Procedure applicable on the site(s) of: French and Moroccan sites and staff attached to French sites

CONTENT

EDITOR	VERIFIER	APPROVING
Saiming FUNG	**Cyril MAINGOT**	**Pierrick BOUCHARD**
Quality and Performance Manager	*Brand Secretary*	*Certification Director*

I. OBJECT

This procedure provides the methods for informing, registering and processing appeals and complaints to UTAC Certification.
This procedure applies to all appealers as well as to UTAC Certification.

II. UPDATE

The revisions to this procedure and the condensed designation of the changes are mentioned in the chronological order of their entry into force in the table below.

REVISIONS		CHANGES
NUMBER	DATE OF APPROVAL	
00	12 February 1998	New document. Cancels and replaces procedure MUT/CSQ/06 (revision 00)
01	18 November 1998	The whole document. New paragraph numbering, new flowchart.
02	05 April 2000	Document changes.
03	27 June 2001	Amendments to § 3.1
04	08 November 2004	Clarification on the rules to follow in the event of an appeal relating to ISO/TS 16949 certification
05	12 April 2005	Add paragraph 5.1.1: dispute that does not appeal into question a certification decision
06	15 March 2007	Compliance with general procedures. Change of codification and logo. Replaces FI.19.QE.06
07	20 July 2009	EN9100 deletion, DCE integration
08	04 February 2015	Updated trigram, Replaced CTS and CCQ with CC. Complete overhaul of the document. Change of the title of the procedure (replacement "Recourse" by "Handling of appeals and complaints")
09	17 January 2017	Integration of ISO17021-1:2015 requirements and IATF Recognition Rules and its maintenance
10	07 June 2023	Overhaul of the structure of the process for handling appeals and complaints. Performance complaints from IATF member manufacturers are included in the definition of complaints., Added description of specific IATF OEM requirements regarding the IATF 16949 decertification process.
11	17 January 2024	Section 5 has been modified as follows: The frequency of periodic reviews for tracking IATF OEM performance complaints has been specified to every two weeks. The roles and responsibilities of the Certification Scheme Manager and the Technical Expert in coordinating these reviews have been clearly defined and documented.
12	07 October 2024	Introduction of the public interface for submitting appeals and complaints in Section V. Removal of the obsolete form previously used for the processing of appeals. Clarifications added regarding the use of the SharePoint directory for logging and accessing complaints by regional offices in Sections 1.d and 2.d. Clarifications concerning the use of the IATF CMS system for handling performance complaints from IATF member automotive manufacturers, as well as the use of form FO.CAI.P03.034, in Section 3.

III. REFERENCES

This procedure is established in accordance with:

- NF EN ISO/CEI 17021- 1: 2015 Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 1: Requirements
- ISO 50003: 2021 Energy management systems - Requirements for bodies providing audit and certification of energy management systems
- Rules for IATF recognition and its maintenance *(Edition of November 1 , 2016)*
- IATF OEM Performance Complaint Management System Manual - Initial Release - February 2021

IV. TERMS AND DEFINITIONS

Appeal : Request expressed in writing to reconsider an unfavorable decision taken by UTAC Certification regarding the status of the certification or a result of the certification audit.

Complaint : Expression of dissatisfaction other than an appeal, issued by a person or an organization to UTAC Certification, relating to the activities of the organization, or related to the certification activities for which UTAC Certification is responsible.

V. GENERAL PROVISIONS

UTAC Certification has implemented a centralized and standardized process for handling appeals and complaints. This process includes a public interface accessible to clients and other interested parties via the website www.utac.com, allowing the direct submission of appeals or complaints related to IATF 16949 certifications.

Appeals and complaints submitted via the public interface or by written electronic means are systematically recorded, acknowledged, and processed in accordance with the defined procedure.
Information regarding the processes for handling appeals and complaints is regularly updated, stored electronically, and published on the website www.utac.com. It is made publicly available in the covered geographical areas without the need for a specific request.

This information is also shared with clients and presented during the audit closing meeting by the audit team leader.

Records of complaints, appeals, as well as the corrections and corrective actions resulting from them, are treated as relevant records for certified clients.

When UTAC Certification obtains information about a client from sources other than the client itself (such as a complainant or a regulatory authority), this information is treated confidentially, in accordance with the current confidentiality policy.

All submissions, analyses, and decisions related to appeals and complaints are handled impartially, without any discriminatory actions against the appellant or complainant.

Information from appeals and complaints is included as input for the management review of UTAC Certification, ensuring the continuous improvement of the process.

1. APPEAL HANDLING PROCESS

The appeals handling process shall include the following elements and methods:

a. Receiving the appeal

The appeal must be submitted in writing by a client representative within two months of the notification of the contested decision.
For the appeal to be considered valid, the appellant must specify the decision or elements of the decision being contested and provide the reasons for the request for review. Any supporting documents may also be submitted to strengthen their case.

Upon receipt of the initial appeal, the quality leader must record it along with all supporting documentation and assign it a unique identification code found in the appeals management application (Qalitel).

The quality leader or the certification director must immediately acknowledge receipt of each appeal (e.g., by postal mail or email).

> The appeal does not suspend the certification decision. The appeal process shall not affect the deadlines for managing non-conformities or those for withdrawing the certificate.

b. Appeal confirmation

An appeal body is appointed by the quality manager, and it shall include at least one authorized veto holder to examine the contested results or the contested decision.

The people involved in the appeals process shall be different from those who performed the audits and made the certification decisions.

The appeal body may offer the appellant a post-reception interview aimed at explaining the reasons for the decision and the steps and implications of the appeal procedure. The interview can be carried out on UTAC's premises, by telephone or videoconference, or be declined by the appealer.

c. Appeal review and decision

For the review of the case, the appeal point has access to the audit records, the disputed decision records, and the appeal form containing the appellant's arguments. The instant appeal has the possibility of collecting any other element useful for the examination.
The decision taken on the opinion of the appeal body is notified within 20 calendar days following the date of the examination.
In the absence of any indication to the contrary in the decision, the new decision replaces the contested decision and applies from the date of receipt of the letter notifying the decision to the appellant.

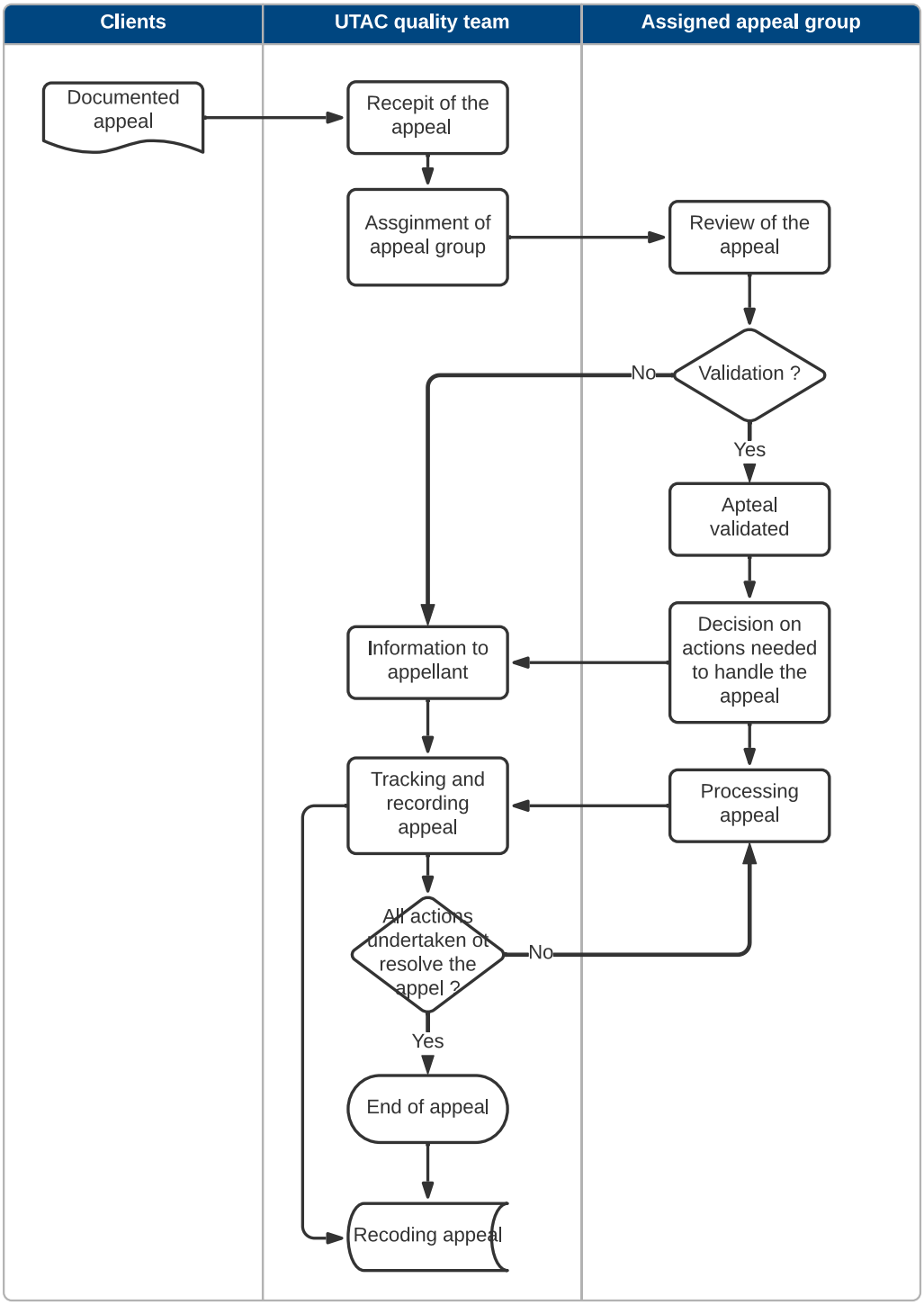
d. Tracking and recording of appeals, including actions taken to resolve them:

From the initial appeal, through all the stages of the process, to the final decision, the Quality leader shall follow the path of the appeal.

The Quality leader shall communicate any relevant action or decision taken regarding the appeal, to the appealer and to the personnel concerned.

Records related to appeals are centralized in a shared directory, accessible via SharePoint at the following address:
/utacmsc/Quality/Appels & Plaintes/. This directory is available to both central office personnel and regional office teams.

e. Overview of the Appeal Handling Process



2. COMPLAINTS PROCESS

To the extent possible, UTAC Certification shall acknowledge receipt of the complaint and shall provide the complainant with progress reports and the outcome of the complaint.

When the complaint concerns a certified client, it shall be examined from the point of view of the effectiveness of the certified management system.

Any valid complaint relating to a certified client shall be notified to the certified client concerned within 7 days.

UTAC Certification shall also, if necessary, take action to eliminate the causes of non-conformities identified from valid complaints in order to prevent them from recurring. The corrective actions shall be adapted to the effects of the nonconformities encountered.

The complaints handling process shall include the following elements and methods:

a. Receipt of the complaint

Upon receiving a complaint, UTAC Certification shall verify if the complaint pertains to its responsible certification activities. If it is determined to be related, UTAC Certification will proceed to address the complaint.

The Quality leader holds the responsibility of gathering and verifying all the required information to assess the validity of the complaint.

b. Admissibility analysis and validation of the complaint

Then, the body designated to handle the complaint shall determine whether the complaint falls within the scope of activity of UTAC Certification. If the complaint falls under UTAC accreditation, the Quality leader or his representative shall acknowledge receipt of the complaint to the complainant and provide him with a time frame for investigation and resolution.

Otherwise, the Quality leader or his representative shall inform the complainant that UTAC Certification is unable to process his complaint.

The Quality leader or his representative shall investigate the complaint, collect the relevant information and identify the root cause of the complaint. He shall then validate the complaint by determining whether it is founded or not, and whether it is a repetition or not.

If the complaint is founded, the Quality leader or his representative shall take appropriate corrective and preventive measures to address the root cause of the complaint, including informing the complainant of the measures taken.

If the complaint is unfounded, the Quality leader or his representative shall inform the complainant of the outcome and provide an explanation of the decision.

c. Review of Complaint and Decision

The decision served on the complainant shall be made or reviewed and approved by a person or persons not previously involved in the subject matter of the complaint.

The certification withdrawal process shall be initiated on the date of receipt of a complaint from either an automobile manufacturer member of the IATF, the Oversight Office, or any automobile end customer of the customer; or upon receipt of notification by the customer of its placing under special status from an automobile manufacturer member of the IATF. The customer shall notify UTAC Certification within ten calendar days or according to the specifications of the end customer.
UTAC Certification may be required to carry out audits of certified clients on very short notice or unannounced, in order to investigate complaints, or to investigate performance complaints.

d. Follow- up and recording of complaints, including actions taken to resolve them:

As far as possible, the Quality leader shall duly notify the complainant of the end of the complaint handling process.

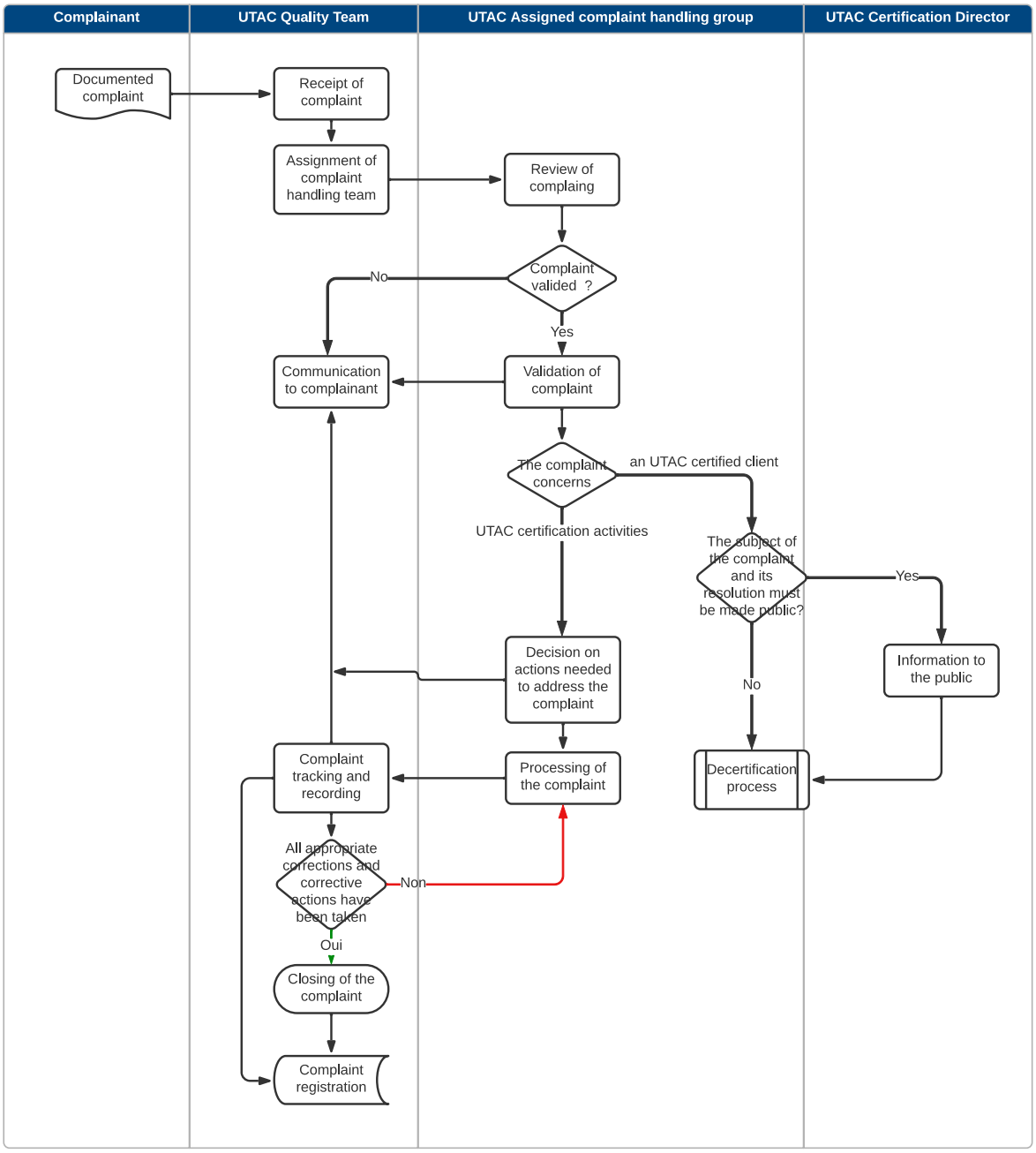
UTAC Certification shall determine with the certified client and the complainant whether the subject of the complaint and its resolution shall be made public, and if so, to what extent.

Records related to complaints are centralized in a shared directory, accessible via SharePoint at the following address:
/utacmsc/Quality/Appels & Plaintes/. This directory is available to both central office personnel and regional office teams.

e. Verification that all appropriate corrections and corrective actions have been taken.

Assurance that all appropriate systemic corrections and corrective actions have been taken.

f. Overview of the complaints handling process



3. IATF Member Automotive Manufacturer Performance Complaint Process

The following sections describe in detail each step of the IATF Member manufacturer's performance complaint handling process, including who is involved, what is done, when actions are taken, how they are performed, where they occur and why they are essential for maintaining quality and customer satisfaction.

This process allows us to respond effectively to complaints, and also to draw data from them to continuously improve our processes and services.

a. Receipt of the complaint

The Quality leader receives the performance complaint from an IATF member car manufacturer. This complaint is usually submitted through the IATF OEM Complaint Management System in the IATF Database.
It normally arrives within a time frame that depends on the nature of the performance issue identified by the automaker.

b. Analysis of the situation

Upon receipt of the complaint, an authorized veto holder is appointed to immediately carry out an analysis of the situation to determine the seriousness of the situation and the risk for the clients of the certified organization.
This analysis shall be completed within a maximum period of twenty calendar days from the start date of the decertification process .

c. Decision on suspension of certification

Based on the analysis of the situation, the holder of the right of veto makes the decision whether or not to suspend the certificate within a maximum period of twenty calendar days from the start date of the decertification process .
In the event of a decision to suspend the certificate, this is communicated to the client within a maximum period of ten calendar days and the IATF database shall be updated.

d. Corrective action plan

In the event of suspension of the certificate, the Quality leader asks the customer to provide a corrective action plan within a maximum period of twenty calendar days from the notification of the suspension. The client performs a self-assessment taking into account the requirements of its responsibilities for the anomalies identified.
The proposal for analysis of the causes and corrective actions is then submitted for the approval of the holder of the right of veto in charge of handling the complaint.
If the cause analysis and corrective action proposal is rejected, the client is informed of this rejection. In this case, the customer is generally asked to submit a new proposal for the analysis of the causes and corrective actions which makes it possible to provide precise and targeted solutions to resolve the problems identified and improve performance.

e. Verification of the implementation and effectiveness of corrective actions

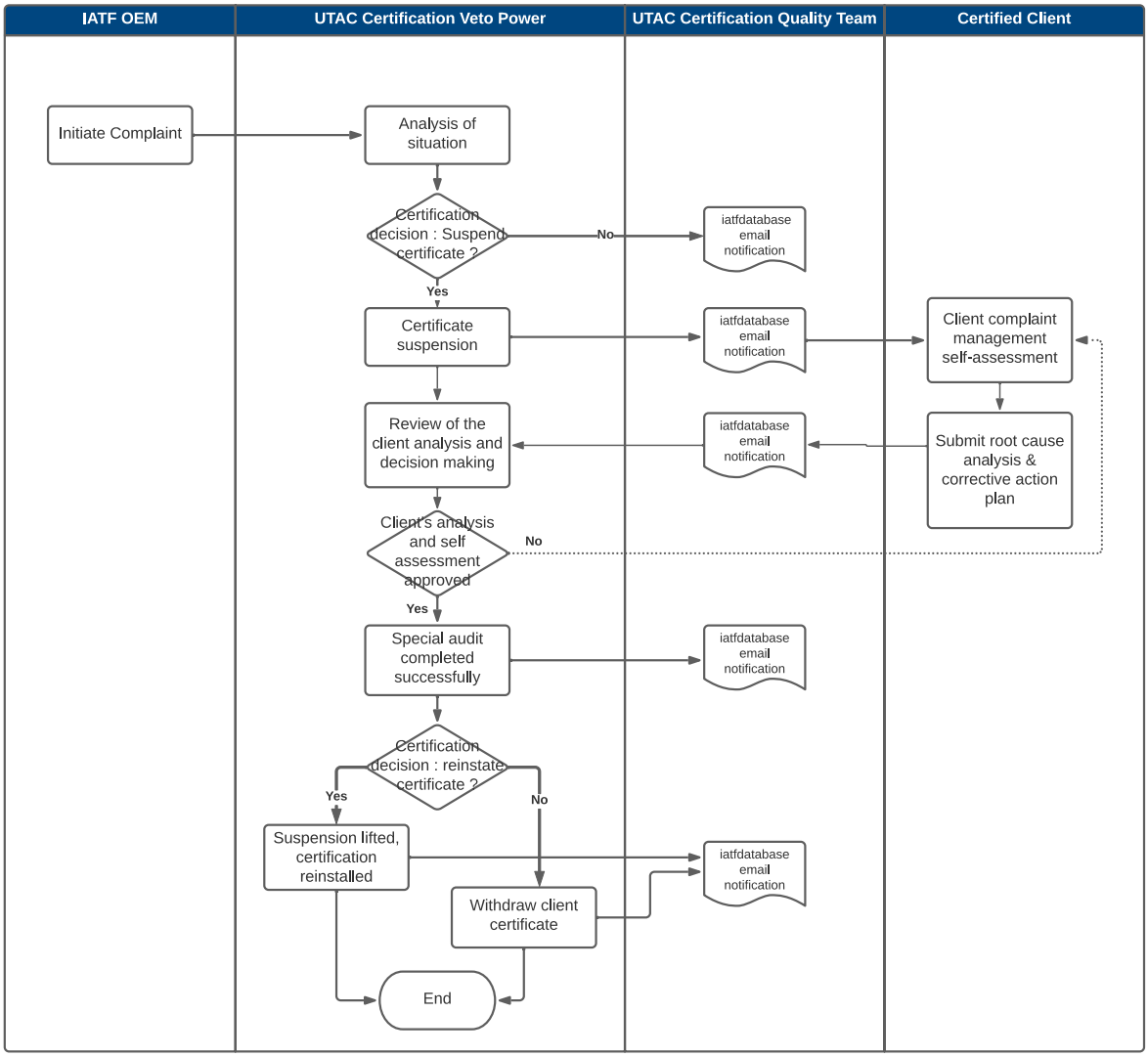
When the certified client has provided the corrective action plan, the effective implementation of the identified corrective actions shall be verified within a maximum period of ninety calendar days from the start of the decertification process.

The holder of the right of veto shall recommend and justify the mode of verification of the effectiveness of the corrective actions by the organization concerned. This can be done through the conduct of a special on-site audit or any other appropriate mode of verification, considering specific customer requirements, if any.

f. Final decision

Finally, the certification body decides to reinstate or withdraw the certificate, which includes a certification decision within a maximum period of one hundred and ten calendar days from the start of the decertification process.
The decision is communicated to the certified client within a maximum period of ten calendar days from the date of the decision.

g. Overview of the IATF Member Manufacturer Performance Complaint Process



4. Management of special statuses according to the specific requirements of automotive manufacturer customers who are members of the IATF

The following sections detail each step of the process for handling performance complaints from IATF member manufacturers.

Performance-related complaints must be processed through the IATF CMS (Complaint Management System), a platform implemented by IATF Global Oversight with an integrated workflow to ensure a standardized approach to complaint management. This system allows for complete traceability and transparent resolution of complaints concerning the quality, delivery timelines, and processes of IATF 16949 certified suppliers.

The FO.CAI.PO3.034 form is used as a complementary tool to collect and exchange information related to the various stages of handling OEM performance complaints. This form is specifically intended for stakeholders who do not have access to the IATF CMS portal via the IATF database. It ensures a structured and consistent follow-up of the actions taken, while facilitating clear communication between the parties involved.

a. Management of special statuses according to specific Ford customer requirements

Managing special statuses according to specific Ford customer requirements is a crucial part of the appeals and complaints handling process for UTAC Certification. This section outlines the steps for managing Ford special statuses as per customer requirements.

i.) Revocation of Q1 status

- **Notification to certification body**
  When a Certified Customer Organization receives a Q1 revocation letter from *Ford Motor Company* , it shall inform its reference certification body in writing within five working days of receipt of this letter. The notification shall include all relevant information regarding the revocation of Q1 status.

- **Immediate suspension of certification**
  UTAC certification makes the decision to immediately suspend the certification of the certified client organization upon receipt of the Q1 revocation notice. This suspension shall comply with the rules defined in the automobile certification scheme for IATF 16949, section 8.3.

- **Corrective action plan and acceptable performance**
  To restore Q1 status, the client organization shall demonstrate at least 6 months of acceptable performance. UTAC certification can lift the suspension of the IATF 16949 certificate if the corrective actions of the client organization have solved the problems at the origin of the Q1 revocation.

ii.) IATF OEM performance complaint

Ford may file an OEM IATF performance complaint if it encounters a specific quality performance issue associated with the organization's quality management system. This complaint will be dealt with in accordance with the other sections and steps of this procedure.

b. Management of special statuses according to specific GM customer requirements

This section outlines the steps for handling GM special statuses, based on specific GM customer requirements.

i.) GM New Business Hold (NBH) Status

- **Notification to certification body**
  New Business Hold Special Status Notice , it shall notify its Certification Body within five business days of receipt of such notice. The notification contains all relevant information regarding GM's NBH status.

- **Immediate suspension of certification**
  UTAC certification makes the decision to immediately suspend the certification of the organization upon receipt of the notice from GM *New Business Hold* . This suspension shall comply with the rules defined in the automobile certification scheme for IATF 16949, section 8.3.

- **Corrective action plan**
  In the event of suspension of certification due to a *GM New Business Hold* , the client organization shall develop a corrective action plan within 10 working days of the effective date of the NBH. The Corrective Action Plan shall comply with GM requirements and include the following:
  - The remediation steps needed to resolve the identified issues.
  - The responsibilities assigned to each stakeholder.
  - The specific deadlines for the implementation of the corrective actions.
  - Key indicators to assess the effectiveness of the corrective action plan.

- **Special on-site audit**
  Before lifting the suspension of certification, UTAC certification decides to carry out a special on-site audit of an appropriate duration in order to verify the effective implementation of all the corrective actions. This special audit shall be completed within 90 calendar days of receipt of notice from GM New Business Hold.

- **Lifting of suspension or withdrawal of certification**
  If the suspension of certification is not lifted within a maximum period of 110 calendar days from receipt of the notice from GM New Business Hold, UTAC certification shall withdraw the IATF 16949 certification from the client organization.
  However, exceptions to this withdrawal may be justified in writing by UTAC certification, based on its on-site review of the effectiveness of the organization's corrective action plan and a written agreement obtained from the client's authorized representative. GM.

ii.) **GM Quality Performance Requirements (GM QPR**)

- **Sourceability level**
  Every certified client organization shall achieve and maintain a level of sourceability *(Sourceability Level)* of 3, 4 or 5 depending on the GM performance requirements *(Quality Performance Requirements). If the organization's* sourceability level is less than 3, a performance complaint is submitted against the certified customer organization on behalf of GM, which will trigger the decertification process in accordance with the rules for recognition IATF 16949, sections 8.1-8.7 .

iii.) **Controlled Shipping - Level 2 (CS II)**

- **Notification to certification body**
  Controlled Shipping - Level 2 (CS II) status , it shall inform its certification body within five working days of this notification .

- **Verification of corrective actions**
  UTAC certification shall verify during audits that effective corrective actions are in progress for CS II activities. If CS II activities are closed, UTAC certification verifies that the corrective actions have been implemented and extended to the entire site of the client organization for similar processes and/or products. UTAC certification shall also investigate CS II activities that have been opened and closed between surveillance audits.

c. Management of special statuses according to the specific requirements of the Stellantis client *(formerly FCA EMEA / LATAM Regions)*

i.) OEM performance complaint

- **Initiation and Notification of an OEM Performance Complaint**

  Stellantis may file an OEM performance complaint when faced with a specific quality performance issue of the organization, the cause of which could be a non-conformity in the quality management system of the certified customer organization.

  A notification letter is sent to the certification body and to the IATF surveillance office indicating the identification of the site of the certified client body concerned by the complaint, the summary of the complaint, the affected elements of IATF 16949, and requesting a copy of the organization's latest site audit report.

- **OEM Performance Complaint Investigation**

  Upon receipt of the OEM performance complaint notification mail, UTAC certification shall investigate the complaint in accordance with Section 8.0 of the IATF 16949 Rules for Recognition.

  At the end of their investigation, the certification body shall inform Stellantis of the findings and actions taken, responding to the initiator of the notification.

Note : An OEM performance complaint may be filed in conjunction with or independently of a *Top Problem Supplier Location* (TPSL) action.

ii.) Top Problem Supplier Location (TPSL)

- **Notification of TPSL activity**

  When periodiappealy reviewing IMQ quality metrics and other key performance indicators, Stellantis may notify certain locations within the organization that they have been identified as a Primary Problematic Supplier Location (TPSL). The TPSL designation indicates Stellantis' dissatisfaction with the organization's site quality performance and initiates a process to develop and implement a performance improvement plan.

- **Notification to certification body**

  Stellantis notifies the certification body of the involvement of the organization's site in the TPSL process by sending a copy of the notification letter to the certification body indicating the identification of the site of the client certified organization concerned, the summary of the process, Specific problem areas, with supporting data, and request for a copy of the last audit of the site concerned.

  Note : Notification of TPSL activity to the certification body is for informational purposes only and does not constitute an OEM performance complaint as described in section 8.1 of the rules for IATF 16949 recognition. However, Stellantis reserves the right to file a performance complaint at any time as part of the TPSL process.

iii.) New Business Hold (NBH) quality

- **Notification of New Business Hold (NBH)**

  Upon periodic review of IMQ quality metrics and other key performance indicators, Stellantis may notify a Certified Client Organization that it has been placed in New *Business Hold* (NBH) status. This indicates that the organization's site quality performance is persistently below expectations and corrective action is required.

- **Suspension of certification and actions to be taken**

  Stellantis sends a notification letter to the organization, describing the subject of the complaint and specifying the exit criteria that the organization shall meet to be removed from NBH status. A separate notification is sent to the certification body of the organization and to the IATF surveillance office by e-mail indicating the identification of the certified client organization concerned, the summary of the complaint, the evidence supporting the complaint (mail from notification and additional data if required), identification of the Stellantis Supplier Quality representative for the complaint.

  The certification body shall then:

  - Issue a major non-conformance against the organization and suspend the organization's IATF 16949 certificate in accordance with Section 8.0 of the Rules for IATF 16949 Recognition.
  - Provide Stellantis with copies of the organization's last recertification audit and all subsequent surveillance audits.

  Note : If the certification body reinstates the organization's certificate, the organization will remain in NBH status beyond the reinstatement date while Stellantis monitors IMQ quality metrics and other key performance indicators. If the effectiveness of the corrective actions implemented cannot be verified, Stellantis will refer the matter to the organization's certification body and oversight office for further investigation. The organization's site will remain in NBH status.

  When the exit criteria established for the organization have been met, Stellantis lifts the New Business Hold status, thereby lifting the associated business and quality sanctions sanctions imposed by other Stellantis processes may remain in place, and notifies the client certified organization concerned, the certification body and the IATF surveillance office.

  If the certification body withdraws the certificate at the end of the process in accordance with section 8.0 of the rules, Stellantis Procurement and Supplier Quality Managers will develop a joint plan for the organization that will restrict future business activities or work improve processes and performance to a level that supports the organization's recertification efforts.

  Note : If a client organization applying for IATF 16949 certification is placed in NBH status before the stage 2 audit is performed, UTAC certification shall not perform the stage 2 audit until the NBH status is lifted, or that Stellantis Supplier Quality Management notifies the organization and certification body in writing that the Stage 2 audit can be continued.

  If the organisation's site is placed in NBH status after a stage 2 audit, a transfer or a re-certification audit, but before the certificate is issued, the certification body shall:

  - Immediately suspend the existing certificate, if applicable.
  - Issue the new certificate according to the rules,
  - Then immediately suspend the new certificate. If necessary, the suspension of the previous certificate shall be lifted.

d. Management of special statuses according to the specific requirements of the client Stellantis (ex-FCA US LLC)

i.) **OEM Performance Complaint**

- **Initiation and Notification of an OEM Performance Complaint**

  Stellantis *(ex-FCA US LLC)* may submit an OEM performance complaint when faced with a specific quality performance issue from a certified customer organization, the cause of which could be a non-conformity in the management system of the quality of the organization by sending a notification letter to the IATF monitoring office concerned indicating the identification of the site of the certified body and its certification body, the summary of the complaint, the impacted elements of IATF 16949, and the request for a copy of the last audit report of the site concerned.

- **OEM Performance Complaint Investigation**

  Upon receipt of the OEM Performance Complaint Notification Mail, the Certification Body shall investigate the complaint in accordance with Section 8.0 of the Rules. The findings of the OEM performance complaint investigation may be used by Stellantis in deciding whether to place the organization's site in *Top Problem Supplier Location* (TPSL) or *New Business Hold* (QNBH).

ii.) **Top Problem Supplier Location (TPSL)**

- **Notification of TPSL activity**

  Stellantis may notify specific Certified Customer Organization sites that they have been identified as *Top Problem Supplier Location* (TPSL) problem suppliers, based on periodic review of GEBSC quality metrics and other indicators. Performance Keys, The TPSL designation indicates Stellantis' dissatisfaction with the quality performance of the certified customer site and initiates a process to develop and implement a performance improvement plan.

- **Notification to certification body**

  Stellantis notifies the certification body of the involvement of the organization site in the TPSL process by sending a copy of the notification letter indicating the identification of the customer site concerned, the summary of the process, the specific areas of the problem with the supporting data, and a request to provide a copy of the latest audit report for the relevant client site.

  Note : Notification of TPSL activity to the Certification Body is for informational purposes only and does not constitute an OEM Performance Complaint as described in Section 8.1 of the Rules. However, Stellantis reserves the right to file a performance complaint at any time as part of the TPSL process.

iii.) **New Business Hold (QNBH) quality**

- **Notification of New Business Hold (QNBH)**

  Stellantis may notify an organization that it has been placed in New Business Hold (QNBH) status, based on periodic review of GEBSC quality metrics and other key performance indicators. This indicates that the organization's site quality performance is persistently below expectations and corrective action is required.

- **Suspension of certification and actions to be taken**

  Stellantis sends a notification letter to the organization, outlining the summary of the complaint and identifying the exit criteria the organization shall meet to be removed from QNBH status.

Stellantis also files an OEM performance complaint in a separate letter to the Certification Body Monitoring Office of the Certified Customer Organization via email.

Upon completion of the process in accordance with Section 8.0 of the Rules for IATF 16949 Recognition, the client organization will remain in QNBH status while Stellantis monitors GEBSC quality metrics and other key performance indicators. When the QNBH exit criteria established for the organization have been met, Stellantis lifts the *Quality New Business Hold status* , thereby lifting the associated business and quality sanctions *(sanctions imposed by other Stellantis processes may remain in place)* . and informs the relevant organization sites, the certification body and the IATF monitoring office.

If the certification body withdraws the certificate at the end of the process in accordance with section 8.0 of the rules, Stellantis Procurement and Supplier Quality Managers will develop a joint plan for the organization that will restrict future business activities or work improve processes and performance to a level that supports the organization's recertification efforts.

If a client site is seeking IATF 16949 certification, but is placed in QNBH status before the Stage 2 audit is completed, the certification body shall not perform the Stage 2 audit until the QNBH status is completed. is not lifted, or that Stellantis Supplier Operations Management notifies the client organization and certification body in writing that the Stage 2 audit can be continued.

If a client site is placed in QNBH status after a stage 2 audit, a transfer, a transition or a recertification audit , but before the certificate is issued, the certification body shall:

- Immediately suspend the existing certificate, if applicable.
- Issue the new certificate in accordance with the rules.
- Then immediately suspend the new certificate in accordance with the rules for IATF 16949 recognition. If applicable, the suspension of the previous certificate shall be lifted.

e. Management of special statuses according to the specific requirements of the client Stellantis (ex-PSA)

i.) Escalation process

When a Supplier's production site generates too much disruption, Stellantis may implement an escalation process that includes countermeasures tailored to the Supplier's performance in a staggered process, which may result in sanctions being applied against the Supplier. , including the ability to file a complaint with the certification body to begin the decertification process .

ii.) special status

This escalation process implemented by PSA (level 1, level 2 or NBH) shall NOT **be** considered a "special status" under the rules for IATF 16949 recognition.

Based on the analysis on the escalation situation, Stellantis reserves the right to request initiation of the decertification process if a violation of IATF 16949 requirements or Stellantis quality requirements is identified. In such a situation, a state of "special status" in relation to IATF 16949 is notified to the supplier in writing, with a copy to the certification body.

- **Suspension of certification and investigation**

In case of "special status" clearly established by Stellantis as explained above, the certification body shall suspend the certificate and investigate the complaint according to section 8.0 of the rules for recognition. At the end of their investigation, the certification body shall inform Stellantis of their findings and the action taken.

5. Monitoring and Follow-up of the Appeals and Complaints Processing Process

Management reviews of the appeals and complaints handling process are organized on a regular basis by the quality team on a monthly basis. These reviews allow close and reactive monitoring of the process, as well as the rapid identification of opportunities for improvement. The quality team is responsible for the coordination and planning of these reviews, in collaboration with the stakeholders involved.

During these monthly reviews, the quality team examines the data collected since the last review, which may include performance indicators, trends and activity reports. The participants discuss the results, the problems encountered and the corrective actions implemented.