



认证的授予、拒绝、保持、更新、暂停、 恢复、注销和撤销程序

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目录

1 目的.....	3
2 适用范围.....	3
3 规范性引用文件.....	3
4 职责.....	3
5 作业程序.....	3
5.1 认证注册资格的授予.....	3
5.2 认证的拒绝（即不授予）.....	5
5.3 认证注册资格的保持和更新、扩大和缩小认证范围、暂停、恢复和撤销.....	5
5.4 信息公开.....	9
6 支持文件.....	10
7 附件.....	10



修改记录

序号	修改次数	修改日期	修改条款	修改内容简述	修改人
1	1	2025.1.6	大部分条款 均有修改	按 IATF 规则六要求修改相应内容	包艳梅
2	2	2025.7.31	全文	转换成中英版本	包艳梅



认证的授予、拒绝、保持、更新、暂停、恢复、注销和撤销程序

1 目的

对 IATF 16949 认证的授予、拒绝、保持、更新、暂停、恢复、注销和撤销活动进行规定，保证相应决定和数据及时发布和传递到相应利益相关方，满足 IATF 规则管理要求。

2 适用范围

适用于 ZA-FCAV 的 IATF16949 认证涉及和覆盖的范围，对 ZA-FCAV 的 IATF16949 认证的授予、拒绝、保持、更新、暂停、恢复、注销和撤销相关活动进行规定。

3 规范性引用文件

ISO 17021-1:2015 《管理体系认证机构要求》；

IATF 16949:2016 《汽车生产件及相关服务件组织的质量管理体系要求》；

《IATF 16949 汽车认证方案 获得并保持 IATF 认可的规则》第六版；

IATF 官方网站 <https://iatfglobaloversight.org.cn/>中发布的最新状态的认可解释 SI、常见问题回答 FAQ 和认证机构公告

4 职责

4.1 技术评审员负责评审审核案卷，根据审核组的推荐意见进行认证决定。

4.2 汽车认证总经理负责对技术评审员的认证决定进行批准。

4.3 技术部案卷初评人员负责将认证决定的结果通知客户，负责证书的制作。

4.4 信息上报人员负责数据上报（包括 IATF 数据库和 CNCA 数据库），包括授予、拒绝、保持、更新、暂停、恢复、注销和撤销等。

4.5 ZA-FCAV 签约办公室市场部和区域办公室的业务部门项目负责人负责与客户就认证决定的结果进行沟通（需要时）。

5 作业程序

5.1 认证注册资格的授予

5.1.1 授予认证的条件：

- 1) 文件化信息基本符合认证标准 IATF 16949 和相关技术规范要求；
- 2) 认证范围明确，调整或变更的理由充分、可信；



- 3) 汽车行业质量管理体系运行基本有效;
 - 4) 产品质量符合法律法规和有关标准, 无违法违规、突发事件;
 - 5) 对所有一般不符合, 在现场审核末次会议后最多六十(60)个日历日内提交以下一般不符合的证据:
 - a) 已实施的遏制措施及其有效性;
 - b) 已实施的纠正;
 - c) 根本原因分析, 包括所使用的方法、结果以及对根本原因对其他过程和产品影响的考虑;
 - d) 系统性纠正措施的实施, 以消除根本原因;
 - e) 用于验证系统性纠正措施有效性的方法和验证结果。
 - 6) 有严重不符合, 在现场审核末次会议后最多十五(15)个日历日内提交以下严重不符合的证据:
 - a) 遏制措施及其有效性;
 - b) 已实施的纠正;
 - c) 根本原因分析, 包括所使用的方法、结果以及对根本原因对其他过程和产品影响的考虑;
 - d) 消除已识别的根本原因的系统性纠正措施计划, 以及为验证系统性纠正措施的有效性而识别的方法;
 - e) 在现场审核末次会议日期后最多六十(60)个日历日内提交以下严重不符合的证据:
 - 实施策划的系统性纠正措施, 以消除根本原因;
 - 已实施的系统性纠正措施有效性的验证结果。
- 注: 针对初审“现场审核”指初审的第 2 阶段现场审核。

7) 提交的一般不符合整改材料经审核组验证可接受, 关闭不符合; 针对严重不符合, 提交的不符合整改材料经审核组验证, 并针对严重不符合识别的系统性纠正措施的有效实施, 在审核末次会议之日起最多九十(90)个日历日内进行一次现场特殊审核, 验证有效后关闭严重不符合; 或在客户无法完全实施策划的系统性纠正措施(如, 需要新的或升级的制造或 IT 系统来消除问题的根源等), 并且无法在审核末次会议日期后最多九十(90)个日历日内验证其有效性的特殊情况下, 如果满足以下所有额外条件, 接受客户对严重不符合的十五(15)天响应或对一般不符合的六十(60)天响应后, ZA-FCAV 考虑将不符合视为 100% 解决:

- a) 客户提供的证据证明, 在实施系统性纠正措施并验证其有效性之前, 遏制措施已经实施并应继续实施;
- b) 客户提供一份文件化的系统性纠正措施计划, 详细说明实施系统性纠正措施的措施、时间和责任;
- c) 百分之百(100%)解决确定的理由记录在 IATF NC CARA 中。
- d) 根据已接受的系统性纠正措施计划时间安排, 安排一次性现场特殊审核验证系统性纠正措施的有效性, 但应在下一次常规审核前不少于九十(90)个日历日。

5.1.2 第 2 阶段认证、监督、再认证、转移和特殊审核要求技术评审, 并做出认证决定。在所有不符合项



纠正措施经验证有效,或确定不符合保持开放但 100%解决,现场审核的全部资料将被报送进行技术评审,在现场审核最后一天最多 120 个日历日内,上一个证书到期之前作出授予认证/符合性证明的决定,并颁发认证证书/符合性证明。

5.2 认证的拒绝(即不授予)

5.2.1 经IAOB批准的技术评审员,根据以下未满足的情况,给出否定的(含不授予)认证决定:

- a) 没有按照 IATF 规则第 5.11.1 条和 5.11.2 条中的时间要求收到不符合项响应,最终审核结果判定为失败,认证决定为否定;
- b) 审核组根据 IATF 规则 5.11 条的适用要求评审客户提交的不符合响应(包括特殊审核的结果),不符合响应被拒绝,认证决定为否定;
- c) 审核组拒绝接受客户不符合响应作为百分之百(100%)解决的决定;
- d) 超过验证严重不符合(或 100%解决)系统性纠正措施的有效性的特殊审核时间;
- e) 针对严重不符合的已接受纠正措施(包括百分之百(100%)解决的纠正措施)未得到有效实施,审核结果为失败;
- f) 超过认证决定时间,且最终审核结果为失败;
- g) 申请组织未披露现有或先前的 IATF 16949 认证、符合证明函、认证尝试信息,或在申请过程中故意歪曲所提供的信息,均被视为违反法律合同,在认证有待 ZA-FCAV 做出决定的情况下,做出否定的认证决定。

5.2.2 否决的认证决定也应在第2阶段、监督、再认证、转移或特殊审核最后一天后最多120个日历日以内、上一个证书到期之前作出。不允许提前或推迟认证决定日期。如果超过认证决定的时间,且最终审核结果为失败,客户应重新开始初次认证审核(即,第1阶段准备评估和第2阶段认证审核)。

5.3 认证注册资格的保持和更新、扩大和缩小认证范围、暂停、恢复和撤销

5.3.1 认证注册资格保持的条件:

- 1) 获证方的汽车行业质量管理体系运行良好;
- 2) 获证方上次审核的所有不符合纠正措施保持有效;如上次审核中存在保持开放但 100%解决的不符合,在本次审核前验证识别的纠正措施有效实施;
- 3) 获证方的证书和标志使用符合规定要求;
- 4) 产品质量稳定,无重大事故、无顾客/相关方重大投诉;
- 5) 不符合纠正措施在规定期内提交审核组验证有效;如有严重不符合,严重不符合纠正措施实施通过现场审核验证有效。

5.3.2 在所有不符合项纠正措施经验证有效,或确定不符合保持开放但 100%解决,现场审核的全部资料将被报送进行技术评审,在现场审核最后一天最多 120 个日历日内,上一个证书到期之前作出保持认证的决定,书面通知获证方。



5.3.3 保持过程中扩大和缩小认证范围

5.3.3.1 扩大认证范围

获证方欲扩大认证范围，应向 ZA-FCAV 提出书面申请，明确要扩大的认证范围，补充必要的信息。获证方扩大认证范围时，应将有关体系文件随同申请一起提交。

ZA-FCAV 合同评审人员对获证方拟扩大认证范围的申请进行评审，符合要求后，签订扩大认证范围的认证合同或签署补充协议。计划调度人员安排实施对扩大认证范围的现场审核，该审核可结合监督审核或再认证实施，并在审核报告中详细说明，也可单独实施扩大认证范围的特殊审核。

扩大认证范围的审核结论由 ZA-FCAV 技术评审员技术评审并做出认证决定，经批准后予以换发认证证书。

5.3.3.2 缩小认证范围

以下情况将缩小认证范围：

- 1) 获证后连续两次审核无生产/服务现场，则应缩小认证范围；
- 2) 该产品或工艺被新列为国家明令淘汰目录；
- 3) 证据表明,该产品/服务实现过程，不能满足认证标准要求。

ZA-FCAV 在做出缩小认证范围的决定后，予以换发认证证书。

5.3.4 认证证书的更换

在认证证书有效期内，发生下列情况之一，获证方可向 ZA-FCAV 提出换证申请：

- 1) 证书持有者变更（获证方名称变更，包括中文和英文名称）；
- 2) 扩大或缩小认证范围；
- 3) 获证方所在地变更（地理位置未发生变化，仅地址描述变更）；
- 4) 认证依据的标准改变或换版（适用时）；
- 5) 发现证书中存在编辑性错误。

5.3.5 认证证书的补发

当获证方认证证书丢失或损毁时，应向 ZA-FCAV 提出书面申请，说明理由，经 ZA-FCAV 核定后补发认证证书。

5.3.6 认证注册资格的暂停

5.3.6.1 认证退出过程的启动和情况分析

5.3.6.1.1 认证退出过程的开始时间应为：

- a) ZA-FCAV 通过 IATF 投诉管理系统 (CMS)收到 IATF OEM 成员、其相关监督办公室或客户的任何汽车顾客对客户的绩效投诉的日期；



注：绩效投诉可包括特殊状态条件，IATF OEM 选择在 IATF CMS 中提交。

b) 报告不符合的任何监督、再认证或特殊审核的末次会议日期。

5.3.6.1.2 在 IATF CMS 中发出绩效投诉时，ZA-FCAV 应根据需要收集与投诉相关的其他信息，以便与客户一起对情况进行彻底分析，确定情况的严重程度，包括对客户的顾客的风险，以及对所有相关客户场所的影响，并在适用时考虑 IATF OEM 顾客特定要求。ZA-FCAV 不应根据绩效投诉分析结果向客户发布不符合。如果在审核中开具了不符合，ZA-FCAV 应对审核报告中发布的不符合进行分析，以确定情况的严重程度。

度，包括对客户的顾客造成的风险以及对所有相关客户场所的影响。不符合管理过程应与认证退出过程并行，直至做出认证恢复或撤销的决定。该分析应在认证退出过程开始之日起最多十五(15)个日历日内完成。

5.3.6.2 证书暂停决定

5.3.6.2.1 技术评审员根据 5.3.6.1.2 情况分析，在认证退出过程开始后最多十五(15)个日历日内决定是否暂停认证。

5.3.6.2.2 如果认证退出过程的启动与审核有关，而审核中包含 1 个或多个由技术评审员在最终审核报告发布时确认的严重不符合，则应暂停认证。

5.3.6.2.3 如果决定暂停认证，ZA-FCAV 通过 ERP 系统向客户发送《暂停认证通知书》，并在做出决定后最多七(7)个日历日内更新 IATF 数据库和 IATF CMS (如适用)。

5.3.6.2.4 如果暂停决定与绩效投诉有关，ZA-FCAV 要求客户在收到暂停通知后最多二十(20)个日历日内，在 IATF CMS 中提交解决问题的响应。

5.3.6.2.5 应保存暂停认证的决定或不暂停认证的的理由的记录，在适用情况下，应包括集团方案中所有受影响的制造现场。

5.3.6.2.6 其他暂停认证的情况：

获证方有下列情况之一时，将在调查核实后的 5 个工作日内，暂停认证资格：

- 1) 不按规定要求使用认证证书和标志，经指出后仍未纠正；
- 2) 不承担、履行认证合同约定的责任和义务，包括不按规定交纳认证费的；
- 3) 产品被法定部门抽检质量不合格；发生相应行业法规规定的属于重大（较大）级别以上的质量事故/事件，或引起媒体曝光及社会关注的事故/事件；
- 4) 被有关执法监管部门责令停业整顿的；
- 5) 持有的行政许可证明、资质证书、强制性认证证书等过期失效，重新提交的申请已被受理但尚未换证的；
- 6) 获证客户因除“客户由于所有权变更或符合认证适用范围的产品制造中断，自愿申请暂停”之外的其他原因主动请求暂停。

5.3.6.2.7 认证退出过程从开始之日起不应超过一百二十七(127)个日历日。认证暂停是一种临时状态，在认证暂停期间，证书仍然有效，仍被 IATF 认可。



5.3.6.2.8 在决定不暂停证书但涉及一般不符合项的情况下，获证方应按 ZA-FCAV 的要求，在规定的时间内提交不符合关闭材料。在所有其他情况下，按本文件附件流程图中规定的时间安排。

5.3.7 认证注册资格的恢复

5.3.7.1 获证方根据暂停通知书中描述的暂停原因，在暂停通知规定的期限内进行整改，经验证达到规定要求后，技术评审员在认证退出过程开始之日后和证书到期日之前最多一百二十(120)个日历日内作出是否恢复认证的决定，经 ZA-FCAV 汽车认证总经理批准同意后，方可恢复认证证书。

5.3.7.2 ZA-FCAV 在恢复决定日起最多七(7)个日历日内，通过 ERP 系统向获证方发出恢复认证通知书，并更新 IATF 数据库或 IATF CMS (如适用)。

5.3.7.3 ZA-FCAV 应保存恢复认证决定的记录。

5.3.8 认证注册资格的撤销

5.3.8.1 获证方有下列情况之一时，ZA-FCAV 在获得相关信息并调查核实后 5 个工作日内，作出撤销认证注册资格的决定：

- 1) 没有按照 IATF 规则第 5.11.1 条和 5.11.2 条中的时间要求收到不符合项响应，最终审核结果判定为失败，认证决定为否定；
- 2) 审核组根据 IATF 规则 5.11 条的适用要求评审客户提交的不符合响应(包括特殊审核的结果)，不符合相应被拒绝，认证决定为否定；
- 3) 审核组拒绝接受客户不符合响应作为百分之百(100%)解决的决定；
- 4) 超过验证严重不符合（或 100%解决）系统性纠正措施的有效性的特殊审核时间；
- 5) 针对严重不符合的已接受纠正措施(包括百分之百(100%)解决的纠正措施)未得到有效实施，审核结果为失败；
- 6) 超过认证决定时间，且最终审核结果为失败；
- 7) 申请组织未披露现有或先前的 IATF 16949 认证、符合证明函、认证尝试信息，或在申请过程中故意歪曲所提供的信息，均被视为违反法律合同，在认证有待 ZA-FCAV 做出决定的情况下，做出否定的认证决定；
- 8) 客户拒绝按规则要求执行特殊审核，则应撤销认证；
- 9) 被注销或撤销法律地位证明文件或被国家市场监管总局列入质量信用严重失信企业名单的；
- 10) 拒绝配合认证监管部门实施的监督检查，如拒绝见证审核或 IATF 见证审核员对整个审核的观察或者对有关事项的询问和调查提供了虚假证明文件的。
- 11) 获证方发生重大产品（服务）质量事故，经执法监管部门确认是获证组织违规造成的；
- 12) 在暂停认证资格期限内未采取纠正措施整改或整改效果不满足规定要求，经审核未获通过；
 - a) 没有运行汽车行业质量管理体系或者已不具备运行条件的；
 - b) 不按相关规定正确引用和宣传获得的认证信息，造成严重影响或后果，或者 ZA-FCAV 已



要求纠正但超过 2 个月仍未纠正的；

c) 有其他严重违法法律法规行为，或者其他应当撤销认证证书的。

5.3.8.2 在集团方案中撤销认证的情况下，撤销决定应仅适用于受影响的场所。

5.3.8.3 ZA-FCAV 在做出撤销认证的决定后最多七(7)个日历日内，将向获证组织发出撤销认证资格通知书，并更新 IATF 数据库或 IATF CMS (如适用)。

5.3.8.4 撤销认证后，获证组织应按 ZA-FCAV 要求交回证书原件，并删除所有提及 IATF16949 认证的内容，停止使用认证证书、认证标识和引用和宣传获得的认证信息。

5.3.8.5 认证撤销后，客户应重新开始初次认证审核(即，第 1 阶段准备评估和第 2 阶段认证审核)。

5.3.8.6 因未有效实施系统性纠正措施而撤销认证时，客户应在执行初次认证审核之前完成特殊审核。特殊审核应验证导致认证撤销问题相关的系统性纠正措施的有效实施情况。特殊审核应在客户有时间实施有效的系统性纠正措施后，由现有认证机构或另一个 IATF 认可的认证机构执行。

注：撤销认证三(3)年后不要求进行特殊审核。

5.3.8.7 如果在特殊审核中，导致认证撤销的问题仍然存在，则特殊审核结果应为失败，并相应更新 IATF 数据库。客户应接受额外的特殊审核，直至导致认证撤销的问题得到解决并有效实施系统性纠正措施后，方可进入初次认证审核。

5.3.8.8 如果客户决定留在现有认证机构进行初次认证审核，IATF 第六版规则第 5.4 条 f)中的要求适用。

5.3.9 认证注册资格的注销

ZA-FCAV 出于以下原因，可做出注销证书的决定：

- 1) 超过监督或再认证审核时间；(转移审核除外)
- 2) 与客户产生商业纠纷；
- 3) 客户或 ZA-FCAV 要求终止认证合同；
- 4) 客户场所不再存在；
- 5) 客户不再制造汽车产品；
- 6) 客户无法证明在允许的时间间隔内持续制造汽车产品。

5.4 信息公开

根据认证认可法规和认可规范要求，授予、更新、保持、暂停、恢复和撤销等认证信息将在 ZA-FCAV 网站和国家认监委 (CNCA)、IATF 网站上公布。查询方式：

网址：<http://www.zazh.net>

CNCA 网址：<https://www.cnca.gov.cn>

IATF 网址：<https://iatfglobaloversight.org.cn/>



6 支持文件

《认证审核程序》(ZAZH-QP-08)

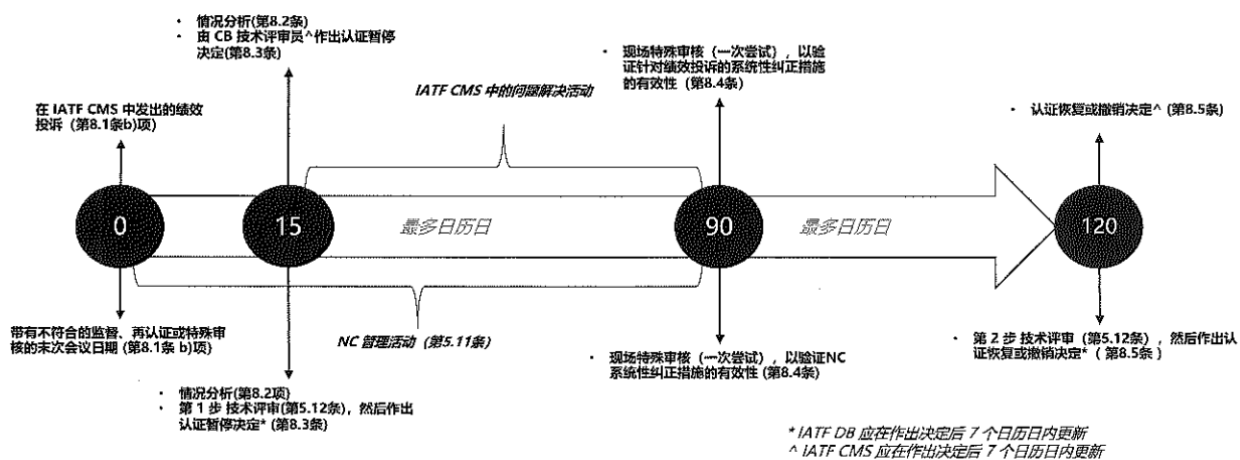
《IATF 认证证书和认证标志管理程序》(ZAZH-QP-17)

7 附件

认证退出过程

附件

认证退出过程





**Procedures for Granting, Rejecting, Maintaining, Renewing,
Suspending, Recovering, Canceling and Withdrawing
Certification**

ZAZH-QP-09

Edition: B/1

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Directory

1	Objective	3
2	Scope of application	3
3	Normative references	3
4	Duty	3
5	Operational procedures	4
	5.1 Grant Certification Qualification.....	4
	5.2 Rejection (i.e. non-granting) of certification.....	5
	5.3 Maintaining and renewing certification registration qualifications, expanding and reducing the scope of certification, suspending, recovering and withdrawing certification.....	6
	5.4 Information Disclosure.....	12
6	Supporting Documentation.....	12
7	Annex	12



Modification Record

serial number	Number of modifications	Date modified	Modification of Terms	Brief description of the changes	Modified by
1	1	2025.1.6	Most of the terms have been modified	Modify the content in accordance with the requirements of IATF Rule VI	Bao Yanmei
2	2	2025.7.31	All	Issue Chinese and English version	Bao Yanmei



Procedures for granting, rejecting, maintaining, renewing, suspending, recovering, canceling, and withdrawing certifications

1 Objective

Regulate the granting, rejection, maintain, renewal, suspension, recovery, cancellation and withdrawn of IATF 16949 certification, ensure that corresponding decisions and data are published and transmitted to the corresponding stakeholders in a timely manner, and meet the requirements of IATF rule management.

2 Scope of application

The scope of IATF16949 accreditation applicable to ZA-FCAV regulates the granting, rejection, maintain, renewal, suspension, recovery, cancellation and withdrawn of IATF 16949 certification.

3 Normative references

ISO 17021-1:2015 Requirements for bodies providing audit and certification of management systems

IATF 16949:2016 Quality management system requirements for automotive production and relevant service parts organizations

IATF 16949 Automotive Certification Scheme - Rules for Obtaining and Maintaining IATF Accreditation
6th Edition

Accreditation Explanations for the latest status, Explanation of SI, FAQs, and Certification Body Announcements published in the <https://iatfglobaloversight.org.cn/> of the IATF official website

4 Duty

4.1 The technical reviewer is responsible for reviewing the audit file and making certification decisions according to the recommendations of the audit team.

4.2 The General Manager of Automotive Certification is responsible for approving the certification decisions of the technical assessors.

4.3 The preliminary evaluator of the technical department is responsible for notifying the client of the result of the certification decision and is responsible for the production of the certificate.

4.4 The information reporting personnel are responsible for data reporting (including IATF database and CNCA database), including granting, rejecting, maintaining, updating, suspending, resuming, canceling and revoking, etc.

4.5 The Business Unit Project Leaders of the ZA-FCAV Contracting Office, Marketing Department and Regional Offices are responsible for communicating with the client about the results of the certification decision (if



required).

5 Operational procedures

5.1 Grant Certification Qualification

5.1.1 Conditions for granting certification:

1) The documented information basically meets the requirements of the certification standard IATF 16949 and related technical specifications;

2) The scope of certification is clear, and the reasons for adjustment or change are sufficient and credible;

3) The operation of the quality management system of the automotive industry is basically effective;

4) The product quality conforms to laws, regulations and relevant standards, and there are no violations of laws and regulations, and there are no accidents;

5) For all general non-conformities, submit evidence of the following general non-conformities within a maximum of sixty (60) calendar days after the final meeting of the on-site audit:

- a) the containment measures that have been implemented and their effectiveness;
- b) Corrections that have been implemented;
- c) Root cause analysis, including methods used, results, and consideration of root cause effects on other processes and products;
- d) implementation of systematic corrective actions to eliminate root causes;
- e) Methods and validation results used to validate the effectiveness of systematic corrective actions.

6) If there is a serious non-conformity, submit the following evidence of serious non-conformity within a maximum of fifteen (15) calendar days after the final meeting of the on-site audit;

- a) containment measures and their effectiveness;
- b) Corrections that have been implemented;
- c) Root cause analysis, including methods used, results, and consideration of root cause effects on other processes and products;
- d) a systematic corrective action plan to eliminate the identified root causes, and methodologies identified to validate the effectiveness of the systemic corrective action;
- e) Submit evidence of the following material non-conformities within a maximum of sixty (60) calendar days after the date of the last meeting of the on-site audit:
 - Implement planned and systematic corrective actions to eliminate root causes;
 - Verification of the effectiveness of the systematic corrective actions that have been implemented.

Note: For the preliminary review, "on-site audit" refers to the second stage of the preliminary audit.

7) The submitted general non-conforming rectification materials are verified and acceptable by the audit team, and the closure does not meet the requirements; For serious non-conformities, the submitted



non-conformance rectification materials are verified by the audit team, and for the effective implementation of the systematic corrective measures identified by the serious non-conformity, an on-site special audit shall be conducted within a maximum of ninety (90) calendar days from the date of the final meeting of the audit, and the serious non-conformance shall be closed after the verification is valid; or in exceptional circumstances where the Client is unable to fully implement the planned systematic corrective actions (e.g., new or upgraded manufacturing or IT systems are required to eliminate the source of the problem, etc.) and its effectiveness cannot be verified within a maximum of ninety (90) calendar days after the date of the final meeting of the audit, after accepting the Client's fifteen (15) day response to a material non-conformance or a sixty (60) day response to a general non-conformity, provided that all of the following additional conditions are met The ZA-FCAV considers non-conformity as 100% resolved:

- a) Evidence provided by the client that containment measures have been implemented and should continue to be implemented until systematic corrective actions are implemented and their effectiveness is verified;
- b) The client provides a documented systematic corrective action plan detailing the measures, timing and responsibilities for implementing the systemic corrective action;
- c) One hundred percent (100%) of the reasons for resolving the determination are documented in the IATF NC CARA.
- d) Schedule a one-time on-site special audit to verify the effectiveness of the systemic corrective action based on the accepted systemic corrective action plan schedule, but not less than ninety (90) calendar days prior to the next routine audit.

5.1.2 Stage 2 certification, supervision, recertification, transfer and special audit require technical review and make certification decisions. After all corrective actions for non-conformities have been verified to be valid, or non-conformities have been determined to remain open but 100% resolved, all information from the on-site audit will be submitted for technical review, and a decision will be made to grant the certification/certificate of conformity and a certificate/certificate of conformity will be issued within a maximum of 120 calendar days on the last day of the on-site audit, before the expiration of the previous certificate.

5.2 Rejection (i.e. non-granting) of certification

5.2.1 The technical assessor approved by the IAOb shall give a negative (including non-granting) certification decision based on the following unsatisfactory circumstances:

- a) Failure to receive a non-conformance response in accordance with the time requirements in Articles 5.11.1 and 5.11.2 of the IATF Rules results in a failed audit and a negative certification decision;
- b) The audit team reviews the non-conformance response submitted by the client (including the results of the special audit) in accordance with the applicable requirements of IATF Rule 5.11, and the non-conformity response is rejected and the certification decision is negative;



- c) The review team rejects the decision to accept the client's non-conformance response as a 100% (100%) resolution;
- d) Exceeding the special audit time to verify the effectiveness of a material non-conformance (or 100% resolution) of a systematic corrective action;
- e) Accepted corrective actions (including one hundred percent (100%) resolved corrective actions) for serious non-conformities are not effectively implemented and the audit result is a failure;
- f) The certification decision time has expired and the final audit result is a failure;
- g) Failure by the applicant organization to disclose existing or prior IATF 16949 certifications, letters of conformity, certification attempt information, or deliberate misrepresentation of the information provided during the application process is considered a breach of legal contract to make a negative certification decision where certification is subject to a decision by ZA-FCAV.

5.2.2 The rejection of the certification decision shall also be made within a maximum of 120 calendar days after the last day of the second Stage, supervision, recertification, transfer or special audit and before the expiration of the previous certificate. It is not allowed to advance or postpone the certification decision date. If the time for the certification decision has expired and the final audit result is a failure, the client should restart the initial certification audit (i.e., Stage 1 Readiness Assessment and Stage 2 Certification Audit).

5.3 Maintaining and renewing certification registration qualifications, expanding and reducing the scope of certification, suspending, recovering and withdrawing certification

5.3.1 Conditions for maintaining certification registration qualifications:

- 1) The certified party's automotive industry quality management system is in good operation;
- 2) All non-conformance corrective actions reviewed by the certified party in the last review remain valid; If there were non-conformities that remained open but were 100% resolved in the last audit, verify that the identified corrective actions were effectively implemented prior to this audit;
- 3) The use of certificates and marks of the certified party meets the specified requirements;
- 4) The product quality is stable, no major accidents, no major complaints from clients/related parties;
- 5) If the corrective measures are not conformed, they shall be submitted to the audit team within the specified period for verification and validity; If there is a serious non-conformity, the implementation of the corrective measures for serious non-conformity is verified by the on-site audit and validation.

5.3.2 After all non-conformities corrective actions have been verified to be effective, or it is determined that the non-conformities remain open but 100% resolved, all the materials of the on-site audit will be submitted for technical review, and within a maximum of 120 calendar days on the last day of the on-site audit, a decision to maintain the certification will be made before the expiration of the previous certificate, and the certified party will be notified in writing.

5.3.3 Expand and narrow the scope of certification in the maintenance process



5.3.3.1 Expand the scope of certification

If the certified party wishes to expand the scope of certification, it shall submit a written application to ZA-FCAV, clarifying the scope of certification to be expanded and supplementing the necessary information.

When the certified party expands the scope of certification, it shall submit the relevant system documents together with the application.

The ZA-FCAV contract reviewer reviews the application of the certified party to expand the scope of certification, and after meeting the requirements, signs the certification contract or signs a supplementary agreement to expand the scope of certification. The scheduled personnel arrange for the implementation of an on-site audit of the expanded scope of certification, which can be carried out in conjunction with a surveillance audit or recertification and detailed in the audit report, or a special audit that expands the scope of certification can be carried out separately.

The audit conclusion of expanding the scope of certification shall be reviewed by the ZA-FCAV technical reviewer and the certification decision shall be made, and the certification certificate shall be renewed after approval.

5.3.3.2 Reduce the scope of certification

The scope of certification will be reduced in the following cases:

- 1) If there is no production/service site for two consecutive audits after obtaining the certificate, the scope of certification should be reduced;
- 2) The product or process is newly listed as the national explicit elimination catalog;
- 3) Evidence shows that the product/service implementation process cannot meet the requirements of the certification standard.

ZA-FCAV renews the certificate after making the decision to narrow the scope of the certification.

5.3.4 Replacement of Certificates

During the validity period of the certificate, if one of the following circumstances occurs, the certified party can apply to ZA-FCAV for renewal:

- 1) Change of certificate holder (change of the name of the certified party, including Chinese and English names);
- 2) Expand or narrow the scope of certification;
- 3) Change of the location of the licensee (the geographical location has not changed, only the address description has changed);
- 4) Change or change of the standard based on the certification (when applicable);
- 5) Editing errors were found in the certificate.



5.3.5 Reissuance of certification certificates

When the certification certificate is lost or damaged, it shall submit a written application to ZA-FCAV, explain the reasons, and reissue the certification certificate after being verified by ZA-FCAV.

5.3.6 Suspension of Certification Registration

5.3.6.1 Initiation and situation analysis of the decertification process

5.3.6.1.1 The start time of the decertification process shall be:

- a) The date on which ZA-FCAV received a performance complaint from an IATF OEM member, its relevant oversight office or any of the client's automotive clients through the IATF Complaint Management System (CMS);

Note: Performance complaints may include special status conditions that IATF OEMs choose to submit in the IATF CMS.

- b) The date of the last meeting for any surveillance, recertification, or special audit that the report does not conform.

5.3.6.1.2 When a performance complaint is made in the IATF CMS, ZA-FCAV shall collect other information relevant to the complaint as necessary in order to conduct a thorough analysis of the situation with the Client, determine the severity of the situation, including the risk to the Client's client, and the impact on all relevant Client premises, and take into account, where applicable, IATF OEM Client-specific requirements. ZA-FCAV shall not issue non-conformances to clients based on the results of a performance complaint analysis. If a non-conformity is issued during the audit, the ZA-FCAV shall conduct an analysis of the non-conformance published in the audit report to determine the severity of the situation

degree, including the risk to the client's clients and the impact on all relevant client premises. The non-conformance management process should run in parallel with the certification withdrawal process until a decision is made to reinstate or revoke the certification. This analysis shall be completed within a maximum of fifteen (15) calendar days from the date of commencement of the certification withdrawal process.

5.3.6.2 Certificate Suspension Decision

5.3.6.2.1 The Technical Reviewer shall, in accordance with the situation analysis in accordance with 5.3.6.1.2, decide whether to suspend the certification within a maximum of fifteen (15) calendar days after the commencement of the certification withdrawal process.

5.3.6.2.2 Certification shall be suspended if the initiation of the decertification process is related to an audit that contains one or more serious non-conformities confirmed by the technical reviewer at the time of publication of the final audit report.

5.3.6.2.3 If a decision is made to suspend the certification, ZA-FCAV sends a Notice of Suspension of



Certification to the Client through the ERP system and updates the IATF database and the IATF CMS (as applicable) within a maximum of seven (7) calendar days after the decision is made.

5.3.6.2.4 If the suspension decision relates to a performance complaint, ZA-FCAV requires the client to submit a response to resolve the issue in the IATF CMS within a maximum of twenty (20) calendar days after receiving the notice of suspension.

5.3.6.2.5 A record of the decision to suspend certification or the reasons for not suspending certification shall be kept and, where applicable, shall include all affected manufacturing sites in the Group Scheme.

5.3.6.2.6 Other suspension of certification:

If the certified party has any of the following circumstances, the certification qualification will be suspended within 5 working days after the investigation and verification:

- 1) Do not use the certification certificate and mark according to the requirements of the regulations, and have not been corrected after being pointed out;
- 2) Do not assume and perform the responsibilities and obligations agreed in the certification contract, including not paying the certification fee in accordance with the regulations;
- 3) The product is sampled by the statutory department and the quality is unqualified; The occurrence of quality accidents/events that are above the major (large) level as stipulated by the corresponding industry regulations, or accidents/incidents that have caused media exposure and social concern;
- 4) Being ordered by the relevant law enforcement and regulatory departments to suspend business for rectification;
- 5) The administrative License & Certificate, qualification certificate, compulsory certification certificate, etc. held by the holder has expired and invalidated, and the resubmitted application has been accepted but has not been renewed;
- 6) The certified client voluntarily requests for suspension due to other reasons other than "the client voluntarily applies for suspension due to a change of ownership or the interruption of the manufacturing of products that meet the scope of application of the certification".

5.3.6.2.7 The certification withdrawal process shall not exceed one hundred and twenty-seven (127) calendar days from the date of commencement. Certification suspension is a temporary state,

During the suspension of accreditation, the certificate remains valid and is still recognized by the IATF.

5.3.6.2.8 In the event that it is decided not to suspend the certificate but involves general non-conformities, the Certified Party shall submit the non-conforming closing materials within the specified time as required by ZA-FCAV. In all other cases, the timeline set out in the flow chart annexed to this document is followed.

5.3.7 Recover of Certification Registration Qualification

5.3.7.1 The Certified Party shall, in accordance with the reasons for suspension described in the Suspension Notice, make rectification within the period specified in the Suspension Notice, and after verification that the



prescribed requirements have been met, the Technical Assessor shall make a decision on whether or not to reinstate the certification within a maximum of one hundred and twenty (120) calendar days after the date of the certification withdrawal process and before the expiration date of the Certificate. The certification certificate can be recovered only after the approval of the general manager of ZA-FCAV automotive certification.

5.3.7.2 Within a maximum of seven (7) calendar days from the date of the decision on recovery, ZA-FCAV shall issue a notice of recovery to the Certified Party through the ERP system and update the IATF database or IATF CMS (as applicable).

5.3.7.3 The ZA-FCAV shall keep a record of the decision to reinstate the certification.

5.3.8 Withdrawn of certification registration qualifications

5.3.8.1 If the certified party has any of the following circumstances, ZA-FCAV shall make a decision to revoke the qualification of certification registration within 5 working days after obtaining the relevant information and investigating and verifying:

- 1) Failure to receive a non-conformance response in accordance with the time requirements in Articles 5.11.1 and 5.11.2 of the IATF Rules results in a failed audit and a negative certification decision;
- 2) The audit team reviews the non-conformance response submitted by the client (including the results of the special audit) in accordance with the applicable requirements of IATF Rule 5.11, and the non-conformity is rejected accordingly, and the certification decision is negative;
- 3) The review team rejects the decision to accept the client's non-conformance response as a 100% (100%) resolution;
- 4) Exceeding the special audit time to verify the effectiveness of a material non-conformance (or 100% resolution) of a systematic corrective action;
- 5) Accepted corrective actions (including one hundred percent (100%) resolved corrective actions) for serious non-conformities are not effectively implemented and the audit result is a failure;
- 6) The certification decision time has expired and the final audit result is a failure;
- 7) Failure by the applicant organization to disclose existing or prior IATF 16949 certifications, letters of conformity, certification attempts, or deliberate misrepresentation of the information provided during the application process is considered a breach of legal contract by making a negative certification decision when certification is subject to a decision by ZA-FCAV;
- 8) If the client refuses to perform a special audit as required by the rules, the certification shall be revoked;
- 9) Those who have been cancelled or have their legal status certificates revoked or have been included in the list of seriously untrustworthy enterprises with quality credit by the State Administration for Market Regulation;
- 10) Refusal to cooperate with the supervision and inspection carried out by the certification regulatory authority, such as refusing to witness the audit or the IATF witness auditor's observation of the entire



audit or providing false supporting documents for the inquiry and investigation of relevant matters.

- 11) A major product (service) quality accident occurs on the certified party, which is confirmed by the law enforcement and regulatory department to be caused by the violation of the certification organization;
- 12) Failure to take corrective measures within the period of suspension of certification qualifications or the rectification effect does not meet the specified requirements, and is not approved after review;
 - a) does not operate the quality management system of the automotive industry or no longer has the operating conditions;
 - b) Failure to correctly quote and publicize the obtained certification information in accordance with relevant regulations, causing serious impact or consequences, or ZA-FCAV has requested correction but has not corrected it for more than 2 months;
 - c) There are other serious violations of laws and regulations, or other certification certificates that should be revoked.

5.3.8.2 In the case of withdrawn of certification in the Group Scheme, the withdrawn decision shall apply only to the affected premises.

5.3.8.3 Within a maximum of seven (7) calendar days after the decision to revoke accreditation, ZA-FCAV will issue a notice of withdrawn of accreditation to the certified organization and update the IATF database or IATF CMS, as applicable.

5.3.8.4 After the certification is revoked, the certified organization shall return the original certificate in accordance with the requirements of ZA-FCAV, delete all references to IATF16949 certification, stop using the certification certificate, certification mark and quoting and publicizing the certification information obtained.

5.3.8.5 Upon withdrawn of Certification, Client shall re-commence the initial Certification Audit (i.e., Stage 1 Readiness Assessment and Stage 2 Certification Audit).

5.3.8.6 In the event that a certification is revoked due to ineffective implementation of systemic corrective actions, the Client shall complete a special audit prior to the initial certification audit. Special audits should verify the effective implementation of systemic corrective actions related to certification withdrawn issues. Special audits should be performed by an existing certification body or another IATF accredited certification body after the client has had time to implement effective systematic corrective actions.

Note: No special audit is required after three (3) years of withdrawn.

5.3.8.7 If, in the course of a special audit, the issue leading to the withdrawn of the certification persists, the result of the special audit shall be a failure and the IATF database shall be updated accordingly. Clients are subject to additional special audits until the issues leading to the withdrawn of certification have been resolved and systemic corrective actions have been effectively implemented before proceeding to the initial certification audit.

5.3.8.8 If the client decides to remain with an existing certification body for the initial certification audit, the requirements in Article 5.4 f) of the IATF Sixth Edition Rules apply.



5.3.9 Cancellation of certification registration qualifications

ZA-FCAV may make a decision to cancel a certificate for the following reasons:

- 1) Exceeding the supervision or recertification audit time; (Except for transfer audits)
- 2) commercial disputes with clients;
- 3) Termination of the certification contract requested by the client or ZA-FCAV;
- 4) The client premises no longer exist;
- 5) The client no longer manufactures automotive products;
- 6) The client is unable to prove that the automotive product was manufactured continuously for the permissible intervals.

5.4 Information Disclosure

According to the requirements of certification and accreditation regulations and accreditation specifications, certification information such as granting, renewing, maintaining, suspending, reinstating and revoking will be published on the ZA-FCAV website and the websites of the National Certification and Accreditation Commission (CNCA) and IATF. Enquiry method:

Website: [http:// www.zazh.net](http://www.zazh.net)

CNCA Website: [https:// www.cnca.gov.cn](https://www.cnca.gov.cn)

IATF Website: [https:// iatfglobaloversight.org.cn/](https://iatfglobaloversight.org.cn/)

6 Supporting Documentation

Certification Audit Procedures (ZAZH-QP-08).

IATF Certification Certificate and Certification Mark Management Procedure (ZAZH-QP-17)

7 Annex

Decertification Process



Annex

Decertification Process

