



IATF认证证书、LoC和标志 管理程序

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编制: 包艳梅

审核: 张国禹

批准: 张国禹

北京中安质环认证公司有限公司/ZA-FCAV

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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. 5. 23	4/5/6/7	按 IATF 规则六要求进行补充完善	包艳梅
2	2	2025. 7. 31	全文	转换成中英版本	刘文雁



IATF 认证证书和标志管理程序

1 目的

为了正确使用北京中安质环认证中心有限公司(以下简称“ZA-FCAV”)徽标、IATF 认证证书、符合证明函(Loc)、ZA-FCAV 认证标识以及 IATF 认可标识(以下简称“认证证书和标志”),防止误用和误导性宣传,维护 ZA-FCAV 信誉,制定本程序。ZA-FCAV 相关部门和获证组织在使用 IATF 证书和标识时应遵守本程序。

2 职责

- 2.1 认证证书签发人负责签发 IATF 认证证书。
- 2.2 技术部负责认证证书和标识的管理,负责初审/再认证/转移认证证书、符合证明函(Loc)的编制和打印。
- 2.3 项目负责人负责证书保持/暂停/撤销/注销通知书的打印、发放。
- 2.4 审核组负责对获证组织正确使用认证证书和标志的情况进行监督检查。
- 2.5 获证组织按本程序规定使用认证证书和标志。

3 引用文件

认监委《认证证书和认证标志管理办法》
(根据 2022 年 9 月 29 日国家市场监督管理总局令第 61 号第二次修订)
《IATF 16949 汽车认证方案 获得并保持 IATF 认可的规则 第六版》
《IATF 数据库信息录入要求及指南》

4 定义

- 4.1 IATF 标识: IATF 授予签约的认证机构使用的,表示其特定认可资格的图形。
- 4.2 ZA-FCAV 徽标: 为表明 ZA-FCAV 的特有身份使用唯一的徽标(如下图)



- 4.3 ZA-FCAV 的 IATF 认证标志: ZA-FCAV 授予的、供获证组织使用的,表示其汽车行业质量管理体系(IATF 16949)认证资格的图形。该图形的式样、图形和文字,符合《认证证书和认证标志管理办法》和 IATF、IAOB 的相关要求。如下:

中文标志:



中安FCAV国际

英文标志:



Zhong An FCAV International

- 4.4 认证范围: 由认证机构认证的质量管理体系,包括适用的客户场所及其相关功能、过程和汽车产品。



4.5 证书范围陈述：IATF 16949 证书或符合证明函上显示的陈述，反应在质量管理体系下的制造过程，以及在适用情况下，产品设计责任。该证书范围陈述还可能包括客户生产的汽车产品类别。

4.6 认证结构：IATF 16949 认证中包括的所有相关客户制造现场以及(如适用)独立远程支持场所的配置。可接受的 IATF 16949 认证结构包括：

- 单一制造现场
- 具有一个(1)或多个扩展制造现场 (EMS) 的单一制造现场
- 集团方案

4.7 认证撤销：机构在技术评审后，作为一种制裁措施，根据本规则的明确要求，撤销客户的认证并使其证书失效。

5 IATF 16949 认证证书及管理要求

5.1 IATF 16949 认证证书是公司颁发给 IATF 16949 认证受审核方，证明其汽车行业质量管理体系符合 IATF 16949 标准要求的，带有 IATF 标识和唯一 IATF 编号的明文件。

5.2 在初次、转移或再认证审核后做出肯定的认证决定后，向客户颁发证书。证书模板由技术部编制并联系 IAQB 批准后使用。

5.3 IATF 16949 认证证书内容包括：

- a) 被认证的制造现场名称、其完整地址、邮编、统一社会信用代码(证书首页)，以及在完整地址下方列出的 IATF 唯一现场识别码(USI)；
- b) 扩展制造现场的名称和完整地址，以及地址下方的 USI，并在证书第一页进行交叉引用；
- c) 远程支持场所的名称、完整地址、地址下方的 USI 以及为制造现场提供的支持功能(见 IATF 第六版规则 附件 2-支持功能清单)；
- d) 仅反映汽车制造过程和产品责任(如适用)的证书范围陈述。证书范围陈述可加强，以包括所制造的汽车产品类别；
- e) IATF 16949 第 4.3.1 条中规定的允许的认证范围删除；
- f) 证书颁发日期(认证机构做出认证决定当日)和(或)换发证书的日期及到期日(认证日期加上最多 3 年减 1 天)；
- g) ZA-FCAV 编号和 IATF 编号(主证书和附件均要有)；
- h) IATF 16949 标准编号、发行版本及发布日期；
- i) ZA-FCAV 的名称、完整地址，包括国家(中国北京市…)；
- j) ZA-FCAV 的印章(仅中文证书)、证书签发人的签字；
- k) 在证书及其附录的每一页与认证机构标识同样显著地标识 IATF 标识，ZA-FCAV IATF 16949 认证标识；
- l) 证书的查询方式等；
- m) 页码(如 1/1、1/2)。

5.4 IATF 16949 认证证书应以客户指定的语言发布，并提供英文版本。

5.5 对于具有扩展制造现场的单一现场的认证结构，主现场应被列在证书的首页，附加的扩展制造现场名称和完整地址等信息写入证书附件，并在证书首页对其进行交叉引用。上述证书信息涉及的地址中不包括邮政信箱(即 P.O.)。

5.6 允许一个现场有多个名称。

注：只有当客户能够证明多个公司名称根据相关国家法律被列在单一登记文件上，才允许使用多个名



称。

- 5.7 如果证书中包含附件，每个附件都应标有 IATF 和 ZA-FCAV 的证书编号。
- 5.8 为控制证书和附录的版本级别，应在证书模板中包括发布日期或使用页脚(版次、页码)。
- 5.9 证书中包括远程支持场所；
- 5.10 如果一个远程支持场所支持一个以上的制造现场，则该远程支持场所应出现在每个制造现场的证书上。
- 5.11 证书上不允许出现客户标识、认证机构成员标识及其他任何标识。
- 5.12 为集团方案中的每个制造现场分别发布单独的证书，使用通用的认证机构证书编号并为每个制造现场加上一个后缀，详见《IATF 16949 认证编号规则》(ZAZH-WI-15)。一份列出集团方案所有制造现场的单一证书或集团证书是不允许的。
- 5.13 证书中不引用认证机构未被 IATF 认可的其他标准(如，ISO 9001)。IATF 16949 和 ISO 9001 结合审核的项目，单独出具 ISO 9001 认证证书。不得将不被 IATF 认可的其他标准(如:ISO9001)写入 IATF 16949 认证证书。
- 5.14 如果向客户发布证书草案，应在证书上醒目地印上明显的水印，表示证书草案。 IATF 16949 认证证书只在 ZA-FCAV 总部(IATF 签约认证机构办公室)或 ZA-FCAV 控制下的授权的区域办公室发布。
- 5.15 在证书范围陈述中，不能提及任何外包产品设计或制造活动，但可在范围陈述的下面注明，例如“外包的产品设计”或“部分外包的产品设计”。

5.12 认证证书的签发

- 5.12.1 经 IA0B 批准、能力评价人员评价通过的技术评审员作出授予(或更新)认证决定后，经汽车认证总经理审批，由证书签发人签发初次认证/再认证/转移认证证书，给予认证注册。证书有效期为 3 年。
- 5.12.2 IATF 16949 认证证书的开始时间(证书发布日期)为认证决定日，证书的到期日为认证/再认证/转移认证决定日后最多三年减一天。证书一旦发放，在其到期作废、注销或撤销之前一直有效。
- 5.12.3 IATF 16949 证书在再认证审核到期日后最多 120 个日历日或证书到期日(以先到者为准)前保持有效。如果在监督审核时发生转移，则 IATF 16949 证书的有效期限最长为监督审核到期日后的 210 个日历日。
- 5.12.4 技术部负责证书的出具、打印、发放，并作好记录(见 ERP 系统)。
- 5.12.5 信息上报人员负责将证书信息应录入 IATF 数据库，证书应在认证决定后的 7 个日历日内发布给客户。证书应在输入证书信息之日起二十(20)个日历日内录入到 IATF 数据库。当证书被修改时，修改后的证书应在二十(20)个日历日内上传到 IATF 数据库。
- 5.12.6 上传到 IATF 数据库的证书应：
 - 1) 至少为英语；
 - 2) 包括证书的所有附录(只可上传 1 个文件)；
 - 3) 保存为黑白、彩色或灰；
 - 4) 以 pdf 文件形式提交(所有其他类型将被拒绝)；
 - 5) 不超过 2 MB，包括所有附录。

5.13 认证证书的更换和补发

- 5.13.1 在认证证书有效期内，发生下列情况之一，获证组织可向 ZA-FCAV 提出换证申请：
 - a) 证书持有者变更；



- b) 扩大或缩小认证范围;
- c) 组织所在地变更;
- d) 认证依据的标准改变或换版;
- e) 发现证书信息错误;
- f) 证书遗失或损毁;
- g) 其他需要换发或补发证书的情况。

5.13.2 有效期内换发的证书注册号、年份号、顺序号和有效期不变, 注明证书更新日期、证书版本和修改次数。

5.13.3 认证决定应在上一个证书到期日之前做出。在证书有效期满前, 按审核方案要求完成全部再认证活动的, 再认证证书的发证日期(即认证决定日)不得晚于上一认证周期初审的认证决定日, 再认证证书到期日为认证本次认证决定日加上最多 3 年减 1 天。当获证组织认证证书遗失或损毁时, 应向 ZA-FCAV 提出书面申请, 说明理由, 经核定后补发认证证书。

5.13.4 证书更换或补发涉及收费时, 按公司相应要求执行。

6 IATF 符合证明函(Loc)及管理要求

6.1 当客户存在满足 IATF 16949 和《IATF 16949 汽车认证方案 获得并保持 IATF 认可的规则 第六版》要求的过程, 但由于以下原因无法实现 IATF 16949 认证时, 可申请符合证明函:

- a) 该现场制造非汽车产品, 并且该现场能够证明其在要求 IATF 16949 认证的汽车顾客的有效投标名单上; 或者
- b) 该现场制造汽车产品, 但尚未积累十二(12)个月的汽车相关内部或外部绩效数据。

6.2 符合证明函为信函样式, 应与证书有明显的区别, 不得使用证书模版。符合证明函应获得 IA0B 的批准。具体内容详见符合证明函模版。

6.3 只有在客户的制造现场成功完成初次认证审核(即, 第 1 阶段准备评估和第 2 阶段认证审核)以及随后的技术评审和肯定的认证决定, 经汽车认证副总的批准后, ZA-FCAV 发布符合证明函。

6.4 技术部负责符合证明函的出具、打印、发放, 并作好记录(见 ERP 系统)。

6.5 信息上报人员负责将符合证明函信息录入 IATF 数据库, 并在做出决定后的 7 个日历日内发布给客户。符合证明函应在符合证明函信息录入之日起二十(20)个日历日内上传到 IATF 数据库。上传到 IATF 数据库的符合证明函应:

- 1) 至少为英语;
- 2) 保存为黑白、彩色或灰度;
- 3) 以pdf文件形式提交(所有其他类型将被拒绝);
- 4) 不超过2 MB。

6.6 符合证明函内容

符合证明函不应作为证书出现。其发布日期应为肯定的认证决定日期, 有效期最长为十二(12)个月。符合证明函的内容应包括:

- a) ZA-FCAV 符合证明函编号;
- b) IATF 符合证明函编号;
- c) 制造现场和任何扩展制造现场的完整地址和 USI;
- d) 向受审核制造现场提供支持的远程支持场所清单, 无论审核远程支持场所的认证机构是哪一家。



该清单应包括每个远程支持场所的名称、完整地址、USI 以及为制造现场提供的支持功能(见第六版规则 附件 2-支持功能清单);

- e) 满足 5 中要求的范围陈述;
- f) IATF 标识与认证机构标识同样显著;
- g) 除上述 f) 条允许使用的标识外, 不应使用其他标识。

ZA-FCAV 不发布任何其他类型的信函来表示符合 IATF 16949 的要求。技术部负责联系 IA0B 批准符合证明函模板, 批准后方可使用。

6.7 申请新的符合证明函

当符合证明函临近到期日, 而客户因第 6.1 条 a) 或 b) 中的条件仍无法获得 IATF 16949 认证时, 客户可申请新的符合证明函。不要求第 1 阶段准备评估, 并且仅当第 2 阶段认证审核的最后一天在现有符合证明函到期日之前, 且由发布现有符合证明函的同一认证机构执行时, 才允许将第 2 阶段认证审核人日最多减少百分之三十(30%)。

6.8 从符合证明函升级到 IATF 认证

一旦客户的制造现场满足 IATF 第六版规则第 1.0 条中的资格要求, 并可以证明已积累了 12 个月的汽车制造相关内部或外部绩效数据, 则不允许客户再次申请符合证明函, 可继续进行初次认证审核(即第 1 阶段 准备评估和第 2 阶段认证审核)。如果初次认证审核由发布现有符合证明函的同一认证机构执行, 则第 2 阶段认证审核的审核人日最多可减少百分之三十(30%)。

对最新的符合证明函进行初次认证审核的审核组成员可被分配到初次认证审核和三(3)年审核周期的每次监督审核中。

第 2 阶段认证审核的最后一天应在现有符合证明函到期日之前。如果超过该时间, 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), 并且从符合证明函升级时不应减少审核人日。

7 信息公告

7.1 技术部负责按 CNAS-RC03《认证机构信息通报规则》要求将认证证书/符合证明函的颁发、暂停、恢复、撤/注销、不通过、到期未申请再认证/新的符合证明函或升级到 IATF 认证, 以及其它变更信息, 上报 CNCA 认证信息管理系统。同时通过 ZA-FCAV 网站, 公布认证证书/符合证明函的信息。

7.2 信息上报人员在出证前检查证书/符合证明函信息的准确性, 按照 IATF 第六版规则和《IATF 数据库信息录入要求及指南》的规定录入 IATF 数据库, 并将证书/符合证明函上传 IATF 数据库相应位置。文件格式见 5.12.6 和 6.5。

8 对获证组织使用认证证书的要求

8.1 认证证书只能由获证组织在其有效期内和获准认证范围内使用, 不准以任何方式转让、出售或借用、冒用。

8.2 获得 ZA-FCAV 认证的组织, 可以在其公开出版物、宣传品、网页等载体上展示认证证书, 但应保证其清晰可辨。

8.3 认证证书有效期为三年, 在有效期内, 经公司监督审核确认保持注册资格后, 获证组织方可继续使用认证证书。

8.4 IATF 16949 认证证书暂停是一种临时状态, 暂停可能导致证书的恢复或撤销。在暂停期间, IATF 16949



认证证书仍然有效，并且受到 IATF 的认可。当 IATF 16949 认证证书被暂停时，客户应在接到暂停通知后最多二十 (20) 个日历日内提供纠正措施计划。撤销、注销认证资格时，应停止使用认证证书。撤销认证资格时，将认证证书交回公司。

9 认证标识、认可标识使用要求

9.1 ZA-FCAV 拥有认证标识的所有权和使用权。获证组织在认证有效期内使用公司 ZA-FCAV 认证标识。

9.2 ZA-FCAV 依据《IATF 16949 汽车认证方案 获得并保持 IATF 认可的规则 第六版》及 IATF 其他有关要求使用 IATF 认可标识。

9.3 获证/函组织可为营销和广告的目的复印带有 IATF 标识的 IATF 16949 证书或证明函，禁止将 IATF 标识用作其他任何用途，无论是否单独使用。

9.4 获证组织不得在产品或包装上使用 ZA-FCAV 认证标识和 IATF 认可标识。在产品包装上或附带信息中可以声明获证组织的汽车行业质量管理体系通过认证。产品包装的判别标准是其可从产品上移除且不会导致产品分解、碎裂或损坏。附带信息的判别标准是其可分开获得或易于分离。型号标签或铭牌被视为产品的一部分。声明决不应暗示产品、过程或服务以这种方式得到了认证。声明应包含对下列的引用：

- 获证客户的标识 (例如品牌或名称)；
- 管理体系的类型 (汽车行业质量管理体系) 和适用标准；
- 颁发证书的认证机构

9.5 认证标识可以用在有关文件、文具、邮政信件和出版物上，并在标识下方标注认证注册号。

9.6 使用 ZA-FCAV 认证标识等图案时，必须根据公司提供的图样按比例放大或缩小，不得变形使用，字迹必须清晰；

9.7 获证组织应接受审核组对认证证书和 ZAZH 认证标识使用符合性的现场检查。存在不符合时，按要求予以整改。

9.8 对误用或滥用认证证书、认证标识的处理

9.8.1 获证组织不得进行被 ZA-FCAV 认为是误导顾客的错误宣传，一经发现不正确的宣传和误导使用认证证书和标识，公司将采取下列监管措施直至撤销认证资格，采取法律手段：

a) 开出不符合报告，要求获证组织采取纠正措施限期整改，并将整改情况报副总/管理者代表，公司在监督审核时予以现场验证；

b) 获证组织不能按期完成整改，ZA-FCAV 视其为侵权行为，暂停其认证资格，并要求获证组织作出消除影响的承诺和保证；

c) 当问题严重时，ZA-FCAV 将撤销其认证资格，并采取适当的法律手段。

9.8.2 认证证书和标识暂停使用和恢复

当获证组织被 ZA-FCAV 暂停认证注册资格时，书面通知其暂停其证书和标识的使用。当获证组织被 ZA-FCAV 批准恢复其认证资格时，由项目负责人发出《恢复认证资格通知书》书面通知其可以恢复使用认证证书和标识。

9.8.3 当获证组织的认证资格被撤销或注销后，应立即停止使用认证证书和标识。

10 相关记录

《暂停认证资格通知书》(ZAZH-FM-58)

《恢复认证资格通知书》(ZAZH-FM-59)



《认证决定通知书》(ZAZH-FM-60)

《监督审核认证认证决定通知书》(ZAZH-FM-61)

《撤销认证资格通知书》(ZAZH-FM-62)

《注销认证资格通知书》(ZAZH-FM-63)



IATF Certification Certificates, LoCs and Mark Management Procedures

ZAZH-QP-17

Edition: B/1

Prepared by: Bao Yanmei

Reviewed by: Zhang Guoyu

Approved by: Zhang Guoyu

Beijing Zhong An Zhi Huan Certification Center Co., Ltd. / ZA-FCAV

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Modification Records

serial number	Number of modifications	Date modified	Modification of Terms	Brief description of the changes	Modified by
1	1	2025.5.23	4/5/6/7	Supplements and improvements are made in accordance with the requirements of IATF Rule VI	Bao Yanmei
2	2	2025.7.31	Full text	Convert to Chinese-English Version	Liu Wenyan



IATF Certification Certificates, LoCs and Mark Management Procedures

1 Objective

This procedure is formulated in order to correctly use the logo of Beijing Zhong An Zhi Huan Certification Center Co., Ltd. (hereinafter referred to as "ZA-FCAV"), IATF certification certificate, certificate of conformity (Loc), ZA-FCAV certification mark and IATF accreditation mark (hereinafter referred to as "certification certificate and mark"), prevent misuse and misleading publicity, and maintain the reputation of ZA-FCAV. The relevant departments of the ZA-FCAV and the certified organization shall comply with this procedure when using the IATF certificate and logo.

2 Responsibilities

- 2.1 The certificate issuer is responsible for issuing the IATF certificate.
- 2.2 The technical department is responsible for the management of certification certificates and logos, and is responsible for the preparation and printing of preliminary/re-certification/transfer certification certificates and certificates of conformity (LOC).
- 2.3 The project leader is responsible for the printing and issuance of certificate holding/suspension/revocation/cancellation notices.
- 2.4 The audit team is responsible for supervising and inspecting the correct use of certification certificates and marks by certified organizations.
- 2.5 The certified organization shall use the certification certificate and mark in accordance with the provisions of this procedure.

3 References

CNCA "Measures for the Administration of Certification Certificates and Certification Marks"

(Amended for the second time according to Decree No. 61 of the State Administration for Market Regulation on September 29, 2022)

Automotive Certification Scheme for IATF 16949 -Rules for Achieving and Maintaining IATF Recognition
Sixth Edition

IATF Database Information Entry Requirements and Guidelines

4 Definitions

4.1 IATF Logo: A graphic used by the IATF to a contracted certification body to indicate its specific accreditation status.

4.2 ZA-FCAV Logo: A unique logo (as shown below) is used to indicate the unique identity of ZA-FCAV



4.3 IATF Certification Mark of ZA-FCAV: A graphic granted by ZA-FCAV for use by a certified organization



indicating its qualification for certification of a quality management system for the automotive industry (IATF 16949). The style, graphics and text of the graphic comply with the relevant requirements of the "Measures for the Administration of Certification Certificate and Certification Mark" and IATF and IAQB. As follows:

Chinese Logo:



中安FCAV国际

English Logo:



Zhong An FCAV International

4.4 Scope of Certification: A quality management system certified by a certification body, including the applicable customer premises and their associated functions, processes and automotive products.

4.5 Certificate Scope Statement: The statement shown on the IATF 16949 certificate or certificate of conformity, reflecting the manufacturing process under the quality management system and, where applicable, product design responsibilities. The certificate scope statement may also include the category of automotive products produced by the customer.

4.6 Certification Structure: Configuration of all relevant customer manufacturing sites and, where applicable, stand-alone remote support sites included in the IATF 16949 certification. Acceptable IATF 16949 certification structures include:

- Single manufacturing site
- A single manufacturing site with one (1) or more Extended Manufacturing Sites (EMS).
- Group programs

4.7 Revocation of Certification: After the technical review, the Institution revokes the Client's certification and invalidates its certificate as a sanction in accordance with the express requirements of these Rules.

5. IATF 16949 certification and management requirements

5.1 The IATF 16949 certification certificate is a clear document issued by the company to the IATF 16949 certification auditee to certify that its automotive industry quality management system meets the requirements of the IATF 16949 standard, with the IATF logo and a unique IATF number.

5.2 A certificate is issued to the customer after a positive certification decision has been made after an initial, transfer, or recertification audit. The certificate template is prepared by the Technical Department and used after approval by contacting the IAQB.

5.3 The IATF 16949 certification includes:

- a) The name of the certified manufacturing site, its full address, zip code, Uniform Social Credit Code (first page of the certificate), and the IATF Unique Site Identifier (USI) listed below the full address;
- b) Extend the name and full address of the manufacturing site, as well as the USI below the address, and cross-reference on the first page of the certificate;
- c) The name of the remote support site, its full address, the USI below the address, and the support functions provided to the manufacturing site (see Annex 2 – List of Support Functions of the IATF Sixth Edition Rules);
- d) A certificate scope statement that reflects only the automotive manufacturing process and product



design responsibilities, if applicable. The certificate scope statement can be enhanced to include the class of automotive products manufactured;

- e) removal of the permitted scope of accreditation as specified in clause 4.3.1 of IATF 16949;
- f) the date of issuance of the certificate (the date on which the certification body makes the certification decision) and/or the date of renewal and expiration of the certificate (the date of certification plus a maximum of 3 years minus 1 day);
- g) ZA-FCAV number and IATF number (both the main certificate and attachments are required);
- h) IATF 16949 standard number, release version, and release date;
- i) The name and full address of ZA-FCAV, including the country (Beijing, China...);
- j) The seal of the ZA-FCAV (Chinese certificate only) and the signature of the certificate issuer;
- k) On each page of the certificate and its appendices, the IATF logo, ZA-FCAV IATF 16949 certification mark, is marked with the same prominence as the certification body logo;
- l) how to query certificates, etc.;
- m) Page number (e.g. 1/1, 1/2).

5.4 The IATF 16949 certification certificate shall be issued in the language specified by the customer and shall be available in English.

5.5 For certification structures with a single site with an extended manufacturing site, the main site should be listed on the first page of the certificate, with additional information such as the name and full address of the extended manufacturing site written into the certificate attachment and cross-referenced on the first page of the certificate. The address to which the above certificate information relates does not include a P.O. Box (i.e., P.O.).

5.6 Multiple names are allowed for a site.

Note: The use of multiple names is only permitted if the client can prove that multiple company names are listed on a single registration document in accordance with the relevant national laws
Call.

5.7 If attachments are included in the certificate, each attachment should be marked with the certificate number of IATF and ZA-FCAV.

5.8 To control the version level of certificates and appendices, you should include a release date in the certificate template or use a footer (edition, page number).

5.9 The certificate includes a remote support site;

5.10 If a remote support site supports more than one manufacturing site, the remote support site should appear on the certificate for each manufacturing site.

5.11 The customer logo, the certification body member logo, and any other identifiers are not allowed on the certificate.

5.12 Separate certificates are issued for each manufacturing site in the group program, using a common certification body certificate number and adding a suffix to each manufacturing site, as detailed in the IATF 16949 Certification Numbering Rules (ZAZH-WI-15). A single certificate or group certificate listing all manufacturing sites for a group program is not permitted.

5.13 Other standards (e.g., ISO 9001) that are not recognized by the IATF are not referenced in the certificate. IATF 16949 and ISO 9001 are combined with audits to issue a separate ISO 9001 certificate. Other standards that are not recognized by the IATF (e.g., ISO9001) must not be included in the IATF 16949 certificate.



5.14 If a draft certificate is released to a customer, a conspicuous watermark should be prominently placed on the certificate to indicate the draft certificate. IATF 16949 certification certificates are only issued at ZA-FCAV headquarters (IATF contracted certification body office) or authorized regional offices under the control of ZA-FCAV.

5.15 In the certificate statement of scope, no reference can be made to any outsourced product design or manufacturing activities, but it may be noted below the scope statement, such as "outsourced product design" or "partially outsourced product design".

5.16 Issuance of Certificates

5.12.1 After the technical assessor who has approved the IAOb and passed the evaluation of the competency evaluator makes the decision to grant (or renew) the certification, the certificate issuer shall issue the initial certification/recertification/transfer certification certificate and give the certification registration after the approval of the general manager of automobile certification. The certificate is valid for 3 years.

5.12.2 The start time (certificate issuance date) of the IATF 16949 certification certificate is the certification decision date, and the expiration date of the certificate is up to three years minus one day after the certification/recertification/transfer certification decision date. Once issued, a certificate is valid until it expires, is invalidated, cancelled or revoked.

5.12.3 The IATF 16949 certificate is subject to a maximum of 120 calendar days after the recertification audit expiration date or the certificate expiration date, whichever comes first quasi) to remain valid. If a transfer occurs at the time of the surveillance audit, the IATF 16949 certificate is valid for up to 210 calendar days after the surveillance audit expiration date.

5.12.4 The technical department is responsible for the issuance, printing, issuance and recording of certificates (see ERP system).

5.12.5 The information reporter is responsible for entering the certificate information into the IATF database, and the certificate should be released to the customer within 7 calendar days of the certification decision. The certificate shall be entered into the IATF database within twenty (20) calendar days from the date of entry of the certificate information. When a certificate is modified, the modified certificate shall be uploaded to the IATF database within twenty (20) calendar days.

5.12.6 Certificates uploaded to the IATF database should:

- 1) Be at least in English;
- 2) Include all appendices to the certificate (only 1 document can be uploaded);
- 3) Save in black and white, color or gray;
- 4) Submit as a PDF file (all other types will be rejected);
- 5) No more than 2 MB, including all appendices.

5.13 Replacement and reissuance of certification certificates

5.13.1 During the validity period of the certificate, the certified organization may apply to ZA-FCAV for renewal of the certificate in any of the following circumstances:

- a) Change of certificate holder;
- b) Broadening or narrowing the scope of certification;
- c) change of organization location;



- d) changes or changes in the standards on which the certification is based
- e) Errors in certificate information are found
- f) Loss or destruction of certificates
- g) Other circumstances that require the renewal or reissuance of certificates.

5.13.2 The registration number, year number, serial number and validity period of the certificate renewed within the validity period remain unchanged, indicating the date of certificate renewal, certificate version and number of modifications.

5.13.3 The certification decision should be made before the expiration date of the previous certificate. Before the expiration of the validity period of the certificate, according to the requirements of the audit plan to complete all recertification activities, the issuance date of the recertification certificate (i.e., the certification decision date) shall not be later than the certification decision date of the preliminary examination of the previous certification cycle, and the expiration date of the recertification certificate shall be the certification decision date plus a maximum of 3 years minus 1 day. When the certification certificate of the certified organization is lost or damaged, a written application shall be submitted to ZA-FCAV, explaining the reasons, and the certification certificate shall be reissued after verification.

5.13.4 When the replacement or reissuance of the certificate involves a fee, it shall be carried out according to the corresponding requirements of the company.

6 IATF Letter of Compliance (Loc) and management requirements

6.1 A Certificate of Compliance may be requested when the Customer has a process that meets the requirements of IATF 16949 and the IATF 16949 Rules for Obtaining and Maintaining IATF Accreditation for Automotive Certification Schemes Sixth Edition, but is unable to achieve IATF 16949 certification due to the following reasons:

- a) The site manufactures non-automotive products and the site is able to demonstrate that it is on a valid tender list of automotive customers who require IATF 16949 certification, or
- b) This site manufactures automotive products but has not yet accumulated twelve (12) months of automobile-related internal or external performance data.

6.2 The letter of compliance is a letter form, which should be clearly different from the certificate, and the certificate template shall not be used. The letter of compliance should be approved by the IAOB. For details, please refer to the template of the certificate of compliance.

6.3 ZA-FCAV issues a Certificate of Conformity letter only upon successful completion of the initial certification audit (i.e., Stage 1 readiness assessment and Stage 2 certification audit) at the customer's manufacturing site, followed by a technical review and affirmative certification decision, with the approval of the VP of Automotive Certification.

6.4 The technical department is responsible for the issuance, printing, issuance and recording of the certificate of compliance (see ERP system).

6.5 The information reporting officer is responsible for entering the information of the certificate of compliance into the IATF database and releasing it to the client within 7 calendar days after the decision is made. The Certificate of Conformity Letter shall be uploaded to the IATF database within twenty (20) calendar days from the



date of entry of the Letter of Conformity. The Certificate of Conformity letter uploaded to the IATF database should:

- 1) Be at least in English
- 2) Save in black and white, color, or grayscale
- 3) Submit as a PDF file (all other types will be rejected)
- 4) No more than 2 MB.

6.6 Compliance with the content of the letter

The letter of compliance should not appear as a certificate. Its issuance date shall be the date of the affirmative certification decision and shall be valid for a maximum of twelve (12) months. The content of the letter of compliance should include:

- a) ZA-FCAV Certificate of Compliance Letter Number
- b) IATF Certificate of Conformity Letter Number
- c) The full address and USI of the manufacturing site and any extended manufacturing site
- d) A list of remote support sites that provide support to the audited manufacturing site, regardless of which certification body audits the remote support site. The list should include the name, full address, USI, and support functions provided to the manufacturing site for each remote support site (see Annex 2 - List of Support Functions for the Sixth Edition of the Rules)
- e) a statement of scope that satisfies the requirements in 5
- f) The IATF mark is equally prominent as the certification body mark
- g) Marks other than those permitted in clause f) above shall not be used.

ZA-FCAV does not issue any other type of letter to indicate compliance with the requirements of IATF 16949. The Technical Department is responsible for contacting the IAOb to approve the template of the letter of compliance, which can only be used after approval.

6.7 Apply for a new Certificate of Compliance

When the letter of compliance is approaching its expiration date and the customer is still unable to obtain IATF 16949 certification due to the conditions in clause 6.1 a) or b), the customer may apply for a new letter of compliance. There is no requirement for the Stage 1 preparation assessment, and a reduction of up to thirty percent (30%) of the Stage 2 certification auditor days is permitted only if the last day of the Stage 2 certification audit is prior to the expiration date of the existing Certificate of Conformity and is performed by the same certification body that issued the existing Certificate of Conformity.

6.8 Upgrade from Certificate of Conformity to IATF Certification

Once the customer's manufacturing site meets the eligibility requirements in Article 1.0 of the IATF Sixth Edition Rules and can demonstrate that 12 months of internal or external performance data related to automotive manufacturing have been accumulated, the customer is not allowed to apply for a letter of compliance again and can proceed with the initial certification audit (i.e., Stage 1 Preparation Assessment and Stage 2 Certification Audit). If the initial certification audit is performed by the same certification body that issued the existing Certificate of Conformity, the auditor-days for the Stage 2 certification audit can be reduced by up to thirty



percent (30%).

Audit team members who conduct the initial certification audit of the latest Certificate of Compliance may be assigned to the initial certification audit and each surveillance audit for the three (3) year audit cycle.

The last day of the Stage 2 certification audit should be before the expiration date of the existing Certificate of Conformity. If this time is exceeded, the customer should restart the initial certification audit (i.e., the Stage 1 Readiness Assessment and the Stage 2 Certification Audit) and should not reduce the number of auditor days when upgrading from the Certificate of Conformance Letter.

7 Information Notices

7.1 The technical department is responsible for the issuance, suspension, restoration, revocation/cancellation, failure to apply for recertification/new certificate of compliance or upgrade to IATF certification, as well as other change information of the certification certificate/certificate of conformity according to the requirements of CNAS-RC03 "Certification Body Information Communication Rules", and report to the CNCA certification information management system. At the same time, the information of the certification certificate/certificate of conformity will be published through the ZA-FCAV website.

7.2 The information reporting personnel shall check the accuracy of the information in the certificate/certificate of compliance before issuing the certificate, enter it into the IATF database in accordance with the provisions of the IATF Sixth Edition Rules and the "IATF Database Information Entry Requirements and Guidelines", and upload the certificate/certificate of compliance to the corresponding location in the IATF database. See 5.12.6 and 6.5 for file formats.

8 Requirements for the use of accreditation certificates by certified organizations

8.1 The certification certificate can only be used by the certified organization within its validity period and within the scope of the approved certification, and is not allowed to be transferred, sold, borrowed or fraudulently used in any way.

8.2 Organizations that have obtained ZA-FCAV certification may display their certification certificates on their public publications, promotional materials, web pages, etc., but should ensure that they are clearly legible.

8.3 The certification certificate is valid for three years, and within the validity period, the certified organization can continue to use the certification certificate only after the company's supervision and audit confirms that the registration qualification is maintained.

8.4 The suspension of the IATF 16949 certification certificate is a temporary state and the suspension may result in the reinstatement or revocation of the certificate. During the suspension period, the IATF 16949 certification certificate remains valid and is recognized by the IATF. When an IATF 16949 certification certificate is suspended, the customer shall provide a corrective action plan within a maximum of twenty (20) calendar days after receiving notice of suspension. When revoking or canceling the certification qualification, the use of the certification certificate shall be stopped. When the certification qualification is revoked, the certification certificate is returned to the company.

9 Requirements for the use of certification marks and accreditation marks



9.1 ZA-FCAV has the ownership and right to use the Certification Marks. The certified organization shall use the company's ZA-FCAV certification mark during the validity period of the certification.

9.2 ZA-FCAV uses the IATF accreditation mark in accordance with the IATF 16949 Automotive Certification Scheme Rules for Obtaining and Maintaining IATF Accreditation Sixth Edition and other relevant requirements of IATF.

9.3 The Accredited Organization may make copies of the IATF 16949 Certificate or Attestation Letter bearing the IATF Logo for marketing and advertising purposes, and the use of the IATF Logo for any other purpose, whether or not alone, is prohibited.

9.4 Certified organizations are not allowed to use the ZA-FCAV certification mark and the IATF accredited mark on products or packaging. On the product packaging or in the accompanying information, it can be stated that the certified organization's quality management system for the automotive industry is certified. Product packaging is judged by the fact that it can be removed from the product and does not cause the product to decompose, chip, or damage. Collateral information is judged by its ability to obtain separately or to be easily separated. The model label or nameplate is considered part of the product. Claims should never imply that products, processes, or services are certified in this way. The statement should contain references to:

- Identification (e.g. brand or name) of the certified customer
- Type of management system (quality management system for the automotive industry) and applicable standards
- The certification body that issued the certificate

9.5 The certification mark can be used on relevant documents, stationery, postal letters and publications, and the certification registration number is marked below the logo.

9.6 When using the ZA-FCAV certification mark and other patterns, it must be enlarged or reduced in proportion according to the drawings provided by the company, and must not be deformed and used, and the handwriting must be clear;

9.7 The certified organization shall accept the on-site inspection of the compliance of the certification certificate and the ZAZH certification mark by the audit team. If there is a non-conformity, it shall be rectified as required.

9.8 Handling of misuse or abuse of certification certificates and certification marks

9.8.1 The certified organization shall not carry out false publicity that ZA-FCAV considers misleading customers, once it is found that the incorrect publicity and misleading use of the certification certificate and logo, the company will take the following regulatory measures up to the revocation of the certification qualification, and take legal measures:

- a) Issue a non-conformity report, require the certified organization to take corrective measures to rectify within a time limit, and report the rectification situation to the deputy general manager/management representative, and the company will verify it on-site during the supervision and audit.
- b) If the certified organization fails to complete the rectification on time, ZA-FCAV will regard it as an infringement, suspend its certification qualification, and require the certified organization to make a commitment and guarantee to eliminate the impact.
- c) When the problem is serious, ZA-FCAV will revoke its accreditation and take appropriate legal action.

9.8.2 Suspension and Restoration of Certificates and Identifiers

When the certified organization is suspended from certification and registration by ZA-FCAV, it will be



notified in writing to suspend the use of its certificate and logo. When the certified organization is approved by ZA-FCAV to reinstate its accreditation qualification, the project leader shall issue a "Notice of Reinstatement of Accreditation Qualification" to notify it in writing that it can resume the use of the certification certificate and logo.

9.8.3 When the certification qualification of the certified organization is revoked or cancelled, the use of the certification certificate and logo shall be stopped immediately.

10 Related Records

Notice of Suspension of Accreditation (ZAZH-FM-58)

Notice of Reinstatement of Accreditation (ZAZH-FM-59)

Notification of Certification Decision (ZAZH-FM-60)

Notice of Decision on Supervision and Audit, Certification and Certification (ZAZH-FM-61)

Notice of Revocation of Accreditation (ZAZH-FM-62)

Notice of Cancellation of Certification Qualification (ZAZH-FM-63)