



MANAGEMENT SYSTEM CERTIFICATION

ENVIRONMENTAL & OCCUPATIONAL HEALTH & SAFETY STANDARDS

**Vehicle Certification Agency
1, The Eastgate Centre
Eastgate Road
Bristol BS5 6XX**

Telephone: 0117 951 5151
e-mail: general@vca.gov.uk
website: www.vca.gov.uk



MANAGEMENT SYSTEM CERTIFICATION

ENVIRONMENTAL SYSTEMS ISO 14001 & OCCUPATIONAL HEALTH & SAFETY OHSAS 18001 PROCESS

BACKGROUND TO VCA

In the UK, the Vehicle Certification Agency (VCA), an Executive Agency in the Department for Transport, (DfT), is the authority responsible for the issue of vehicle related national and international type approval certificates. As a part of this type approval work the Agency has over 20 years experience of reviewing, auditing and approving the quality systems of manufacturers of vehicles and components, and is recognised as a leading international authority on this aspect of vehicle type approval.

VCA has extended these activities to meet the increasing needs of the automotive, utilities, water and other industries for independent certification of their management systems and is accredited to issue certificates to the ISO 9000 & ISO 14000 series standards, automotive certification to ISO/TS 16949 and now Health & Safety certification to OHSAS 18001.

ENVIRONMENTAL & OCCUPATIONAL HEALTH & SAFETY CERTIFICATION PROCESS

For your certification work, VCA will use an assessment team with a full understanding of standards and the related issues you face in your business. Our auditors are highly experienced in management system auditing with an understanding of the processes, technologies and existing cultures and philosophies within industry, so together we will establish an especially credible certification.

To carry out this work, VCA uses engineers drawn from all sectors of the motor industry; design, manufacturing and service, experienced in conducting management systems assessments at companies from single man component firms to the multi-national car manufacturers, and in all continents of the world.

VCA has a unique accredited scope (the types of businesses we may certify) that covers the automotive industry, the utilities and waste management industries, manufacturers, suppliers, related industries and all normal site support functions. Before we can consider any management system certification we need to be sure that each site is working to a documented system that is in conformance with the related standard(s). After application there are two parts to the assessment process: Part 1 - Planning Visit (on site) & Document Review, and Part 2 - (on-site) Main Audit.

BEFORE APPLICATION

Before you make an application, VCA staff are available to discuss the particular needs of any of your business activities, by a visit if you wish. We can then provide a written estimate covering costs and timescales, and a pre-audit if required.

| | | | |
|----------|----------------------------------|---|---------------------------------|
| STAGE 1. | Preliminary discussions. | ➔ | Estimate to client. |
| STAGE 2. | Pre audit (if requested). | ➔ | Report by VCA to client. |

APPLICATION

Formal application requires completion of a VCA application form, followed by VCA's provision of a quotation (this may be to confirm or revise the initial estimate) Mutual agreement to proceed is then established using a contract linked to the quotation and agreement to specific terms and conditions that will apply for the certification period (usually three years) once a certificate has been issued. A purchase order may also be required to facilitate invoicing arrangements to the client.

| | | | |
|----------|---|---|--------------------------------------|
| STAGE 3. | Application form completed, standard & scope agreed. | ➔ | Detailed quotation to client. |
| STAGE 4. | Contract & certification terms. | ➔ | Accepted by client. |

THE CERTIFICATION PROCESS

Once a formal application has been made a project manager will be assigned to the client and be responsible for arranging the two-stage assessment process to suit your needs. (The details are described on the next pages). The documentation is reviewed against the requirements of the standard to verify that an appropriate system has been established.

The audits are carried out to agreed and pre-arranged schedules to confirm that procedures have been implemented in accordance with the Standard. Where the system does not meet the Standard, the detailed points will be recorded as non-conformances and discussed with the organisation's representatives. A formal final meeting is held to convey the assessor's findings. Before the certification is issued, all non-conformances will require appropriate corrective action to have been taken and a final check made that applicable contractual and certification terms are signed in relation to the scope assessed.

PLANNING VISIT

This provides the background for the main on-site audit, allowing the audit team to gain an understanding of the management system in the context of your policy, aspects/impacts or hazards/risks (as appropriate), regulations and culture, and to confirm that you are prepared for main on-site audit. It is an opportunity for you and the VCA team to gain confidence in each other. In particular we will: -

| | |
|----|---|
| a. | Ensure that the management system is based on the criteria of the standard and is auditable; |
| b. | Assess the reliance that can be placed on the internal audit system; |
| c. | Review site activities, e.g. boundary drawings and the interfaces with neighbours and other potential areas of influence. |
| d. | Plan and allocate resources for the main on-site audit (including any satellite activities); |

If anyone else operates from the same site, for example contractors or other divisions of your company, we will ensure that the interfaces are clearly defined, as we may need to test these on the main audit.

DOCUMENT REVIEW

This can be part of the Planning Visit, or a separate activity, but will always be carried out before the main on-site audit.

The VCA team will: -

| | |
|----|--|
| a. | Review policy, manual, procedures, legislation, aspects/impacts or hazards/risks and other documents against the standard; |
| b. | Familiarise themselves with the products, processes, technologies, control systems and likely issues; |
| c. | Plan the detail of the main on-site audit; |

The findings of the documentation review and planning visit will be reported to you, and we will confirm the scope of your certification. Any further questions concerning the audit or the certification process will be discussed.

MAIN ON-SITE AUDIT

This can go ahead when the Planning Visit findings are judged satisfactory to proceed. We will audit each site and each relevant activity wherever possible, or a sample of sites and activities if the organisation is particularly large and repetitive. Each audit is likely to involve at least two auditors for a period (depending upon the size of the company) ranging from 1 to 20 days. Each audit will have opening, daily and final meetings and you will be requested to provide facilities and guides for the audit team.

On the Main Audit, the team will determine whether the management system is properly implemented, designed to achieve, and visibly achieving your policy commitments, performance improvement and regulatory compliance. We will see whether, in practice, you meet your own policies and procedures and confirm that the system complies with all elements of the related standard.

Should any procedures or activities be found not to meet the standard, the auditors will record the details of the activities and the area of the standard concerned on Daily Audit Finding sheets (DAFs) and discuss these with you. If these concerns are not resolved by the end of the audit, a formal non-conformance may be issued. You will then need to take appropriate and timely corrective action before VCA can issue your certificate.

| | | | |
|----------|--|---|---|
| STAGE 5. | Planning Visit (including a site tour). | ➔ | Final quotation timings and costs. |
| STAGE 6. | Document review. | ➔ | Ready for main audit? |
| STAGE 7. | Main on-site Audit. | ➔ | Report to client. |
| STAGE 8. | Follow-up actions. | ➔ | Verify any concerns closed. |

CERTIFICATION

Our Certification Committee will verify that the assessment process is complete, check the reported findings (against accreditation criteria) and your certificate will be prepared and issued. It is valid for three years, provided you maintain your systems.



Your certificate will only be issued following a satisfactory report on the Main Audit, concurred by the VCA Certification Committee after all non-conformances have been closed. The certificate will state its scope, and issue will be subject to your agreement to the terms of certification outlined in VCA MSC PUB 005. Your certification will be valid for three years, but if you fail to implement any corrective actions, or if there is any mis-use of the certification, or if the contract is terminated, we may withdraw the certificate.

| | | | |
|-----------|---|---|---|
| STAGE 9. | VCA report review by Certification Committee decision. | ➔ | Certification & Report approval. |
| STAGE 10. | Certification Terms agreed. | ➔ | Certificate issued. |

AFTER CERTIFICATION

Surveillance visits are audits to confirm that you are maintaining your management system in accordance with the standard, and will be carried out twice yearly (but we will discuss other options). At each surveillance visit our auditors will review any changes to your system, your activities and performance. All elements of the standard and all your activities will be assessed at least once over the three years. The visit schedule will be agreed with you, and will be adjusted to give priority to the areas where issues or non-conformances were raised previously. Any surveillance visit concerns or non-conformances will be reported and followed-up as outlined above. After three years we will review all the reports and carry out an extended visit to re-assess your systems where appropriate, before we issue a new certificate for the next three-year period.

RE-ASSESSMENT

A new certificate will be needed each three years, but first we will formally review the surveillance visits and their results, taking your views into account, usually before the last due surveillance visit. This is an opportunity for a fresh over-check of your system to identify the areas needing extra auditing to assure full conformance to the standard at the time of renewal. Normally, we will extend the last planned surveillance visit or visits to include a document review and the extra re-assessment auditing needed. We expect all outstanding non-conformances to be closed at the time of re-certification, a renewed contract or agreement and a new surveillance schedule for the next three years to be in place. We will then issue your new certificate.

| | | | |
|-----------|---|---|--|
| STAGE 11. | Surveillance visits. | ➔ | Reports by VCA to client. |
| STAGE 12. | Renewal evaluation (Re certification). | ➔ | Agreement renewed & Certificate Issued. |