



认证公正性管理程序

ZAZH-QP-01

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目录

1	目的	错误!未定义书签。
2	职责	错误!未定义书签。
3	管理要求	错误!未定义书签。
3.1	公正性政策制定和实施	错误!未定义书签。
3.2	对咨询活动的控制	错误!未定义书签。
3.3	在 IATF 16949 认证业务市场开发中对不正当竞争行为的控制	错误!未定义书签。
3.4	对工作人员的公正要求	错误!未定义书签。
3.5	与相关机构有关的公正性要求	错误!未定义书签。
3.6	维护公正性委员会的监督活动	错误!未定义书签。
3.7	认证公正性风险的识别、评价	错误!未定义书签。
4	相关文件	错误!未定义书签。
5	相关记录	错误!未定义书签。



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	2024. 6. 05	部门和岗位(封皮、2. 3、 2. 4、3. 2、3. 3	详见正文	包艳梅
2	2	2025. 2. 19	3. 2. 1/3. 2. 2/3. 4 . 3/3. 7	结合规则六要求，增加“与质量管理体系相关的咨询包括的内容”、“内部及外部人员披露他们所知的任何可能给他们或公司带来利益冲突的情况”的要求。3. 7 公正性风险评估识别、评价参见《公正性风险评估作业指导书》	李玲玲
3	3	2025. 7. 31	全文	转换为中英文版本	包艳梅



认证公正性管理程序

1 目的

为确保北京中安质环认证中心有限公司（以下简称“公司”）IATF 16949 认证的公正性，对可能影响认证工作公正性因素进行有效控制，根据《认证认可条例》、《认证机构管理办法》等国家认证规范及 IATF 有关要求制定本程序。

2 职责

- 2.1 汽车认证总经理对 IATF 16949 认证工作全过程的公正性全面负责。
- 2.2 汽车认证管理者代表负责制定具体公正性管理措施并监督措施的落实情况。
- 2.3 IATF 16949 认证全体相关人员确保切实执行公司各项公正性管理要求。
- 2.4 维护公正性管理委员会对公正性政策的制定和实施进行监督。

3 管理要求

3.1 公正性政策制定和实施

- 3.1.1 公司高管层制定有关公正性管理的政策，对利益冲突加以管理，确保认证审核活动的客观性和公正性。
- 3.1.2 公司不以盈利为目的，不搞任何形式的经济指标和认证数量的承包，不将申请认证的组织是否获得认证与参与认证审核的审核员及其他人员的薪酬挂钩。
- 3.1.3 公司基于风险的方法和风险管理理论，对各种利益和关系引发的风险进行识别、分析、评价，根据风险评估结果，制定风险处置措施并监视其结果。
- 3.1.4 就风险评估结果、处置措施和实施结果，定期向公正性委员会征询意见。
- 3.1.5 公司针对由其他个人、机构或组织的行为对其造成的公正性威胁采取行动。

3.2 对咨询活动的控制

3.2.1 与质量管理体系相关的咨询包括提供以下服务：

- a) 完全或部分为客户量身订制的质量管理体系相关培训，包括以任何形式提供的质量管理体系审核员培训
- b) 协助建立、开发、记录、实施、维护、控制或改进（质量管理体系的一个要素或与之相关的）质量管理体系
- c) 与质量管理体系有关的内部产品、过程或体系审核
- d) 代表客户对供应商进行与质量管理体系有关的产品、过程或体系审核
- e) 规则未明确规定的客户或客户的顾客要求的任何类型的质量管理体系相关和 /或汽车相关的审核或评估或类似活动（如，“预审核”）。

注：与“质量管理体系相关”指 ISO 9001、IATF 16949，基于 ISO9001 的任何特定行业质量管理体系标准，以及这些标准中提到的或用于执行这些标准的任何“工具”、“方法”和“概念”（如 FMEA、SPC、VDA6.3、ASPICE、精益生产、六西格玛）。

不包括：公司在培训目录中向公众宣传的，不以任何方式为客户量身订制的标准化培训课程，如包括一般质量管理体系审核员培训，或有关核心工具、六西格玛或精益制造的培训课程。

3.2.2 公司不受理 24 个月内公司或其担保审核员曾提供过与质量管理体系相关咨询的客户的申请，为此，采取措施如下：



- a) 向申请人和 IATF 公开公司相关机构名称;
- b) 要求申请人向公司提供为其提供“与质量管理体系相关咨询”的组织和人员的信息;
- c) 根据申请人反馈信息, 决定是否受理申请及配备审核组成员。

3.2.3 公司在接受认证申请时, 采取下列措施确保不搞认证和咨询一条龙服务:

- a) 在公开文件中作出明确承诺, 不提供 IATF 16949 管理体系咨询服务, 更不暗示申请方若选择某家咨询或培训机构, 则可通过认证, 或对认证有好处;
- b) 在洽谈认证合约过程中, 拒绝申请方任何方式的咨询和培训要求;
- c) 独立签署认证合同, 不涉及任何与认证有关的咨询问题。

3.2.4 公司对 IATF 16949 认证审核人员可能的咨询行为作如下规定:

- a) 公司担保的审核员不得以任何名义从事认证咨询活动;
- b) 公司担保的审核员不得应企业要求为其提供特定现场审核员培训、内部审核或有关认证审核的咨询事宜;

3.2.5 公司设置的分支机构、办事机构, 报认证主管机构备案, 并纳入公司 IATF 16949 管理体系管理范围内和合规内审。

3.3 在 IATF 16949 认证业务市场开发和认证决定中对不正当竞争行为的控制

- 3.3.1 不向公司的相关机构和任何认证机构提供认证服务;
- 3.3.2 严格认证认可行业自律文件要求, 不准高收费或压价竞争;
- 3.3.3 无正当理由, 不得全部或部分免收认证费用, 特殊情况, 应报国家认可机构批准;
- 3.3.4 公司向国家认可机构公开其财务状况, 并接受其公正性监督。
- 3.3.5 公司认证决定应基于其所获得的符合或不符合的客观证据, 并且不得收到其他利益或其他各方的影响。

3.4 对工作人员的公正要求

- 3.4.1 公司要求所有人员必须严格执行工作人员行为规范, 其中审核员在执行审核任务时, 严格做到:
 - 不收受礼品、礼金; 不收受有价证券和珠宝首饰;
 - 不参加企业安排的宴请;
 - 不参加企业安排的娱乐活动。
- 3.4.2 公司要求所有工作人员, 包括公正性委员会成员, 签署公正性声明, 以确保所有人员公正行事, 且不因商业、财务和其他压力损害公正性。
- 3.4.3 公司要求内部及外部人员披露他们所知的任何可能给他们或公司带来利益冲突的情况, 包括但不限于培训、咨询或他们正在或曾经参与的其它相关业务。公司使用这一信息输入, 以确定此类人员或雇佣他们的组织的活动对公正性造成的威胁, 并且不为认证活动使用此类内部或外部人员, 除非公司可以证明不存在利益冲突。

注: 威胁认证机构公正性的关系可能基于个人或家庭关系, 所有权、治理、管理、人员、共享资源、财务、培训、合同、营销、销售佣金支付及推荐新客户的其他诱因等。

3.5 与相关机构有关的公正性要求

- 3.5.1 公司的主要利益相关方是中安和谐集团(集团公司下设“北京中安质环认证公司有限公司、中水卓越认证有限公司、北京中安质环技术评价公司有限公司、甘肃安卓工程技术有限公司、北京中安四海应急安全科技研究院有限公司、中安四海节能环保工程技术公司、开铎风险理咨询有限公司、中安幸福(北京)



文化有限公司、北京中安和谐注册安全工程师事务所、中安太平（国际）拍卖有限公司、中安和谐（北京）投资管理有限公司、中安庆华河北节能环保工程技术有限公司 12 个子公司），主要从事认证、安全评价、环境影响评价、风险管理、节能环保工程、工程咨询、投资管理、矿业权评估、土地/房地产评估、人员资质培训等业务。

3.5.2 相关机构在进行宣传和业务推广活动时，不涉及与认证服务有关的内容，避免造成自身的经营业务与认证活动有联系的印象。公司对申请认证的企业，不进行对相关机构活动的宣传和推销。

3.5.3 向顾客明确相关机构的活动与认证服务无关，不暗示申请认证的组织，如果选择了公司的认证服务活动，则可以使认证更为简单、容易、迅速或廉价。

3.5.4 相关机构不进行任何与认证有关的咨询活动，也不提供管理体系咨询报价。

3.6 维护公正性委员会的监督活动

为确保公司认证活动的公正性，公司建立了公正性监督机构——公正性管理委员会。公正管理委员会及其成员有权对公司认证活动的公正性进行监督，具体要求详见《维护公正性委员会章程》。

3.7 认证公正性风险的识别、评价参见《公正性风险评估作业指导书》。

4 相关文件

《维护公正性委员会章程》（ZAZH-QM-01 附件）

《认证审核程序》（ZAZH-QP-08）

《公正性风险评估作业指导书》（ZAZH-WI-27）

5 相关记录

《公正性审查报告》（ZAZH-FM-78）

《公正性管理风险分析报告》（ZAZH-FM-79）



Procedures for the Management of Certification Impartiality

ZAZH-QP-01

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Directory

1. Objective.....	3
2. Duty	3
3. Management requirements.....	3
3.1 Impartiality policy formulation and implementation	3
3.2 Control of consulting activities.....	3
3.3 Control of unfair competition in the market development and certification decisions of ATF 16949 certification business	5
3.4 Fair requirements for staff	5
3.5 Impartiality requirements in relation to the relevant institutions	5
3.6 Oversight activities of the Committee for the Preservation of Impartiality.....	6
3.7. For the identification and evaluation of certification fairness risks, please refer to the "Fairness Risk Assessment Work Instructions".	6
4. Related documents.....	6
5. Related Records	6



Record of Modification

erial number	Number of modificatio ns	Date modified	Modification of Terms	Brief description of the changes	Modified by
1	1	2024.6.05	Departments and positions (cover, 2.3, 2.4, 3.2, 3.3	See text for details	Bao Yanmei
2	2	2025.2.19	3.2.1/3.2.2/3.4.3/3 .7	In conjunction with Rule 6, add the requirements of "what is included in the QMS-related consultation" and "internal and external parties disclose any circumstances of which they are aware that they may give rise to a conflict of interest for them or the company". 3.7 For the identification and evaluation of fairness risks, please refer to the "Fairness Risk Assessment Work Instructions"	Li Lingling
3	3	2027.7.31	all	Issue Chinese and English version	Bao Yanmei



Management Procedures for the Management of Impartiality Certification

1. Objective

In order to ensure the fairness of the ATF 16949 certification of Beijing Zhong An Zhi Huan Certification Co., Ltd. (hereinafter referred to as the "Company") and effectively control the factors that may affect the fairness of the certification work, this procedure is formulated in accordance with the "Certification and Accreditation Regulations", "Certification Body Management Measures" and other national certification specifications and the relevant requirements of the I ATF.

2. Duty

- 2.5 The General Manager of Automotive Certification is fully responsible for the impartiality of the whole process of ATF 16949 certification.
- 2.6 The representative of the automotive certification manager is responsible for formulating specific impartiality management measures and supervising the implementation of such measures.
- 2.7 IATF 16949 certification of all relevant personnel to ensure the effective implementation of the company's impartiality management requirements.
- 2.8 The Impartiality Management Committee supervises the formulation and implementation of impartiality policies.

3. Management requirements

3.1 Impartiality policy formulation and implementation

- 3.1.1 The company's senior management formulates policies on impartiality management, manages conflicts of interest, and ensures the objectivity and impartiality of certification and audit activities.
- 3.1.2 The company does not engage in any form of contracting of economic indicators and certification quantities for the purpose of profit and does not link whether the organization applying for certification is certified with the remuneration of auditors and other personnel participating in the certification audit.
- 3.1.3 Based on the risk method and risk management theory, the company identifies, analyzes and evaluates the risks caused by various interests and relationships, formulates risk disposal measures based on the risk assessment results, and monitors the results.
- 3.1.4 The Impartiality Committee is regularly consulted on the results of risk assessments, disposal measures, and implementation results.
- 3.1.5 The Company takes action against threats to its impartiality caused by the actions of other individuals, institutions or organizations.

3.2 Control of consulting activities

- 3.2.1 Consulting related to the quality management system includes the provision of the following services:
 - a) Wholly or partially customized QMS-related training, including QMS auditor training in any form
 - b) Assist in establishing, developing, documenting, implementing, maintaining, controlling or improving a quality management system (an element of or related to a quality management system).



c) Internal product, process or system audits related to the quality management system

d) Conduct product, process or system audits of suppliers related to quality management systems on behalf of customers

e) any type of quality management system-related and/or automotive-related audit or assessment or similar activity (e.g., "pre-audit") requested by the customer or the customer's customer not expressly provided for in the Rules.

Note: "Quality Management System Related" means ISO 9001, IATF 16949, any industry-specific quality management system standards based on the ISO9001, and any "tools", "methods" and "concepts" mentioned in these standards or used to implement these standards (e.g., FMEA, SPC, VDA6.3, APICE, Lean Manufacturing, Six Sigma).

Excludes: Standardized training courses that are advertised to the public by the Company in the training catalogue and are not tailored to the customer in any way, such as general quality management system auditor training, or training courses on core tools, Six Sigma or Lean Manufacturing.

3.2.2 The Company will not accept applications from customers whose Clients or its Guarantee Auditors have provided consulting related to the Quality Management System within 24 months, and for this purpose, the following measures have been taken:

- d) Disclose the name of the company's relevant institutions to the applicant and the IATF;
- e) The applicant is required to provide the company with information on the organizations and persons who provide them with "consulting related to the quality management system";
- f) According to the feedback from the applicant, decide whether to accept the application and assign members of the review team.

3.2.4 When accepting the certification application, the company takes the following measures to ensure that it does not engage in one-stop certification and consulting services:

- d) Make a clear commitment in the public document not to provide IATF 16949 management system consulting services, let alone imply that if the applicant chooses a consulting or training institution, it can pass the certification, or will be beneficial to the certification;
- e) In the process of negotiating the certification contract, the applicant refuses any form of consultation and training requirements;
- f) Independently sign the certification contract and do not involve any consulting issues related to certification.

3.2.4 The company makes the following provisions on the possible consulting behavior of IATF 16949 certification auditors:

- c) The auditors guaranteed by the company shall not engage in certification consulting activities in any name;
- d) The auditors guaranteed by the company shall not provide specific on-site auditor training, internal audits or consulting matters related to certification audits at the request of the enterprise;

3.2.5 The branches and offices set up by the company shall be reported to the certification authority for the record, and shall be included in the company's IATF 16949 management system management scope and compliance internal audit.



3.3 Control of unfair competition in the market development and certification decisions of ATF 16949 certification business

3.3.6 does not provide certification services to the Company's related bodies and any certification bodies;

3.3.7 Strict certification and accreditation industry self-discipline document requirements, not allowed to charge high fees or price competition;

3.3.8 Without justifiable reasons, the certification fee shall not be exempted in whole or in part, and in special circumstances, it shall be reported to the national accreditation body for approval;

3.3.9 The company discloses its financial position to a nationally recognized body and accepts its impartiality supervision.

3.3.10 The Company's certification decision shall be based on objective evidence of compliance or non-compliance obtained by it and shall not receive influence from other interests or other parties.

3.4 Fair requirements for staff

3.4.4 The company requires all personnel to strictly implement the staff code of conduct, in which auditors strictly do the following when performing audit tasks:

- Do not accept gifts or cash gifts; Do not accept securities and jewelry;
- Do not participate in banquets arranged by the company;
- Do not participate in recreational activities arranged by the company.

3.4.5 The Company requires all staff, including members of the Impartiality Committee, to sign a statement of impartiality to ensure that all personnel act impartially and that impartiality is not compromised by commercial, financial and other pressures.

3.4.6 The Company requires internal and external personnel to disclose any circumstances of which they are aware of that may create a conflict of interest for them or the Company, including, but not limited to, training, consulting, or other related activities in which they are or have been involved. The Company uses this information input to determine the threat to impartiality posed by the activities of such persons or the organizations employing them, and does not use such internal or external persons for certification activities, unless the Company can demonstrate that there is no conflict of interest.

Note: Relationships that threaten the integrity of certification bodies may be based on personal or family relationships, ownership, governance, management, personnel, shared resources, finance, training, contracts, marketing, sales commission payments, and other incentives for referring new customers.

3.5 Impartiality requirements in relation to the relevant institutions

3.5.5 The main stakeholders of the company are Zhongan Harmony Group (the group company consists of "Beijing ZhongAn Quality and Environmental Certification Co., Ltd.", Zhongshui Excellence Certification Co., Ltd., Beijing ZhongAn Quality and Environmental Technology Evaluation Company Co., Ltd., Gansu Android Engineering Technology Co., Ltd., Beijing ZhongAn Sihai Emergency Safety Technology Research Institute Co., Ltd., ZhongAn Sihai Energy Conservation and Environmental Protection Engineering Technology Co., Ltd., Kaiduo Risk Management Consulting Co., Ltd., ZhongAn Happiness (Beijing) Culture Co., Ltd., Beijing ZhongAn Harmony Registered Safety Engineer Office, ZhongAn Taiping (International) Auction Co., Ltd., ZhongAn Harmony (Beijing) Investment Management Co., Ltd., and ZhongAn Qinghua Hebei Energy



Conservation and Environmental Protection Engineering Technology Co., Ltd. are 12 subsidiaries), mainly engaged in certification, safety assessment, environmental impact assessment, risk management, energy conservation and environmental protection engineering, engineering consulting, investment management, mining rights evaluation, land/real estate evaluation, personnel qualification training and other businesses.

3.5.6 When relevant institutions carry out publicity and business promotion activities, they do not involve content related to certification services, so as to avoid creating the impression that their own business is connected with certification activities. The company does not publicize and promote the activities of relevant institutions for enterprises applying for certification.

3.5.7 Specifying to the customer that the activities of the relevant organization are not related to the certification service, and does not imply that the organization applying for certification can make certification simpler, easier, faster or cheaper if the company's certification service activities are selected.

3.5.8 The relevant institutions do not carry out any consulting activities related to certification and do not provide consulting quotations for management systems.

3.6 Oversight activities of the Committee for the Preservation of Impartiality

In order to ensure the fairness of the company's certification activities, the company has established a fairness supervision body, the Fairness Management Committee. The Integrity Management Committee and its members have the right to supervise the impartiality of the Company's certification activities, and the specific requirements are detailed in the Articles of Association of the Committee for Safeguarding Fairness.

3.7. For the identification and evaluation of certification fairness risks, please refer to the "Fairness Risk Assessment Work Instructions".

4. Related documents

Charter of the Committee for the Preservation of Impartiality (ZAZH-QM-01 Annex).

Certification Audit Procedures (ZAZH-QP-08).

Impartiality Risk Assessment Practice Instruction (ZAZH-WI-27).

5. Related Records

Impartiality Review Report (ZAZH-FM-78)

Risk Analysis Report on Impartiality Management (ZAZH-FM-79)