

**IATF - 国际汽车推动小组**  
**《获得并保持 IATF 认可的规则（第五版）》勘误详情**  
**2017年1月25日**

1) 附件 2----审核人日数计算示例 2

注：“计算的最少审核人日数”一栏有微小变化。

单现场认证----审核人日数计算示例2  
 从ISO 9001升级\*  
 不负责设计  
 无外部/支持场所  
 年度监督审核（3年审核周期中审核2次）

采购 员工：5	顾客规定的再制造 员工：25
制造与办公室 员工：200	合同评审 员工：5

一个实际“现场”，容纳所有员工

\*注：所有升级审核均为《规则》第5.4条项下的“初始审核”。

员工总数 = 235 (5 + 25 + 200 + 5)

正确计算：

现场	年度	审核类型	员工人数	《规则》表5.2中的最少审核人日数	不负责设计情况下的减少量	计算的最少审核人日数	最高升级减少量	计算的最少审核人日数	最少审核人日数要求（四舍五入至最近的1/2天）
1	0	初始第二阶段审核	235	8.0	15%	$(8 \text{天} * 0.85) = 6.8$	30%	$(6.8 \text{天} * 0.7) = 4.76$	5.0
1	1, 2	监督审核	235		15%	初始审核人日数 (6.8) / 监督审核次数 (2) = 3.4			每次审核3.5
1	3	再认证审核	235	5.0	15%	$(5.0 * 0.85) = 4.25$			4.5

注：假设在3年审核周期中，员工总数、范围、顾客等均无变化。  
 注：升级折扣仅适用于初始审核。监督审核与再认证审核无升级折扣。

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**IATF – International Automotive Task Force**  
**Errata Details for Rules for Achieving and Maintaining**  
**IATF Recognition - 5<sup>th</sup> Edition**  
**25 January 2017**

**1) Annex 2 – Audit Day Calculation Example 2**

Note: Minor change in “Calculated Minimum Audit Days” column.

Single Site Certification - Audit Day Calculation Example 2  
 Upgrade from ISO 9001\*  
 Non-Design Responsible  
 No Remote/Supporting Locations  
 Annual Surveillance audits (2 audits over 3-year audit cycle)

Purchasing Employees: 5	Customer-Specified Remanufacturing Employees: 25
Manufacturing & Office Employees: 200	Contract Review Employees: 5

Total number of employees = 235 (5 + 25 + 200 + 5)

One Physical "Site", housing all employees

\* Note: All upgrade audits are "Initial Audits" under Rules, section 5.4.

**Correct Calculation:**

Site	Year	Type of Audit	Number of Employees	Minimum Audit Days from Rules, Table 5.2	Non-Design Responsible Reduction	Calculated Minimum Audit Days	Maximum Upgrade Reduction	Calculated Minimum Audit Days	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
1	0	Initial Stage 2	235	8.0	15%	(8 days * 0.85) = 6.8	30%	(6.8 days * 0.7) = 4.76	5.0
1	1, 2	Surveillance	235		15%	Number of initial audit days (6.8) / number of surveillance audits (2) = 3.4			3.5 each audit
1	3	Recertification	235	5.0	15%	(5.0 * 0.85) = 4.25			4.5

Note: Assumes no changes over the 3-year audit cycle to employee headcount, scope, customers, etc.  
 Note: Upgrade discount is only applied to initial audit. **No** upgrade discount is applied to surveillance and recertification.

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2) 附件 2----审核人日数计算示例 5

注：纠正了现场 3 的支持员工人数，以确保支持员工总人数等于 60。此微小变化更改了现场 3 的员工总数。

**多个单现场认证——审核人日数计算示例 5**  
 3个现场证书，有1个支持全部3个现场的外部/支持场所  
 未从先前QMS注册升级  
 负责设计（无折扣）  
 年度监督审核（3年审核周期中审核2次）

在一个外部场所全面支持多个现场的情况下，为了计算最少审核人日数，最佳方法是将支持场所的员工人数分摊至三个现场。

**从支持场所分摊员工的正确方法：**

现场	现场的员工人数	总数百分比（现场员工/775）	从支持场所4分摊的员工人数（总数百分比 * 60）	用于最少审核人日数计算的员工总数
1	200	26%	16	216
2	100	13%	8	108
3	475	61%	36	511
总计 = 775				

注：认证机构负责确定如何在现场与外部支持场所之间分配审核人日数。如果每个现场的最少审核人日数存在显著变化，则需要在审核计划文件中进行说明。

**现场1的正确计算：**

现场	年度	审核类型	总工人数	《规则》表5.2中的审核人日数要求	最少审核人日数要求（四舍五入至最近的1/2天）
1	0	初始第二阶段审核	216	7.5	7.5
1	1, 2	监督审核	216	初始审核人日数（7.5） / 监督审核次数（2） = 3.75	每次审核4.0
1	3	再认证审核	216	5.0	5.0

注：假设在3年审核周期中，员工总数、范围、顾客等均无变化。

**现场2的正确计算：**

现场	年度	审核类型	总工人数	《规则》表5.2中的审核人日数要求	最少审核人日数要求（四舍五入至最近的1/2天）
2	0	初始第二阶段审核	108	6.0	6.0
2	1, 2	监督审核	108	初始审核人日数（6.0） / 监督审核次数（2） = 3.0	每次审核3.0
2	3	再认证审核	108	4.0	4.0

注：假设在3年审核周期中，员工总数、范围、顾客等均无变化。

**现场3的正确计算：**

现场	年度	审核类型	总工人数	《规则》表5.2中的审核人日数要求	最少审核人日数要求（四舍五入至最近的1/2天）
3	0	初始第二阶段审核	511	10.5	10.5
3	1, 2	监督审核	511	初始审核人日数（10.5） / 监督审核次数（2） = 5.25	每次审核5.5
3	3	再认证审核	511	6.5	6.5

注：假设在3年审核周期中，员工总数、范围、顾客等均无变化。

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## 2) Annex 2 – Audit Day Calculation Example 5

Note: Minor change to correct the number of support employees for site 3 to ensure the total number of support employees equals 60. This changed the total number of employees for site 3.

**Multiple Single Site Certificates - Audit Day Calculation Example 5**  
**3 Site Certificates with 1 Remote/Supporting Location that supports all 3 sites**  
**No Upgrade from previous QMS Registration**  
**Design Responsible (no discount)**  
**Annual Surveillance audits (2 audits over the 3-year audit cycle)**

Where a remote location fully supports several sites, the preferred method to determine the minimum audit day calculation is to apportion the number of support location employees to each of the three sites.

**Correct Method to Apportioned Employees from Support Location:**

Site	Number of Employees at Site	Headcount Percentage (Site Employees / 775)	Number of Employees Apportioned from Support location 4 (Headcount percentage * 60)	Total Number of Employees for Minimum Audit Day Calculation
1	200	26%	16	216
2	100	13%	8	108
3	475	61%	36	511
Total = 775				

Note: It is the responsibility of the certification body to determine how the audit days are distributed between the sites and any remote support function. Significant variation from the minimum number of audit days for each site requires explanation in the audit plan documents.

**Correct Calculation for Site 1:**

Site	Year	Type of Audit	Number of Employees	Audit Day Requirement Rules, Table 5.2	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
1	0	Initial Stage 2	216	7.5	7.5
1	1, 2	Surveillance	216	Number of initial audit days (7.5) / number of surveillance audits (2) = 3.75	4.0 each audit
1	3	Recertification	216	5.0	5.0

Note: Assumes no changes over the 3-year audit cycle to employee headcount, scope, customers, etc.

**Correct Calculation for Site 2:**

Site	Year	Type of Audit	Number of Employees	Audit Day Requirement Rules, Table 5.2	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
2	0	Initial Stage 2	108	6.0	6.0
2	1, 2	Surveillance	108	Number of initial audit days (6.0) / number of surveillance audits (2) = 3.0	3.0 each audit
2	3	Recertification	108	4.0	4.0

Note: Assumes no changes over the 3-year audit cycle to employee headcount, scope, customers, etc.

**Correct Calculation for Site 3:**

Site	Year	Type of Audit	Number of Employees	Audit Day Requirement Rules, Table 5.2	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
3	0	Initial Stage 2	511	10.5	10.5
3	1, 2	Surveillance	511	Number of initial audit days (10.5) / number of surveillance audits (2) = 5.25	5.5 each audit
3	3	Recertification	511	6.5	6.5

Note: Assumes no changes over the 3-year audit cycle to employee headcount, scope, customers, etc.

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### 3) 附件 2----审核人日数计算示例 6

注：纠正拼错的单词。

**企业审核方案认证----审核人日数计算示例6**  
 未从先前QMS认证升级  
 3个生产现场(1, 2, 3)  
 1个支持所有现场的外部场所(A)  
 年度监督审核(3年审核周期中审核2次)

**初始第二阶段审核的正确计算:**

现场	现场的员工人数	总数百分比(现场员工/850)	从支持场所A分摊的员工人数(总数百分比 * 25)	被审实体内部员工总数	《规则》表5.2中的最少审核人日数	企业审核方案(现场数量: 2至9)减少%	新的审核人日数要求计算(最少审核人日数 * 0.8)	
1	100	12%	3	103	6.0	20%	4.8	
2	250	29%	7	257	8.0	20%	6.4	
3	500	59%	15	515	10.5	20%	8.4	
总计: 850								19.6

总审核人日数要求(四舍五入至最近的1/2天) **20.0**

注：认证机构负责确定如何在现场与(外部或非外部)支持场所之间分配总审核人日数。如果每个现场的最少审核人日数存在显著变化，则需要审核计划文件中进行说明。

**再认证审核的正确计算:**

现场	现场的员工人数	总数百分比(现场员工/850)	从支持场所A*分摊的员工人数(总数百分比 * 25)	被审实体内部员工总数	《规则》表5.2中的最少审核人日数	企业审核方案(现场数量: 2至9)减少%	新的审核人日数要求计算(最少审核人日数 * 0.8)	
1	100	12%	3	103	4.0	20%	3.2	
2	250	29%	7	257	5.5	20%	4.4	
3	500	59%	15	515	6.5	20%	5.2	
总计: 850								12.8

审核人日数要求(四舍五入至最近的1/2天) **13.0**

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### 3) Annex 2 – Audit Day Calculation Example 6

Note: Corrected misspelled words.

**Corporate Scheme Certificate - Audit Day Calculation Example 6**  
**No Upgrade from Previous QMS Certification**  
**3 Production Sites (1, 2, 3)**  
**1 Remote Location (A) supporting all sites**  
**Annual Surveillance audits (2 audits over 3-year audit cycle)**

**Correct Calculation for Initial Stage 2 Audit:**

Site	Number of Employees at Site	Headcount Percentage (Site Employees/850)	Number of Employees Apportioned from Support Location A* (Headcount Percentage * 25)	Total Number of Employees in Audited Entity	Rules Minimum Audit Days from Table 5.2	Corporate Scheme (Number of Sites 2 to 9) % Reduction	New Audit Day Requirement Calculation (Min. Audit Days * 0.8)
1	100	12%	3	103	6.0	20%	4.8
2	250	29%	7	257	8.0	20%	6.4
3	500	59%	15	515	10.5	20%	8.4
Total: 850							19.6
Total Audit Day Requirement (rounded up to nearest 1/2 day)							20.0

Note: It is the responsibility of the certification body to determine how the total audit days are distributed between the sites and any support function, remote or not. Significant variation from the minimum number of audit days for each site requires explanation in the audit plan documents.

**Correct Calculation for Recertification Audit:**

Site	Number of Employees at Site	Headcount Percentage (Site Employees/850)	Number of Employees Apportioned from Support Location A* (Headcount Percentage * 25)	Total Number of Employees in Audited Entity	Rules Minimum Audit Days from Table 5.2	Corporate Scheme (Number of Sites 2 to 9) % Reduction	New Audit Day Requirement Calculation (Min. Audit Days * 0.8)
1	100	12%	3	103	4.0	20%	3.2
2	250	29%	7	257	5.5	20%	4.4
3	500	59%	15	515	6.5	20%	5.2
Total: 850							12.8
Audit Day Requirement (rounded up to nearest 1/2 day)							13.0

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#### 4) 附件 2----审核人日数计算示例 7

注：纠正了第 3 年度“最少审核人日数要求”一栏中的数字，从而影响了“计算的最少审核人日数”一栏。

**具有 1 个扩展制造现场的单现场认证----审核人日数计算示例 7**  
 不负责设计  
 无外部/支持场所

主制造现场  
 员工: 550

扩展制造现场A  
 员工: 40

员工总数 = 590 (主现场550 + 扩展制造现场A 40)

**正确计算 (主现场+扩展制造现场) :**

现场	年度	审核类型	员工人数	表5.2中的最少审核人日数要求	不负责设计情况下的减少量	计算的最少审核人日数	最少审核人日数要求 (四舍五入至最近的1/2天)
1	0	初始第二阶段审核	590	10.5	15%	$(10.5 \text{天} * 0.85) = 8.925$	9.0
1	1,2	监督审核	590		15%	初始审核人日数 (8.925) / 监督审核次数 (2) = 4.462	每次审核4.5
1	3	再认证审核	590	7.0	15%	$(7.0 \text{天} * 0.85) = 5.95$	6.0

注：假设在3年审核周期中，员工总数、范围、顾客等均无变化。

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#### 4) Annex 2 – Audit Day Calculation Example 7

Note: Corrected the number in the “Minimum Number of Audit Days Requirements” column for Year 3, which impacted the “Calculated Minimum Audit Days” column.

**Single Site with 1 Extended Manufacturing Site Certification - Audit Day Calculation Example 7**  
**Non-Design Responsible**  
**No Remote/Supporting Locations**

Main Manufacturing Site  
 Employees: 550

Extended Mfg. Site A  
 Employees: 40

Total number of employees = 590 (550 Main site + 40 Extended mfg. site A)

**Correct Calculation (Main site + Extended mfg. site):**

Site	Year	Type of Audit	Number of Employees	Minimum Audit Day Requirement, Table 5.2	Non-Design Responsible Reduction	Calculated Minimum Audit Days	Minimum Audit Day Requirement (rounded up to nearest 1/2 day)
1	0	Initial Stage 2	590	10.5	15%	$(10.5 \text{ days} * 0.85) = 8.925$	9.0
1	1,2	Surveillance	590		15%	Number of initial audit days (8.925) / number of surveillance audits (2) = 4.462	4.5 each audit
1	3	Recertification	590	7.0	15%	$(7.0 \text{ days} * 0.85) = 5.95$	6.0

Note: Assumes no changes over the 3-year audit cycle to employee headcount, scope, customers, etc.

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### 5) 附件 2----审核人日数计算示例 9

注：纠正了初始第二阶段审核表和监督审核表中的多个错误。

**企业审核方案认证----审核人日数计算示例9**  
 未从先前QMS认证升级  
 3个生产现场(1, 2, 3)  
 现场1包含一个扩展制造现场  
 1个支持所有现场的外部场所(A)  
 年度监督审核(3年审核周期中审核2次)

**初始第二阶段审核的正确计算:**

现场	现场的员工人数	总数百分比(现场员工/2240)	从支持场所A*分摊的员工人数(总数百分比*125)	被审实体内部员工总数	《规则》表5.2中的最少审核人日数	不负责设计情况下的减少量(15%)	企业审核方案(现场数量: 2至9)减少量(20%)
1(主现场+扩展现场A)	590	26%	32	622	11.0	9.350	7.480
2	800	36%	45	845	12.0	10.200	8.160
3	850	38%	48	898	12.0	10.200	8.160
总计:	2,240	总计 100%	总计 125				23.800

总审核人日数要求(四舍五入至最近的1/2天) **24.0**

注：认证机构负责确定如何在现场与(外部或非外部)支持场所之间分配总审核人日数。如果每个现场的最少审核人日数存在显著变化，则需要审核计划文件中进行说明。

**监督审核的正确计算:**

现场	现场的员工人数	表5.2中的最少审核人日数	不负责设计情况下的减少量(15%)	企业审核方案(现场数量: 2至9)减少量(20%)
1(主现场+扩展现场A)	622	初始审核人日数(11.0) / 监督审核次数(2) = 每次审核5.5	4.675	3.740
2	845	初始审核人日数(12.0) / 监督审核次数(2) = 每次审核6.0	5.100	4.080
3	898	初始审核人日数(12.0) / 监督审核次数(2) = 每次审核6.0	5.100	4.080
总计:	2,365			11.900

审核人日数要求(四舍五入至最近的1/2天) **12.0**

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## 5) Annex 2 – Audit Day Calculation Example 9

Note: Corrected multiple errors in the Initial Stage 2 table and Surveillance Audit table.

**Corporate Scheme Certificate - Audit Day Calculation Example 9**  
**No Upgrade from Previous QMS Certification**  
**3 Production Sites (1, 2, 3)**  
**Site 1 includes an extended manufacturing site**  
**1 Remote Location (A) supporting all sites**  
**Annual Surveillance audits (2 audits over 3-year audit cycle)**

**Correct Calculation for Initial Stage 2 Audit:**

Site	Number of Employees at Site	Headcount Percentage (Site Employees/2240)	Number of Employees Apportioned from Support Location A* (Headcount Percentage * 125)	Total Number of Employees in Audited Entity	Rules Minimum Audit Days from Table 5.2	Non Design Responsible Reduction (15%)	Corporate Scheme (Number of Sites 2 to 9) Reduction (20%)
1 (main & extended A)	590	26%	32	622	11.0	9.350	7.480
2	800	36%	45	845	12.0	10.200	8.160
3	850	38%	48	898	12.0	10.200	8.160
Total: 2,240				Total 100%	Total 125		23.800

Total Audit Day Requirement (rounded up to nearest 1/2 day) **24.0**

Note: It is the responsibility of the certification body to determine how the total audit days are distributed between the sites and any support function, remote or not. Significant variation from the minimum number of audit days for each site requires explanation in the audit plan documents.

**Correct Calculation for Surveillance Audit:**

Site	Number of Employees at Site	Minimum Audit Days from Table 5.2	Non Design Responsible Reduction (15%)	Corporate Scheme (Number of Sites 2 to 9) Reduction (20%)
1 (main & extended A)	622	Number of initial audit days (11.0) / number of surveillance audits (2) = 5.5 per audit	4.675	3.740
2	845	Number of initial audit days (12.0) / number of surveillance audits (2) = 6.0 per audit	5.100	4.080
3	898	Number of initial audit days (12.0) / number of surveillance audits (2) = 6.0 per audit	5.100	4.080
Total: 2,365				11.900

Audit Day Requirement (rounded up to nearest 1/2 day) **12.0**

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