

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.

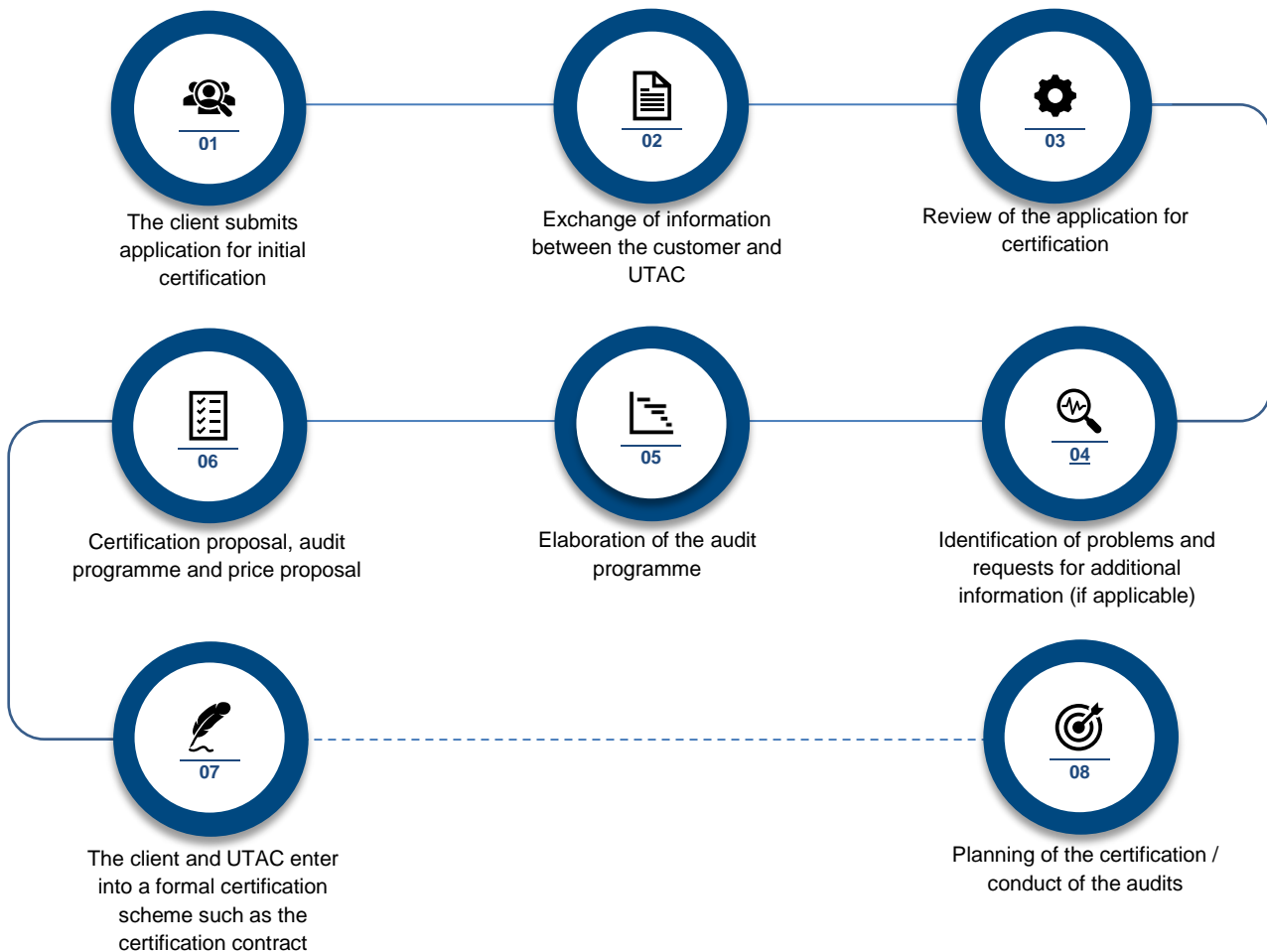
*The implementation of the ISO 45001 standard alone does not constitute compliance with the requirements established by the applicable French legislation

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

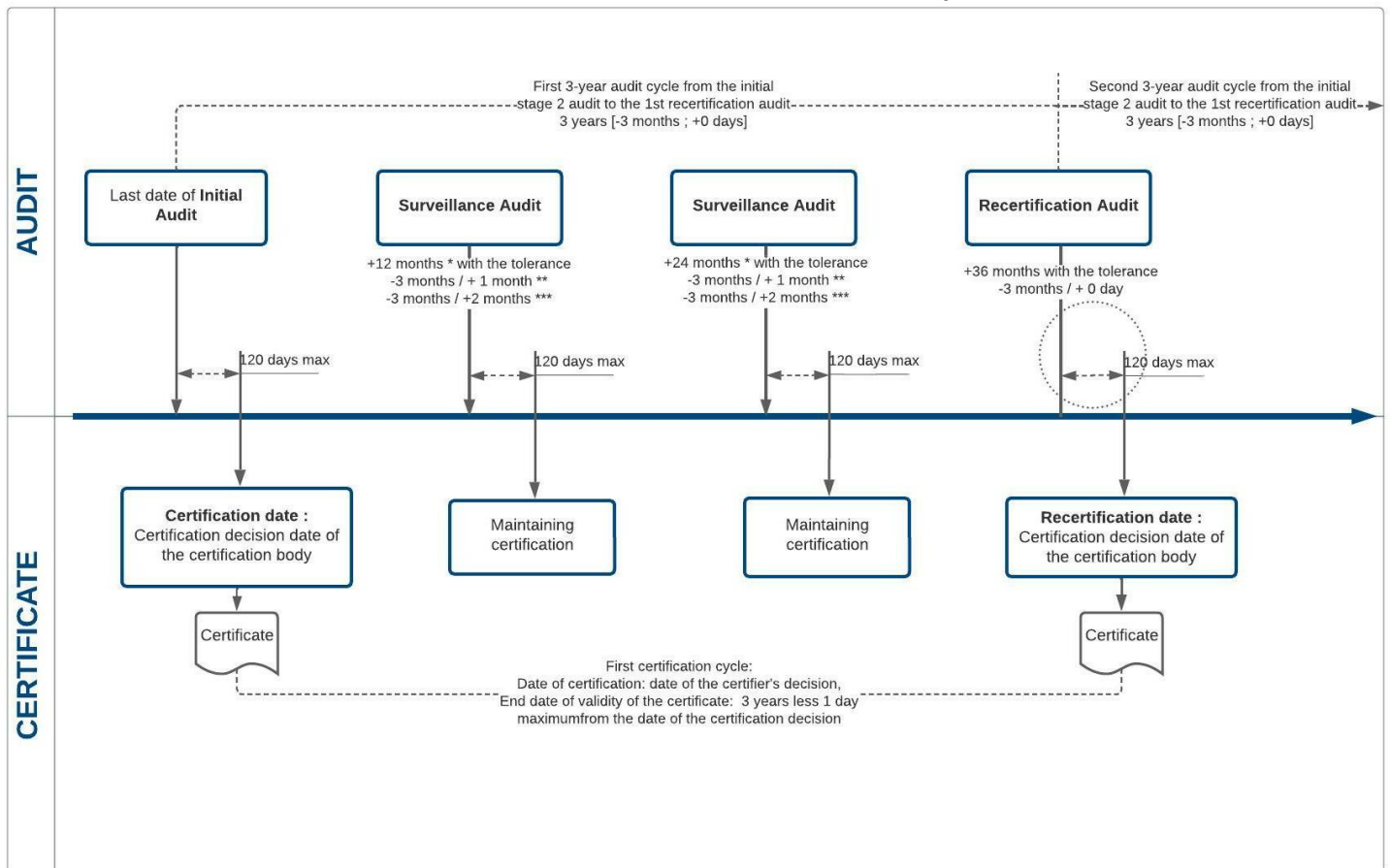
From first contact to certification contract



3.1. The Audit and Certification Cycle



Overview of the Audit and Certification Cycle

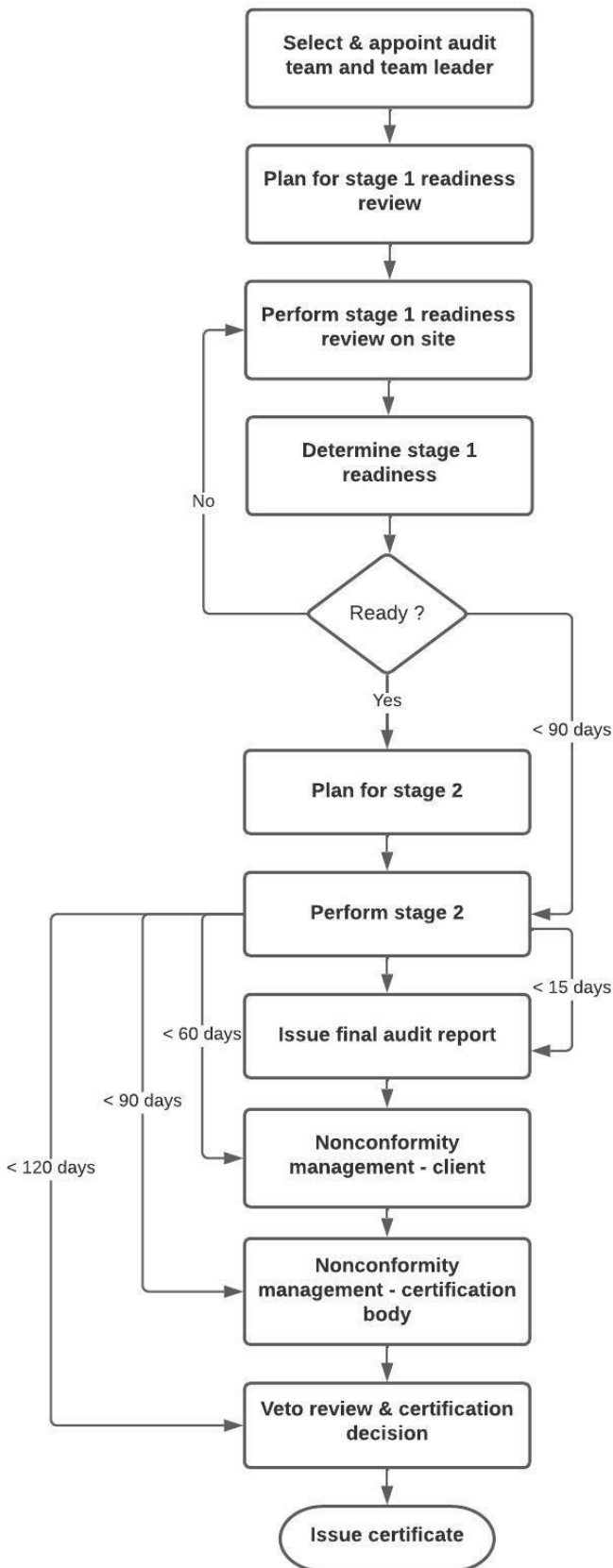


*The surveillance interval can be 6 months, 9 months or 12 months. It must be maintained for the entire three-year audit cycle.

** Tolerance interval applicable for IATF 16949 audits

*** Tolerance interval applicable for ISO 9001, ISO 14001, ISO 45001, and ISO 50001 audits

3.2. From Planning to Certification



Together, we validate the dates of your audit. An audit team is assigned.

The purpose of the readiness review (stage 1) is to determine the readiness of your management system to undergo stage 2 audit.

This document review allows us to establish and confirm the audit plan.

The results of the stage 1 audit may lead to the postponement or cancellation of the stage 2 audit. At the end of stage 1, significant changes may occur and affect the management system, in which case stage 1 must be performed again.

The audit team analyzes the whole management system and its implementation, by the following steps:

- Opening meeting
- Tour of the site
- In-room audit
- On-field audit
- Daily summaries
- Deliberation of the auditors
- Closing meeting

At the end of the audit, the team makes a certification proposal based on the findings. An audit report is issued.

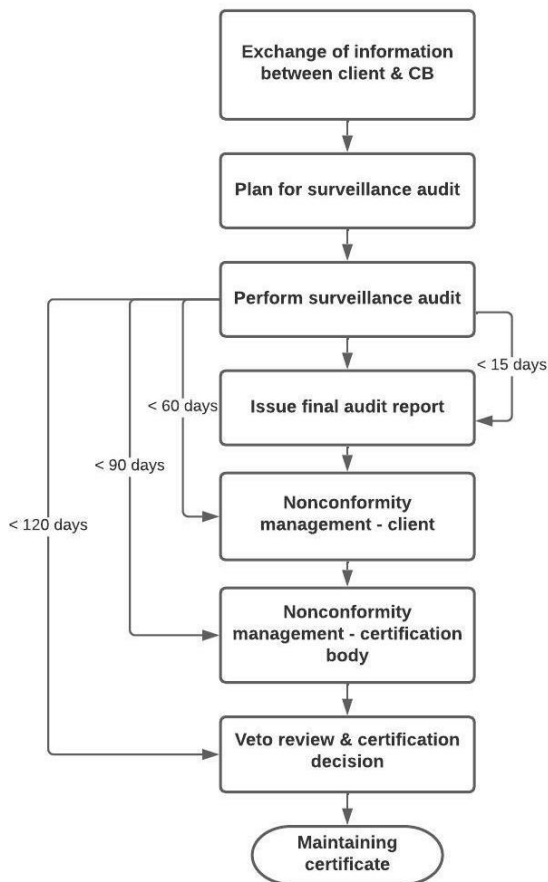
If non-conformities are identified, you are required to provide your corrective actions. The deadline for implementing corrective actions is limited to 60 days.

A special audit (verification) may be requested in case of non-conformities to validate the implemented corrections.

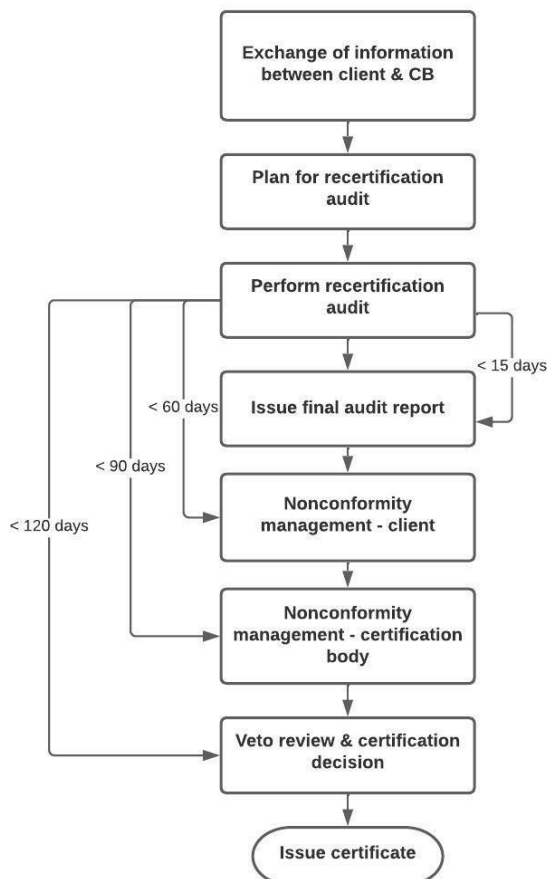
After acceptance of your corrective actions by the audit team leader, your certification file is submitted for decision.

Our experts are qualified by the certification committee, composed of representatives of the UTAC Mark, representatives of the major OEMs and suppliers, familiar with the automotive industry, and a veto power person approve the certification decision.

3.3. Maintenance of Certification



3.4. Reconduction of Certification



The audit dates are defined preferably 3 months prior to the beginning of the audit.

The detailed audit plan is communicated to you in advance before the audit start date.

The duration of the surveillance audit is determined according to the IATF and/or IAF rules depending on the certification standard. The effectiveness of corrective actions from the previous audit is reviewed.

At the end of the audit, the team makes a proposal for certification based on the findings. An audit report is issued.

If non-conformities are identified, you are required to provide your corrective actions. The deadline for implementing corrective actions is limited to 60 days.

A special audit (verification) may be requested in case of non-conformities to validate the implemented corrections.

After acceptance of your corrective actions by the audit team leader, your certification file is submitted for decision. A veto power person approves the certification decision

The audit dates are defined preferably 3 months prior to the beginning of the audit.

A new audit team is assigned according to the rules to bring a fresh eye on your system.

The detailed audit plan is communicated to you before the audit start date.

The duration of the re-certification audit is determined according to the rules of the IATF and/or IAF depending on the certification standard. The effectiveness of the corrective actions of the previous audit is reviewed.

At the end of the audit, the team makes a proposal for certification based on the findings. An audit report is issued.

If non-conformities are identified, you are required to provide your corrective actions. The deadline for implementing corrective actions is limited to 60 days, and the end of validity of your previous certificate.

A special audit (verification) may be requested in case of non-conformities to validate the implemented corrections.

After acceptance of your corrective actions by the audit team leader, your certification file is submitted for decision. A veto power person approves the certification decision.

The duration of the initial, surveillance or re-certification audits are formally defined by the normative texts. Certain increases or decreases may be applied for specific situations (multi-site, corporate certification, , extension, translation,

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:

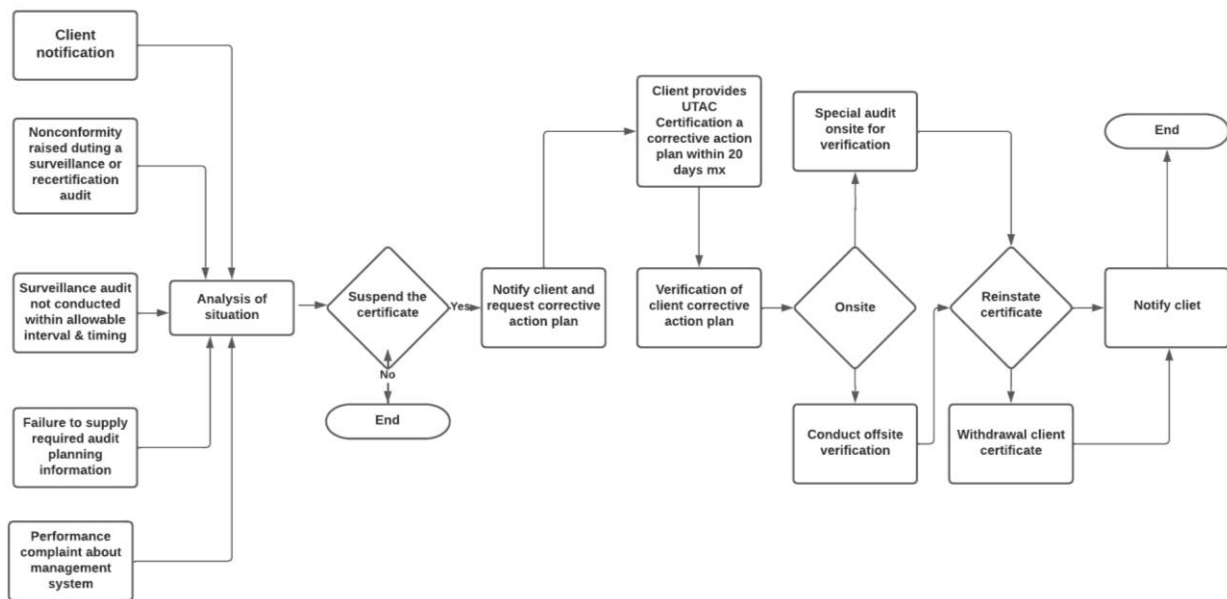
- Receipt of a complaint from an IATF member vehicle manufacturer, accreditation or recognition body, or any interested party,
- Receipt of notification by the customer of being placed on special status by an IATF member vehicle manufacturer,
- Surveillance or re-certification audit with non-conformities,
- 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



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