

# CERTIFICATION PROCESS OF THE MANAGEMENT SYSTEM



**ISO 9001 - ISO/TS 16949  
ISO 14001 - ISO 50001  
OHSAS 18001**

**UTAC CERAM**

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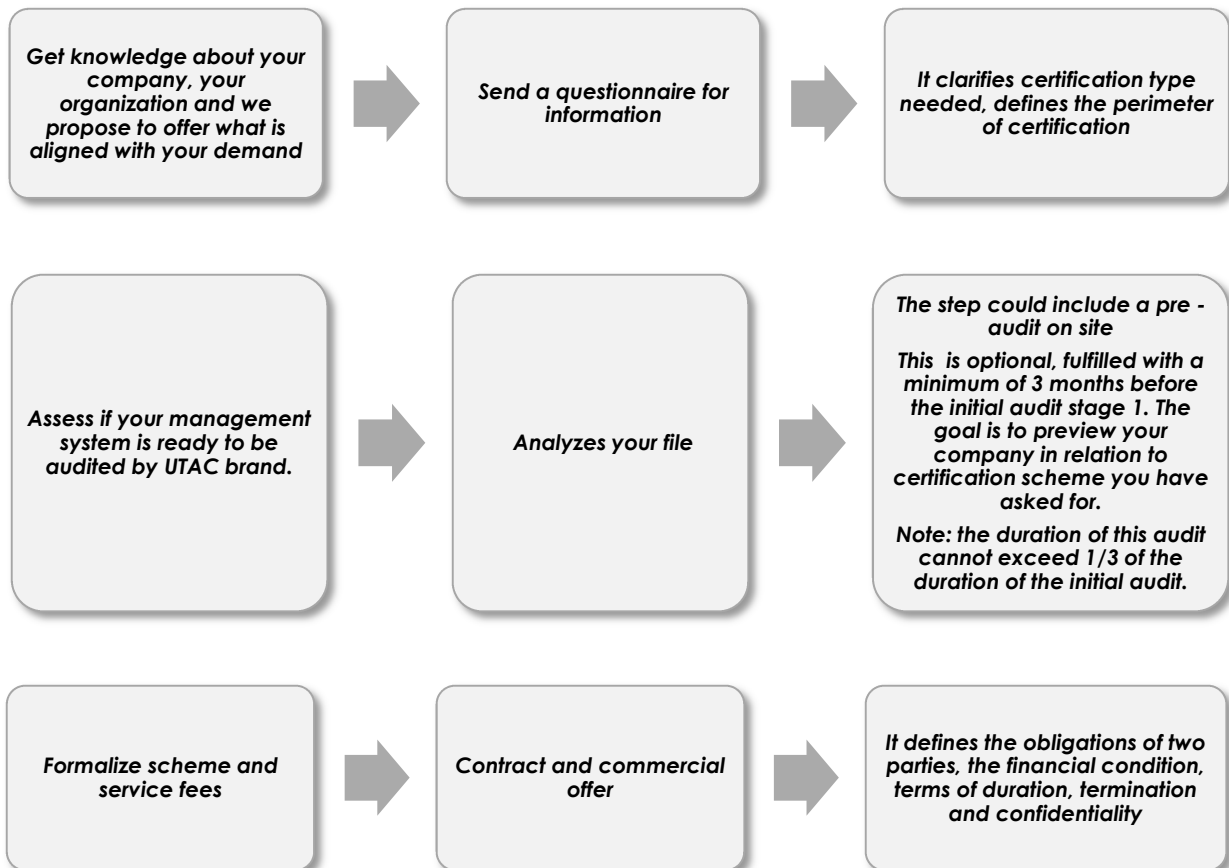
Updated according to latest standards.

- **The certification cycle**

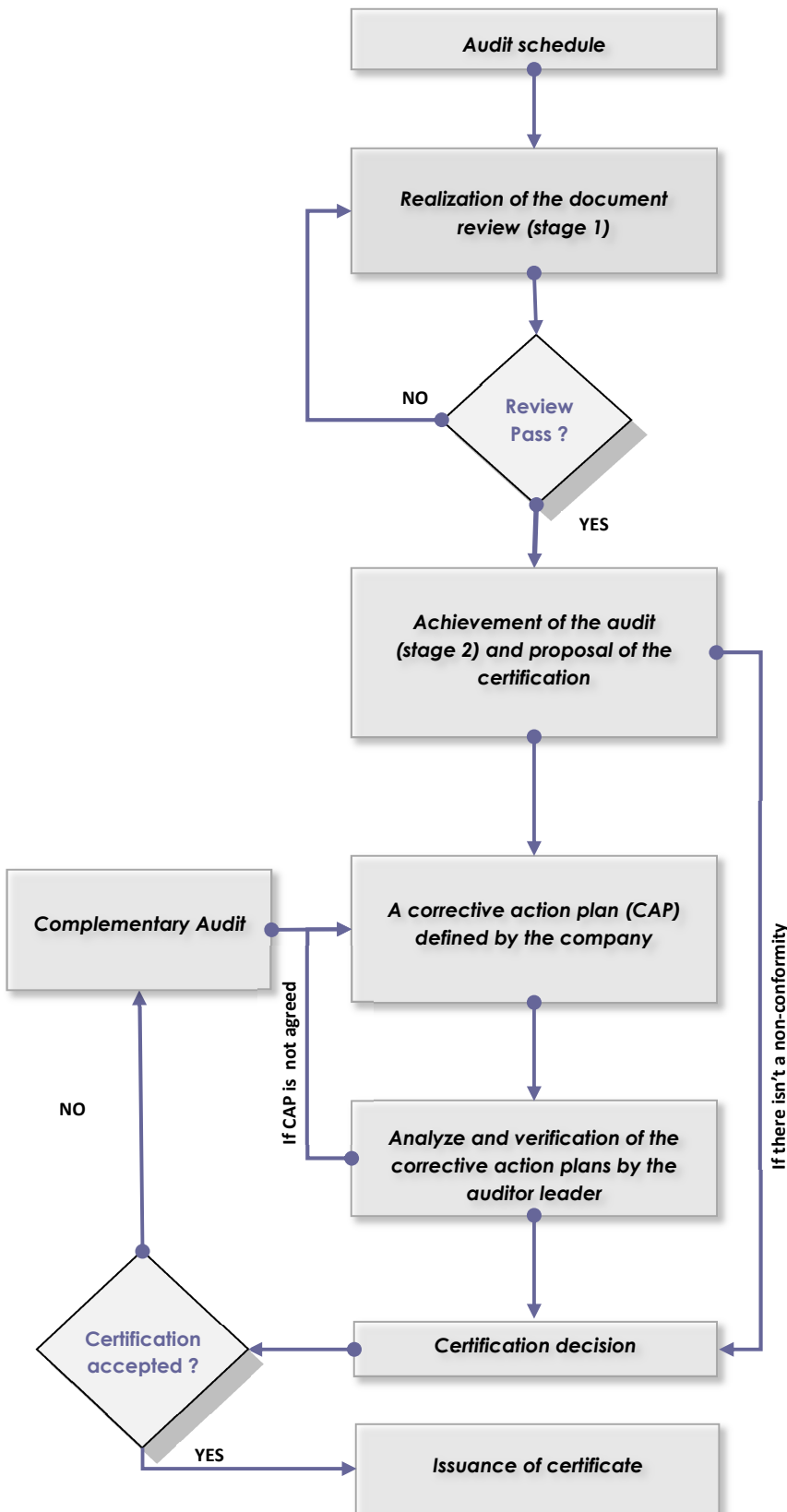


- **The Initial certification**

1. *From the first touch to the contact*



## 2. From the schedule to the certification



Joint validation of audit dates to where an auditor team is appointed

The goal of document review (stage 1) is to determine the readiness of your management system. It could be performed on site.

This documentation assessment allows a plan preparation for the audit on site.

The audit team analyzes the whole management system and his realization by following the steps below:

- Opening meeting
- Prompt visit of the audited site
- Audit in the office
- Audit in the workshop
- Day to day synthesis
- Auditor's deliberations
- Conclusion meeting

After the audit and according to the audit results, the audit team proposes certification status. Then on site, the audit team delivers an audit report.

A complementary audit (on site verification) could be requested for the validation of the correction actions for the major non conformities.

A corrective action plan is forwarded for the non-conformities.

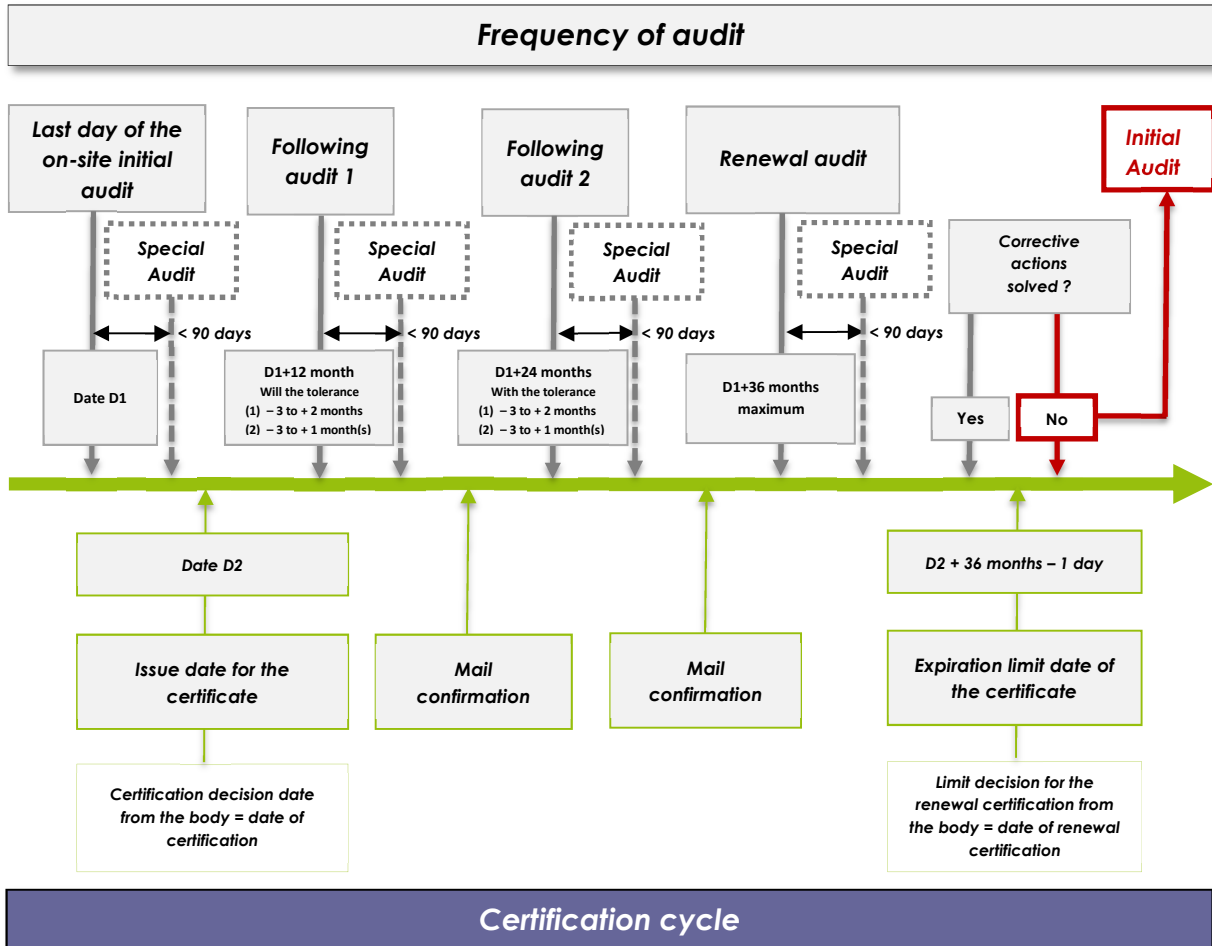
The corrective action must be achieved before 60 days.

After the acceptance of your corrective action plans by the auditor leader, your certification file has to be expertised.

The experts are from sectorial committees and are representatives of the UTAC brand, representatives of contractors and suppliers. They know your sector. Finally, the veto power decides the certification.

- Audit cycle and certification

Certification rules ISO 17021<sup>(1)</sup> and IATF<sup>(2)</sup>



In case of force majeure, if the delay couldn't be respected, a derogation request will be sent to the CAI (Certification, Audit and Inspection) office. The CAI will decide accordingly.

- **Example of the Certificate**



## CERTIFICAT

N° XX/YYYY-X

ENTREPRISE :  
COMPANY :

PERIMETRE DE CERTIFICATION :  
REGISTRATION LIMITS :

REFERENTIEL :  
STANDARD :

CHAMP DE CERTIFICATION :  
REGISTRATION SCOPE :

CERTIFICATION VALABLE : du **dd mm yyyy** au **dd mm yyyy**  
CERTIFICATION VALIDITY

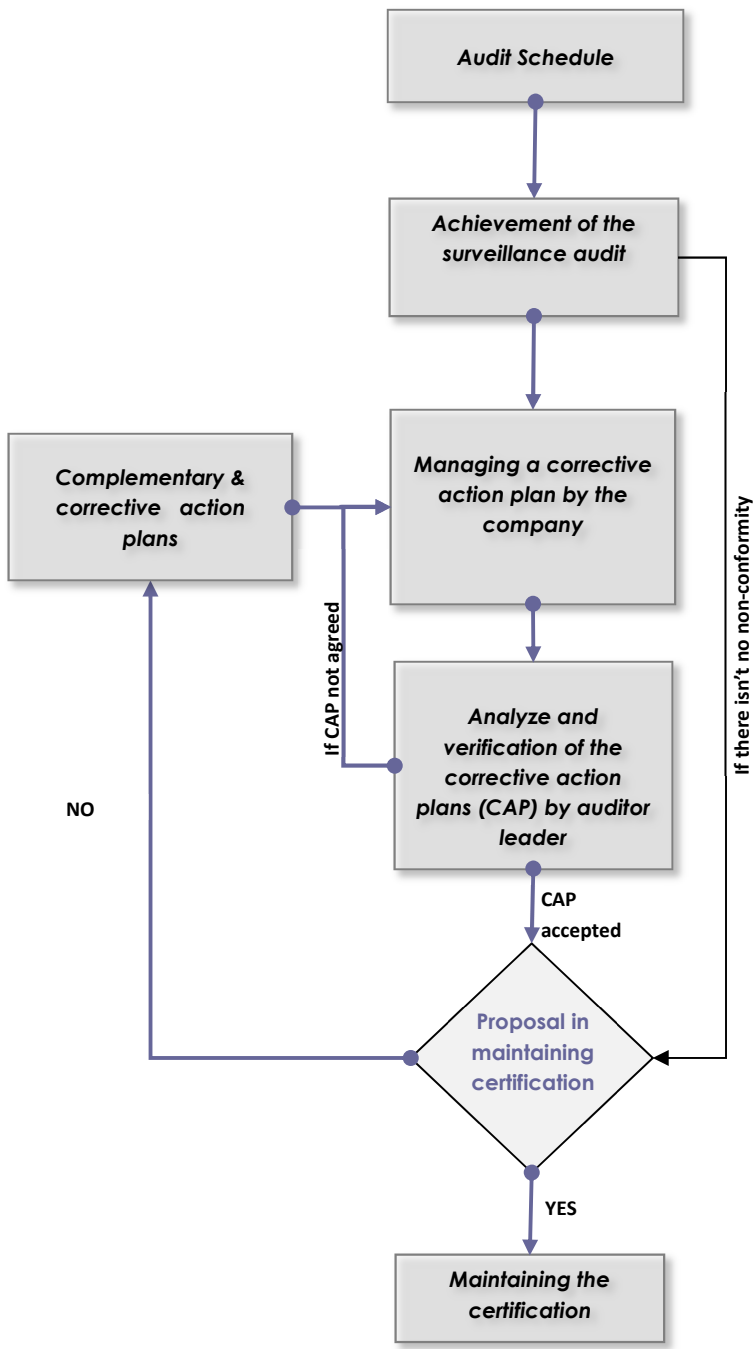
Validity periode of the certificate. The starting date is the certification decision date

\_\_\_\_\_  
YYYY-XXXX  
Certification, Audits & Inspection

According to the standard mentioned, there is the COFRAC logo, IATF logo or without logo

Certificat délivré par  
Union Technique de l'Automobile, du Motorcycle et du Cycle  
Siège Social : Autodrome de Linas-Monlhéry - B.P. 20212 - 91311 MONTLHERY CEDEX - France

- Maintaining certification through surveillance audits**



The audit dates are preferably planned 3 months before the audit birthday date.

The audit planning is forwarded to the company 4 weeks before the audit.

The audit duration (main day) is defined through the IATF and/or IAF certification standard rules.

The corrective action plan from previous audit will be reviewed. At the end of the audit, the audit team delivers audit report.

After the audit and according the audit results, the audit team makes a proposal about the certification status. Then, the audit team gives you an audit report.

A complementary audit (on site verification) could be requested for the validation of the correction done for the major non conformities.

Forward a corrective action plan for the non-conformities.

The delay for the corrective actions must be achieved less than 60 days.

\* The durations for initial, surveillance or renewal audits are formally defined. Some increases or reductions may be possible for specific reasons (group certification - site extension - type of activity – translation needed ...).

\*Some cases, there may have changes in the scope (adding or removing site) or new standards. It corresponds to contract change.

- **Recertification through a renewal audit**

Renewal audit team is done according the rules in order to bring a “new eye” on your system.

The duration for a renewal audit is mainly equivalent to 2/3 of initial audit duration. As initial audit, a committee expert analyzes the file after the end of audit. A new certificate is forwarded to your company with a new validity for 3 years.

**Beware**, the duration to solve corrective action plans must not exceed the expiry date of your previous certificate.

- **Publications**

You can find all the beneficiaries of UTAC certificates on our website: [www.utacceram.com](http://www.utacceram.com)

- **A certification in accordance with your business**

You change your business, your company changes, the certification standards change, you wish to combine or integrate audits ...

Our teams are at your disposal to study with you the impact of any changes and assist in your certification projects.

• **Remainders**

<b><i>Suspension, withdrawal and cancellation of certificates</i></b>			
	<b>Suspension</b>	<b>Withdrawal</b>	<b>Cancellation</b>
In which case?	<u>Decision of the Committee in case of:</u> <ul style="list-style-type: none"> <li>- Non-compliance with contractual obligations of the company,</li> <li>- Non-compliance with the deadlines established for surveillance audits</li> <li>- Non-conformity identified during customer complaint audit against the beneficiary,</li> <li>- Non-conformity identified during the following audit after the certification</li> <li>- Non-compliance by the beneficiary, after warning from UTAC brand about the usage the UTAC Brand certificate</li> <li>- Significantly changes affecting the activity and functioning of the organization,</li> <li>- Appeal from a beneficiary of the certification,</li> <li>- Temporarily stop the activity covered by the certificate</li> </ul>	Decision from the Technical Committee at the end of the fixed term for suspension of certificate	At the request of the beneficiary if the activity covered by the certificate is dropped
Consequences	The beneficiary undertakes not to mention the UTAC Brand. UTAC Brand removes the beneficiary from the certified companies list.		
<b><i>Appeals</i></b>			
In case of dispute about a decision by the applicant, the dispute is managed <ul style="list-style-type: none"> <li>- At first instance by the CAI (Certification, Audit et Inspection)</li> <li>- At second instance by the concerned technical committee</li> <li>- At the last appeal by the President of the UTAC Brand.</li> </ul> <p><u>Note:</u> The applicant may contact the UTAC "Service Certification Audits and Inspections" for the procedure to follow and conduct about the appeal process.</p>			
<b><i>Misuse of certificates</i></b>			
The use of the UTAC brand must be strictly limited to documents relating to the certified work area (scope defined in the contract) and under the validity period of the certificate. Certification System UTAC logo shall not be shown on the product or be interpreted as a product conformity (in fact it is not allowed to affix the Mark on test reports).			
<b><i>Obligations of beneficiaries about the claims of their own customers</i></b>			
From the date of certification, the company must maintain and make available to UTAC Brand the record of complaints and appeals on the certified Quality and Environmental Management System. It's reviewed during audits.			
<b><i>Appeal and/or complaint from clients or stakeholders</i></b>			
UTAC records customer appeals and/or complaints and performs corrective actions.			
<u>Note:</u> The customer may contact the UTAC "Service Certification Audits and Inspections" for the process flow			
<b><i>Confidentiality</i></b>			
<u>General Scope:</u> UTAC contractually agrees not to publish, disclose or use the audit reports and documentation submitted by the company except with its permission.			
<u>Specific framework for ISO / TS16949:</u> The audit report issued by UTAC is managed according to the rules established by the IATF and the UTAC management system.			



References :

ISO/CEI 17021: Requirements for bodies providing audit and certification of management systems

Rules ISO/TS 16949 for Achieving IATF Recognition

ISO 19011: Guidelines for auditing management system