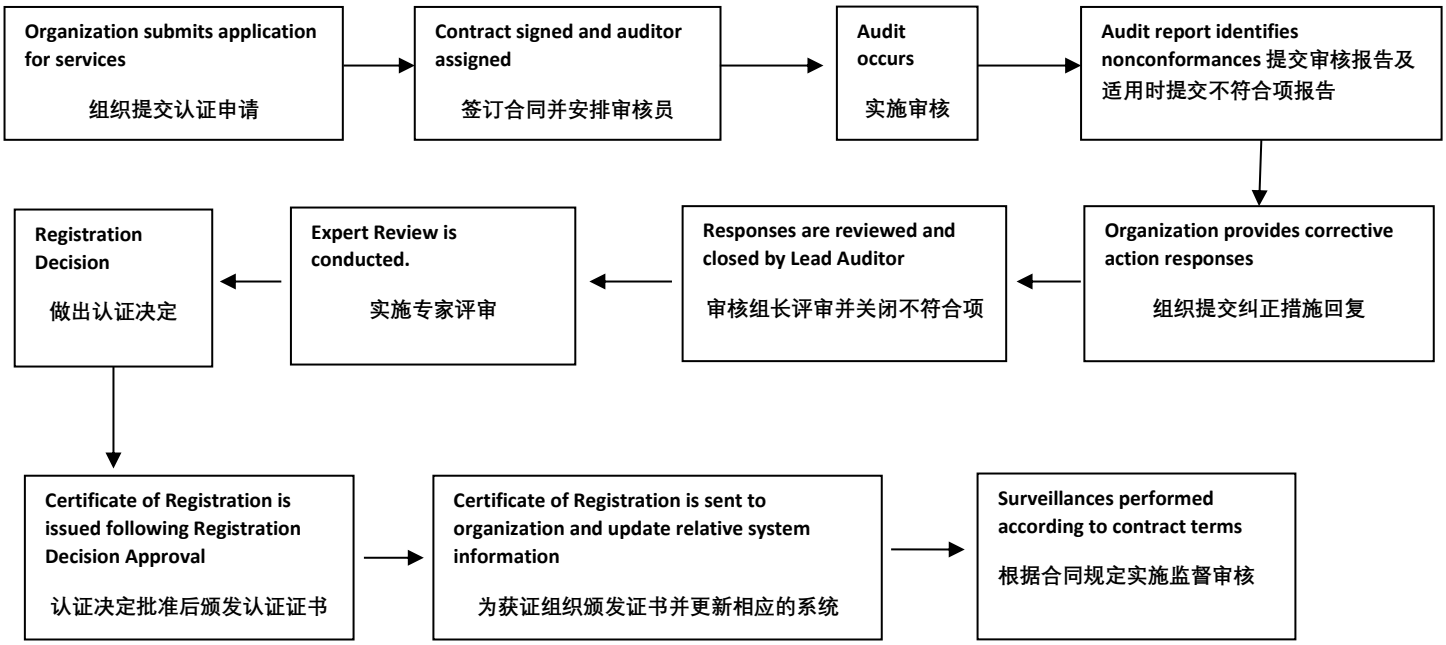
PRI Contacts PRI 联系人

Your dedicated Client Manager and Sales Specialist can always be identified and contacted directly through the dashboard of our RMS online account management system. Contact information for all PRI Certification staff is available through the Help tab in RMS; anyone is happy to help with any questions or concerns you may have!

您可以通过我们的 RMS 在线账户管理系统的仪表盘直接识别和联系我们的客户经理和销售专员。所有 PRI CERTIFICATION 工作人员的联系信息均可通过 RMS 中的“帮助”选项卡获得; 我们的任何员工都将乐意帮助您解决问题或可能的担忧!

Client Manager: Your designated Client Manager will act as your primary point of contact with PRI Certification and will assist with coordination of auditor communications, nonconformance management, certificate issuance and other activities. Feel free to contact your Client Manager at any time during, or between, scheduled audits should you have questions or need assistance.
客户经理:您指定的客户经理将作为您与 PRI Certification 的主要联系人，并将协助协调审核员沟通、不合格管理、证书颁发和其他活动。如果您有疑问或需要帮助，请随时在计划的审核期间或之前与您的客户经理联系。
Scheduler: Your main point of contact for scheduling all audits.
排程人员:安排所有审核的主要联系人。
Auditor(s): Your auditor has been selected based on their industry experience, geographical location and standard credentials. PRI Certification will pick the auditor(s) that best fit your organization based on your specific circumstances and needs. Your auditor(s) will contact you once assigned to introduce themselves and begin the audit planning process.
审核员:您的审核员是根据他们的行业经验、地理位置和标准相关注册资质选择的。PRI Certification 将根据您的具体情况和需求选择最适合您组织的审核员。您的审核员将在指定后与您联系，介绍他们自己并开始审核策划过程。
Sales Specialist: Your dedicated Sales Specialist is available to assist you with any changes to your certification (e.g., change of scope, adding/removing locations), and will work with you to ensure the smooth continuation of your registration with PRI Certification with a timely recertification.
销售专员:您的专职销售专员可以协助您对认证进行任何更改(例如，更改范围，添加/删除地点)，并将与您合作，确保您在 PRI Certification 的注册顺利延续，并及时进行再注册。

Registration Overview 认证过程总览



Registration Process 认证过程

Before Certification 认证前

Orientation 指南

During this phase, PRI Certification becomes familiar with the client, and the client learns more about PRI Certification and the certification process. Planning for first audit begins.
在这一阶段，PRI Certification 开始了解客户，客户也对 PRI CERTIFICATION 和认证过程了解得更多。开始策划第一次审核。
Welcome letter references:欢迎信

- Introduction to your designated Client Manager: Your primary contact point at PRI.
- 介绍给您指定的客户经理:您在 PRI 的主要联系人
- What to Expect During Certification Process: Overview of process.
- 认证过程中会发生什么:过程概述
- Guidelines for Certification: Supporting information for your reference (this document).
- 认证指南:供您参考的支持信息(本文档)。
- RMS: Our online account management tool.
- RMS:我们的在线账户管理工具。

Assessment Planning 审核策划

- The dates of the assessment are arranged directly between the Scheduler and the client.
- 审核日期由审核排程人员为客户安排。
- The Lead Auditor prepares an audit plan. This outlines the number of days, auditor assignments, and special qualifications required for the assessment. The assessment plan shall cover all elements of the applicable Standard(s) and the provisions or processes of the client's management system.
- 审核组长准备审核计划，说明审核人天，审核组员安排，以及审核所需的特殊资格。审核计划应涵盖适用标准的所有要素和客户管理体系的规定或过程。
- A copy of the audit plan shall be provided to the client thirty days before the audit. The client may request changes in the audit plan if there is a reason to do so.
- 审核计划的副本应在审核前 30 天提供给客户。如果有理由，客户可以要求变更审核计划。
- The registration assessment process may be halted if the management system has not been implemented in the client's operations.
- 如果管理体系未在客户的运营中实施，注册评估过程可能会停止

Optional Pre-Assessment 可选择的预评审（Not allowed under IATF Rules 6）（《IATF 16949 认证规则》第六版不允许进行此类评审）

For an additional fee, PRI Certification offers an optional pre-assessment to assist organizations preparing for their first certification, or during upgrades to new standard revisions. A pre-assessment is a less comprehensive version of the full audit and the scope can be adapted to your specific requests. The pre-assessment provides information regarding the degree of conformance

to the Standard, but is not used to establish a registration decision. Most pre-assessments are generally conducted 60-90 days prior to the Certification Audit to allow time to address any findings. To avoid any occurrence of *de facto* consulting, PRI Certification shall not perform more than one pre-assessment for an organization prior to a full assessment.
PRI CERTIFICATION 提供一个可选的预评审（存在额外费用）服务，以帮助组织准备他们的第一个认证，或在升级到新的标准修订。预评审是注册审核的一次模拟，范围可以根据您的具体要求进行调整。预评审提供了关于符合标准程度的信息，但不用于建立注册决定。大多数预评审通常在认证审核前 60-90 天进行，以便有时间处理任何审核发现。为避免出现任何事实上的咨询，PRI CERTIFICATION 在全面评估之前不得为组织进行一次以上的预评审。

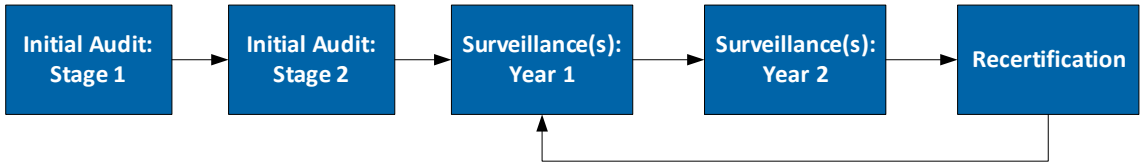
A pre-assessment report with details of areas of concern observed will be furnished to the Client. The Client shall not respond to the auditor concerning the areas of concern with formal correction action responses; however, if the areas of concern are identified during the full assessment, they will result in nonconformances and will require formal response.
将向客户提供一份预评审报告，详细说明观察到的关注领域。客户不应对审核员所提出的问题领域提交正式的纠正措施回复; 但如果在正式审核期间发现了存在问题的领域，它们将可能导致开出不符合，并将需要组织进行正式回复。

IATF:
Pre-audit/assessment is no longer permitted under IATF Rules 6th.
《IATF 16949 认证规则》第六版不再允许进行预审核/预评审。

Achieving Certification 取得认证

The Assessment Audit Process 评价审核过程

The following description of the PRI Certification assessment audit covers the assessment (or registration) audit process and describes related services that lead to registration given successful completion. Following the resolution of any identified nonconformances, the applicant organization is issued a Certificate of Registration. Once the registration achievement occurs, the management system shall be maintained by the certified organization.
以下对PRI CERTIFICATION评价审核的描述涵盖了评价(或注册)审核过程，并描述了成功完成注册的相关服务。在解决所有已发现的不符合项后，申请组织将获得注册证书。注册成功后，由获证组织保持管理体系。



Certification shall be based upon the scope of registration, as determined by the Client and confirmed by the Lead Auditor at the Initial audit, and reconfirmed at each subsequent audit.

认证应根据注册范围进行，由客户确定，并由审核组长在初次审核时确认，并在随后的每次审核中再次确认。

The scope of registration shall state clearly the scope of the management system in a way that will not mislead interested parties, and shall ensure that information is available to determine the activities that are included within the scope of registration.

注册范围应以不误导利益相关方的方式明确规定管理体系的范围，并确保可获得信息以确定纳入注册范围的活动。

Additional requirements about the key timeline, pls refer to Annex E.

关键时间节点的额外要求，请参见附录 E。

Initial Audit 初次认证

Stage 1 Audit 一阶段审核

The Stage 1 audit shall be carried out prior to Stage 2 audit in order to confirm that the Client's management system has been fully documented. For more details on the objectives of the Stage 1 for your specific management system, please see Annex B.

第一阶段审核应在第二阶段审核之前进行，以确认客户的管理体系已形成完整的文件。有关贵公司具体管理体系第一阶段目标的详细信息，请参见附件 B。

Stage 1 areas of concern that could be classified as a nonconformity during the Stage 2 audit shall be documented and communicated to the client.

对于一阶段中发现的可能在二阶段审核中被归类为不符合的关注区域，应形成文件并与客户沟通。

In determining the interval between Stage 1 and Stage 2 audits, consideration shall be given to the needs of the client to resolve areas of concern identified in the Stage 1 audit. PRI Certification may also need to revise its arrangements for Stage 2. The options and risks for Stage 1 and Stage 2 timing are discussed during the application review process for Certification services. Stage 1 areas of concern not resolved by the time of the Stage 2 audit will result in Stage 2 findings.

在确定第一阶段和第二阶段审核之间的间隔时，应考虑客户解决第一阶段审核中所发现问题的需求。PRI CERTIFICATION 可能还需要修改其第二阶段的安排。在 Certification 服务的申请审核过程中，我们将与客户讨论第一阶段和第二阶段审核时间的选择和风险。在一阶段审核后如未解决识别出的问题，将导致第二阶段的审核结果出现不符合项。

Stage 2 Audit 二阶段审核

The Stage 2 audit must be conducted within six (6) months of the Stage 1, or the Stage 1 audit must be invalidated.

第二阶段的审核必须在第一阶段审核的六(6)个月内进行，否则第一阶段的审核无效。

This audit is an audit of the full implementation of the standard, so it involves documents, people, processes, and performance. For more details on the objectives of the Stage 2 for your specific management system, please see Annex B. If any nonconformances are noted, they will be communicated and documented, so there is clear understanding of the finding. If there are nonconformances, the Client's corrective action must be accepted/closed prior to issuing the certificate. The auditor will review the NCR response timeliness requirements during the closing meeting.

此审核是对标准完整实施情况的审核，因此它涉及文件、人员、过程和绩效。有关贵公司特定管理体系第二阶段目标的更多细节，请见附件 b。如果发现任何不符合，将与您进行沟通并形成文件，以便对发现结果有清晰的了解。如果有不符合项，客户的纠正措施必须在颁发证书之前被接受/关闭。审核员将在末次会议期间回顾 NCR 回复和及时性方面的要求。

If during the assessment it becomes evident that the objective of registration cannot be achieved successfully, the Client shall be notified and offered the opportunity to select one of the following alternatives:

如果在评估过程中发现注册目标明显无法成功实现，则应通知客户，并为客户提供选择以下方案之一的机会

- Terminate the audit immediately. A subsequent full assessment with a separately determined fee shall be required for registration purposes.
  立即终止审核。随后的全面评估和单独确定的费用将要求注册。
- Continue the audit as a pre-assessment, should a pre-assessment not already have occurred. A recommendation regarding registration shall not be made). A subsequent full assessment with a separately determined fee shall be required for registration purposes.

如果尚未进行预评审，则继续将审核作为预评审。不得提出关于注册的建议。后续安排的用于注册目的的审核将需要单独收取费用。

- Continue the audit with the understanding that suitable corrective actions shall be required within the established time limits to satisfy all registration requirements. A subsequent special audit with a separately determined fee may be required by PRI Certification to "close-out" the assessment nonconformances. A registration decision shall be based on the ensuing "close-out" status of all the corrective actions.
  继续审核，并了解在规定的时间内需要采取适当的纠正措施以满足所有注册要求。PRI CERTIFICATION可能会要求随后进行特殊审核，并单独确定费用，以"关闭"评估不符合项。注册决定应基于随后所有纠正措施的"关闭"状态。

For additional details on NCR response requirements, see Annex C. Extensions of the defined timelines for ISO programs will be considered on an individual basis when requested in writing to the PRI Certification office. There are no extensions for Aerospace.

有关NCR回复要求的更多详细信息，请参见附件C。如果向PRI办公室提出书面请求，ISO项目的既定时间表的延长将在个人基础上予以考虑。航空航天没有延期。

A Special Surveillance audit, with a separately determined fee, may be required to verify the corrective action on major nonconformances or a surplus of minor and/or major nonconformances, or due to sector specific (e.g, Aerospace) requirements for verified closure before certification can be granted.

可能需要进行特别监督审核，费用单独确定，以验证对重大不符合项或一般和/或重大不符合项的纠正措施，或由于特定行业(如航空航天)要求在授予认证之前进行验证关闭。

All audit activities, including acceptance/closure of nonconformances must be completed within six (6) months of the last day of the Stage 2 audit, or the Initial audit must be invalidated.

所有审核活动，包括接受/关闭不符合项必须在第二阶段审核最后一天起的六(6)个月内完成，否则初始审核无效。

After Certification 取得证书后

Surveillance Audits 监督审核

After registration is achieved, routine surveillance audits are conducted to ensure that the management system is maintained in conformance to the Standard and related requirements. These audits are shorter than the Initial assessment, but have duration and extent of audit activity sufficient to demonstrate that the management system is functioning effectively.

注册完成后，进行例行监督审核，以确保管理体系符合标准和相关要求。这些审核比初始评估时间短，但审核活动有充足的持续时间和范围来证明管理系统的有效运行。

Surveillance audits must be conducted in each calendar year, unless an Initial or Recertification audit is conducted instead.

监督审核必须在每个日历年进行，除非进行初始或再注册审核。

The Client is responsible for reviewing all company information in RMS prior to the start of each surveillance audit and notifying the assigned Client Manager that the information remains correct, or that there have been changes. This information includes, but is not limited to company name, site address(es), contact information, employee count, shifts, and export control restrictions.

客户有责任在每次监督审核开始前评审 RMS 中的所有公司信息，并通知指定的客户经理信息保持正确或已发生更改。这些信息包括但不限于公司名称、网站地址、联系信息、员工人数、班次和出口控制限制。

Surveillance audits are normally carried out at intervals of twelve months, with the audit date being established at the previous audit. If the record of continued conformance by the Client demonstrates marginal performance or instability, the frequency of routine surveillance audits may be increased (from twelve months to six months, when applicable) or selective Special Surveillance audits may be required.

监督审核通常每隔 12 个月进行一次，审核日期在上一次审核时确定。如果客户持续符合性的记录表现较差或不稳定，则可增加常规监督审核的频率(从 12 个月一次增加到 6 个月一次，如适用)，或要求进行有选择性的特别监督审核。

During the Initial certification cycle, the date of the first surveillance audit following a Stage 2 audit certification shall not be more than 12 months from the date of the registration decision (certificate issue date).

在初始认证周期中，第二阶段审核认证后的第一次监督审核的日期不得超过注册决定之日(发证日期)的 12 个月。

Special Audits 特殊审核

Special audits shall be conducted when specifically identified circumstances require detailed assessment. Such audits may occur for a variety of reasons, including:

当特别确定的情况需要详细评估时，应进行特殊审核。此类审核可能有多种原因，包括:

- A change to the scope of certification (e.g., adding / removing / changing locations, adding processes / products / services). ‘
  认证范围的变更(例如，增加/删除/更改地点，增加过程/产品/服务)。
- Verification of implementation of corrective action on major nonconformances and/or a significant number of minor nonconformances.
  对重大不符合项和/或大量一般不符合项实施纠正措施的验证。
- Follow-up on a suspended certification. 对暂停的认证进行后续处理。
- Notice from a Client’s customer that a major nonconformance has been issued as part of a supplier audit.
  供方审核中发现重大不符合项的客户通知。
- Investigation of complaints, or suspected violation of the terms of the Agreement with PRI Certification.
  调查投诉或涉嫌违反 PRI CERTIFICATION 协议条款的行为。

PRI Certification reserves the right to conduct unannounced audits to investigate complaints or suspected nonconformance to the program.

PRI CERTIFICATION 保留进行未经通知的审核，以调查投诉或怀疑与认证项目要求不符合情况的权利。

Renewing Certification 再注册认证

Planning 策划

Approximately six (6) to nine (9) months prior to expiration, the Client will be notified to begin the renewal process for an additional three-year cycle of certification (including a minimum of a recertification audit, and two annual surveillances).

在认证期满前约六(6)至九(9)个月，将通知客户开始为期三年的再注册认证过程(包括至少一次再认证审核和两次年度监督审核)。

During this process, the Client will be responsible for submitting a new application in RMS that is pre-populated with current company data, and confirming or updating all information in the application. This information will be used to generate a new proposal for your new certification cycle.

在此过程中，客户将负责在 RMS 中提交公司当前信息的新申请，并确认或更新申请中的所有信息。此信息将用于为新的认证周期生成新的报价。

The Recertification audit shall be planned and conducted to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. The Recertification audit shall consider the performance of the management system over the period of certification and include the review of previous surveillance audit reports. Generally, the Recertification is not as long as the original Initial assessment, providing that the Client's history of conformance to the Standard is satisfactory.

应策划和实施再认证审核，以确认管理体系整体的持续符合性和有效性，及其对认证范围的持续相关性和适用性。再认证审核应考虑在认证期间管理体系的绩效，并包括对以前的监督审核报告的评审。一般来说，如果客户与标准符合性的历史记录令人满意，则再认证审核时间会短于初次认证。

In rare circumstances, Recertification audit activities may need to have a Stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g. changes to legislation).

在极少数情况下，当管理体系、客户或管理体系运行的环境发生重大变化(如立法变更)时，再注册审核活动时可能需要进行第 1 阶段审核。

Upon timely receipt of the signed Agreement for continued registration, PRI Certification shall schedule and conduct the Recertification audit approximately three (3) months prior to expiration of registration to enable registration continuity to be maintained.

在及时收到签署的再注册协议后，PRI CERTIFICATION 应在注册到期前约三(3)个月安排并进行再认证审核，以保持注册的连续性。

Recertification Audit 再注册审核

The Recertification audit addresses the following:

再注册审核涉及以下内容:

- the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
  考虑到内部和外部变化，整个管理体系的有效性及其对认证范围的持续相关性和适用性;
- demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
  承诺保持管理体系的有效性和改进，以提高整体绩效;
- whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives.
  经认证的管理体系的运行是否有助于实现组织的方针和目标。

If all Recertification activities (e.g., conducting the audit, responding to nonconformances) are not complete prior to the Client's date of expiration, then the certificate shall expire and be invalid. The Client shall have six (6) months from the date of expiration to complete the Recertification activities, at which point a registration decision may be made to restore the Client's registration and issue a new certificate. In this case, the certificate shall not be issued for a full three years, but shall reflect the period of lost certification, with a new expiration date based on the previous cycle.

如果所有的再认证活动(如进行审核、不符合项回复)未在规定的客户证书有效期之前完成，则证书应过期失效。自有效期届满之日起，客户有六(6)个月的时间完成再注册活动，届时可能会作出注册决定，恢复客户的注册并颁发新证书。在这种情况下，证书有效期不得按照三年计算，而是应当反应损失的认证时间，并在上一个认证周期的基础上重新确定新的认证有效期。

For additional details on NCR response requirements, see Annex C.
有关 NCR 回复要求的更多详细信息，见附件 C。

Client Rights and Responsibilities 客户权利及责任

Client organizations are responsible for complying with all applicable requirements for the maintenance of a certified management system. Certified organizations shall: 客户组织有责任遵守维护已认证管理体系的所有适用要求。认证组织应:

- Conform with the requirements of all applicable standards and normative documents (see Appendix A, Standards and Normative Documents).

  符合所有适用标准和规范性文件的要求(参见附录 A，标准和规范性文件)。

- Comply with all PRI Certification policies, the audit program as described in this document, and all contractual requirements described in the PRI Certification Audit Service Agreement, including the requirements related to

  遵守所有 PRI CERTIFICATION 政策、本文件中描述的审核计划以及 PRI CERTIFICATION 审核服务协议中描述的所有合同要求，包括与以下要求相关的要求:

  - postponement of audits;
    审核延期
  - termination of contract;
    合同终止
  - confidentiality;
    保密
  - oversight witness audits;
    监督见证审核
  - access to records;
    获取记录
  - language;
    语言
  - suspension/withdrawal;
    暂停/撤销
  - appeals/complaints;
    申诉/投诉
  - proprietary information.
    保密信息

- Work with PRI Certification to ensure that audits are conducted in the required timeframes, and cooperate with the auditor's requests as related to the audit.

  与 PRI CERTIFICATION 合作，确保审核在规定的时间内进行，并配合审核人员的要求。

- Consent to the observation of any audit by PRI Certification, representatives of PRI Certification's Accreditation Body(ies), and/or representatives of a sector scheme oversight organization (e.g., IAQG for Aerospace).

  同意 PRI CERTIFICATION、PRI CERTIFICATION 认可机构的代表和/或行业方案监督组织(例如航空航天国际质量组织)的代表对任何审核进行观察。

- Ensure that any marketing materials (including websites) abide by the requirements of the PRI Certification Logo, Certificate and Use of Registration Marks Guidelines (available on the Client Help webpage), and do not make any false or misleading statements related to the organization's scope of certification (including processes, activities, or locations covered by certification).

确保任何营销材料(包括网站)符合 PRI CERTIFICATION 标志、证书和注册标志使用指南的要求(可在客户帮助网页上获得)，并且不就组织的认证范围(包括认证所涵盖的过程、活动或地点)做出任何虚假或误导性陈述。

- Inform PRI Certification in a timely manner when there are organizational changes that could affect the management system or audit program (e.g., change in organization name, change in audit contact, new address, change in top management, etc.).

  当组织发生可能影响管理体系或审核程序的变更时(如组织名称变更、审核联系人变更、新地址变更、高层管理人员变更等)，及时通知 PRI Certification。

  - PRI Certification will evaluate these changes and notify the Client whether or not they affect the approval of registration. PRI Certification

    将对这些变更进行评估，并通知客户这些变更是否会影响注册的批准。

  - A special audit may be scheduled at the Client's expenses if the changes are considered major by PRI Certification.

    如果 PRI CERTIFICATION 认为变更重大，可安排特殊审核，费用由客户承担。

See complete list of information on the ANAB website for client Rights and Responsibilities.
请参阅 ANAB 网站上有关客户权利和责任的完整信息列表

Requirements for AQMS Certified Organizations AQMS 认证机构的要求

ICOP certified organizations shall be expected to comply with the duties, responsibilities, and requirements of the ICOP scheme as defined in the 9104-series AQMS processes.
ICOP 认证组织应遵守 9104 系列 AQMS 过程中规定的 ICOP 方案的职责、责任和要求。

AQMS certified organizations shall allow PRI Certification to provide tier 1 data (i.e., information on the issued AQMS standard certificate – public domain) and tier 2 data (e.g., information and results of audits, assessments, nonconformances, corrective action, scoring, suspensions – private domain) to the OASIS database. Organizations shall provide access to the tier 2 data in the OASIS database to their aviation, space, and defense customers and authorities, upon request, unless justification can be provided (e.g., competition confidentiality, conflict of interest).

AQMS 认证组织应允许 PRI CERTIFICATION 向 OASIS 数据库提供第一级数据(即已颁发的 AQMS 标准证书的信息-公共领域)和第二级数据(例如审核、评估、不符合项、纠正措施、评分、暂停的信息和结果-私人领域)。各组织应应请求向其航空、航天和国防客户和主管部门提供 OASIS 数据库中的第 2 层数据，除非有正当理由(例如，竞争机密性、利益冲突)。

If AQMS certified organizations lose their AQMS standard certification, they shall be responsible to provide immediate notification to their aviation, space, and defense customers.

经 AQMS 认证的组织如果失去 AQMS 标准认证，有责任立即通知其航空、航天和国防客户。

AQMS certified organizations shall provide "right of access" to their facilities, people, and processes for review by customers and regulatory authorities.

获得 AQMS 认证的组织应提供对其设施、人员和过程的"访问权"，以供顾客和监管机构评审。

Failure of a certified organization to abide by these expectations shall be cause for withdrawal from the ICOP program and the OASIS database listings.
如果被认证的组织未能遵守这些期望，将导致其退出 ICOP 计划和 OASIS 数据库列表。

Notification of Changes by PRI Certification PRI Certification 的变更通知

All registered Clients shall be notified of any significant changes in PRI Certification's registration system. Opportunity to comment on such changes shall be provided; clients may do so by contacting their Client Manager.
所有注册客户都应被告知 PRI CERTIFICATION 系统的任何重大变化。应提供对这些变更发表意见的机会;客户可通过与其客户经理联系来获取。

PRI Certification also will notify the Client of any changes to the Standard or policies and procedures of the National Accreditation Body(ies) and/or PRI Certification which affect the registration status of the Client.
PRI CERTIFICATION 还将通知客户任何影响客户注册状态的国家认可机构和/或 PRI CERTIFICATION 对标准或政策和程序的变更。

Reasonable time will be allowed to adapt to these changes.
客户将获得合理的时间来适应这些变化。

For certified organizations implementing an Information Security system, the organization shall inform the PRI Certification office without delay in the event of a breach. PRI Certification's response to the notification shall depend on the severity of the breach, ranging from follow-up at the next audit (low risk), a special audit to investigate (medium risk), or potentially suspension of certification (high risk).
对于实施信息安全系统的认证组织，该组织应在发生违规行为时立即通知 PRI CERTIFICATION 办公室。PRI CERTIFICATION 对通知的回应应取决于违规的严重程度，从下一次审核的后续跟进(低风险)、特殊审核的调查(中等风险)，或可能暂停认证(高风险)。

- Failure to inform PRI Certification of the breach in a timely manner shall result in an immediate special audit (if the breach is discovered through a third party) or additional audit time (if discovered at the next regular audit), plus an automatic nonconformance.
  未能及时通知 PRI CERTIFICATION 违规行为将导致立即进行特殊审核(如果通过第三方发现违规行为)或额外的审核时间(如果在下一次定期审核中发现)，并自动获得不符合。
- If it is determined that the organization has deliberately hidden the breach from PRI Certification, suspension or withdrawal of certification may result.
  如果确定该组织故意向 PRI CERTIFICATION 隐瞒违规行为，则可能导致暂停或撤销认证。

Suspension or Withdrawal of Certification 暂停或撤销认证

The Client may appeal suspension or withdrawal according to the Appeals Process.
客户可根据申诉程序对暂停或撤回申请提出申诉。

Suspension 暂停

In the event of suspension of registration for a limited time period, PRI Certification shall advise the Client by email to suspend the use and display of the certificate and logo(s) until such time as the deficiencies are corrected. Corrective actions will be necessary for the restoration of registration. The Client's certificate would typically be maintained in the suspended status for 90 days. Based on individual circumstances, the period of suspension may be extended up to six (6) months.

在有限时间内暂停注册的情况下，PRI CERTIFICATION 应通过电子邮件通知客户暂停使用和展示证书和徽标，直到缺陷得到纠正。为恢复注册，必须采取纠正措施。客户的证书通常保持在暂停状态 90 天。根据个别情况，暂停期限可延长至六(6)个月。

Registration may be suspended by PRI Certification for a limited time period for any of the following reasons: 由于以下任何原因，PRI CERTIFICATION 处可能会暂停注册一段有限的时间:

- The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system.
  经认证的客户管理体系持续或严重不满足认证要求，包括对管理体系有效性的要求。
- Surveillances or recertification audits are not conducted at the required frequencies.
  没有按规定的频率进行监督或再注册审核。
    - Surveillance audits must be conducted each calendar year, except in recertification years.
      监督审核必须在每个日历年进行，再注册年度除外。
    - The first surveillance following a Stage 2 must occur no more than 12 months from the date of registration.
      第 2 阶段后的第一次监督审核必须在注册之日起不超过 12 个月内进行。
- The client has failed to meet financial obligations to PRI Certification, preventing the scheduling of audits in the required timeframe.
  客户未能履行对 PRI CERTIFICATION 的财务义务，导致无法在规定的时间内安排审核。
- The certified client has voluntarily requested a suspension.
  认证客户已主动要求暂停。
- The client does not respond to nonconformances within the required timeframes.
  客户未在规定的时间内对不符合项做出回复。
- Repeated failure to adequately address the same nonconformance over the course of multiple audits.
  在多次审核过程中重复出现未能有效解决的相同不符合项。

- Misuse of the certificate or logo that is not suitably retracted and corrected with measures instituted to prevent recurrence (see the PRI Certification Logo, Certificate and Use of Registration Marks Guidelines).
  证书或标志的滥用，没有适当地收回和纠正，并采取措施防止再次发生(见 PRI CERTIFICATION 标志、证书和注册标志使用指南)。
- The client takes an action that may damage PRI Certification's reputation, and the action is not corrected in a timely manner.
  客户采取了可能损害 PRI CERTIFICATION 声誉的行为，并且该行为没有得到及时纠正。
- There is a flagrant or significant disregard for the requirements of certification.
  公然或严重无视认证的要求。
- Any other violation of the procedures of PRI Certification.
  任何其他违反 PRI CERTIFICATION 程序的行为。
- Aerospace only: If the Purchasing process is not audited in each calendar year.
  仅限航空航天:如果没有在每个日历年审核采购过程。
- Aerospace only: Failure to maintain accurate information in the OASIS database; including, but not limited to: supplier name and address; supplier OASIS administrator; additional locations and/or facilities as they are added; and corrections or changes to any or all information required in OASIS.
  仅航空航天:未能在 OASIS 数据库中保持准确的信息;包括但不限于:供应商名称和地址;供应商 OASIS 管理员;新增地点及/或设施;更正或更改 OASIS 所需的任何或所有信息。

IATF：

The technical assessor shall make the decision whether suspend the certificate maximum 15 calendar days from the date of the certification exit process, and notify the client in written if decide suspension, then update the IATF database and IATF CMS if applicable maximum 7 calendar days.

技术评审员应在认证退出过程开始后最多 15 个日历日内作出是否暂停的决定。如果暂停，应书面通知客户，并在最多 7 个日历日内更新 IATF 数据库以及适用时更新 IATF CMS。

Withdrawal 撤销

The Client may terminate its registration at any time by providing written notice of its intention to PRI Certification. This must be accompanied by the immediate termination of the use of the Registration Mark and National Accreditation logo(s).
客户可以在任何时候通过向 PRI CERTIFICATION 提供书面通知来告知其终止注册的意图，同时应立即终止使用注册标志和国家认可标志。

If the Client ceases to do business within the scope of registration, they must notify PRI Certification immediately. The Certificate of Registration may be revised, or the registration withdrawn by PRI Certification, as appropriate.
如果客户停止在注册范围内开展业务，他们必须立即通知 PRI CERTIFICATION。注册证书可能会被修改，或者由 PRI CERTIFICATION 酌情撤销注册。

Should the registration be withdrawn or expire, the Client shall be notified by email to immediately terminate all use and publication of the logo(s). The Client shall also be instructed to destroy any literature bearing the registration marks.
如果注册被撤销或过期，应通过电子邮件通知客户立即终止对标识的所有使用和发布。客户还应被指示销毁任何带有注册标志的文件。

A withdrawn Certificate of Registration shall be canceled and not reissued.
被撤销的认证证书应当注销，不予补发。

Registration may be withdrawn for any of the following reasons:
注册可因下列任何原因被撤销:

- Failure to correct the cause of suspension within the assigned deadline.
  未能在指定期限内纠正导致证书暂停的原因。
- Persistent nonconformance to the requirements of certification.
  持续不符合认证要求。
- Any violation of the client's agreement with PRI Certification.
  任何违反客户与 PRI CERTIFICATION 协议的行为。
- Continued failure to meet financial obligations to PRI Certification.
  持续不履行对 PRI CERTIFICATION 的财务义务。
- The certified processes, products, or services are no longer offered by the client.
  客户不再提供已认证的过程、产品或服务。
- Issues that previously resulted in suspension reoccur.
  先前导致暂停的问题再次出现。
- The client is unable or unwilling to conform to new program requirements.
  客户不能或不愿符合新的项目要求
- The client ceases to implement the relevant management system activities.
  客户停止实施相关的管理体系活动。
- At the request of the client.
  应客户要求。
- On any other grounds specifically provided for under the registration requirements or other agreements between PRI Certification and the organization.
  根据注册要求或处与该组织之间的其他协议具体规定的任何其他理由。

IATF:

The technical assessor shall make the decision whether withdraw the certificate maximum 120 calendar days from the date of the certification exit process.

技术评审员应在认证过程退出开始后最多 120 个日历日内作出是否撤销证书的决定。

The client shall apply initial certification if the certificate is withdrawn (Stage 1 and Stage 2).

证书撤销后，可以应重新开始初始认证（即 1 阶段和 2 阶段）。

Appeals Process 申诉过程

Clients may choose to appeal any nonconformance or registration decision that they feel is not justified by the requirements of the applicable standard(s), or that is based on inaccurate or incomplete information.

客户可以针对他们认为不符合适用标准的要求，或基于不准确或不完整的信息，选择对任何不符合或注册决定提起申诉。

Nonconformance Appeal 不符合项申诉

If appealing a nonconformance, the Client must alert the assigned Client Manager within 20 calendar days of the closing meeting of their audit. In the case of a Client with multiples sites, the notice of appeal must be made within 20 calendar days of the nonconformance being issued. Once the notice has been received, the Client Manager shall provide the client a Nonconformance Appeal Form (RF-139), where the Client shall document the reason(s) for the appeal. PRI Certification's technical manager shall review the appeal, and conduct an investigation to determine the validity of the appeal. If the technical manager was involved in the audit, another impartial registration-decision maker will be selected to conduct the investigation. Within 7 calendar days, the technical manager (or alternate) shall provide the Client with a decision on accepting or denying the appeal of the nonconformance.
如果对不符合项提出申诉，客户必须在其审核末次会后 20 个日历日内通知指定的客户经理。如果客户有多个地点，则申诉通知必须在发出不符合项后的 20 个日历日内发出。收到通知后，客户经理应向客户提供一份不符合申诉表(RF-139)，客户应在其中记录申诉理由。PRI CERTIFICATION 的技术经理应评审申诉，并进行调查以确定申诉的有效性。如果技术经理参与了审核，则将选择另一名公正的注册决定人员进行调查。在 7 个日历日内，技术经理(或替代人员)应向客户提供接受或拒绝不符合申诉的决定。

If the Client disagrees with the outcome of the appeal decision, then they may choose to request an additional review by a different, impartial decision-maker; at this point, a $500 fee would be required. A third review, conducted by a sub-committee of PRI Certification's Advisory Panel, may also be requested at no further cost. The decision of the Advisory Panel sub-committee shall be considered final.
如果客户不同意申诉决定的结果，那么他们可以选择要求由另一个公正的认证决定人员进行额外的评审; 在这一阶段，客户需要额外支付 500 美元的费用。客户可免费提出第三次申诉评审的申请，由 PRI Certification 顾问委员会的一个子委员会实施。顾问委员会的决定应被视为最终决定。

NOTE: The timelines for nonconformance response remain in effect during the appeal process. Failure to meet the response deadlines shall still result in suspension, unless a decision to accept the appeal is issued prior to response due date.
注:在申诉过程中，不符合回复的时间表仍然有效。除非在答复截止日期之前作出接受申诉的决定，否则未能在答复截止日期前作出答复仍将导致证书暂停。

Registration Decision Appeal 认证决定申诉

If appealing a registration decision, the Client must alert the assigned Client Manager within 20 calendar days of the registration decision. 如果对注册决定提出申诉，客户必须在注册决定作出后的 20 个日历日内通知指定的客户经理。

NOTE: When a decision is made to withdraw an Aerospace certification, the OASIS database must be updated within 14 calendar days, and the withdrawal cannot be reversed in the database. Therefore, in the case of an Aerospace withdrawal, notice of appeal must be submitted to the Client Manager no more than 10 calendar after the decision.

注意:当决定撤销航空航天认证时，OASIS 数据库必须在 14 个日历日内更新，并且撤销的决定不能在数据库中改变。因此，对于航空航天认证撤销的申诉，申诉通知必须在认证决定后不超过 10 个日历提交给客户经理。

Once the notice has been received, the Client Manager shall provide the client a Registration Decision Appeal Form (RF-140), where the Client shall document the reason(s) for the appeal. A sub-committee of PRI Certification's Advisory Panel shall review the appeal, and conduct an investigation to determine the validity of the appeal. Both a representative of the Client and the original registration decision-maker will be given the opportunity to present their case to the sub-committee. Within 10 business days, the sub-committee shall provide a decision to accept or deny the appeal. The decision of the Advisory Panel sub-committee shall be considered final.
收到通知后，客户经理应向客户提供一份注册决定申诉表(RF-140)，客户应在其中记录申诉理由。PRI CERTIFICATION 顾问委员会的一个子委员会将评审申诉，并进行调查以确定申诉的有效性。客户代表和原注册决策者都将有机会向小组委员会陈述他们的案例。子委员会应在 10 个工作日内作出接受或拒绝申诉的决定。顾问委员会子委员会的决定应视为最终决定。

Audit Oversight 审核监管

Accreditation Bodies, Other Party Assessors, Regulatory Agencies, or Customer Representatives may accompany the audit team as observers of the audit process at any time. A PRI Certification Representative will contact the Client and Auditor(s) in order to communicate oversight details. When customer or government representatives are accompanying as observers in the audit, the audit team leader shall have the option of including in the audit report any comments/concerns brought forward by these representatives. The audit team shall ensure that observers do not unduly influence or interfere in the audit process or outcome of the audit.
认可机构、另一方评审员、监管机构或客户代表可随时作为审核过程的观察员陪同审核组。PRI CERTIFICATION 代表将联系客户和审核员，以沟通监管审核细节。当客户或政府代表作为观察员陪同审核时，审核组组长有权选择在审核报告中包括这些代表提出的任何意见/问题。审核组应确保观察员不会不当影响或干预审核过程或审核结果。

Periodically, PRI Certification's Accreditation Body selects audits for each accredited standard in order to conduct witness audits. These witness audits are intended to demonstrate the ongoing effectiveness of PRI Certification's auditors and processes. These witness audits will not affect the Client's audit in any way, and all Clients are contractually obliged to host the witness audit if selected. The Accreditation Body assessors are bound by confidentiality agreements with PRI Certification, but will sign Client confidentiality or non-disclosure forms upon request.
PRI CERTIFICATION 的认可机构定期为每个认可的标准选择审核，以便进行见证审核。这些见证审核旨在证明 PRI CERTIFICATION 的审核员和过程的持续有效性。这些见证审核不会以任何方式影响客户的审核，如果被选中，所有客户都有合同义务接受见证审核。认可机构评审员受到与 PRI CERTIFICATION 签订的保密协议的约束，但如客户要求，他们也将签署客户保密协议或不披露表格。

IAQG members, Accreditation Bodies, and regulatory agencies may, without notification to Certification Bodies (CBs), access its facilities and records to ensure conformity and to perform oversight assessments of the CB's processes and activities associated with the AS series standard, and our accreditation and recognition as a CB under the ICOP scheme. The "right of access" shall include the witness of CB audits of organizations without advanced notification. The CB shall ensure this "right of access" is contractually extended to the CB's client facilities and associated records. CBs shall ensure that classified material or export control requirements, related to CB auditor access, are disclosed to their aviation, space, and defense clients and included in the service contract and audit planning activities. Records of the disclosure and agreements regarding auditor access shall be maintained through the notes area in RMS.
IAQG 成员、认可机构和监管机构可以在不通知认证机构(CB)的情况下访问其设施和记录，以确保符合并对与 AS 系列标准相关的 CB 过程和活动进行监督评估，以及我们作为 ICOP 方案下的 CB 的认可和认可。"访问权"应包括在不事先通知的情况下对组织进行认证机构审核的证人。认证机构应确保该"访问权"在合同中延伸至认证机构的客户设施和相关记录。CB 应确保与 CB 审核员权限相关的机密材料或出口控制要求向其航空、航天和国防客户披露，并包括在服务合同和审核计划活动中。关于审核员访问的披露和协议的记录应通过 RMS 的注释区保存。

Technical experts may also accompany auditors during an audit. The role of technical experts during an audit activity shall be agreed to by PRI Certification and the client prior to the conduct of the audit. A technical expert shall not act as an auditor in the audit team. The technical expert shall be accompanied by an auditor.
技术专家也可以在审核期间陪同审核员。技术专家在审核活动中的作用应在进行审核之前由 PRI CERTIFICATION 和客户商定。技术专家不得在审核组中担任审核员。技术专家应由审核员陪同。

Annex A: References 附录 A：

Industry Specific Definitions 行业特殊定义

Certification - Used to verify the conformance of an organization's management systems to a standard or other requirement. Also sometimes referred to as registration.

认证——用于验证组织的管理体系是否符合标准或其他要求。有时也被称为注册。

Certification body (CB) - A third-party company (PRI Certification) contracted to evaluate the conformance of an organization's management systems to the requirements of the appropriate standards and issue a certificate of conformance when warranted. Also known as a Certification.
认证机构(CB)——第三方公司(PRI Certification)负责评估组织的管理体系是否符合相应标准的要求，并在有保证的情况下颁发符合性证书。也被称为注册商。

Closure (of a nonconformity) – Evidence of acceptable correction and corrective action, or an acceptable plan for correction and corrective action plus evidence of effective implementation of the plan.
(不符合的)关闭——可接受的纠正和纠正措施的证据，或可接受的纠正和纠正措施计划加上计划有效实施的证据。

Containment (for AQMS systems) – Action to control and mitigate the impact of a nonconformity and protect the customer's operation (stop the problem from getting worse); includes correction, immediate corrective action, immediate communication, and verification that the nonconforming situation does not further degrade (AS9101F, section 3.1).
遏制(针对 AQMS 体系)-控制和减轻不符合影响并保护客户操作(阻止问题恶化)的措施;包括纠正、立即纠正措施、立即沟通和不符合情况不会进一步恶化的验证(AS9101F，第 3.1 部分)。

Correction - Action to eliminate a detected nonconformity (ISO 9000:2015, section 3.12.3).
纠正-消除检测到的不符合的措施(iso9000:2015，章节 3.12.3)。

Corrective action – Action to eliminate the cause of a detected nonconformity or other undesirable situation. Corrective action is taken to prevent recurrence (ISO 9000:2015, section 3.12.2).
纠正措施-消除所发现的不符合或其他不期望情况的原因的措施。采取纠正措施以防止再次发生(iso9000:2015，第 3.12.2 节)。

Expert Review: A qualified (peer) auditor is assigned to independently review the Audit Team's Assessment Report relative to the Standard and make recommendations regarding the registration decision.
专家评审:指定一名合格的(同行)审核员独立评审审核组的与标准相关的评估报告，并就注册决定提出建议。

Export Controls - In general, the PRI policy and process regarding control of Export Controlled/Restricted materials is that suppliers are responsible to know the status of all such materials, information, etc. in their possession and to safeguard it as per the regulations. If suppliers are unaware of the status of their materials and technical data, they are to contact their customers. Even though the PRI Certification audits are management systems audits, suppliers must safeguard Controlled/Restricted materials during the audit as required by the laws and regulations. Auditors may come in contact with such information as they audit various elements of the suppliers' manufacturing and management systems. PRI asks whether the supplier has Export Controlled/Restricted materials as part of the application process.
出口控制-一般来说，PRI 关于出口控制/限制材料控制的政策和过程是供应商有责任了解其拥有的所有此类材料、信息等的状态，并按照规定保护它们。如果供应商不知道他们的材料和技术数据的状态，他们应该联系他们的客户。尽管 PRI CERTIFICATION 审核是管理体系审核，供应商在审核期间必须按照法律法规的要求保护受控/受限材料。审核员在审核供应商生产和管理系统的各个要素时可能会接触到这些信息。PRI 询问供应商是否有出口控制/限制材料作为申请过程的一部分。

Initial Assessment – Process of evaluating an Applicant's suitability for Certification using review of documentation, Assessment audits, and Transfer audits.
初始评估-通过评审文件、评估审核和转机构审核来评估申请方是否适合认证的过程。

Key Performance Indicator (KPI) – Measures associated with goals or targets showing how well an organization is achieving its objectives or critical success factors for a particular project. KPIs are used to objectively define a quantifiable and measurable indication of the organization's progress towards achieving its goals.
关键绩效指标(KPI) -与目标或指标相关的度量，显示组织如何很好地实现其目标或特定项目的关键成功因素。kpi 用于客观地定义组织实现其目标的进度的可量化和可测量的指示。

> NOTE: KPIs relating to an organization's financial performance are not in the scope of the standard; however, economic measures (e.g., sales quotas, scrap value reduction) can be considered acceptable measures for process improvement.
> 注:与组织财务绩效相关的关键绩效指标不在本标准的范围内;然而经济措施(例如，销售配额，减少废料价值)可以被认为是过程改进的可接受措施。

Lead Auditor: A qualified individual assigned from the Qualified Auditor List who acts as audit team leader on behalf of PRI Certification.
审核组长:从合格审核员名单中指派的代表 PRI Certification 担任审核组组长的合格人员。

Major nonconformity – Nonconformity that affects the capability of the management system to achieve the intended results. Nonconformities could be classified as major in the following circumstances:

重大不符合——影响管理体系实现预期结果的能力的不符合。在下列情况下，不符合可被划分为重大不符合:

- if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
  如果对有效的过程控制是否到位，或产品或服务是否满足规定的要求存在重大疑问;
- a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity (ISO 17021-1 2015 section 3.12).
  与同一要求或问题相关的一些一般不符合可以证明系统失效，从而构成重大不符合(ISO 17021-1 2015第3.12节)。

In addition, for AQMS, a major nonconformity can be one or more of the following situations:
此外，对于 AQMS，重大不符合可以是以下一种或多种情况:

- a nonconformity where the effect is judged to be detrimental to the integrity of the product or service;
  判定影响到产品或服务完整性的不符合;
- the absence of or total breakdown of a system to meet a 9100-series standard requirement, a customer QMS requirement, or documented information defined by the organization;
  满足 9100 系列标准要求、顾客质量管理体系要求或组织定义的文件化信息的体系缺失或完全崩溃;
- any nonconformity that can result in the probable delivery of nonconforming product or service; and
  任何可能导致不合格产品或服务交付的不合格;和
- a condition that can result in the failure or reduce the usability of the product or service and its intended purpose.
  可能导致产品或服务失效或降低其可用性及其预期用途的情况

Management systems - An organization's structure for managing its processes that transform inputs of resources into a product or service that meet the organization's objectives, such as satisfying customer quality requirements, complying with regulations, or meeting environmental objectives.
管理体系——组织用于管理将资源输入转化为满足组织目标(如满足顾客质量要求、遵守法规或满足环境目标)的产品或服务的过程的结构。

Minor nonconformity – Nonconformity that does not affect the capability of the management system to achieve the intended results.
一般不符合 - 不影响管理体系实现预期结果的能力的不符合。

For AQMS applications: In addition, a minor nonconformity can be a single system failure or lapse in conformity to meet a 9100-series standard requirement, customer QMS requirement, or documented information defined by the organization.

对于 AQMS 申请: 轻微的不符合还可以是单个系统故障或与 9100 系列标准要求、客户质量管理体系要求或组织定义的成文信息的不符合。

Nonconformity (NCR) – Non-fulfillment of a requirement (ISO 9000:2015, 3.6.9). Also referred to as a nonconformance. Could be either a Major or Minor classification.
不符合(NCR) -不满足要求(iso9000:2015, 3.6.9)。也被称为不合格。可以分为重大或一般。

Opportunity for improvement (OFI) – Any finding not classified as a nonconformity or not withdrawn. Any negative finding of a potential nonconformity will be classified as an OFI (see definition of preventive action). There may be OFIs that are not potential nonconformities, and not all OFIs need to be documented using the finding form.
改进机会(OFI) -任何未归类为不符合或未撤销的发现。任何潜在不符合的负面发现将被归类为 OFI(见预防措施的定义)。可能存在不是潜在不符合项的 ofi，并非所有的 ofi 都需要使用审核发现表单进行记录。

Quality Manual/Documentation - A formal documentation of a Quality Management Systems/ Environmental Management System that includes policy descriptions of the system and references to pertinent procedures. **Note:** A formal quality manual is longer required in ISO 9001: 2015 as it is now referenced as quality documentation.
质量手册/文件——质量管理体系/环境管理体系的正式文件，包括对体系的政策描述和对相关程序的参考。注意:ISO 9001: 2015 不再需要正式的质量手册，因为它现在被引用为质量文件。

Certification Management System (RMS) – Web-based data system used by PRI Certification to administer audit and manage audit related details.
认证管理系统(RMS)——PRI Certification 使用的基于 web 的数据系统，用于管理审核和审核相关细节。

Stage 1 audit – First stage of a two-stage audit conducted for management systems certification. The Stage 1 audit is for conducting a document review and determining the organization's readiness for a Stage 2 audit. Objective evidence of completed internal audits and management review will be reviewed. For EMS clients, the auditor will additionally be confirming the organization has conducted an effective aspects analysis and that the organization is knowledgeable of legal requirements.
第一阶段审核——对管理体系认证进行两阶段审核的第一阶段。第一阶段审核是为了进行文件评审，并确定组织是否为第二阶段审核做好了准备。对已完成的内部审核和管理评审的客观证据进行评审。对于环境管理体系客户，审核员还将确认组织已经进行了有效的方面分析，并且组织了解法律要求。

Stage 2 audit – Second stage of a two-stage audit conducted for management systems certification. The Stage 2 audit is to confirm effective implementation of a management system.
第二阶段审核——管理体系认证两阶段审核的第二阶段。第二阶段审核的目的是确认管理体系的有效实施。

Suspension of Certification – Certification shall be suspended in cases when the client's organization has failed to meet certification requirements, including requirements for the effectiveness of the management system. Another reason for suspension is that the client does not allow surveillance or Recertification audits to be conducted at the required frequencies or if invoices have not been paid. For AQMS clients, notification of suspension will be published at www.iaqg.org/oasis.
暂停认证——当客户组织未能满足认证要求，包括对管理体系有效性的要求时，应暂停认证。暂停的另一个原因是客户不允许按照要求的频率进行监督或再注册审核，或者未支付发票。对于 AQMS 客户，暂停服务的通知将在 www.iaqg.org/oasis 上发布。

Withdrawal (cancellation) of Certification – Cessation of Certification. Requires cessation of use of the PRI Certification mark in any form and any reference to certification status. For AQMS clients, notification of withdrawal will be published at www.iaqg.org/oasis.
撤销(取消)认证-终止认证。要求停止以任何形式使用 PRI Certification 标志和任何对认证状态的引用。对于 AQMS 客户，撤销通知将在 www.iaqg.org/oasis 上发布。

Standards and Normative Documents 标准及规范性文件

As described here, a "standard" is a document which directly imposes requirements upon a certified organization for the maintenance of a management system. A "normative document" indirectly affects certified organizations by imposing requirements on PRI Certification (i.e., the certification body), which are then flowed down to via PRI's processes, policies, and audit program
如本文所述，"标准"是一份文件，它直接对获得认证的组织提出维护管理体系的要求。"规范性文件"通过向 PRI Certification(即认证机构)施加要求间接影响被认证组织，这些要求随后通过 PRI 的过程、政策和审核程序向下传递。

Aerospace Quality Management Systems 航空质量管理体系		
Standard(s)标准	***Normative Documents 规范性文件***	
ISO 9001:2015	ISO/IEC 17021-1:2015	
AS91XX series - AS9100D - AS9110B - AS9120C	AS9101F	
	AS9104/1:2012	
Quality Management Systems 质量管理体系		
Standard(s)	***Normative Documents***	
ISO 9001:2015	ISO/IEC 17021-1:2015	IAF MD 4:2018
	IAF MD 1:2018	IAF MD 5:2019
	IAF MD 2:2017	IAF MD 11:2013
Environmental Management Systems 环境管理体系		
Standard(s)	***Normative Documents***	
ISO 14001:2015	ISO/IEC 17021-1:2015	IAF MD 4:2018
	IAF MD 1:2018	IAF MD 5:2019
	IAF MD 2:2017	IAF MD 11:2013
Occupational Health & Safety Management Systems 职业健康与安全管理体系		
Standard(s)	***Normative Documents***	
ISO 45001:2018 ***or*** OHSAS 18001:2007	ISO/IEC 17021-1:2015	IAF MD 4:2018
	IAF MD 1:2018	IAF MD 5:2019
	IAF MD 2:2017	IAF MD 11:2013
Information Security Management Systems 信息安全管理体系		
Standard(s)	***Normative Documents***	
ISO 27001:2013	ISO/IEC 17021-1:2015	IAF MD 1:2018
ISO 27701:2019 (as applicable)	ISO/IEC 27006:2015 - Amd 1:2020	IAF MD 2:2017
ISO 27017:2015 (as applicable)		IAF MD 4:2018
ISO 27018:2019 (as applicable)		IAF MD 11:2013

Resources: 参考文献

- ANSI National Accreditation Board (ANAB)
- American National Standards Institute (ANSI)
- International Aerospace Quality Group (IAQG)

- International Organization for Standardization (ISO)
- SAE International
- International Accreditation Forum (IAF)
  - IAF Mandatory Documents

Annex B: Audit Objectives 附录 B：审核目标

Stage 1 一阶段

General objectives (all Standards) shall include:

总目标(所有标准)应包括:

- review the client's management system documented information;
  审核客户的管理体系文件化信息;
- evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for Stage 2;
  评估客户现场的具体条件，并与客户人员进行讨论，以确定第二阶段的准备工作;
- review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
  评审顾客对标准要求的状态和理解，特别是对管理体系关键绩效或重要方面、过程、目标和运行的识别;
- obtain necessary information regarding the scope of the management system, including:
  获取有关管理体系范围的必要信息，包括:
  - the client's site(s);客户的场所
  - processes and equipment used; 过程及使用的设备
  - levels of controls established (particularly in case of multisite clients); 建立的控制水平(特别是在多场所客户的情况下);
  - applicable statutory and regulatory requirements; 适用的法律法规要求;
- review the allocation of resources for Stage 2 and agree the details of stage 2 with the client;
  评审第二阶段的资源分配，并与客户就第二阶段的细节达成一致;
- provide a focus for planning Stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document;
  在管理体系标准或其他规范性文件的背景下，通过充分了解客户的管理体系和现场运营，为规划第二阶段提供重点;
- evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for Stage 2.

评估内部审核和管理评审是否正在计划和执行，以及管理体系的实施水平是否足以证明客户已准备好进入第二阶段。

Additional Aerospace (AS9100 / AS9110 / AS9120) objectives shall include:

附加的航空航天(AS9100 / AS9110 / AS9120)目标应包括:

- confirm the audit program;
  确认审核程序;
- review the need for additional technical experts and/or auditors to compose a competent audit team;
  审核是否需要额外的技术专家和/或审核员来组成一个有能力的审核组;
- review the percentage of revenue for aviation, space, and defense industry business, as a proportion of the organization's total revenue (as declared by the organization, during the application review phase);
  评审航空、航天和国防工业业务收入占组织总收入的百分比(由组织在申请评审阶段申报);
- confirm the number of employees associated to aviation, space, and defense industry business (i.e., full time, part time, temporary) and percentage of total work force (as declared by the organization, during the application review phase);
  确认与航空、航天和国防工业业务相关的员工人数(即全职、兼职、临时)和总劳动力的百分比(由组织在申请评审阶段宣布);
- review the key (e.g., top five) aviation, space, and/or defense customers (as declared by the organization, during the application review phase);
  评审主要(如前五名)航空、航天和/或国防客户(由组织在申请评审阶段声明);
- confirm other customers requiring 9100-series standards compliance, together with any customer specific QMS requirements (if applicable);
  确认其他要求符合 9100 系列标准的客户，以及任何客户特定的质量管理体系要求(如适用);
  NOTE: Examples of customer specific QMS requirements are: product process verification [e.g., First Article Inspection (see 9102)]; evaluation of new capability (maintenance organizations), control and retention of documented information; defined special requirements/critical items/key characteristics; approval of design changes; flow down of requirements to external providers; notification of production process changes; identification and traceability; handling of nonconformities; and applicability of other IAQG standards in contracts (e.g., 9115, 9131).
  注:客户特定质量管理体系要求的例子有:产品过程验证[例如，首件检验(见 9102)];评估新能力(维修组织)，控制和保留文件化信息;明确的特殊要求/关键项目/关键特性;设计变更的批准;向外部提供者传递需求;生产工艺变更通知书;识别和可追溯性;不符合项的处理;以及其他 iaqg 标准在合同中的适用性(例如 9115、9131)。
- confirm the number of shifts and shift patterns specific to production, maintenance, and/or servicing;
  确认生产、维护和/或服务的班次和班次模式;

- determine restricted areas/proprietary information/confidentiality;
  确定受限区域/专有信息/保密要求;
- determine customer presence at the organization [e.g., resident representatives, regular meetings, reason(s) for presence];
  确定客户在组织中的存在[例如，驻厂代表、定期会议、存在的原因];
- determine any additional audit activities, as needed, for the fulfillment of the requirements for initial certification; and
  根据需要确定任何额外的审核活动，以满足初始认证的要求;和
- schedule the Stage 2 audit activities.
  安排第二阶段的审核活动。

Additional Information Security (ISO 27001 / ISO 27701) objectives include:

其他信息安全(ISO 27001 / ISO 27701)目标包括:

- obtain a sufficient understanding of the design of the ISMS in the context of:
  对 ISMS 的设计有充分的理解:
  - the client's organization; 客户组织;
  - risk assessment and treatment (including the controls determined); 风险评估和处理(包括确定的控制措施);
  - information security policy and objectives. 信息安全策略和目标

Stage 2 二阶段审核

General objectives (all Standards) shall include the review of at least the following:

总目标(所有标准)应至少包括以下方面的评审:

- information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;
  符合适用管理体系标准或其他规范性文件所有要求的信息和证据;
- performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
  针对关键绩效目标和指标(与适用的管理体系标准或其他规范性文件的期望一致)进行绩效监控、测量、报告和评审;
- the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;
  客户在满足适用的法律、法规和合同要求方面的管理体系能力和绩效;
- operational control of the client's processes;
  对客户过程的操作控制;
- internal auditing and management review;
  内审和管理评审;

- management responsibility for the client's policies.
  客户政策的管理责任。

Additional Information Security (ISO 27001 / ISO 27701) objectives include the review of at least the following: 额外的信息安全(ISO 27001 / ISO 27701)目标包括至少包含以下内容:

- top management leadership and commitment to information security policy and the information security objectives;
  最高管理者对信息安全方针和信息安全目标的领导和承诺;
- documentation requirements listed in ISO/IEC 27001; ISO/IEC 27001 中列出的文件要求;
- assessment of information security related risks and that the assessments produce consistent, valid and comparable results if repeated;
  评估信息安全相关风险，如果重复，评估产生一致、有效和可比较的结果;
- determination of control objectives and controls based on the information security risk assessment and risk treatment processes;
  根据信息安全风险评估和风险处理过程确定控制目标和控制措施;
- information security performance and the effectiveness of the ISMS, evaluating against the information security objectives;
  信息安全绩效和信息安全管理体系的有效性，根据信息安全目标进行评估;
- correspondence between the determined controls, the Statement of Applicability and the results of the information security risk assessment and risk treatment process and the information security policy and objectives;
  已确定的控制措施、适用性声明、信息安全风险评估和风险处理过程的结果以及信息安全方针和目标之间的对应关系;
- implementation of controls (see Annex D), taking into account the external and internal context and related risks, the organization's monitoring, measurement and analysis of information security processes and controls, to determine whether controls are implemented and effective and meet their stated information security objectives;
  控制措施的实施(见附件 D)，考虑到外部和内部环境及相关风险，组织对信息安全过程和控制措施进行监视、测量和分析，以确定控制措施是否得到实施和有效，并满足其既定的信息安全目标;
- programs, processes, procedures, records, internal audits and reviews of the ISMS effectiveness to ensure that these are traceable to top management decisions and the information security policy and objectives.
  项目、过程、程序、记录、内部审核和 ISMS 有效性的评审，以确保这些可追溯到最高管理层的决策和信息安全政策和目标。

Surveillances 监督

General objectives (all Standards) shall include the review of at least the following:

总目标(所有标准)应至少包括以下方面的评审:

- internal audits and management review;
  内审和管理评审;
- a review of actions taken on nonconformities identified during the previous audit;
  对先前审核中发现的不符合项所采取措施的评审;
- complaints handling;
  投诉处理;
- effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);
  管理体系在实现认证客户目标和各自管理体系预期结果方面的有效性;
- progress of planned activities aimed at continual improvement;
  旨在持续改进的策划活动的进展情况;
- continuing operational control;
  持续运营控制;
- review of any changes;
  审核任何变更;
- use of marks and/or any other reference to certification.
  使用商标和/或任何其他认证参考。

Additional Aerospace (AS9100 / AS9110 / AS9120) objectives: 附加航空航天(AS9100 / AS9110 / AS9120)目标:

In addition, all clauses of the applicable AQMS standard (except requirements determined as not applicable within the determined scope) and the organization's processes that are part of the QMS shall be audited, during the surveillance audits within one certification cycle. The audit method(s) to be used (e.g., audits on specific problems, areas, products, or sub-processes) shall be based on the outcome of the audit team's review of QMS performance data, including product conformity and OTD.

此外，在一个认证周期内的监督审核中，应审核适用的 AQMS 标准的所有条款(在确定的范围内确定不适用的要求除外)和作为质量管理体系一部分的组织过程。所采用的审核方法(如针对特定问题、领域、产品或子过程的审核)应以审核组对质量管理体系绩效数据(包括产品符合性和 OTD)的评审结果为基础。

Additional Information Security (ISO 27001 / ISO 27701) objectives include the review of at least the following: 额外的信息安全(ISO 27001 / ISO 27701)目标包括至少包括以下内容:

- the system maintenance elements such as information security risk assessment and control maintenance, internal ISMS audit, management review and corrective action;
  系统维护要素，如信息安全风险评估和控制维护、内部 ISMS 审核、管理评审和纠正措施;
- communications from external parties as required by the ISMS standard ISO/IEC 27001 and other documents required for certification;
  根据 ISMS 标准 ISO/IEC 27001 和认证所需的其他文件要求与外部各方进行沟通;
- changes to the documented system;

文件化体系的变更;

- areas subject to change;
  可能发生变化的领域
- selected requirements of ISO/IEC 27001;
  选定的 ISO/IEC 27001 要求
- other selected areas as appropriate;
  其他适当的选定领域;
- the effectiveness of the ISMS with regard to achieving the objectives of the client's information security policy;
  ISMS 在实现客户信息安全方针目标方面的有效性;
- the functioning of procedures for the periodic evaluation and review of compliance with relevant information security legislation and regulations;
  定期评估和评审遵守相关信息安全法律法规的程序的功能;
- changes to the controls determined, and resulting changes to the SoA;
  对已确定控件的更改，以及由此导致的 SoA 更改;
- implementation and effectiveness of controls according to the audit programme.
  根据审核方案实施和有效性控制。

Recertification 再注册

General objectives (all Standards) shall include the review of at least the following: 总体目标(所有标准)应至少包括以下内容的评审

- the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
  考虑到内部和外部变化，整体管理体系的有效性及其对认证范围的持续相关性和适用性;
- demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
  承诺保持管理体系的有效性和改进，以提高整体绩效;
- the effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s).
  管理体系在实现认证客户目标和各自管理体系预期结果方面的有效性。

Annex C: Nonconformance Response 附录 C：不符合项回复

General 常规

General guidelines for nonconformance responses, as well as instructions for responding in RMS, are available at our Client Help page.

不符合回复的一般指导方针，以及在 RMS 中回复的说明，可在我们的客户帮助页面获得

Instructions for responding to nonconformances in OASIS are available at:
https://oasishelp.iaqg.org/?s=ncr+management
OASIS 中回复不符合项的说明可在 https://oasishelp.iaqg.org/?s=ncr+management 上获得

Definition of Terms 术语定义

Closed NCR: 关闭不符合项

- Objective evidence provided demonstrating implementation of the correction
- 提供客观证据证明纠正的实施
- Objective evidence provided demonstrating implementation of the corrective action
- 提供证明纠正措施实施的客观证据

Accepted NCR: 接受的不符合项

- Objective evidence provided demonstrating implementation of the correction
- 提供客观证据证明纠正的实施
- Approval by the Lead Auditor of the corrective action plan, to be verified at the next audit
- 由审核组长批准纠正措施计划，并在下次审核时进行验证

Root Cause:根本原因

- The underlying reason for the nonconformance. This reason is distinct from a justification or surface-level cause. 导致不符合的根本原因。这个原因不同于解释或表层原因。

Correction:纠正

- Action taken to eliminate the identified nonconformity. 为消除已发现的不符合而采取的措施。

Corrective Action:纠正措施

- Action taken to prevent similar nonconformities from occurring in the future. 为防止今后发生类似不符合而采取的措施。

Containment Action:遏制措施

- Action to control and mitigate the impact of a nonconformity and protect the customer's operation (stop the problem from getting worse); includes correction, immediate corrective action, immediate communication, and verification that the nonconforming situation does not further degrade. 采取措施控制和减轻不符合的影响，保护客户的运行(防止问题恶化);包括纠正、立即纠正措施、立即沟通以及不符合情况不会进一步恶化的确认

Objective Evidence:客观证据

- Verifiable data supporting the existence or verity of something 支持某事存在或真实性的可验证的数据
- In relation to NCR responses, generally provided in the form of records supporting the implementation of the plan approved by the auditor. 关于 NCR 的回复，一般以记录的形式提供，以支持审核员批准的计划的实施

Response Requirements 回复要求

Stage 1 一阶段

When a nonconformance is encountered during a Stage 1 audit, it is documented as an Area of Concern. This does not require formal response, but must be addressed prior to the Stage 2. If the same finding is encountered during the Stage 2, then an NCR shall be written, and formal response shall be required as described below. 当在一阶段审核中遇到不符合项时，将其记录为关注区域。这并不需要正式的回应，但必须在第二阶段之前解决。如果在第二阶段中遇到相同的发现，则应开出 NCR，并要求按如下所述作出正式答复。

Stage 2 二阶段

All nonconformances must be addressed (as described below) within 6 months of the end of the Stage 2 audit. Failure to do so will result in a refusal of registration. A new Initial audit would be required to obtain certification. 所有不符合项必须在第二阶段审核结束后 6 个月内解决(如下所述)。如果未满足此要求将导致被拒绝注册，需要进行新的初次审核以获得认证。

ISO 9001 / ISO 14001 / ISO 45001 / ISO 27001 / ISO 27701:

Prior to a decision for registration, all major nonconformances must be verifiably closed. All minor nonconformances must be ***either*** verifiably closed, or accepted.

在决定注册之前，所有重大不符合必须被验证关闭。所有一般的不符合必须被确认关闭或接受。

Plans should be submitted within 30 days of the end of the audit.

计划应在审核结束后 30 天内提交。

Aerospace (AS9100 / AS9110 / AS9120): 航空(AS9100 / AS9110 / AS9120)

Prior to a decision for registration, all nonconformances (both major and minor) must be verifiably closed.

在决定注册之前，所有不符合项(包括重大和一般)都必须被验证关闭。

If containment is required, then the plan for containment and correction should be submitted within seven (7) days of issuance of the NCR. The Client and Lead Auditor should agree on the response within 21 days. Root cause and the plan for corrective action should be submitted within

20 days of issuance of the NCR. The Client and Lead Auditor should agree on the plan for corrective action within 30 days.

如果需要遏制措施，则应在 NCR 开出后七(7)天内提交遏制和纠正计划。客户和审核组长应在 21 天内就回复达成一致。根本原因和纠正措施计划应在 NCR 开出后 20 天内提交。客户和审核组长应在 30 天内就纠正措施计划达成一致。

If containment is not required, then root cause and the plans for correction and corrective action should be submitted within 20 days of issuance of the NCR. The Client and Lead Auditor should agree on all three within 30 days.

如果不需要遏制措施，则应在 NCR 发布后 20 天内提交根本原因，以及纠正和纠正措施计划。客户和审核组长应在 30 天内就这三点达成一致。

In all cases, any actions for containment and correction should be implemented within 60 days of the issuance of the NCR.

在所有情况下，任何遏制和纠正措施都应在 NCR 发布后 60 天内实施。

IATF 16949

Major non-conformance:

严重不符合项

The following evidences shall be submitted within maximum 15 days of closing meeting. The Client and Lead Auditor should agree on the response within maximum 30 days of closing meeting.

以下证据应在末次会议之日起最多 15 天内提交。客户和审核组长应在末次会议之日起最多 30 天内就不符合项回复达成一致意见。

a) Implemented containment actions and its effectiveness
已实施的遏制措施及其有效性验证的证据
b) Implemented correction
已实施的纠正
c) Root cause analysis, including the consideration of method used, results and impact on other products/processes
根本原因分析，包括对所采用的方法、分析结果以及对其他产品/过程产生的影响的考虑
d) Corrective action plan to eliminate the root cause and the method identified to verify the effectiveness of systemic actions
为消除根本原因制定的纠正措施计划和为验证系统性措施的有效性识别的方法

The following evidences shall be submitted within maximum 60 days of the closing meeting. The Client and Lead Auditor should agree on the response within maximum 90 days of closing meeting.

以下证据应在末次会议之日起最多 60 天内提交。客户和审核组长应在末次会议之日起最多 90 天内就不符合项回复达成一致意见。

a) Implemented the planned corrective actions to eliminate the root cause
已实施的为消除根本原因所策划的纠正措施
b) Verification results of the systemic actions
对系统性措施进行验证的结果

Minor non-conformance:

一般不符合项:

The following evidences shall be submitted within maximum 60 days of the closing meeting. The Client and Lead Auditor should agree on the response within maximum 90 days of closing meeting.

以下证据应在末次会议之日起最多 60 天内予以提交。客户和审核组长应在末次会议之日起最多 90 天内就不符合项回复达成一致意见。

a) Implemented containment actions and its effectiveness
已实施的遏制措施及其有效性验证的证据
b) Implemented correction
已实施的纠正
c) Root cause analysis, including the consideration of method used, results and impact on other products/processes
根本原因分析，包括对所采用的方法、分析的结果以及对其他产品/过程产生的影响的考虑
d) Implementation of systemic actions to eliminate the root cause
为消除根本原因实施的系统性措施
e) Method and results to verify the effectiveness of systemic actions
为验证系统性措施的有效性采用的方法和结果

Surveillances / Special Audits 监督/特殊审核

ISO 9001 / ISO 14001 / ISO 45001 / ISO 27001 / ISO 27701:

Prior to audit closure, all nonconformances must be ***either*** verifiably closed, or accepted. Major nonconformances may require closure, based on their severity.

在审核结束之前，所有不符合项必须通过可验证的方式关闭或接受。重大不符合基于它们的严重程度可能需要关闭。

Plans must be submitted within 30 days of the end of the audit. Acceptance or closure (as appropriate) must be accomplished within 90 days of the end of the audit.

计划必须在审核结束后 30 天内提交。接受或关闭(视情况而定)必须在审核结束后 90 天内完成。

Aerospace (AS9100 / AS9110 / AS9120):

Prior to audit closure, all nonconformances must be ***either*** verifiably closed, or accepted. Major nonconformances may require closure, based on their severity.

在审核结束之前，所有不符合项必须通过可验证的方式关闭或接受。重大不符合基于它们的严重程度可能需要关闭。

If containment is required, then the plan for containment and correction must be submitted within seven (7) days of issuance of the NCR. The Client and Lead Auditor must agree on the response within 21 days. Root cause and the plan for corrective action must be submitted within 20 days of

issuance of the NCR. The Client and Lead Auditor must agree on the plan for corrective action within 30 days.

如果需要遏制，则必须在 NCR 开出后七(7)天内提交遏制和纠正计划。客户和审核组长必须在 21 天内就回复达成一致。根本原因和纠正措施计划必须在 NCR 开出后 20 天内提交。客户和审核组长必须在 30 天内就纠正措施计划达成一致。

If containment is not required, then root cause and the plans for correction and corrective action must be submitted within 20 days of issuance of the NCR. The Client and Lead Auditor must agree on all three within 30 days.

如果不需要遏制，则必须在 NCR 发布后 20 天内提交根本原因，以及纠正和纠正措施计划。客户和审核组长必须在 30 天内就这三点达成一致。

In all cases, any actions for containment and correction must be implemented within 60 days of the issuance of the NCR.

在所有情况下，任何遏制和纠正行动都必须在发布 NCR 后 60 天内实施。

NCRs must be resolved (either closed or accepted) within 90 days of the end of the audit.

NCRs 必须在审核结束后 90 天内解决(关闭或接受)。

Failure to adhere to these deadlines shall result in suspension of certification.

未能遵守这些截止日期将导致暂停认证。

IATF 16949

For major non-conformance, an on-site special audit shall be performed within maximum 90 days of the closing meeting.

对于重大不符合项，应在从末次会议之日起至少 90 天内现场进行一次特殊审核。

For minor non-conformance, the effectiveness of systemic actions shall be verfiied during next regular audit.

对于一般不符合项，应在下一次常规审核中验证系统性措施的有效性。

If the organization apply initial audit within 3 years of withdraw due to ineffective implementation of the systemic actions, a special audit shall be performed.

如果组织因为有效实施系统性措施而撤销认证资格后三年内申请初次认证审核，则应进行一次特殊审核。

Recertification 再注册

ISO 9001 / ISO 14001 / ISO 45001:

Prior to a decision for registration, all major nonconformances must be verifiably closed. All minor nonconformances must be ***either*** verifiably closed, or accepted.

在决定注册之前，所有重大不符合项必须被验证关闭。所有一般的不符合必须被确认地关闭或接受。

Plans must be submitted within 30 days of the end of the audit. Acceptance or closure (as appropriate) must be accomplished prior to the expiration of the certificate.

计划必须在审核结束后 30 天内提交。接受或关闭(视情况而定)必须在证书到期前完成。

Failure to adhere to these deadlines shall result in suspension or expiration of certification.

未能遵守这些截止日期将导致暂停或终止认证。

ISO 27001 / ISO 27701:

Response timelines shall generally follow the trends described above. However, timelines for response may be shortened based on the severity of the nonconformance. Any altered timelines shall be communicated by the Lead Auditor at the closing meeting.

回复时间一般应遵循上述趋势。然而，回复时间可以根据不符合的严重程度而缩短。任何变更的时间表应由审核组长在末次会议上通报。

Failure to adhere to these deadlines shall result in suspension or expiration of certification. 未能遵守这些截止日期将导致暂停或终止认证。

Aerospace (AS9100 / AS9110 / AS9120):

Prior to a decision for registration, all nonconformances (both major and minor) must be verifiably closed.

在决定注册之前，所有不符合项(包括重大和一般)都必须被验证关闭。

If containment is required, then the plan for containment and correction must be submitted within seven (7) days of issuance of the NCR. The Client and Lead Auditor must agree on the response within 21 days. Root cause and the plan for corrective action must be submitted within 20 days of issuance of the NCR. The Client and Lead Auditor must agree on the plan for corrective action within 30 days.

如果需要遏制措施，则必须在 NCR 发布后七(7)天内提交遏制和纠正计划。客户和审核组长必须在 21 天内就回复达成一致。根本原因和纠正措施计划必须在 NCR 发布后 20 天内提交。客户和审核组长必须在 30 天内就纠正措施计划达成一致。

If containment is not required, then root cause and the plans for correction and corrective action must be submitted within 20 days of issuance of the NCR. The Client and Lead Auditor must agree on all three within 30 days.

如果不需要遏制措施，则必须在 NCR 发布后 20 天内提交根本原因，及纠正和纠正措施计划。客户和审核组长必须在 30 天内就这三点达成一致。

In all cases, objective evidence of containment and/or correction must be submitted and approved by the Lead Auditor within 60 days of the issuance of the NCR.

在所有情况下，控制和/或纠正的客观证据必须在 NCR 发布后 60 天内提交并由审核组长批准。

Objective evidence of corrective action must be submitted prior to the expiration of certificate. Enough time should be allowed for approval of the objective action and other registration activities in order to prevent expiration of the certificate.

纠正措施的客观证据必须在证书到期前提交。为防止证书过期，应给予足够的时间用于批准客观证据和其他注册活动。

Failure to adhere to these deadlines shall result in suspension or expiration of certification.

未能遵守这些截止日期将导致暂停或终止认证。

Annex D: Multisite Organizations 附录 D：多场所组织

Definitions and Requirements 定义与要求

ISO 9001 / 14001 / ISO 45001 / ISO 27001 / ISO 27701:

An organization covered by a single management system comprising an identified central function (not necessarily the headquarters of the organization) at which certain processes/activities are planned and controlled, and a number of sites (permanent, temporary or virtual) at which such processes/activities are fully or partially carried out.

一个组织被一个单一的管理系统所覆盖，该系统包括一个确定的职能中心(不一定是该组织的总部)，在这个职能中心中计划和控制某些过程/活动，以及一些(永久的、临时的或虚拟的)场所，在这些场所中全部或部分地执行这些过程/活动。

A multi-site organization need not be a unique legal entity, but all sites shall have a legal or contractual link with the central function of the organization and be subject to a single management system, which is laid down, established and subject to continuous surveillance and internal audits by the central function. This means that the central function has rights to require that the sites implement corrective actions when needed in any site. Where applicable this should be set out in the formal agreement between the central function and the sites.

一个多场址的组织不必是一个单独的法律实体，但所有场址应与该组织的职能中心具有法律或合同联系，并接受单一的管理体系，该体系由职能中心制定、建立并进行持续的监督和内审。这意味着职能中心有权要求任何分场所在必要时实施纠正措施。在适用的情况下，可在职能中心和分场所之间的正式协议中加以规定。

Aerospace (AS9100 / AS9110 / AS9120):

- Campus 园区
    - An organization having an identified central function and a decentralized, sequential, linked product realization process (i.e., a single value stream). 具有确定的职能中心和分散的、按顺序相互联系的产品实现过程的组织(即单一价值流);
- Multiple Sites 多场所
    - An organization having an identified central function and a network of sites at which activities are fully or partially carried out.
    - 具有明确的职能中心和全部或部分开展活动的场址网络的组织。
    - All sites must be doing substantially the same manufacturing and/or value-added process. 所有场所的生产和/或增值过程必须基本相同。
- Several Sites 不同场所
    - An organization having an identified central function and a network of sites that do not meet the criteria for a multiple site or campus organization. 具有明确的职能中心和分场所单又不符合多场所或园区定义的组织。

Maintaining Certification 维持证书

Audits shall be conducted on at least an annual basis, including all sites identified in the audit program.

审核应至少每年进行一次，包括审核计划中确定的所有场所。

When nonconformities are documented during audits (third party or internal), the client shall review the nonconformities to determine whether or not they indicate an overall system deficiency applicable to other sites. If they are found to do so, corrective action shall be performed and verified both at the central function and at the individual affected sites. If they are found not to do so, the organization shall be able to demonstrate to PRI Certification the justification for limiting its follow-up corrective action. Evidence of action at all affected sites shall be reviewed as part of PRI Certification's audit, for both internal and external nonconformances.

当审核期间(第三方或内部)记录了不符合项时，客户应对不符合项进行评审，以确定它们是否表明了适用于其他场所的整体系统缺陷。如果发现存在这种情况，应在职能中心部门和个别受影响的场所实施和验证纠正措施。如果发现他们没有这样做，组织应能够向 PRI Certification 证明限制其后续纠正措施的理由。所有受影响的场所的纠正措施证据都应作为 PRI Certification 审核的一部分进行评审，包括内部和外部不符合项。

At the time of the registration decision, if any site has a major nonconformity, certification shall be denied to the whole multisite organization of listed sites pending satisfactory corrective action.

在做出注册决定时，如果任何一个场所有重大不符合项，在采取令人满意的纠正措施之前，将拒绝对与该分场所相关的整个多场所组织进行认证。

In the event that a sub-section of "problematic" sites is preventing the certification or continued certification of the multisite as a whole, the client shall not be allowed to exclude these sites from their scope in order to facilitate the certification process.

如果"问题"场所的某一部分妨碍了整个多场所的认证或持续认证，则不允许客户为了加快获得认证的过程而将这些场所排除在其认证范围之外。

Certification shall be suspended or withdrawn for the multisite as a whole if any site does not fulfil the requirements to maintain certification.

任何场所不符合保持认证的要求都应导致暂停或撤销对整个多场所组织的认证。

Annex E: Key Timeline Requirements for IATF 16949

附录 E：IATF 16949 的关键时间节点要求

Planning:
策划：

At least 0.5 day shall be provided by the Certification Body for audit planning.

认证机构应至少分配 0.5 天的时间来进行审核策划。

Rules 5.7 (Audit planning) requires the audit date for a surveillance, recertification and transfer audit to be confirmed with the client no less than 90 calendar days before the audit due date.

《IATF 16949 认证规则》第 5.7 条（审核策划）要求必须至少在审核到期日前不少于 90 个日历日与客户确认监督、再认证和转机构审核的审核日期。

Rules 5.7.1 (Client information required for audit planning) requires the client to provide audit planning information no less than 30 calendar days before the start date of the audit.

《IATF 16949 认证规则》第 5.7.1 条（审核策划要求提供的客户信息）要求客户应至少在审核开始日期前不少于 30 个日历日提供审核策划所需的信息。

Audit Plan:

审核计划：

The audit plan shall be sent to the client at least 14 days prior to the audit.

审核计划应在审核前至少 14 天发送给客户。

Audit report:

审核报告:

Audit report must be issued to the client by 15 calendar days from closing meeting

审核报告应在末次会议之日起 15 个日历日内发送给客户。

Stage 1 audit:

一阶段审核:

A complete stage 1 readiness assessment was conducted no more than six (6) months ago.

完整的一阶段评审应在六（6）个月内完成。

Stage 2:

二阶段：

The time between the closing meeting date of the stage 1 readiness assessment and the beginning of the stage 2 certification audit shall be a minimum of twenty (20) calendar days.

一阶段评审末次会议的日期和二阶段认证审核的开始日期之间应至少间隔二十（20）个日历日。

Audit cycle:

审核周期：

The first three (3) year audit cycle of a manufacturing site shall include an initial certification audit (stage 1 readiness assessment and stage 2 certification audit), followed by a surveillance audit in the first and second years.

制造现场的第一个三（3）年审核周期应包括初次认证审核（一阶段准备性评审和二阶段认证审核）以及随后在第一年和第二年进行的监督审核。

The first three (3) year audit cycle starts from the last day of the stage 2 certification audit. Each subsequent audit cycle starts from the last day of the recertification audit.

第一个三（3）年审核周期从二阶段认证审核的最后一天开始计算。每个后续的审核周期从再认证审核的最后一天开始计算。

Surveillance audits shall be scheduled from the last day of the stage 2 certification audit, the last day of a recertification audit, or the last day of a transfer audit in accordance with Table 5.1.1. The last day of the surveillance audit shall not exceed the maximum allowable timing.

监督审核的时间应根据表 5.1.1 的要求从二阶段认证审核的最后一天、再认证审核的最后一天或转机构审核的最后一天进行策划。监督审核的最后一天不应超过允许的最大期限。

Table 5.1.1 Surveillance interval

表 5.1.1 监督审核间隔

	12 months 12 个月
Number of audits per 3-year cycle 3 年审核周期的审核次数	2

Allowable timing 允许的时间	-3 months/+3 months 提前 3 个月/延后 3 个月

The last day of a recertification audit shall not exceed three (3) years (-3 months/+0 days) from the last day of the stage 2 certification audit or the previous recertification audit or transfer audit.

再认证审核的最后一天不能超过二阶段认证审核最后一天、前一次的再认证审核最后一天或转移审核的最后一天起三（3）年（-3 个月/+0 天）。

Certificate cycle

证书周期

The first three (3) year certificate cycle of a manufacturing site begins with the date of the certification decision (see section 5.12) following a stage 2 certification audit. The date of the certification decision shall be the issue date of the certificate (see section 5.13).
制造现场第一个三（3）年证书周期从二阶段认证审核之后的认证决定日期开始计算（见第 5.12 条）。认证决定日期应为证书的颁发日期（见第 5.13 条）。

A new three (3) year certificate cycle begins with the date of the certification decision following a recertification or transfer audit. The certification decision shall be made before the expiration date of the existing certificate, and the date of the certification decision shall be the issue date of the new certificate. The existing certificate is therefore superseded on this date.
新的三（3）年证书周期从初始认证、再认证审核或转机构审核的认证决定日期起开始计算。认证决定应早于当前证书的失效日期，认证决定日期应为新证书的颁发日期。因此，现有证书的此日期被替代。

The expiration date of the certificate shall be a maximum of three (3) years minus one (-1) day from the date of the certification decision. A certificate, once issued, remains valid until it expires or is superseded, canceled, or withdrawn.

证书的失效日期应为认证决定之日起最多三（3）年减一（1）天。一旦发证，证书将保持有效除非过期、替代、取消或撤销。

Standalone remote support locations do not have a certificate cycle.

独立远程支持场所没有证书周期。

Standalone remote support locations shall be included in the scope of the IATF 16949 certificate(s) for the manufacturing site(s) they support.

独立远程支持场所应纳入其支持的制造现场的 IATF 16949 证书范围中。

Appeals and Compliants Process 申投诉过程

The CB shall have an interface that can be visited publically to allow clients or other interested parties to raise appeals or complaints. This process shall be passed to clients.

认证机构应有一个可公开访问的界面，以允许客户或其他相关方提出投诉或申诉。该过程应传达给客户。