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**Guidelines for the Recall Effectiveness Evaluation of
Defective Motor Vehicle Products**

缺陷汽车产品召回效果评估指南

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Guidelines for the Recall Effectiveness Evaluation of Defective Motor Vehicle Products

1 Scope

This Standard provides guidance and suggestions for carrying out the evaluation of the recall effectiveness of defective motor vehicle products, as well as information of the basic procedure of the recall effectiveness evaluation, the recall effectiveness evaluation model, the recall effectiveness evaluation process and the disposal of the evaluation results.

This Standard is applicable to the evaluation subject's evaluation of the effectiveness of the manufacturer's implementation of safety defect recall activity during the implementation and management of the recall of defective motor vehicle products. The effectiveness evaluation of the safety defect recall activity of automobile replacement parts and other motor vehicle products other than automobile products shall take this Standard as a reference; the effectiveness evaluation of the environmental protection recall activity of motor vehicles shall take this Standard as a reference.

2 Normative References

The following documents are indispensable to the application of this document. In terms of references with a specified date, only versions with a specified date are applicable to this document. In terms of references without a specified date, the latest version (including all the modifications) is applicable to this document.

GB/T 34402-2017 Safety of Motor Vehicle Product - Guidelines for Risk Assessment and Risk Control

3 Terms and Definitions

The following terms and definitions are applicable to this document.

3.1 Recall Activity

Recall activity refers to the whole working process of the manufacturer organizing the part manufacturers and operators to eliminate the defects of automobile products.

3.2 Recall Plan

Recall plan refers to a specific implementation plan formulated by the manufacturer for the upcoming recall activity.

the recall plan in accordance with factors, such as: the service time of the automobile products and the comprehensive risk level of the defects, etc.

3.10 Effectiveness of Recall Measures

Effectiveness of recall measures refers to the extent, to which, the recall measures taken by the manufacturer can effectively eliminate the defects after the implementation, and without causing new defects.

NOTE: ineffective measures include failure to effectively eliminate defects, failure to achieve expected results or generation of other new defects.

3.11 Additional Effect of Measures

Additional effect of measures refers to the situation, in which, part of the performance or functions of the automobile is affected after the implementation of the recall measures taken by the manufacturer, but no new defects have been generated.

4 Basic Procedure of Evaluation

4.1 The evaluation subject of the recall effectiveness evaluation of defective automobiles includes market supervision and management departments, technical institutions of recall, manufacturers or experts who have no interest in the manufacturer, etc.

4.2 It is quite necessary for the evaluation subject to keep relevant records and data of the evaluation process and establish files.

4.3 The basic procedure of the recall effectiveness evaluation of defective automobile products is shown in Figure 1.

6.2 Information and Material Collection

6.2.1 Information and material collection is the foundation of the recall effectiveness evaluation. The objectiveness and accuracy of the information and materials is an important prerequisite for the recall effectiveness evaluation process.

6.2.2 The information and materials collected by the evaluation subject include: recall plan and other archived materials, recall periodic report, recall summary report, consumer complaints and public opinion information on the implementation of recall, analysis and verification report of recall measures, as well as recall process supervision report, etc. Among them, recall plan and other archived materials, recall periodic report, recall summary report, consumer complaints and public opinion information on the implementation of recall are necessary information and materials for the recall effectiveness evaluation. Analysis and verification report of recall measures, and recall process supervision report may be either a report formed by the market supervision and management department's organization of relevant tests and recall process supervision, or a report formed by the manufacturer's independent organization of relevant work.

6.3 Recall Compliance Evaluation

6.3.1 Based on the collected information and materials, evaluate the compliance of the manufacturer's implementation of recall activity.

6.3.2 The main basis for the recall compliance evaluation is the current laws, regulations and rules.

6.3.3 After the recall compliance evaluation, if there is no violation of the relevant laws and regulations on recall, then, proceed to the follow-up recall effectiveness evaluation procedure; if there is a violation of the relevant laws and regulations on recall, it is necessary to verify whether the manufacturer has made rectification based on the collected information and materials. If effective rectification has been carried out, then, proceed to the follow-up recall effectiveness evaluation procedure; if no effective rectification has been carried out, then, the evaluation result will be unqualified.

6.4 Evaluation of Implementation of Recall Activity

6.4.1 Recall completion rate index I_1

The index value of recall completion rate index I_1 shall be calculated in accordance with Formula (5).

$$I_1 = \begin{cases} A, & B \geq 1 \\ A \times B, & B < 1 \end{cases} \quad \dots\dots\dots (5)$$

Where,

6.5 Evaluation of Recall Measures

6.5.1 Effectiveness of recall measures I_6

After the implementation of recall activity, if it is found through the supervision of the recall process that the defects cannot be effectively eliminated, the expected effect cannot be achieved or other new defects are generated, then, I_6 shall be counted as 0; if it does not exist, then, I_6 shall be counted as 10.

6.5.2 Additional effect of measures I_7

After the implementation of recall activity, if it is found through the supervision of the recall process that part of the performance or functions of the automobile is affected, but no new defects have been generated, then, I_7 shall be counted as 0; if it does not exist, then, I_7 shall be counted as 10.

6.5.3 Evaluation result of recall measures R_2

Substitute the values of I_6 and I_7 into Formula (3) to calculate the evaluation result of recall measures R_2 .

6.6 Evaluation of Satisfaction of Recall Activity

6.6.1 Consumer's satisfaction I_8

The consumer's satisfaction I_8 is mainly determined based on the number of effective consumer complaints and its ratio to the total number of defective automobile products (the ratio is expressed in U_C), which may be properly adjusted in accordance with the public opinion monitoring:

- a) When the number of effective consumer complaints reaches 50 and above, I_8 shall be counted as 0;
- b) When the number of effective consumer complaints is less than 50:
 - 1) When no effective consumer complaints have been received, namely, $U_C = 0$, I_8 shall be counted as 10;
 - 2) When $U_C \leq 1/10,000$, I_8 shall be counted as 8;
 - 3) When $1/10,000 < U_C \leq 3/10,000$, I_8 shall be counted as 5;
 - 4) When $3/10,000 < U_C \leq 5/1,000$, I_8 shall be counted as 2;
 - 5) When $U_C > 5/1,000$, I_8 shall be counted as 0.

6.6.2 Degree of coordination in recall supervision I_9

6.7 Determination of Comprehensive Evaluation Result of Recall Effectiveness

6.7.1 Substitution into evaluation model

Substitute the values of R_1 , R_2 and R_3 into Formula (1) to calculate the value of REE. The comprehensive evaluation result is divided into three levels: excellent, qualified and unqualified. Among them, $8.50 \leq \text{REE} \leq 10$ is deemed as excellent, $6 \leq \text{REE} < 8.50$ is deemed as qualified, $\text{REE} < 6$ is deemed as unqualified.

6.7.2 Correction of evaluation result

Taking into account that the recall completion rate index I_1 , the timeliness of recall I_2 , the accuracy of recall scope I_4 and the effectiveness of recall measures I_6 are the core indexes of the recall effectiveness evaluation, when the above-mentioned index values are relatively low or are 0, the recall activity being evaluated will not be able to achieve the purpose of effectively eliminating the defects, and the evaluation result needs to be properly corrected. In other words, when $I_1 < 6$ or $I_2 = 0$ or $I_4 = 0$ or $I_6 = 0$, and if $\text{REE} \geq 6$, then, the comprehensive evaluation result needs to be corrected as unqualified.

7 Disposal of Evaluation Result

7.1 In accordance with the comprehensive evaluation result, the manufacturer and the market supervision and management department may respectively adopt or formulate corresponding disposal strategies and measures:

- a) In terms of recall activity whose comprehensive evaluation result of recall effectiveness is excellent, the manufacturer may summarize experience in the implementation of the recall activity, combine the experience to formulate or revise the internal management documents and operation manuals, and use them as a basis for the subsequent implementation of other recall activities.
- b) In terms of recall activity whose comprehensive evaluation result of recall effectiveness is qualified, the manufacturer may organize and analyze measures for further improvement and use them as a reference for the subsequent implementation of other recall activities. If necessary, the market supervision and management department may require the manufacturer to make rectification and improvement.
- c) In terms of recall activity whose comprehensive evaluation result of recall effectiveness is unqualified, the manufacturer and the market supervision and management department may respectively put forward disposal strategies and rectification measures in accordance with the following situations:
 - 1) When the recall activity does not comply with the relevant national laws and regulations on recall, the market supervision and management

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