Zhong An FCAV International

MANUAL OF COMMUNICATION WITH THE CLIENT

IATF 16949

FCAV AMÉRICAS

SUMMARY

01 - FCAV Americas Ceritifcações, Joint Venture FCAV Participações e Zhon An FCAV Internacional

FCAV Americas is the result of a joint venture initiated by Fundação Vanzolini, through FCAV Participações and Beijing Zhong An Zhi Huan Certification Center Co., Ltd. (DBA: Zhong An FCAV International).

This strategic partnership marks a new chapter in our journey, allowing the Fundação Vanzolini to expand its operations to the international market, with a special focus on the Chinese market, which will be actively exercised by Zhong An FCAV International. This joint venture established in 2024, has support from the IATF (International Automotive Task Force), through the IAOB (International Automotive Oversight Bureau) Supervision Office.

02 - RELATIONSHIP, CONTACT, EMAIL, PROCESSES

In order to ensure the best possible contact with **FCAV Americas**, below are the processes responsible for the activities of the Certification Department:

Process	***Activities***	***Contact details***
Commercial	Customer Relationship, Commercial Proposals, Contracts, Event Sizing Changes	(+55 11) 3913-7102 (+55 11) 3913-7115 automotivo@fcavamericas.org.br
Audit Planning	Scheduling Event Dates	(+55 11) 3913-7102 (+55 11) 3913-7115 automotivo@fcavamericas.org.br
Logistics	Aspects Related to Travel Tickets and Accommodation	(+55 11) 3913-7102 (+55 11) 3913-7115 automotive@fcavamericas.org.br
Technical documentation	Control of Documents Requested from organizations for the Preparation of Audit Plans, (Scorecard Manuals, Customer Indicators, internal indicators, etc.), Corrective Action Plans and evidence of the actions implemented, when required.	(+55 11) 3913-7102 (+55 11) 3913-7115 automotive@fcavamericas.org.br
Secretary of the Technical Committee	Submission of the process for analysis by the technical committee and issuance of a certificate	(+55 11) 3913-7102 (+55 11) 3913-7115 automotive@fcavamericas.org.br

SAC	Customer Attendance Service	(+55 11) 3913-7122 saccert@vanzolinicert.org.br

03 - STEPS OF THE CERTIFICATION PROCESS

Steps	Responsibility	Time Limit	Details
1 - Request for Certification Proposal.	Organization	-	The request must be made by filling out the form sent by FCAV Americas (or downloading the form on FCAV Americas website), or by contacting the Certification Department – Commercial Process.
2 - Preparation of the proposal with information from the organization.	FCAV Americas	5 working days	Based on the data filled in and sent by the organization, FCAV Americas carries out a critical analysis and forwards the certification proposal
3 - Submission of the Proposal	FCAV Americas	After Preparation	The FCAV Americas sends the Preamble (Commercial Proposal) and Contract
4 - Approval of the proposal	Organization	-	Approval of the proposal must be prepared by FCAV Americas, in the "**Preamble**" document and forwarded by the organization, which, if accepted, must approve the proposal by email or with a digital signature and indicate scheduled dates for the Pre-Audit / Stage 1 Audits and Stage 2 Audits (Certification) or Recertification. **Note: FCAV Americas, for environmental reasons, prioritizes the use of electronic/digital documentation including the service provision contract and its signatures.**
5 - Formal Opening of the Certification Process and Submission of the Preliminary Questionnaire	FCAV Americas	-	After approval of the proposal, the certification process will formally opened, which will be confirmed to the organization by digital signature or email. The Preliminary Questionnaire will be sent by email, which will be used as input for the Stage 1 Audit, which will be mandatory for the client to complete, as indicated later
6 - Formal Confirmation of Requested Dates	FCAV Americas	-	FCAV Americas will contact the organization to schedule audit dates. Contacts regarding audit dates must be made with the Certification Department **Audit Planning Process**

Steps	Responsibility	Time Limit	Details
7 - Submission of the Management Manual and completed Preliminary Questionnaire	Organization	**90 days before the audit**	In order for the Auditor to carry out an adequate review of the certification process and be able to prepare the Stage 1 audit, it is of fundamental importance that FCAV Americas have received the Preliminary Questionnaire and the Quality Manual and the Process Map (if they are not included in the Quality Manual), within the requested deadline. **Failure to receive it within the requested period may result in delays in the execution of the Stage 1 Audit** by Fundação Vanzolini. The Manual and Preliminary Questionnaire must be sent to automotive@fcavamericas.org.br , there is no need to send it in physical form.
8 - Document analysis.	FCAV Americas	-	-
9 - Submission of the Audit Plan	FCAV Americas	7 days before the event	The FCAV Americas will send the audit plan so that the organization knows in advance the areas/processes to be audited, as well as the schedules.
10 - Pre-Audit (Optional)	FCAV Americas	Must occur before Stage 1 audit	The Pre-audit is not mandatory, but is strongly recommended. The pre-audit can only occur once.
11- Stage 1 mandatory	FCAV Americas	Must occur after the Pre-Audit (if any)	The Stage 1 audit must take place at the requesting organization's premises. If the Stage 1 audit is failed, the Certification process must restart.
12 – Preparation of the Stage 2 Audit Plan	FCAV Americas	7 days before Stage 2 Audit	The FCAV Americas will send the audit plan so that the organization knows in advance the areas/processes to be audited, as well as the schedules.
13 - Stage 2 Certification Audit	FCAV Americas	Maximum period of 90 days after Stage 2 Audit	The audit team carries out the Certification Audit, presenting the audit report and its recommendation at the end.
14 - Submission of the Report to the Technical Committee	FCAV Americas / AUDITOR	-	After the end of the audit, the Audit Team submits the documentation with the Audit Team's decisión for review by the Technical Committee.

Steps	Responsibility	Time Limit	Details
15 - Submission of the Corrective Action Plan (PAC)	Organization	Deadline indicated in the Stage 2 Audit Report	The Technical Committee Review will only occur after receipt of the Corrective Action Plan and its respective analysis/approval by the audit team.
16 - Verification of Corrective actions	Auditor	90 days after the end of the audit	All actions presented for non-conformities verified by the audit team must be implemented and confirmed (by conducting documentary follow-up or Special Audit “onsite”), within the deadline indicated in the Stage 2 Audit Report, Management of Non-Conformities.
17 - Analysis by the Technical Committee	FCAV Americas		The Technical Committee review and deliberates on the certification process. Certification will only be released if all actions are considered implemented or 100% resolved
18 – Approval of the Certificate	FCAV Americas ZA FCAV		Once the Technical Committee approves the audit team’s decision, the Certificate report is forwarded for approval to ZA FCAV International.
19 - Sending the Certificate	FCAV Americas	After ZA FCAV International Approval	After approval by ZA FCAV International, the Certificate is forwarded to the organization.
20 - Scheduling Dates for Next Audits	FCAV Americas		As a way for the organization to plan appropriately, the dates for surveillance and recertification audits already agreed upon, immediately after the certification.

04 - INFORMATION FOR PREPARING A PROPOSAL

Return the completed questionnaire **preferably by email** to: automotivo@fcavamericas.org.br,

If you have any questions, please send an email or contact:

Phone: (+55 11) 3913-7102 or (+55 11) 3913-7115 – Automotive Certification

05 - AUDITING TEAM AND AUDIT SIZING

AUDITING TEAM

The FCAV Americas has a body of auditors made up of professionals with proven experience and qualified by the IATF as automotive auditors IATF 16949.

All of our auditors are graduated and qualified through rigorous evaluations.

Before preparing a commercial proposal, FCAV Americas carries out a contract review of the client's request, thus ensuring that the auditors who will be allocated to carry out the audit events have the necessary competence.

After scheduling the audits and before the events take place, FCAV Americas provides the auditors' summary CV, which demonstrates their competence. If there is any impediment on the part of the organization in relation to the allocation of the Audit Team, the organization must express itself, making it possible, through analysis, to change the audit team.

The FCAV Americas also has a series of activities related to auditors, in order to guarantee the highest quality standard in our service provision. Some of these activities include:

a) Technical Discussion Forums;
b) Specific Trainings;
c) Competency Planning for Auditors;
d) Monitoring the Activities of the Auditing team, through Customer Satisfaction Surveys, Monitoring the Audit Process by an Independent Technical Committee and Internal Witness Audits.

AUDIT DAYS DURATION

Audit day duration defined by FCAV Americas follows the determinations that all certification organizations must comply according to the Rules Manual “IATF 16949 Automotive Certification Scheme” issued by the IATF.

06 - MOST FREQUENTLY ASKED QUESTIONS AND ANSWERS

The FCAV Americas has been working with the IATF 16949 Certification and cataloging the main customer queries. We hope the list below can clarify your doubts.

1. What is IATF 16949?

IATF 16949 is a technical specification, whose characteristic is to indicate the specific requirements of the ISO-9001 Standard for automotive and spare parts production organizations. Therefore, the content of the requirements has more comprehensive and complex requirements than ISO-9001.
Therefore, IATF 16949 cannot be considered an independent OMS Standard, but has to be understood as a supplement to be used in conjunction with ISO 9001:2015.
Furthermore, IATF 16949 Certification covers not only the published requirements in ISO 9001, but also includes the specific requirements of EACH customer participating in the automotive chain.

2. Which organizations can apply for IATF 16949 Certification?

As cited in requirement 1.1 of the Technical Specification, IATF 16949, together with ISO 9001, defines quality management system requirements for the design and development, production and, where relevant, assembly, installation and services of related automotive products. , including products with embedded software.
IATF 16949 Certification is applicable to the organization's sites where customer-specified production parts, service parts and/or accessories are manufactured.
Thus, IATF 16949 is applicable to any organization along the entire automotive supply chain.

3. How should the Sizing of IATF 16949 Audits be calculated?

The sizing of audits in IATF 16949 follows that established in the manual “Automotive Certification Scheme for IATF 16949”, issued by the IATF (International Automotive Task Force), in which there is a table and instructions (item 5.2 of the aforementioned manual), establishing the form of calculation of this dimension.

The IATF (International Automotive Task Force) also clarifies the dimensioning of sites with remote locations, and Corporate Certifications.

4. Is it possible to apply any reduction in these dimensions?

The only permissible reductions are limited to those established in the manual “Automotive Certification Scheme for IATF 16949”, indicating that organizations that do not have responsibility for the product design can reduce the size of table 5.2 by up to 15%. Another situation refers to Corporate Certifications, which also allows a reduction adjustment, depending on the number of installations involved, as long as there is an effective incidence of a corporate scheme, as established in the manual “Automotive

Certification Scheme for IATF 16949", item 5.3.

5. If any customer in the automotive chain can request the certification and if my organization must meet the specifics of each customer, where can such requirements be obtained?

It is important to clearly identify the requirements of all customers within the automotive chain and not just automakers. This point also includes suppliers designated to OEM, P&A and to spare parts, including products intended for the "after-market", IATF 16949 certification applies.

These requirements can obtained through supply manuals published by customers, such as publications, derogation letters and even contracts and purchase orders, which must meet by the organization in advance of any supply.

Organization customers such as IATF-OEM (GM, Ford and Stellantis, Renault, VW, Mercedes – Benz group AG and BMW, Geely Group, IVECO Group, Jaguar Land Rover (JLR) Limited, Volvo Group),a have specific requirements published on the IATF website (http://www.ia tfglobaloversight .org), which should also be considered by organizations supplying these organizations in addition to any documentation provided by these organizations.

6. Why should the certification body be informed of their clients and the specific requirements applicable to them?

Information from automotive customers and specific requirements applicable to the certification body is MANDATORY; as such requirements will be an integral part of the verification during the certification audit (and subsequent surveillance audits). Furthermore, the Audit Report will link which automotive customers were considered as part of the certification organizations.

7. How important is it to obtain Certification in IATF 16949?

Some customers consider Certification a prerequisite for purchasing parts from an automotive supplier, which can mean business continuity. Other organizations seek Certification to reduce the need for multiple client audits. But, above all, it is essential that organizations wishing to obtain the certification understand the content of the requirements of this technical specification which, properly implemented, will be of great value to any organization.

8. Can an organization that participates in supply inside and outside the automotive chain apply for IATF 16949 Certification?

Yes. Furthermore, the Certification sizing will consider ALL employees of the organization, if the automotive processes are not effectively segregated, as clarified in the manual "Automotive Certification Scheme for IATF 16949", item 5.2.h.

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9. Does an organization that obtains certificate IATF 16949, automatically

obtain ISO 9001 Certification?

Not necessarily. Obtaining ISO 9001 certification in conjunction with IATF 16949 is a strategic decision by the organization, since the bodies issuing the certificate data are distinct (IATF 16949 is issued under the control of the IATF and ISO 9001 is issued under the control of INMETRO, in Brazil, or issued under any IAF MLA member). Therefore, although the IATF 16949 standard is complementary to ISO 9001, the scope and consequently the costs of the certification will involve, at a minimum, the issuance of the ISO 9001 Certificate.

10. When should I request the Pre-Audit?

After implementing the Management System, optionally, the organization should carry out at least one cycle of internal audits to request the Pre-Audit. FCAV Americas also recommends that at least one internal audit and management review be carried out by management before the pre-audit

11. What is the Pre-Audit for?

In the past, organizations requested certification audits from FCAV Americas without any prior review. Typically, auditors detected conceptual problems, such as non-application of requirements that influenced quality. In these cases, the certification could not be recommended, causing disruption to the organization and a certain disappointment. Problems often arise from an incorrect interpretation of the standard for the organization's business sector. Considering this experience gained, Certification Bodies round the world began to carry out prior analyzes in order to reduce the risks of non- certification due to adequacy problems – these preliminary analyzes are called Pre-Audits.

12. What is the standard timeframe between the Pre-Audit and Stage 1 Audit and the Stage 1 Audit to the Certification Audit?

The period between the Stage 1 audit and the Stage 2 audit cannot exceed 90 days. Before the Stage 1 Audit, the Pre-Audit takes place, if required. If the Pre-Audit does not detect serious problems and the system is mature in its implementation, the Certification Audit, Stage 1 can be scheduled. If, on the contrary, the Pre-Audit detects many problems that take time to correct, the deadline may be extended at the organization's discretion.

Normally, there is a period of one month between the Pre-Audit and the Stage 1 Audit, but this period is not a rule.

13. IATF 16949 indicates the need to carry out an activity called “Readiness Review”, Stage 1 Audit. What does this activity mean? Is my organization required to submit to such a practice?

The “Readiness Review” is a **mandatory activity** within the Certification rules for IATF 16949. This activity is also known as Stage 1 Audit of the certification process and

precedes Stage 2, which is the certification audit.
Stage 2 action audit. This activity is carried out in conjunction with the organization and within the facilities, and shall be audited “onsite” of the audited.
The objective is to verify the organization's readiness to receive the Stage 2, certification audit and if there are impeding situations verified by the auditor, it can be carried out again until it is considered approved by the lead auditor.

14. As this is a mandatory activity, what will be verified during the “Readiness Review”, Stage 1 Audit?

The Rules Manual for the IATF 16949 Certification Scheme indicates which basic documentation should be available to the audit team, as part of the “Readiness Review” (Stage 1 Audit):
a) to evaluate customer management system documentation, including relationships and connections to any remote support functions and outsourced processes;
b) to assess the location and specific conditions of the client's site and conduct discussions with client personnel to determine readiness for the Stage 2 audit;
c) to assess the client's situation and understanding of the requirements of the standard, in particular with regard to the identification of significant aspects or key performances, processes, objectives and operation of the management system;
d) to collect the necessary information about the scope of the client's management system, processes and location(s), as well as related regulatory and statutory aspects and their compliance (e.g. quality, environmental, legal aspects of the client's operation, risks associates, etc.);
e) to review the allocation of resources for the Stage 2 audit and agree with the client on the details of the Stage 2 audit
f) to provide a focus for Stage 2 audit planning, obtaining a sufficient understanding of the management system and client site operations in the context of possible significant aspects;
g) to assess whether internal audits and management reviews are being planned and executed, and that the level of implementation of the management system proves that the client is ready for the Stage 2 audit;
h) to verify that the client and its project subcontractors have adequate capacity to meet the requirements of clause 8.3 of IATF 16949 in their entirety, including the interfaces between client and subcontractors.

All this required documentation is contained in the Preliminary Questionnaire, which will support the Stage 1 Audit evidence by FCAV Americas auditor.

15. Who is part of the audit team?

The audit team is made up of one or more auditors. Automotive Auditors are qualified Lead-Assessor auditors for ISO 9001 and are qualified as automotive auditors, accredited by the IATF. These auditors are professionals with experience in audits and knowledge of the automotive sector. Practices adopted by FCAV Americas guarantee that the auditor is aware of his activity.

16. How will I know which areas will be audited in surveillance audits?

In the same way as in the certification audit, in surveillance audits the audit plan will also be sent in advance. For FCAV Americas to guarantee this deadline, the organization must necessarily send at least 30 days in advance, the Management System documentation, as well as the performance indicators since the last audit, prioritizing the evaluation indicators provided by its automotive clients (scorecard). Besides the organization shall provide the indicators internal data and other data required in the manual “Automotive Certification Scheme for IATF 16949”, item 5.7.1, for review by the audit team.

17. What are the possible results of a Certification Audit?

The audit team, based on the audit findings, may make the following decisions:

- Certification Recommendation as long as there is no non-conformity was issued;
- “Follow Up” (usually documentary) Audit Recommendation for minor Non-Conformities issued, to ensure they have been effectively implemented and closed.
- Recommendation for a special “onsite” audit to verify the effectiveness of the implementation of Major Non-Conformities raised during the certification audit.
  Note 1: Non-conformities Minor documentary verified compliances will require additional time in the next site audit (surveillance or recertification)
  Note 2: If the verification of Non-Conformities actions (major or minor) are not considered acceptable, the audit will be considered “failed” and the organization must begin a new certification process.

18. How many Non-Conformities can be consider my certification in the Certification Audit at risk?

There is no defined rule for the number of Non-Conformities, but rather different treatment depending on their severity. If the audit report includes one or more Non-Conformities considered Major, they will require a special “onsite” audit by rule. If there are only minor Non-Conformities, in general, the recommendation is to carry out a documentary follow-up and verify its application, this will be done in the next regular audit (supervision or recertification) with additional time to the originally scheduled regular audit, as explained in the previous question.

19. What are surveillance audits for?

Once being the implemented and certificated the management system, it is the certification body's obligation to verify the maintenance of the certified management system. Therefore, FCAV Americas will periodically carry out surveillance audits to verify whether the quality management system remains adequately compliant.

20. And what happens when non-conformity is detected in a surveillance audit?

The IATF published in its Manual of Rules for the “Automotive Certification Scheme for

IATF 16949", addressing that any non-conformity detected during a surveillance audit, the process called decertification begins, which consists of the fact that the initial condition of the certification is no longer met.
One of the sanctions that can be applied depending on the severity of non-conformities or lack of adherence to the organization's Management System, would be the suspension of the certificate, if Major Non-Conformity occurs in the Surveillance or Recertification audit.
For minor Non-Conformities it is not necessary to suspend the organization, but the treatment of the Non-Conformities presented must be complied, in accordance with the Rules Manual for the "Automotive Certification Scheme for IATF 16949", item 5.11, in its entirety.
The rule for closing non-conformities or reestablishing the certificate initial situation is the same as for an initial audit, as presented, above.

21. What is recertification Audit? Is it mandatory?

After three years of the organization is certified, the system will need be re-evaluated, so that the certification can be renewed.
This procedure is known as "Recertification Audit".
According to IATF rules defined, when we refer to IATF 16949 recertification, it is mandatory that the recertification audit begin by the end of the current certification audit date, plus 3 year.
The recertification process should complete within the validity of the current certificate, including the closure of any Non-Conformities detected during the recertification audit and now will be able to the issuance new certificate.
If this recertification audit not met, the organization will have to restart its certification, including Stage 1 and Stage 2 audits and maybe will not be able to benefit from the reduction in the time applied for recertification audits.
Be careful: if there are other certification bodies that do not perform this mandatory step, so this certification may be contested.

22. What is the Technical Committee?

The audit team's report is taken to a Technical Committee, in which an independent member and approved by the IATF Oversight Office participates, with has Power of Veto on all decisions about certification, including any clients appeals that will be taken into account. This means that, if the organization does not agree with the audit team's decision regarding the result or related to a particular finding, it can appeal to a upper instance, which is this Technical Committee.
It is the Technical Committee that will validate the audit team decision, authorizing the issuance of the certificate.

23. How often does this committee meet?

The Technical Committee periodically review the audit reports and all documentation made available by the audit team and sent by the organization to FCAV Americas. It is important to highlight that this Technical Committee is fully available for this activity, allowing speed and agility in decisions.

24. Is there Certification with international recognition for IATF 16949?

IATF 16949 Certification is controlled centrally by the IATF (International Automotive Task Force), which recognizes Certification Bodies worldwide, which must be subordinate to the IATF.
Besides, the Joint Venture with ZhongAn FCAV International, the actuation by FCAV Americas together ZA FCAV International, now it has expanded its operations globally.

25. Can I use the certification mark on my product?

There are precautions that must be followed when using FCAV Americas seal and the certification mark. FCAV Americas defines in contract what must be followed by the certificated organization. See Chapter 11 (Annex 1) at the end of this document for instructions on using certification marks.

26. Can I have access to the audit team's CV?

Yes. Upon receiving the audit plan, the organization will know the names of the auditors. Simply consult FCAV Americas home page, at the following address: (http://audcert.fcavamericas.org.br), indicate the auditor's code to locate the team's CV.

27. Fundacao Vanzolini provide consultancy for the assembly and implementation of the Quality System?

No. According to international rules and internal ethical rules of FCAV Americas, there is no possibility of providing consultancy services for the implementation of ISO 9001, IATF 16949 or any other standard address to support IATF 16949 certification.

FCAV Americas also does not resort to subterfuge for such activity, such as, for example, the use of affiliated or controlled organizations.

The FCAV Americas acts as supporting of consulting organizations, recognizing and encouraging their role, never acting as a competitor.

28. If I have other questions, who should I consult?

Do not hesitate to contact us by phone (+55 11) 3913-7102 or (+55 11) 3913-7115 or consult our home page: www.fcavamericas.org.br .

07 - CONFIDENTIALITY, IMPARTIALITY AND ABSENCE OF CONFLICT OF INTEREST

Throughout the certification process, FCAV Americas may have access to confidential information related to information assets.

All personnel working in FCAV Americas Certification Department, including auditors, sign the Code of Conduct that establishes work procedures, including several principles related to secrecy, confidentiality, absence of conflict of interest.

Product or certification information is not disclosed to third parties without the client's written consent. If the law requires that such information be made known to third parties, the client is formally informed, as established by law.

This process complies with Corporate Procedure ZA-FCAV, GK-01 - Requirements for Impartiality Management

08 - INTERPRETATIONS of the IATF, CB-25, ISO/TC 176 and IAF GUIDELINES AND GUIDELINES

Everyone can have access to interpretations, guidelines and guidelines made nationally and internationally. This information can be obtained from:

a) IATF (International Automotive Task Force) which issues information about the Automotive Certification process in IATF 16949, as well as FAQ (Frequently Asked Questions) and SI (Sanctioned Interpretations) regarding audit practices in IATF 16949 through its official IATF. IATF OEM Customer Specific Requirements (CSR) are also available by this website (International Automotive Task Force) – Website: **http://www.iatfglobaloversight.org**

b) CB-25 Brazilian Quality Committee – Website: **http://www.abntcb25.com.br/** (interpretations and guidelines);

c) ISO/TC 176 International Organization for Standardization's (ISO) Technical Committee 176 on Quality Management and Quality Assurance - (Interpretations and Guidance)
Website: **http://www.tc176.org/Interpre.asp**

d) IAF – International Accreditation Forum – Website: **http://www.iaf.nu/ (Guidelines)**

09- RULES FOR USE OF THE BRAND

ANNEX 1 (RULES FOR USE OF THE CERTIFICATION MARK)

1 Certification Marks in IATF certifications

1.1 The Certificate IATF 16949 don't has the IAF , Inmetro or CNAS brands shown in IATF 16949 Certificate and not indicate no other identification. Certification members' agencies brands and clients' logos are not permitted.

2 Requirements for organizations certified use the brand in certification.

2.1 Certification IATF 16949 or Letter of Conformance IATF16949 (hereinafter referred to as "Letter of Conformance" or "Charter") only he can to be used for the organization inside of period in validity of certificate It is at the scope from the Certification / Letter of Conformance approved.

A Certificate / Letter of Conformance issued to an organization may not be transferred, sold, loaned or used in any way.

2.2 The certified organization may display the Certification / Letter of Conformance in its public publications, promotional materials, web pages and other media, but must ensure that it is clearly legible.

2.3 The Certificate is valid for three years and the Letter of Conformance is valid for one year. During the validity period, the organization may continue to use the IATF 16949 Certificate after maintaining the certification is confirmed through periodic supervisory audits.

2.4 The certified organization may copy the entire IATF 16949 Certificate, in which the IATF Brand/Logo is inserted for marketing and advertising purposes,

2.5 It is prohibited to use the IATF Brand / Logo in any other place, media or publicity of the IATF 16949 Certification.

2.6 When certification is revoked due to nonconformity with certification requirements, use of the certificate and certification mark shall be discontinued as a sanction.

3 Requirements of certified organizations for the use of certification marks of the Zhong An FCAV International and accreditation marks.

3.1 Zhong An FCAV International retains the ownership and right to use the certification mark by organizations. The certified organization may use the Zhong An FCAV International certification mark within the validity period and scope of the certification.

3.2 The certified organization is not authorized to use the Zhong An FCAV International certification mark or the CNAS accreditation mark on products or packaging;

3.3 The Zhong An FCAV International certification mark may be used on relevant documents, stationery, postal letters and publications as long as the certification registration number is marked below the logo.

3.4 When using the certification mark of Zhong An FCAV International, it must be enlarged or reduced proportionally according to the standard provided by FCAV Americas or Zhong An FCAV International, it

must not be used in a deformed way and the handwriting must be clear;

3.5 Before using the Zhong An FCAV International certification mark, the certified organization may submit the usage template to the FCAV AMÉRICAS automotive certification office, which will review and preserve it for archival purposes,

The use of the IATF 16949 certification mark will be subject to verification by the FCAV Americas or Zhong An FCAV International audit team to confirm compliance.

If there is any non-conformity, it must be corrected as necessary.

4 **Addressing misuse or abuse of certificates and certification marks**

4.1.1 Certified organizations must not carry out false advertising that is considered by FCAV Américas or Zhong An FCAV International to be misleading to customers.
Once incorrect advertising and misleading use of certificates and certification marks are detected, FCAV Americas or Zhong An FCAV International will take the following supervisory measures until the certification status is revoked, and legal action will be taken:

a) Issue a report of non-conformity, require the certified organization to take corrective measures to provide rectifications within a deadline, and report the rectification status to FCAV Américas or Zhong An FCAV International, who will verify it on-site during the subsequent surveillacce audit;

b) If the certified organization is unable to complete the rectifications on time and FCAV Américas or Zhong An FCAV International considers this a violation, and thus suspends its certification status and requires the certified organization to commit and ensure the elimination of the impact;

c) When the problem is considered as serious, FCAV Américas or Zhong An FCAV International may revoke its valid certification status and will take appropriate legal action.

5. **Certificate Models Established for use by Zhong An FCAV International and approved by the IATF**

5.1 The Certificate models are presented in the Public Document available on the FCAV Américas website - Certificate Models Annex 5

<u>Note:</u> These IATF 16949 Certification Mark and Certificate Template Usage Guidelines are in accordance with public document Zhong An FCAV International, procedures GK05-20240130p3, and respective Annex 5.

10 - COMPLAINT AND APPEAL

Complaints from FCAV Americas customers can be initiated through the assessment questionnaire delivered at the end of each audit carried out, or by any other means.
All complaints are critically analyzed and appropriate improvement and/or corrective actions are taken.

If the organization does not agree with FCAV Americas deliberations, it may initiate an appeal process, which begins at the competent level, namely: Technical Committee, Technical Director

by ZhongAn FCAV International. In last instance, the organization may appeal to the IATF through its Surveillance office.

After reviewing, the decision will be issued and reported to the organization.

This process complies with Corporate Procedure ZA-FCAV, GK-08 - Appeals and Complaint Handling Procedures

11 - SUSPENSION, CANCELLATION, REDUCTION OR INCREASE OF SCOPE, INCLUSION OR EXCLUSION OF SITES.

The FCAV Américas has clearly established rules for suspension or cancellation of certification in accordance with the guidelines established in the “IATF Rules Manual”.

Such rules are defined in the contracts signed between the parties.

At any time, the organization may request a reduction or increase in the scope of certification, and must contact FCAV Americas commercial area.

Inclusions or exclusions of websites can also be carried out during the term of the contract, and the organization must express its interest to FCAV Americas commercial area.

12 - CRITERIA FOR REIMBURSEMENT OF DIRECT EXPENSES

In compliance with IATF Stakeholder Communiqué IATF SC-2024-001 – Reimbursement of Auditor Expenses, which sets out the requirements for reimbursement of audit-related expenses incurred while conducting IATF 16949 audits.

The organizations will be invoiced by FCAV Americas for all audit-related expenses, including auditor travel and accommodations (including but not limited to ground and air travel, meals, hotels, etc.).

IATF auditors should be reimbursed for their audit related expenses through FCAV Americas, not paid directly by the organizations.

In this way, there is full transparency of expenses incurred by IATF auditors, and the certification bodies can correctly identify auditor expenses as business expenses in providing audit services to their clients.

IATF Global Oversight is aware of some local client practices that directly reimburse auditors for their expenses, including travel, meals, hotels, etc., or even provide prepaid travel, luxury hotels, or other benefits to auditors. This not only eliminates transparency of auditor expenses for certification bodies, but can also lead to a loss of impartiality in IATF 16949 audits. This practice is not permitted by IATF Global Oversight.

From April 1, 2024, IATF-approved certification bodies are required to implement global policies to ensure:

• IATF 16949 auditors submit all of their audit-related expenses incurred while conducting IATF 16949 audits to the FCAV Americas for processing and reimbursement.

• Validation checks are used that the auditor's expenses are reasonable, aligned with the FCAV Americas 's process and customary for the market in which the audit was carried out.

• The organization are invoiced for audit-related expenses, providing FCAV Americas with the revenue to reimburse the auditor's expenses.

• Submitted audit-related expenses shown include all services expected for each audit to ensure that organization do not provide the auditor with pre-paid travel or other services while performing audits.

Note: customary and typical meals provided by the clients during the course of the audit are permitted and do not need to be expensed.
Therefore, at the end of the audit, the lead auditor will present proof of the audit team's expenses to the organization, together with the “expense control” form, completed for approval. The total amount of expenses must be reimbursed to FCAV Americas, which will reimburse the auditor.