IATF Oversicht  
Certification Body Communiqué

CB COMMUNIQUE   # 2017-005

ISSUE DATE:  October 2017

SUBJECT:  IATF 16949 Auditor Registration and Renewal Process with CCAA

The purpose of this CB Communiqué is to advise all IATF-recognized certification bodies of the updated process to register and annually renew IATF 16949 auditors with CCAA (as previously defined in CB Communiqué 2013-009). The registration / renewal process will satisfy CNCA’s New Measure requirements to “put on record” (rather than approve) auditors to conduct IATF 16949 audits. The registration and annual renewal process is the same for all PRC domestic auditors and foreign auditors who will conduct IATF 16949 audits in the PRC.

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

A. Quarterly registration for new and/or transferred auditor sponsored by the certification body.
   认证机构推荐的新/转换审核员的季度资格确认.

   - 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(参见附件一:CCAA IATF 16949审核员确认清单)以及相关的申请资料交到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(参见附件二),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:

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

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

  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: 31st August** (IATF Beijing office to send all verified application documents to CCAA by 15th September. CCAA will review and approve the application by 1st October)

  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: 1st November** combined with the annual renewal (IATF Beijing office to send all verified application documents to CCAA by 20th November. CCAA will review and approve the application by 1st January)

  四季度: 十一月一日 (IATF北京代表处在十一月十五日前将验证的申请资料提交到CCAA. CCAA将评审并在下年一月一日公布批准结果)

  **NOTE:** The quarterly registration of new or transferred auditors would only be to the end of the current year. 注: 季度确认的有效期仅到当年年底.
B. Annual renewal registration.

年度资格再确认

a) Each certification body will review and confirm their sponsored auditors in the current CB auditor list (Refer Attachment 1 – IATF 16949 Auditor Registration with CCAA) and any new and/or transferred auditors to be used as IATF 16949 auditors in China.

各认证机构评审并确认认证机构在现行的审核员清单(参见附件一：IATF 16949审核员确认清单)中推荐的审核员，以及将在中国聘用的新的和/或转换的IATF 16949审核员。

b) The certification body shall send the updated IATF16949 Auditor Registration with CCAA list to their relevant IATF Oversight Office.

认证机构应将更新的CCAA IATF 16949审核员确认清单送交相应的IATF监督办公室

c) Oversight Offices will review the lists submitted by the certification bodies to confirm the sponsorship / status by 15th October.

监督办公室将在十月十五日前对认证机构提交清单中的推荐资质/状态进行评审和确认。

d) Each IATF Oversight Office will send the IATF 16949 Auditor Registration with CCAA list to the IATF Beijing Office by 30th October.

各监督办公室将在十月三十日前将CCAA IATF 16949审核员确认清单发送到IATF北京代表处

e) Each certification body / joint venture in China will send the updated CB auditor list and supporting documentation (as below) to the IATF Beijing office and ensure the documents are received by the IATF Beijing office by 1st November.

在中国的各认证机构/合资认证机构将更新的认证机构审核员清单以及相关的(如下)申请资料送交到IATF北京代表处并确保IATF北京代表处在十一月一日前收到全部申请资料。

f) The IATF Beijing office will send all verified application documents to CCAA by 20th November.

IATF北京代表处将在十一月二十日前将验证的申请资料提交到CCAA。

g) CCAA will review and approve the application by 1st January.

CCAA将评审并在一月一日公布批准结果。

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

年度资格再确认需提交如下申请文件:

a) 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 IATF 16949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。
b) 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。

ar 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。

c) 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: Sam Chen, chen@iaob.org; +86 13910751286 or Lisa Wei, lwei@iaob.org; +86 113661201638

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：
陈建和   chen@iaob.org; +86 13910751286
魏媛媛   lwei@iaob.org; +86 113661201638

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 IATF 16949 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IATF 16949审核。

2. CCAA will not accept applications for auditors who are 65 years old or older.
   CCAA不接受年龄在或超过65岁审核员的申请。

3. 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。

4. 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。

5. 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.
Attachment 1: "IATF 16949 Auditor Registration with CCAA":

### IATF 16949 Auditor Registration with CCAA

#### CCAA IATF 16949审核员确认清单

List Domestic (People’s Republic of China) and Foreign Auditors

<table>
<thead>
<tr>
<th>帐号 No</th>
<th>审核员姓名（姓，名） - 同身份证相符的签名</th>
<th>IATF 审核员编号</th>
<th>认证机构名称</th>
<th>审核员使用的英文姓名 (姓，名) - used for English translation</th>
<th>国家 / 地区</th>
<th>新</th>
<th>转换</th>
<th>年审</th>
<th>AR</th>
<th>ADP Sponsorship</th>
<th>IATF Database sponsorship</th>
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合计 / Total: 1 1 1
### CCAA IATF 16949 Auditor Registration Application Form

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<td>Nationality</td>
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<tr>
<td>身份证件号</td>
<td>出生日期</td>
</tr>
<tr>
<td>Identification No.</td>
<td>Date of Birth</td>
</tr>
<tr>
<td>电话/手机</td>
<td>Email</td>
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<tr>
<td>Tel./ Cell</td>
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<tr>
<td>IATF证书号</td>
<td>有效期</td>
</tr>
<tr>
<td>IATF Certificate No.</td>
<td>Expiry</td>
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<td>聘用机构</td>
<td>CNCA批准号</td>
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<tr>
<td>Contracted Certification Body</td>
<td>CNCA Approval No.</td>
</tr>
<tr>
<td>机构地址</td>
<td>邮政编码</td>
</tr>
<tr>
<td>CB address</td>
<td>Post Code</td>
</tr>
<tr>
<td>联系人</td>
<td>电话</td>
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<tr>
<td>Contact</td>
<td>Tel.</td>
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<td>Email</td>
<td>传真</td>
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### 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.

申请人（签字）:  

Applicant (signature): YY MM DD
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

所附证明资料清单
List of attachment material

□ 申请人身份证件复印件;
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: “CCAA IATF 16949 Auditor CPD Log Sheet”:

<table>
<thead>
<tr>
<th>序号</th>
<th>培训课程</th>
<th>培训机构</th>
<th>培训学时</th>
<th>非正式培训</th>
<th>正式培训</th>
<th>最终可接受的CPD学时</th>
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