

Management System Certification Process.

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1. Scope of Application

This document applies to the certification

- ISO 9001 : Quality management system,
- IATF 16949 : Quality management system requirements for automotive production and relevant service parts organizations,
- ISO 14001 : Environmental management system,
- ISO 45001 : Occupational health and safety management system ^(*), and
- ISO 50001 : Energy Management System.

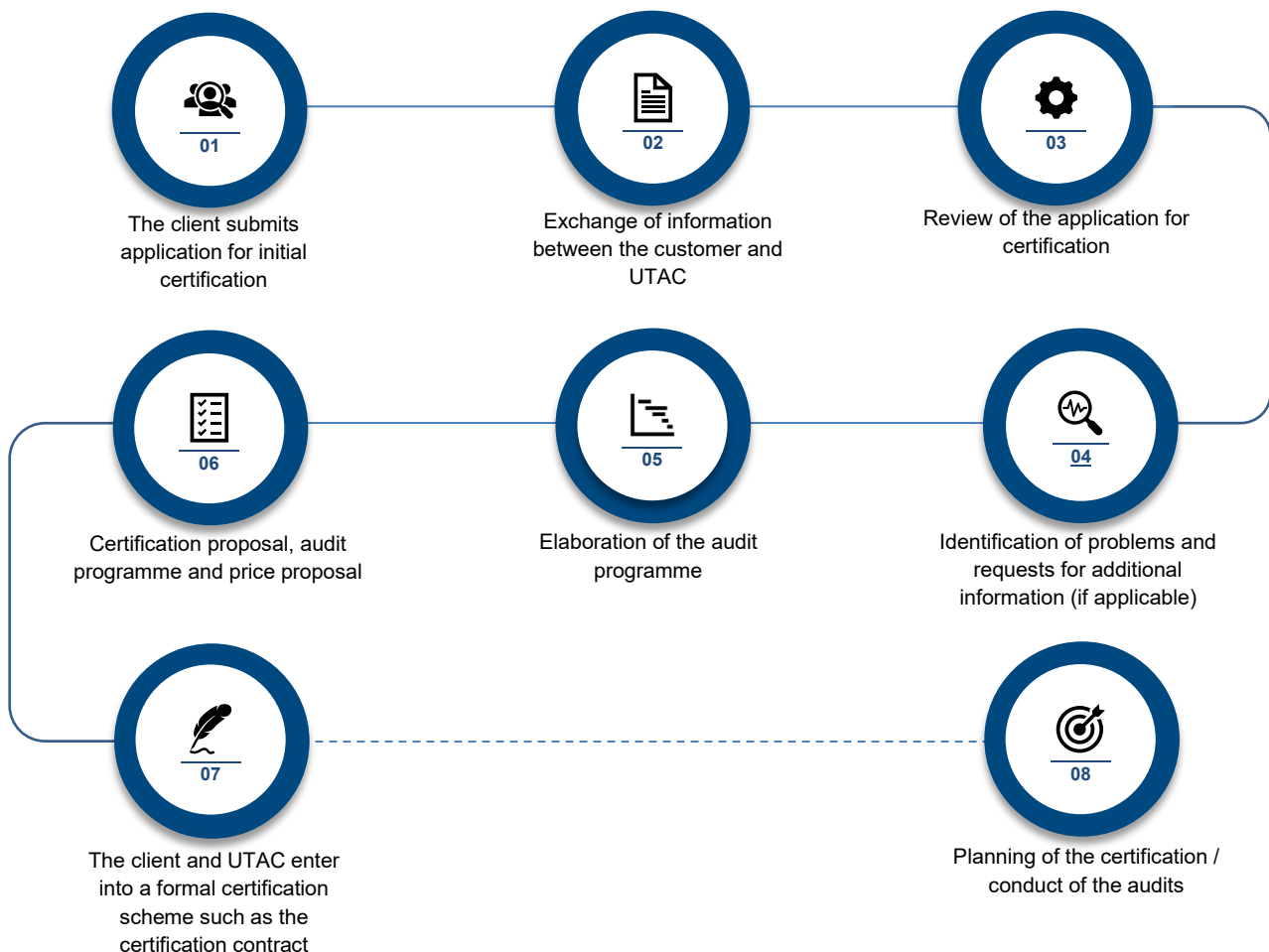
*The implementation of the ISO 45001 standard alone does not constitute compliance with the requirements established by the applicable French legislation

2. References

- CERT CEPE REF 33: Specific requirements for the accreditation of bodies operating certification of management systems
- ISO/IEC 17021-1: Requirements for bodies providing audit and certification of management systems.
- IATF 16949 Rules for the recognition of third party certifiers by the IATF.
- ISO 19011: Guidelines for quality and/or environmental management auditing.
- ISO 50003: Energy management systems - Requirements for bodies providing audit and certification of energy management systems

3. The Certification Program

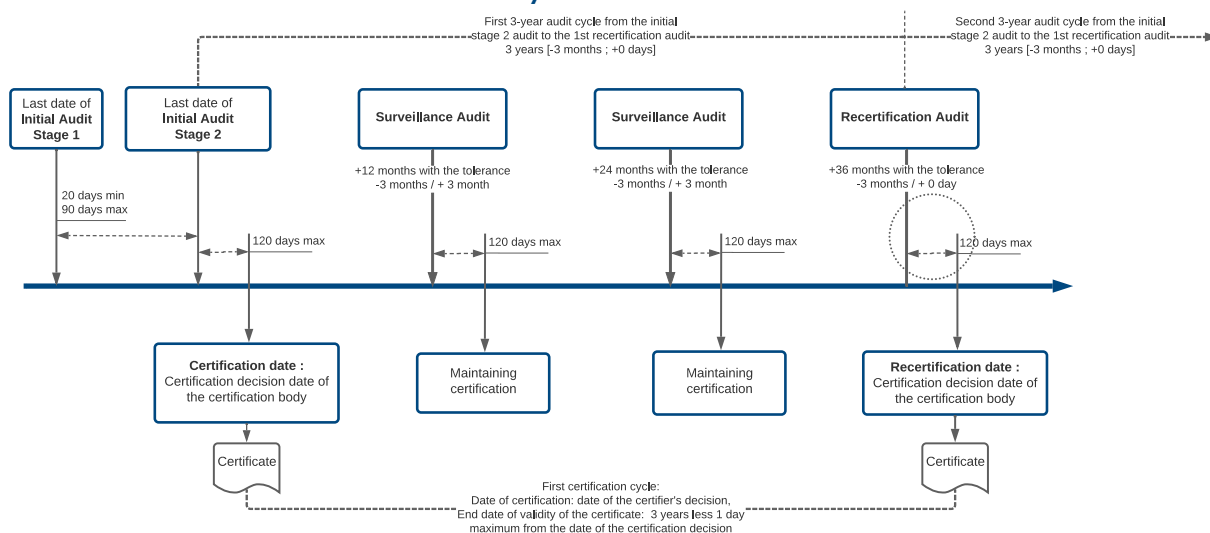
From first contact to certification contract



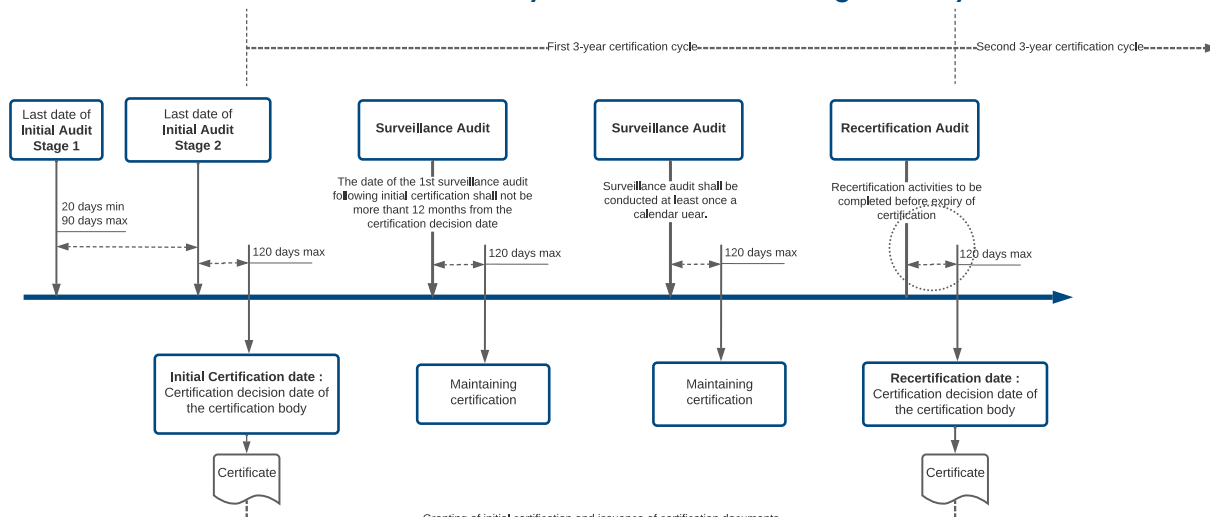
3.1. The Audit and Certification Cycle



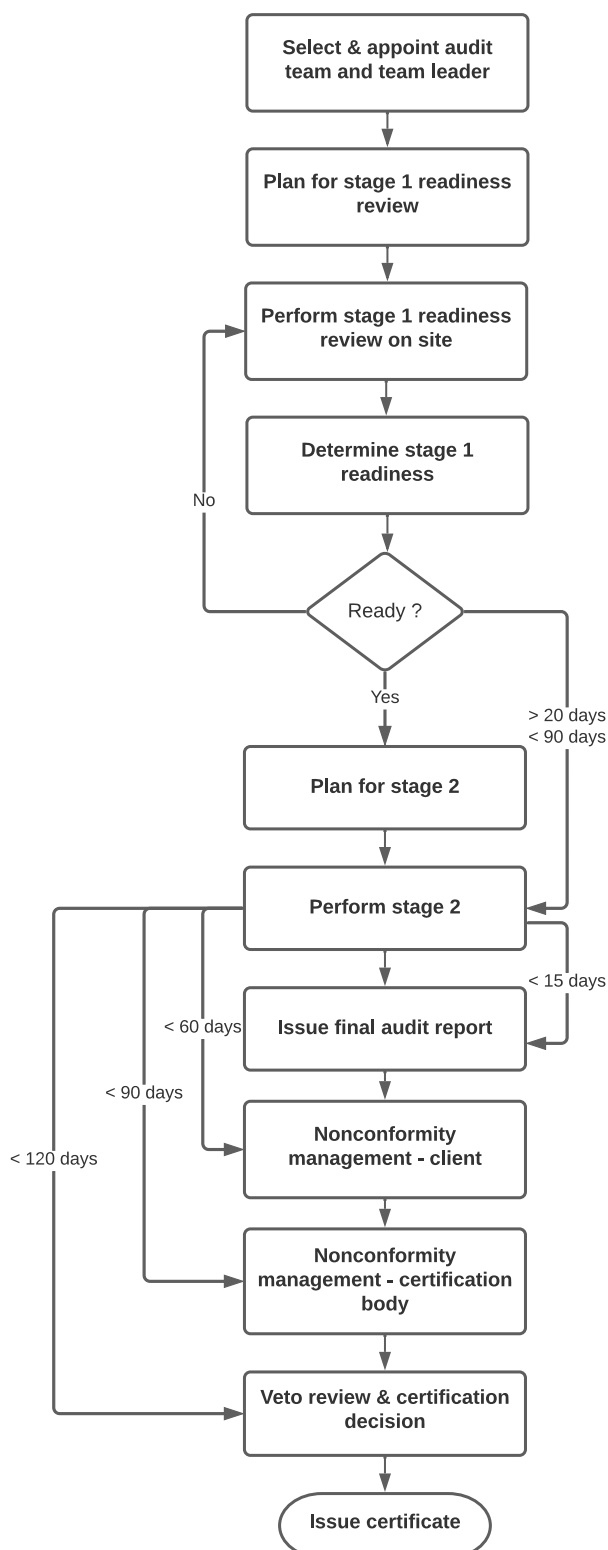
3.1.a. Overview of the Audit and Certification Cycle for IATF 16949 Standard



3.1.b. Overview of the Audit and Certification Cycle for other ISO management system standards



3.2. From Planning to Certification



The audit dates are scheduled in consultation with the organization. A team of qualified auditors is then selected to carry out the various steps of the process.

The first step, known as Stage 1 Readiness Assessment, aims to assess the readiness of the management system. This document review helps establish and confirm the audit plan for the Stage 2 initial certification audit. The conclusions from this step may result in the postponement or cancellation of the Stage 2 initial certification audit. In the event of significant changes affecting the management system, a new preparation review must be conducted.

The audit is conducted in the following steps:

- Opening meeting,
- Brief site tour,
- Document review,
- On-site audit,
- Daily summaries,
- Auditors' deliberation,
- Closing meeting.

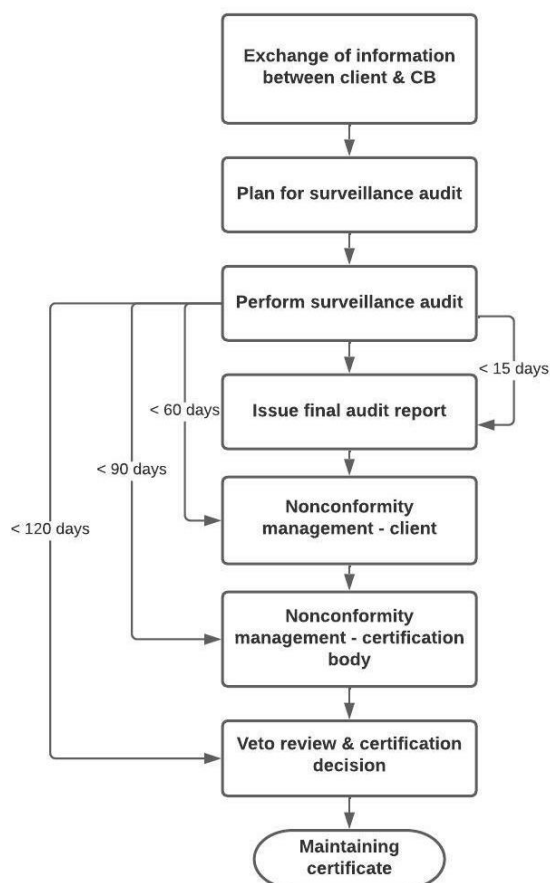
At the conclusion of the audit, a certification recommendation is made based on the findings. A detailed audit report is provided to the audited organization.

If non-conformities are identified, a corrective action plan along with evidence must be submitted within a maximum of 60 days. If necessary, a supplementary audit may be conducted to verify the effectiveness of the implemented corrections.

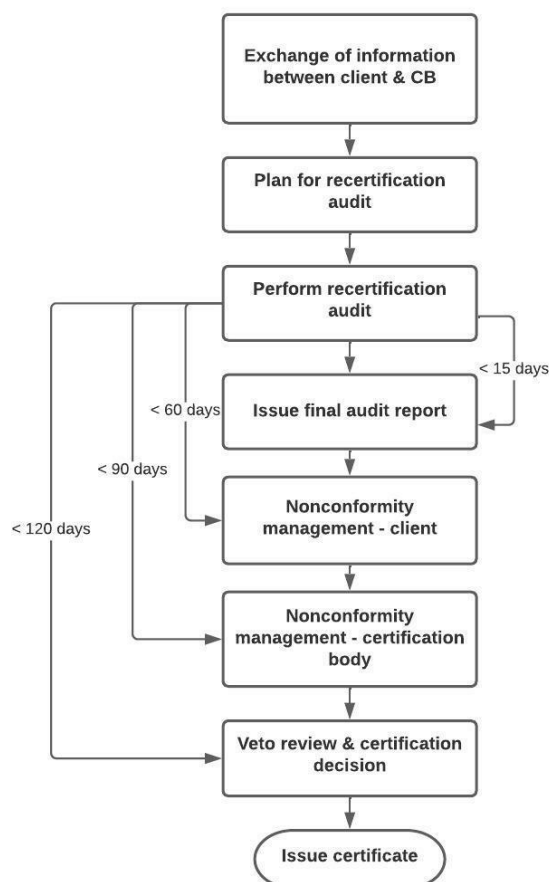
Once the corrective actions are validated by the audit team leader, the certification file undergoes a technical review. This review is conducted by authorized technical evaluators.

The certification decision is made in compliance with the principles of conformity and impartiality. In the case of a favorable decision, a certificate is issued to the organization.

3.3. Maintenance of Certification



3.4. Reconduction of Certification



Audit dates are set at least three months before the start of the audit. The audit team is renewed in accordance with current regulations to provide a fresh and objective perspective on the management system being evaluated.

A detailed audit plan is communicated to the organization in advance to ensure effective preparation. The duration of the recertification audit is determined in compliance with the requirements of IATF and/or IAF rules, depending on the applicable certification standard. This stage also includes a review of the effectiveness of corrective actions implemented during the previous audit.

At the conclusion of the audit, the team formulates a certification recommendation based on the findings. A detailed audit report is provided to the audited organization.

In the case of identified non-conformities, a corrective action plan must be submitted within a maximum of 60 days, while also respecting the expiration date of the previous certificate. If necessary, a supplementary audit may be conducted to validate the implementation of corrections.

Once the corrective actions are approved by the audit team leader, the certification file undergoes a thorough review.

The certification decision is made while ensuring compliance and impartiality throughout the process. If the decision is favorable, a new certificate is issued to the organization.

Audit dates are scheduled at least three months prior to the start of the audit. The audit team is renewed in accordance with current requirements to bring a fresh and objective perspective to the evaluation of the management system.

A detailed audit plan is provided to the organization in advance to facilitate effective preparation. The duration of the recertification audit is determined in compliance with the requirements of IATF and/or IAF rules, depending on the applicable certification standard. This process also includes a review of the effectiveness of corrective actions taken during the previous audit.

At the conclusion of the audit, the audit team presents a certification recommendation based on the findings. A detailed audit report is then delivered to the audited organization.

If non-conformities are identified, a corrective action plan, along with evidence of its implementation, must be submitted within a maximum of 60 days, while ensuring compliance with the expiration date of the previous certificate. If required, a supplementary audit may be conducted to validate the effectiveness of the implemented corrections.

Once the corrective actions are approved by the audit team leader, the certification file is subjected to a comprehensive technical review.

The certification decision is made with a strict adherence to compliance and impartiality principles. If the decision is favorable, a new certificate is issued to the organization.

4. Certification Decision Process

UTAC Certification is responsible for the certification decisions, including granting, refusing, maintaining certification, extending or reducing the scope of certification, renewal, suspension or reinstatement after suspension.

Special audits

UTAC Certification may have to carry out audits of certified clients at short notice or unannounced in order to investigate complaints, or to follow up on modifications, or to carry out a follow-up of a suspended certification.

Transfer of certification

A transfer of certification is possible when a certified client decides to change certification body. The certification must be existing and valid of a granted management system. Please contact us for more information regarding the specific rules of certification transfer.

Extension of the certification

A certified customer may request an extension to have their certification also cover one or more additional activities, or additional sites where activities are performed. UTAC Certification will undertake a review of the application and determine any audit activity necessary to decide whether or not to grant the extension. This may be done at the same time as the surveillance audit.

Suspension, withdrawal and cancellation of certification

UTAC Certification may decide to suspend or withdraw all or part of the certification if any of the situations described below are found:

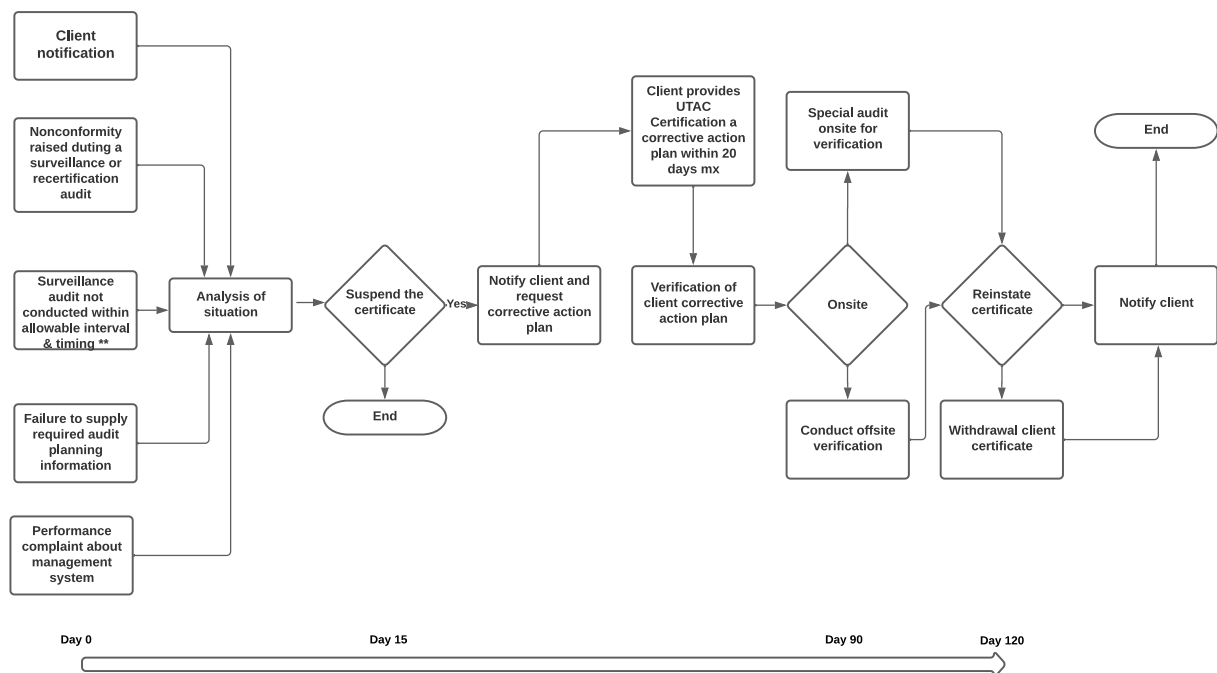
- Receipt of a complaint from an IATF member vehicle manufacturer, accreditation or recognition body, or any interested party,
- Receipt of notification by the customer of being placed on special status by an IATF member vehicle manufacturer,
- Surveillance or re-certification audit with non-conformities,
- Interruption of a surveillance audit,
- When the certified customer has voluntarily requested a temporary suspension on a change of ownership, interruption of the manufacturing of products or services concerned by the certification,
- When the certified customer has not allowed the realization of surveillance audits according to the agreed periodicity interval,
- When the information required for the preparation of an audit is not provided to UTAC Certification,
- Non-compliance by the certified client with the contractual obligations, or with the conditions relating to the use of the UTAC Mark, or those of the accreditation or recognition bodies.

Reinstatement of certification

UTAC Certification may decide to reinstate a suspended certificate if any of the following situations are met:

- The completion of the delayed surveillance audit,
- The successful conduct of the special audit,
- The effective implementation of the corrective actions within the allowable time limit,
- In the case of re-certification, UTAC Certification may reinstate a new certification within 6 months of the expiration of the certification, provided that the unresolved recertification activities are completed. The effective date on the certificate must be the date of the recertification decision or later and the expiration date must be based on the previous certification cycle. This special case does not apply to IATF 16949 certification.

Overview of the certification suspension, withdrawal and reinstatement process



Cancellation of Certification

UTAC Certification may cancel a certificate, an action that does not constitute a sanction, for the following reasons:

- Existence of commercial disputes with the client,
- Termination of the certification contract requested by the client or UTAC Certification,
- The client's site no longer exists,
- The deadline for conducting the surveillance or recertification audit has been exceeded,
- The client has ceased manufacturing automotive products,
- The client is unable to demonstrate that automotive manufacturing is still ongoing within the permitted timeframe.

5. Rights and Obligations

The rights and obligations of certified clients and certification candidates are specified in the certification contract between UTAC Certification and the certified client or certification candidate.

Confidentiality

All information collected by UTAC Certification or by its auditors and experts during the processing of an application for certification and relating to the applicant organization is considered and treated as confidential, under the conditions defined and according to the provisions of UTAC Certification.

Appeal on Decision

The certified customer has the right to appeal any decision by UTAC Certification affecting the status or scope of their certification. Appeals are handled under the conditions and according to the provisions of the appeals and complaints procedure defined by UTAC Certification.

The appeal pending its examination does not suspend the contested decision.

Complaint Handling

The certified client has the possibility to express their dissatisfaction with the services provided by UTAC Certification. Complaints are handled under the conditions and according to the provisions of the procedure for handling appeals and complaints defined by UTAC Certification.

Publications

Information on companies certified by our organization is available on request in the Certification section of our website: www.utac.com.

A Certification tailored to your need

You are diversifying your activities, your organization is changing, the certification standards are evolving, you want a combined, joint or integrated audit approach... Our teams are at your disposal to study with you the impact of any change and to accompany you in your certification projects