



# IATF Oversight Certification Body Communiqué

**CB COMMUNIQUE # 2020-002**
**ISSUE DATE: February 2020**

	<b>YES</b>	<b>NO</b>
<b>CONFIDENTIAL</b>		<b>X</b>
<b>MANDATORY CONTENT</b>	<b>X</b>	

**SUBJECT: IATF16949 Auditor Registration Process with CCAA**
**主题: 有关 CCAA IATF 16949 审核员资格确认的流程**

The purpose of this communiqué is to advise IATF certification bodies of the updated process to register and renew IATF 16949 auditors with CCAA (as originally defined in CB Communiqué 2017-005). The registration / renewal process will satisfy CNCA's New Measure requirements and CCAA IATF16949 Auditor Registration Scheme to "put on record" (rather than approve) auditors to conduct IATF 16949 audits. The registration and renewal process is the same for all PRC domestic auditors and foreign auditors who will conduct IATF 16949 audits in the PRC.

本公告旨在通告各IATF认证机构自IATF监督办公室对认证机构第2017-005公告发布后有关CCAA IATF 16949审核员资格确认/再确认的最新流程。本资格确认/再确认流程将满足中国国家认监委认证机构管理办法中关于从事IATF 16949审核活动的审核员备案管理要求以及中国认证认可协会CCAA IATF16949审核员确认方案要求。本流程同时适用于在中国境内从事IATF 16949审核活动的国内外审核员。

The registration and renewal process for each year is as follows:

每年度的资格确认/再确认流程如下：

## **A. Initial registration for new and/or transferred auditor sponsored by the certification body.**

认证机构推荐的新/转换审核员的初次资格确认。

- Each quarter, the certification body / joint venture in China will send the CB auditor list (Refer Attachment 1 – IATF 16949 Auditor Registration with CCAA) and supporting documentation to the IATF Beijing office. Supporting documentation is:

每季度，在中国的认证机构/合资认证机构请将认证机构审核员清单(详见附件一：CCAA IATF 16949审核员确认清单)以及相关的申请资料送交到IATF北京代表处。相关的申请资料包括：

- a) a copy of CNCA approval certificate for the certification body / joint venture,  
CNCA对认证机构/合资认证机构的批准证书复印件
- b) a completed CCAA IATF 16949 Auditor Registration Application Form (Refer to Attachment 2) for each auditor with stamps of the CNCA approved certification body / joint venture,  
填写完整的CCAA IATF 16949审核员确认申请表(详见附件二), 每名审核员填写一份并盖CNCA批准的认证机构/合资认证机构印章
- c) a copy of the auditor's identification / passport,  
审核员身份证明/护照的复印件
- d) a copy of the IATF 16949 Auditor Qualification (certificate),  
IATF 16949审核员资格证(证书)的复印件
- e) a copy of the QMS Auditor Qualification (CCAA certificate for PRC domestic auditors; a copy of the ISO Certificate or documented evidence from the certification body for the qualification of foreign auditors to audit ISO 9001).  
质量管理体系审核员资格证的复印件(中国国内审核员需有CCAA资格证;外籍审核员需有相关的ISO9001资格证或认证机构对其从事ISO9001审核的资格证明文件)

- The certification body shall ensure all documents are received by the IATF Beijing office by the following dates:

认证机构应确保IATF北京代表处在如下日期前收到全部申请资料:

**Quarter 1: Feb. 28** (IATF Beijing office to send all verified application documents to CCAA by March 15. CCAA will review and approve the application by April 1<sup>st</sup>)

**一季度: 二月二十八日** (IATF北京代表处在三月十五日前将验证的申请资料提交到CCAA. CCAA将评审并在四月一日公布批准结果)

**Quarter 2: May 31** (IATF Beijing office to send all verified application documents to CCAA by June 15. CCAA will review and approve the application by July 1<sup>st</sup>)

**二季度: 五月三十一日** (IATF北京代表处在六月十五日前将验证的申请资料提交到CCAA. CCAA将评审并在七月一日公布批准结果)

**Quarter 3: Aug. 31** (IATF Beijing office to send all verified application documents to CCAA by September 15. CCAA will review and approve the application by October 1<sup>st</sup>)

**三季度: 八月三十一日** (IATF北京代表处在九月十五日前将验证的申请资料提交到CCAA. CCAA将评审并在十月一日公布批准结果)

**Quarter 4: Nov. 20** (IATF Beijing office to send all verified application documents to CCAA by December 15. CCAA will review and approve the application by January 1<sup>st</sup>)

**四季度: 十一月二十日** (IATF北京代表处在十二月十五日前将验证的申请资料提交到CCAA. CCAA将评审并在一月一日公布批准结果)

Note: The registration will be valid for one year (12 months) from the CCAA approval date.

注：确认的有效期为自CCAA批准日起一年(12个月)。

**B. Renewal registration** - in the quarter of expiry date (in next year), e.g. apply renewal in 4<sup>th</sup> quarter when expiry date as December 31.

**资格再确认** – 在（下年度）确认资格失效日对应季度，如，当失效日期为12月31日时就在第四季度申请再确认。

For the renewal registration, the following application documentation shall be prepared:

资格再确认需提交如下申请文件：

- a) The certification body confirmed CB auditor list (Refer Attachment 1 – IATF 16949 Auditor Registration with CCAA);  
认证机构确认的认证机构审核员清单(详见附件一：CCAA IATF 16949审核员确认清单)。
- b) A completed CCAA IATF 16949 Auditor Registration Application Form (Refer to Attachment 2) for each auditor with stamps of the certification body / joint venture in China,  
填写完整的CCAA IATF16949审核员确认申请表(见附件二)，每名审核员填写一份，并由在中国的认证机构/合资认证机构确认盖章。
- c) Auditor Annual CPD training log sheet (Refer to Attachment 3) verified by the certification body for each auditor with stamps of the certification body / joint venture in China. This is the only form that will be accepted,  
认证机构验证的审核员CPD培训记录表(见附件三)，每名审核员填写一份，并由在中国的认证机构/合资认证机构确认盖章。唯有采用附件的培训记录表才可接受。
- d) Any changes to the previous registration, with attached copies of before and after the changes, including but not limited to the following changes:  
对以前资格确认的任何变更，附带变更前后的资料拷贝，包括但不限于：
  - The Auditor's identification / passport, e.g. last name changed,  
审核员身份证/护照，如姓名变更
  - The IATF 16949 Auditor Qualification, e.g. 4-ADP-... to 5-ADP-...,  
IATF 16949审核员资格变更，如4-ADP-... 变到5-ADP-...
  - The CCAA QMS auditor level upgraded or degraded, or transfer.  
CCAA QMS审核员级别变更，或转换

**IATF Beijing office contact information:**

Attention: Lucy LU, [llu@iaob.org](mailto:llu@iaob.org); +86 15010374021 or  
Sam Chen, [chen@iaob.org](mailto:chen@iaob.org); +86 13910751286

IATF Beijing Administrative Office  
Room 906, Tower 1, Beijing Landmark Towers,  
8 North Dongsanhuan Road, Chaoyang District, Beijing, P.R. China 100004

IATF北京代表处联系人:

鲁明聪 [llu@iaob.org](mailto:llu@iaob.org); +86 15010374021

陈建和 [chen@iaob.org](mailto:chen@iaob.org); +86 13910751286

IATF北京代表处

中国北京市朝阳区东三环北路8号北京亮马河大厦1座906室, 邮编100004

Tel: +86 10 65900692

Fax: +86 10 65900695

**Remember:**

请牢记:

- 1. The Certification Body shall only use the auditor(s) who will conduct the IATF16949 audit(s) in mainland China since / after CCAA approval date.**  
认证机构只有在CCAA确认批准日后才能委派该审核员在中国大陆从事IATF16949审核.
- 2. The “Contracted Certification Body” shown in the Application Form shall be the Certification Body (joint venture) office in China recognized by CNCA. The seal stamps used shall be those of the Certification Body (joint venture) office in China recognized by CNCA.**  
申请表中的聘用机构请填写在中国境内经CNCA批准的(合资)机构, 所盖机构印章也为CNCA批准的(合资)机构的印章.
- 3. Please mark the “Others” in List of attachment material of the application form for the auditor Annual CPD log sheet, and/or the changes for annual renewal application.**  
请使用所附证明资料清单中的“其他”来注明审核员CPD培训记录表, 变更等.
- 4. Please attach evidence (e.g. CCAA Financial Stamp on the auditor summary list as payment received) of (total) payment for the CCAA application fee of all sponsored auditors together with the CB auditor list to the IATF Beijing Office which will significantly speed up the CCAA review process.**  
申请时请附已付CCAA申请费用的证据 (如: CCAA财务收费后在审核员清单上盖的收款章), 以便加快CCAA的审批流程.

Please contact your relevant IATF Oversight Office if you have any questions.

如有疑问请联系相应的IATF监督办公室.

## Page 5 of 10

February 2020

Attachment 2: “CCAA Application Form for Registration of IATF 16949 Auditor”:

## CCAA IATF16949 审核员资格确认申请表

### CCAA Application Form for Registration of IATF 16949 Auditor

姓名及拼音 Name and spell		国家/地区 Country/ Region	
身份证件号 Identification No.		出生日期 Date of Birth	
电话/手机 Tel. / Cell		电子邮箱 Email	
IATF 审核员证书号 IATF Auditor No.		有效期 Expiry	
QMS 审核员证书号 QMS Auditor No.		有效期 Expiry	
聘用机构 Contracted Certification Body		CNCA 批准号 CNCA Approval No.	
机构地址 CB address		邮政编码 Post Code	
联系人 Contact		电话 Tel.	
传真 Fax		电子邮箱 Email	

## 个人声明

## Personal Statement

本人保证申请表中填写内容及所附证明材料真实，同意 CCAA 为确认目的对本人所填写的内容（包括所提交的证明资料）进行核实，并承诺遵守《IATF16949 审核员资格确认方案》中各项要求及认证人员行为规范。

I affirm that all the information above and attachments are true and agree the verification on the above (including attachment materials) by CCAA for the purpose of application review, and commit to conform to the requirements in 《IATF16949 auditor registration program》 and the code of conduct for certification personal.

日 申请人（签字）： 年 月

DD Applicant (signature): YY MM

## 聘用机构推荐意见

## Contracted Certification Body recommendation

本机构确认该申请人为本机构聘用审核员，并已对申请表中填写的内容及所附证明资料的真实性进行了审查，确认属实。本机构愿意推荐该申请人向 CCAA 申请 IATF16949 审核员资格确认。

As contracted certification body, we verified that the applicant is our contracted auditor, all the above and attachment material are true. We agree to sponsor the applicant for CCAA IATF16949 auditor registration.

机构负责人（签字）： （公章） 年 月 日  
Certification Body Authorized signature: (Stamps) YY MM DD

## 所附证明材料清单

## List of attachment material

- ☐ 申请人身份证明复印件；

Copy of applicant identification

- ☐ 申请人 IATF16949 审核员资格证书复印件；

Copy of applicant's IATF16949 certificate

- ☐ 申请人质量管理体系审核员资格证书复印件。（境内申请人提交 CCAA 注册证书复印件，境外申请人提交 IATF 承认的资格证书复印件）；

Copy of Applicant's QMS auditor certificate (for Chinese resident auditor the CCAA registration certificate shall be submitted, others submit the QMS certificate which recognized by IATF registration process);

- ☐ 其他：

Others:



Attachment 3: “IATF 16949 Auditor Renewal Registration with CCAA - Auditor CPD Log sheet”

## CCAA IATF 16949 审核员再确认 - 审核员 CPD 培训记录表

### IATF 16949 Auditor Renewal Registration with CCAA - Auditor CPD Log sheet

审核员姓名(姓,名):

Auditor (Last Name, First Name):

IATF 审核员编号:

IATF Auditor Number:

认证机构名称(中国办公室盖章):

Name of Certification Body(with Stamps of China office):

认证机构 CPD 评审人/职务:

日期:

CPD verified by /Title:

Date:

认证机构中国办公室联系人:

日期:

Contact person in China:

Date:

				参加培训方式 Training methods		最终可接受的 CPD 学时 Final Accepted CPD Hours
序号 No.	培训课程 Training Course	培训机构 Training Agency	培训学时 Training Hours	非正式培训 Unstructured	正式培训 Structured	
1						
2						
3						
4						
5						

<b>6</b>						
<b>7</b>						
<b>8</b>						
<b>9</b>						
<b>10</b>						
		<b>合计 / Total:</b>	<b>0</b>			<b>0</b>