



MANAGEMENT SYSTEM CERTIFICATION PROCESS

ISO 9001 - IATF 16949
ISO 14001 - ISO 50001
ISO 45001



UTAC

Site de Linas-Monthéry

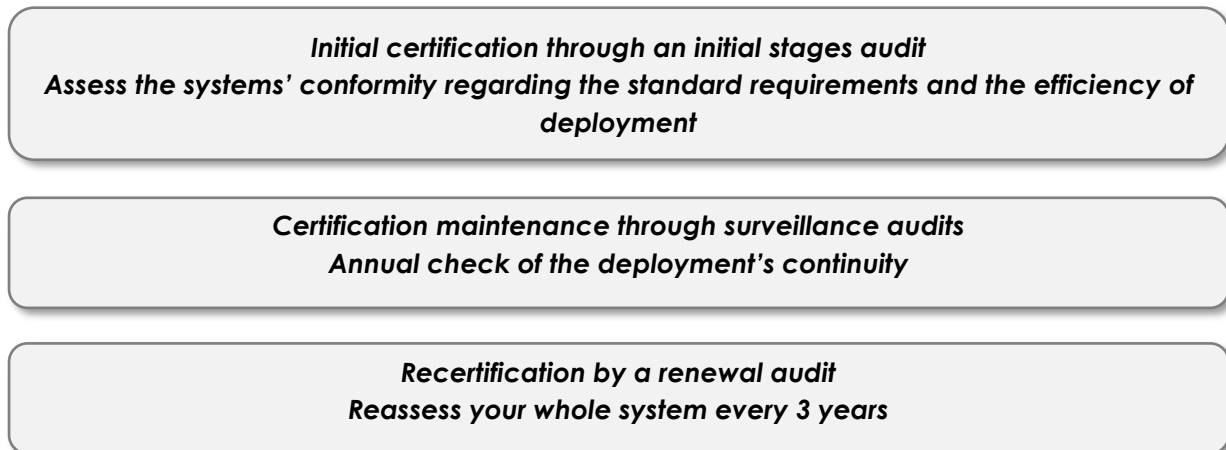
Autodrome de Linas-Monthéry – BP 20212 – 91311 MONTLHERY Cedex – France

Tél. : (00 33) 1 69 80 17 00 - www.utac.com - contact@utac.com

SAS au capital 7 800 000 € - TVA FR 89 438 725 723 - RCS EVRY : B 438 725 723 - Code NAF : 7120 B

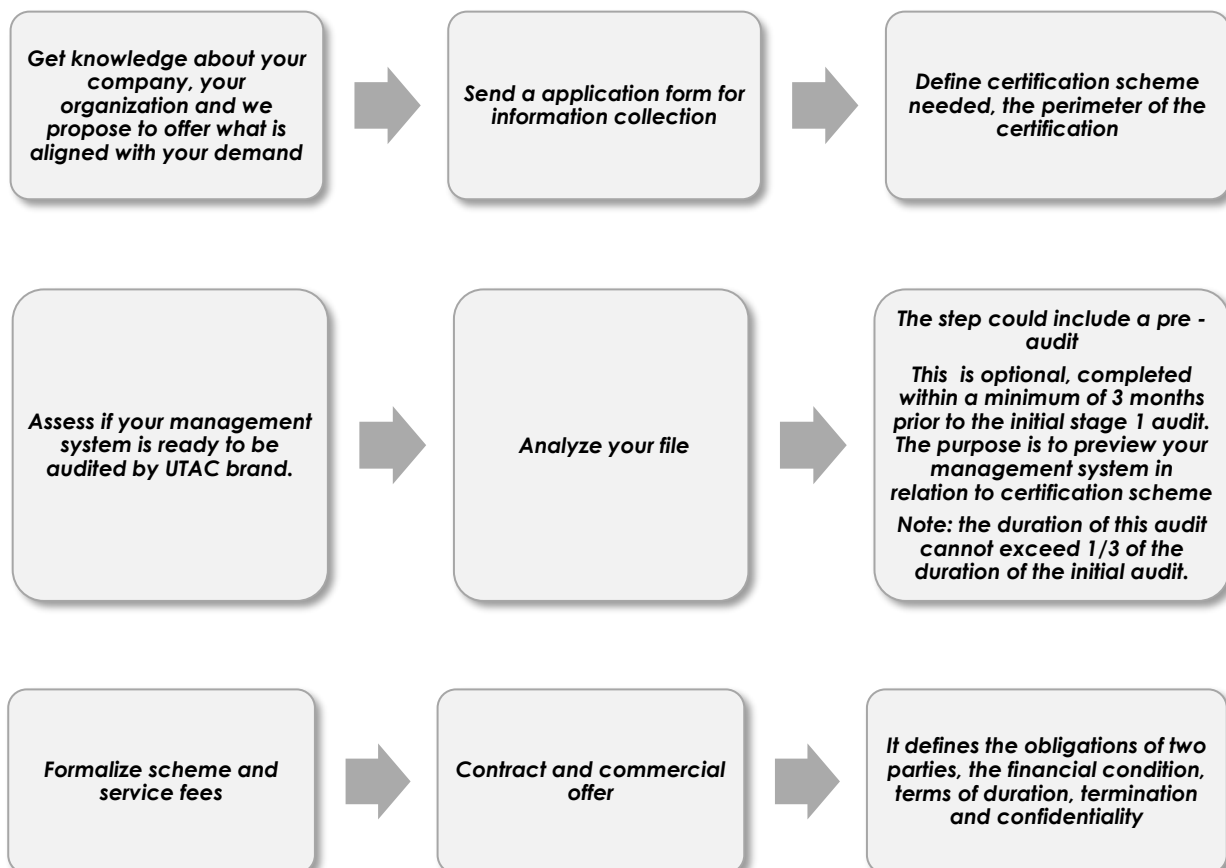
Updated according to the latest editions of the standards.

THE CERTIFICATION CYCLE

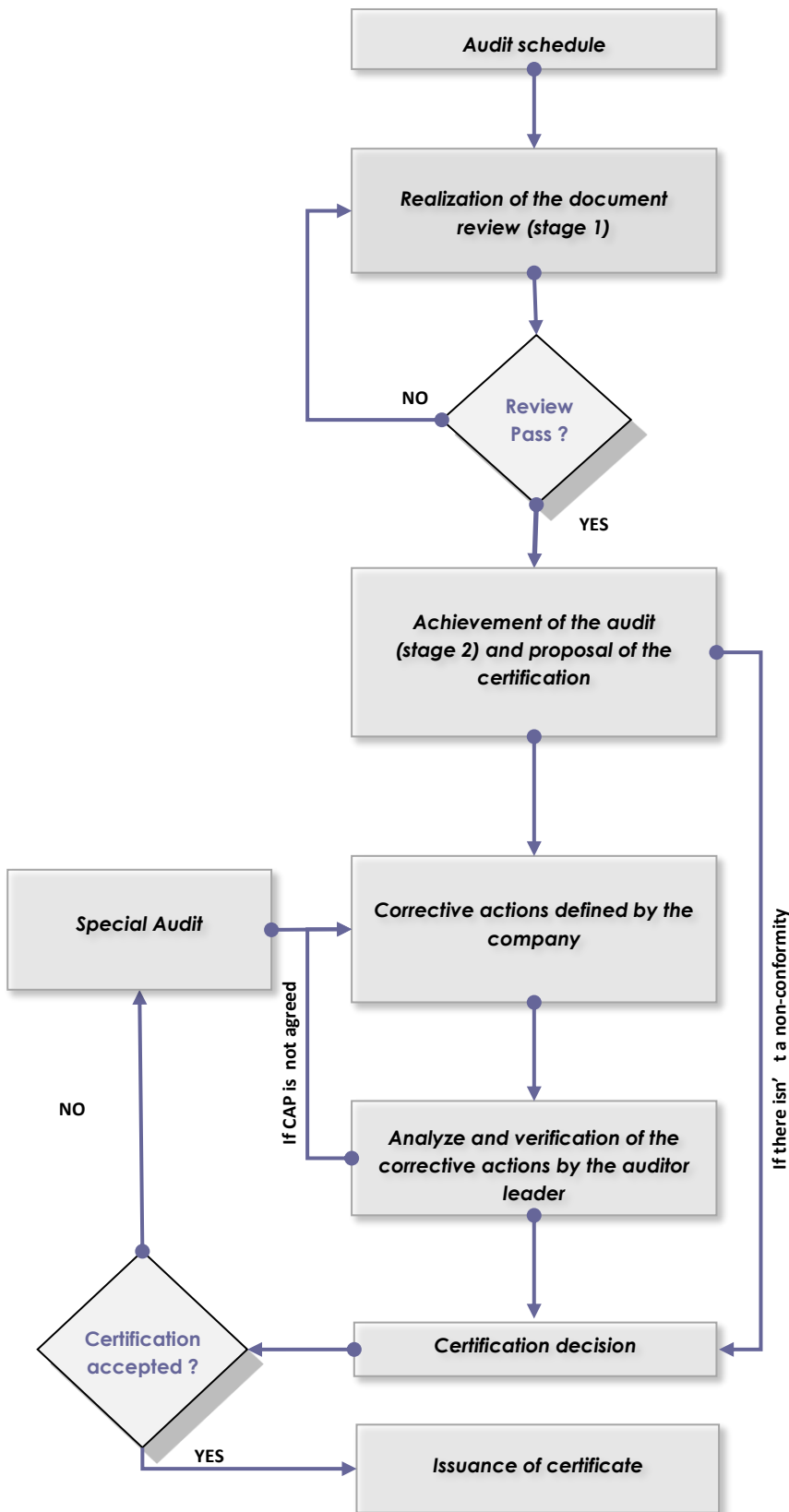


THE INITIAL CERTIFICATION

1. From the first touch to the contact



2. From the schedule to the certification



Both parties agreement of audit dates.

The purpose of the readiness review (stage 1) is to determine the edibility of your management system to undergo stage 2 audit. It could be performed on site.

This documentation assessment allows a plan preparation for the stage 2 on site audit.

The audit team analyzes the whole management system and its realization by the following :

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

After the audit, an audit report is delivered, and according to the results, the audit team recommend a certification status.

An additional special audit could be requested for the validation of the correction actions for the major nonconformities.

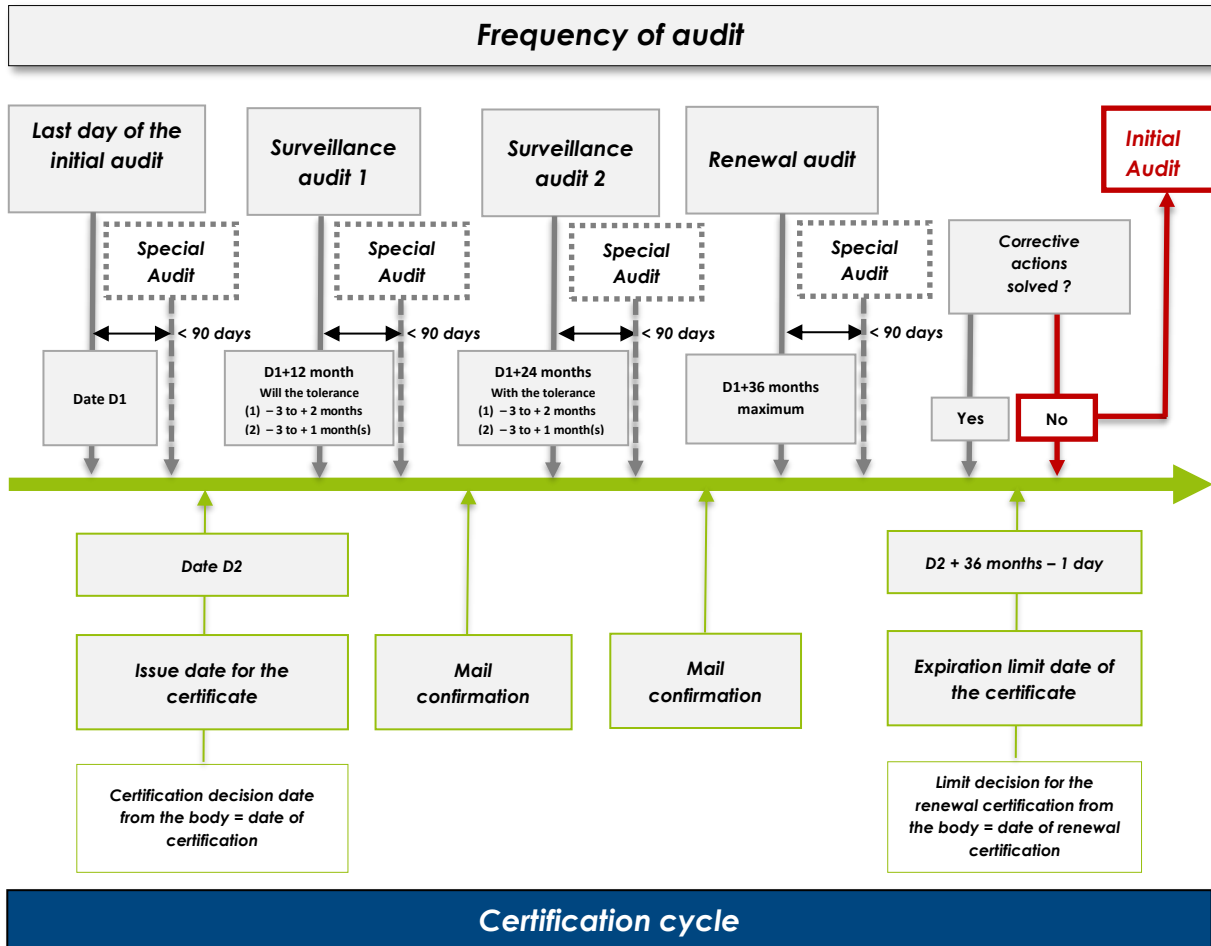
Corrective actions are required for any non-conformities.

The corrective actions shall be achieved within 60 days.

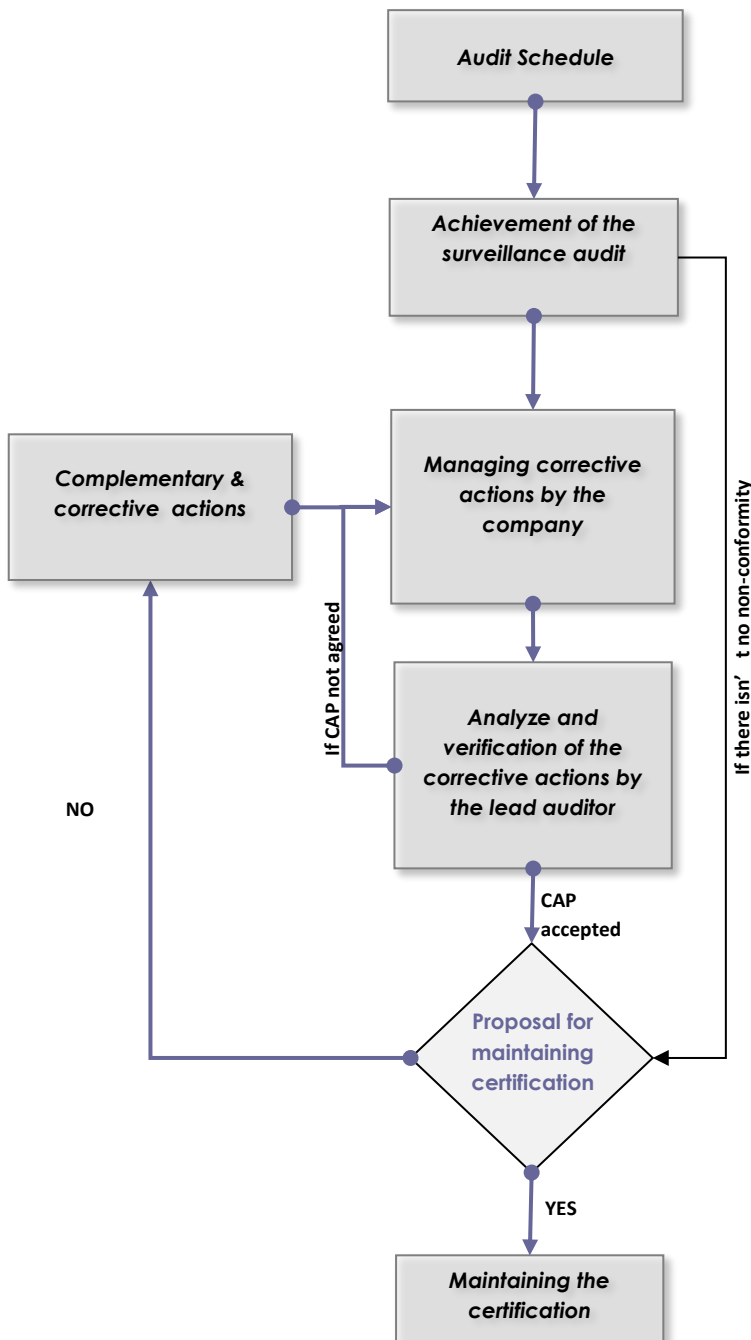
After the acceptance of your corrective actions by the lead auditor, your certification file will be review by our experts.

AUDIT CYCLE AND CERTIFICATION

Certification rules ISO 17021⁽¹⁾ and IATF 16949⁽²⁾



MAINTAINING CERTIFICATION THROUGH SURVEILLANCE AUDITS



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

The audit plan is sent to the company 2 weeks prior to the audit.

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

The implemented corrective actions from previous audit will be reviewed.

After the audit, an audit report is delivered, and according to the results, the audit team recommend a certification status.

An additional special audit could be requested for the validation of the correction actions for the major nonconformities.

A corrective action is required for any non-conformities.

The corrective actions shall be achieved within 60 days.

* The durations for initial, surveillance or recertification audits are formally defined. Majorations and reductions may be possible for justified reasons (*corporate certification - site extension - type of activity – translation needed ...*).

*In cases of certification scope changes, standard changes, or sites changes (addition or removal), certification contract to be update is required.

RECERTIFICATION THROUGH A RENEWAL AUDIT

Recertification audit team is assigned according the rules in order to bring a “fresh eye” on your system.

The duration for a renewal audit should be equivalent to 2/3 of initial audit duration.
As per the initial audit process, an expert group analyzes your file after the end of audit.
A new certificate is issued to your company with a new validity for 3 years.

Beware, the duration to implement corrective actions must not exceed the expiry date of your previous certificate.

DECISION PROCESS

The different possible cases in the certification decision process are:

- the granting of certification as part of an initial certification,
- refusal of certification,
- maintaining certification,
- certification renewal,
- suspension of certification (see additional tab below),
- reinstatement of certification (for example following the certificate suspension process),
- withdrawal of certification (see additional tab below),
- Extension or reduction the scope of certification,
- Treatment of disagreement between auditor and audited company

PUBLICATIONS

Your company details have been added to the list of companies certified by our organization in the "Certification" section of our website www.utacceram.com

This public information is available on request from our website.

A CERTIFICATION TAILORED TO YOUR NEED

Whenever your activity changes, your organization changes, the certification standards change, you wish to combine or integrate audits ...

Our team will assist you towards your whole certification projects.

REMAINDERS

Suspension, withdrawal and cancellation of certificates			
	Suspension	Withdrawal	Cancellation
In which case?	<p><u>Decision of the Certification Committee in case of:</u></p> <ul style="list-style-type: none"> - Non-compliance with contractual obligations of the company, - Non-compliance with the deadlines established for surveillance audits - Non-conformity identified during customer complaint audit against the beneficiary, - Non-conformity identified during the following audit after the certification - Non-compliance by the beneficiary, after warning from UTAC brand about the usage the UTAC Brand certificate - Significantly changes affecting the activity and functioning of the organization, - Appeal from a beneficiary of the certification, - Temporarily stop the activity covered by the certificate 	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.		
Appeals			
<p>In case of dispute about a decision by the applicant, the dispute is managed</p> <ul style="list-style-type: none"> - At first instance by the UTAC (Certification, Audits & Inspections Department) - At second instance by the concerned technical committee - At the last appeal by the President of the UTAC Brand. <p><u>Note:</u> The applicant may contact the UTAC (Certification Audits and Inspections Department) for the procedure to follow and conduct about the appeal process.</p>			
Misuse of certificates			
<p>The use of the UTAC brand shall 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 displayed on products or be interpreted as product conformity (affixing the mark on test reports is forbidden).</p>			
Specific cases			
The implementation of the ISO 45001 standard does not in itself constitute compliance with the requirements defined by the applicable French legislation.			
Obligations of beneficiaries about the claims of their own customers			
From the date of certification, the company shall maintain and make available to UTAC Brand all records of complaints and appeals related to the certified Management System, will be reviewed during audits.			
Appeal and/or complaint from clients or stakeholders			
UTAC are due to record customer appeals and/or complaints and verify certified organization's implemented corrective actions.			
<u>Note:</u> The customer may contact the UTAC "Service Certification Audits and Inspections" for the process flow			
Confidentiality			
<p>General Scope: UTAC contractually agrees not to publish, disclose or use the audit reports and documentation submitted by the company except with its permission.</p> <p>Specific framework for IATF 16949 : The audit report issued by UTAC is managed according to the rules established by the IATF and the UTAC management system.</p>			

REFERENCES

- CERT CEPE REF 33 : Specific requirements for accreditation of certification bodies providing certification of management systems.
- ISO/CEI 17021-1: Requirements for bodies providing audit and certification of management systems
- Rules IATF 16949 for Achieving IATF Recognition
- ISO 19011: Guidelines for auditing environmental management system
- ISO 50003 : Energy management systems – requirements for bodies providing audit and certification of energy management systems