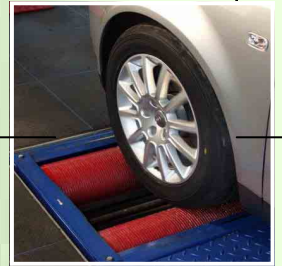


# CITA

COMITÉ INTERNATIONAL DE L'INSPECTION TECHNIQUE AUTOMOBILE  
INTERNATIONAL MOTOR VEHICLE INSPECTION COMMITTEE  
INTERNATIONALE VEREINIGUNG FÜR DIE TECHNISCHE PRÜFUNG VON KRAFTFAHRZEUGEN



## Recommendation no. 9 Quality systems for vehicle Inspection bodies



Consultative Status Category II to the Economic and Social Council of the United Nations  
Statut Consultatif Catégorie II auprès du Conseil Economique et Social des Nations Unies  
Beratender Status Kategorie II beim Wirtschafts- und Sozialrat der Vereinten Nationen

# Recommendation no. 9

- A. QUALITY SYSTEM FOR INDEPENDENT ROAD VEHICLE INSPECTION BODIES NOT UNDERTAKING RELATED ACTIVITIES
  
- B. QUALITY SYSTEM FOR ROAD VEHICLE INSPECTION BODIES UNDER THE DIRECT SUPERVISION OF A DESIGNATED AUTHORITY

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### Consultative Status Category II to the Economic and Social Council of the United Nations

## RECOMMENDATION No 9

### A. QUALITY SYSTEM FOR INDEPENDENT ROAD VEHICLE INSPECTION BODIES NOT UNDERTAKING RELATED ACTIVITIES

#### INTRODUCTION

This CITA Recommendation and the related Recommendation number 9 B have been drawn up with the objective of promoting confidence in inspection bodies performing mandatory inspections of road vehicles that can show that they comply with their requirements.

In general, inspection bodies performing inspections of road vehicles carry out these inspections on behalf of public authorities, according to prescribed laws, regulations, standards, directives or specifications, with the objective of certifying the conformity of the inspected vehicles with the requirements of these provisions.

This CITA Recommendation applies to inspection bodies that are independent of the owner or operator of the vehicle being inspected and that are not involved in the maintenance, repair or sale of vehicles or vehicle components.

This CITA Recommendation has been drawn up in the light of experience by inspection bodies who have performed mandatory inspections of road vehicles for many years, taking into account the relevant provisions of the International and European Standards EN ISO 9002 and EN 45004. It will be submitted to the European Co-operation for Accreditation (EA) for use by approval authorities as supplementary guidance to the international quality standards.

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## 1. SCOPE

- 1.1. This Recommendation specifies quality management requirements an inspection body has to meet if it is to be recognised as being competent to carry out mandatory inspections of road vehicles, according to prescribed requirements.
- 1.2. This Recommendation is applicable to inspection bodies that are independent of owner or operator of the vehicles they are inspecting and are not involved in the maintenance, repair or sale of vehicles or vehicle components.
- 1.3. This recommendation is for use by inspection bodies in developing their quality, administrative and technical systems that govern their operations. It is also for use as supplementary guidance by regulatory authorities and accreditation bodies involved in confirming or recognising the competence of inspection bodies.

## 2. DEFINITIONS

For the purpose of this Recommendation, the definitions given in ISO 8402 and in EN 45020 and the following definitions apply.

### 2.1. Vehicle inspection

Process to perform mandatory inspection (including any associated testing) of road vehicles according to prescribed requirements and to determinate the conformity of the inspected vehicles to those requirements, on the basis of a professional judgement.

### 2.2. Prescribed requirements

List of items to be inspected and/or tested that are prescribed or otherwise specified in the territory where the inspection is performed, such as European Union directive 96/96/EC or other equivalent national or international specification.

### 2.3. Inspection body

Public or private organisation (authority, company, corporation, enterprise or institution) authorised by a national government or governmental authority to perform mandatory vehicle inspections.

### 2.4. Technical inspector

Person in an inspection body carrying out all or part of the technical aspects of a vehicle inspection.

### 2.5. Vehicle inspection centre

Facilities (i.e. building and mobile units) used by an inspection body to perform vehicle inspections.

### 2.6. Vehicle inspection equipment

All equipment, including computer hardware and software, directly used for vehicle inspections, i.e. for examinations, verifications, measurements and testing.

## 2.7. CITA

"International Motor Vehicle Inspection Committee" ("*Comité International de l'Inspection Technique Automobile*"), a world-wide non-profit making association of inspection bodies and related organisations, constituted according to Belgium law, with category 2 advisory status at the United Nations Economic Commission for Europe.

## 3. ADMINISTRATIVE REQUIREMENTS

- 3.1. The inspection body, or the organisation of which it is a part, shall be legally identifiable and shall have a legal personality.
- 3.2. An inspection body that is part of an organisation involved in functions other than vehicle inspection shall be identifiable within that organisation.
- 3.3. If the inspection body is involved in activities other than vehicle inspection, these activities shall be clearly defined. All such supplementary functions shall and they must not conflict with the provisions of chapter 4, relating to the inspection body's independence and impartiality.
- 3.4. Unless international and/or national laws or regulations specify its functions, scope of activity and fees, the inspection body shall have a documented description of its business conditions, including its fees. This documentation shall be available to all interested parties.
- 3.5. Unless the State in which it is situated assumes liability in accordance with national laws or regulations, the inspection body shall have liability insurance covering material damage up to at least Euro 100,000 and personal damage up to at least Euro 1,000,000.
- 3.6. The inspection body shall produce yearly accounts and shall have them audited by an independent auditor, recognised as such in the State in which it is situated or in the case of member States of the European Union, in any other member State.

## 4. INDEPENDENCE, IMPARTIALITY, INTEGRITY, CONFIDENTIALITY

- 4.1. The inspection body shall be independent to the extent required with regard to the conditions under which it performs vehicle inspections.
- 4.2. In order to ensure that vehicle inspections are performed independently and impartially, the inspection body and its staff:
  - 4.2.1 shall not be under the influence of, nor have any direct links or relations with, organisations in the vehicle field, e.g. vehicle manufacturers and retailers, transport companies and road vehicle repair workshops. *However, a combined total shareholding in the inspection body of not more than 10% by such organisations is permissible;*
  - 4.2.2 shall be free from any external commercial, financial and other pressure which might affect their judgement and shall not engage in any activities that may endanger trust in or conflict with their independence of judgement and integrity in relation to their vehicle inspection activity; in particular, they shall not become directly involved in the design, manufacture, maintenance or repair of road vehicles or of any components, systems or other parts directly related to road vehicles.

The rejection of vehicles found not to satisfy the requirements, even if there is a fee for subsequent re-inspection, is not considered to be a financial or commercial pressure.

- 4.3. Unless otherwise specified in international and/or national laws or regulations, all interested parties shall have access to the services of the inspection body. There shall not be undue conditions, particularly concerning fees. The procedures under which the inspection body operates shall be administrated in a non-discriminatory manner.
- 4.4. Unless otherwise specified by national laws or regulations, the inspection body shall ensure confidentiality of all personal information obtained from outside or generated internally in the course of its vehicle inspection activities.
- 4.5. The inspection body's staff shall be committed contractually to impartiality, integrity and confidentiality, and any breach of these commitments may result in dismissal.

## 5. QUALITY MANAGEMENT REQUIREMENTS

### 5.1. *Not applicable*

### 5.2. Quality policy

- 5.2.1 The inspection body's executive management shall clearly define and document its policy and objectives for quality, including its own commitment to quality in general and to the requirements of this Recommendation in particular.
- 5.2.2 The quality policy and its objectives shall be consistent with the *quality policy and/or* expectations of the government or authorising authority and of *the public*, vehicle owners and operators, and also with the inspection body's own organisational goals and objectives, taking account of cost/benefit considerations.
- 5.2.3 The executive management shall ensure:
  - 5.2.3.1 that the inspection body's quality policy is written in simple language and is understood by all its staff;
  - 5.2.3.2 that the quality policy achieves its quality objectives by implementing an effective quality system and by providing adequate and sufficient resources and training to support its development and implementation;
  - 5.2.3.3 that the quality system is maintained without any deviations at all levels of the inspection body's organisation by providing adequate and sufficient resources and training, through the permanent control of all quality relevant processes and by immediate corrective action, whenever required or indicated.

### 5.3 Quality system

#### 5.3.1 General requirements

- 5.3.1.1 The inspection body shall establish, document and maintain a quality system to implement quality management and to ensure that the objectives of the inspection body's quality policy are continuously achieved, so that:
  - the governmental authorities and vehicle owners and operators are satisfied with the services provided;

- vehicle inspections are carried out adequately, correctly and efficiently, in conformity to the requirements of this Recommendation and of all relevant legal and technical requirements.

**5.3.1.2** So that it is a cost/effective aid in the control of quality, the quality system shall be reasonably adapted to the inspection body's size and volume of activity, i.e. the number of vehicle inspections performed.

### **5.3.2 Quality manual**

**5.3.2.1** The inspection body's quality system shall be fully documented by means of a quality manual. Normally, the quality manual shall consist of an overall quality manual, outlining the structure of the quality system and covering the general quality requirements of this Recommendation, supported by one or more specific quality procedures, covering the more particular aspects of the different parts of the vehicle inspection process.

**5.3.2.2** The overall quality manual shall contain a detailed and updated distribution list, or make reference to such a list, for both the overall quality manual itself and the specific quality procedures.

### **5.3.3 Quality procedures**

**5.3.3.1** The quality procedures, being an integral part of the inspection body's quality system, shall be consistent with the requirements of this Recommendation and the inspection body's quality policy.

**5.3.3.2** The range and detail of the quality procedures shall depend upon the complexity of the function, the working method used and the qualifications and training of the persons carrying it out. They should be simple, unambiguous, understandable and as short as possible.

Note: Documented procedures may make reference to work instructions that define in detail how an activity shall be performed.

## **5.4. Organisational structure**

**5.4.1** The inspection body shall have an organisational structure that enables it to maintain its capability to perform vehicle inspections adequately and correctly and with the desired quality.

**5.4.2** The inspection body shall define and document the reporting structure, responsibilities, authority delegations and inter-relationships between different functions, if any, of the organisation.

**5.4.3** The inspection body's management shall consist at least of an executive manager and/or a technical manager and a quality manager.

## **5.5. Staff resources and management**

### **5.5.1 General requirements**

**5.5.1.1** Staff resource requirements for all functions shall be correctly identified and adequate and sufficient staff shall be made available for all the functions, including management, training, documentation and verifications as well as internal quality audits.

- 5.5.1.2** In particular, the inspection body shall have a sufficient number of permanent technical inspectors with the relevant knowledge of road vehicle technology and the required expertise to perform adequately and correctly vehicle inspections and all other functions directly related to the vehicle inspection process.
- 5.5.1.3** The technical inspectors shall be employees of the inspection body.
- 5.5.1.4** The remuneration of the technical inspectors shall not depend directly upon the number of vehicle inspections they individually perform or on the results of the inspections.

### **5.5.2 Technical manager**

The inspection body shall have a technical manager, who is qualified and experienced in the operational procedures for vehicle inspections and who has overall responsibility that the vehicle inspections are performed in conformity to the requirements of this Recommendation and the relevant regulations, standards and directives. The technical manager shall be a permanent employee.

Note: If an inspection body has several inspection centres, there should be an assistant technical manager at each inspection centre.

### **5.5.3 Quality manager**

- 5.5.3.1** The inspection body shall have a quality manager, reporting directly to the executive management. The quality manager shall be a permanent employee.
- 5.5.3.2** Irrespective of any other duties he/she may have in the inspection body, the quality manager shall have defined and adequate authority for all quality assurance matters and in particular for:
- ensuring that a quality system is established, implemented and maintained in accordance with the requirements of this Recommendation;
  - reporting on the performance of the quality system to the inspection body's executive management for review and as a basis for further improvement.
- 5.5.3.3** If the quality manager has other responsibilities in the inspection body, these functions shall be clearly defined, in order to avoid any potential conflicts of interest and to ensure that the effectiveness of the quality system is not degraded.

Note: If an inspection body has several inspection centres, there should be an assistant quality manager at each inspection centre.

### **5.5.4 Deputising, guidance and supervision**

- 5.5.4.1** The inspection body shall have named persons who shall deputise when the executive, technical or quality manager is absent.
- 5.5.4.2** The inspection body shall provide effective guidance and supervision, particularly for the technical inspectors, by persons familiar with the vehicle inspection process and the evaluation and assessment of the results of vehicle inspections.

### **5.5.5 Job descriptions, qualification and training**

- 5.5.5.1** The inspection body shall make all staff in its organisation, whose function and work directly affect the quality of vehicle inspections aware of their responsibility and authority in quality matters. All such functions shall be clearly described and documented in appropriate job descriptions, which include the minimum requirements for education, qualifications, training, technical knowledge and experience.
- 5.5.5.2** The technical manager shall have an engineering qualification (e.g. at least a second level technical or commercial engineer) in vehicle mechanics and technology or in any other equivalent field.
- 5.5.5.3** The technical inspectors shall have sufficient knowledge of the road vehicle technology so that they can make professional judgements on the conformity of vehicles to the prescribed requirements. They shall have at least a medium level qualification in vehicle mechanics and technology.
- 5.5.5.4** The inspection body shall develop an appropriate training plan and shall ensure that responsible managers and technical inspectors, as well as other staff, whose functions and work directly affect the quality of the vehicle inspections, attend regular training and/or education courses.
- 5.5.5.5** All staff shall be trained to operate correctly the quality system and its procedures and documents.
- 5.5.5.6** The education and training courses shall take into account the qualifications and experience of the staff involved and the individual training needs required for satisfactory performance, particularly for new recruits or staff transferred to new assignments.
- 5.5.5.7** The technical inspectors shall attend at least three days (24 hours in total) educational courses each year.
- 5.5.5.8** The education courses shall include specific technical training necessary for performing vehicle inspections and will focus on new technical developments and recent changes and amendments of the prescribed requirements, in order to keep relevant staff, particularly managers and technical inspectors up-to-date.
- 5.5.5.9** The education courses shall also include general and quality related training to instil and to heighten quality awareness. Special consideration shall also be given to provide staff with effective and adequate customer communication skills.
- 5.5.5.10** The inspection body shall keep up-to-date records about the qualifications, training and experience of each member of staff, which can be used to identify any gaps in training.

#### **5.5.6 Responsibility and authority**

Adequate authority and organisational freedom shall be delegated to staff managing, performing and verifying work affecting the quality of vehicle inspections, in order to allow them to exercise their responsibilities for achieving the inspection body's quality objectives with the desired efficiency, in particular by:

- initiating all necessary actions to prevent the occurrence of any non-conformities;
- identifying and recording any quality relevant problems and initiating, recommending or providing appropriate solutions,

- monitoring the implementation of agreed corrective action and initiating further development until the deficiency or the unsatisfactory condition has been corrected.

## 5.6. Document and data control

**5.6.1** The inspection body shall establish and maintain documented procedures to control all documentation and data directly related to the inspection body's quality system in general and to the vehicle inspection process in particular. The procedures shall apply to internal as well as to external documentation (e.g. European directives, international or national regulations and standards).

Note: Documents and data may be recorded and produced using any type of media, e.g. paper copy or electronic media.

**5.6.2** The document and data control procedures shall clearly state for all relevant documents and data:

- when and how they shall be reviewed, which should be at least each time a legal or technical regulation relevant to vehicle inspection is significantly amended;
- who is responsible for their development, review, update, change, approval, issue, recording, distribution and removal.

**5.6.3** Regarding the document and data control procedures, the inspection body shall ensure that:

- only experienced persons are authorised to develop, review, update, change and approve documents and data prior to their issue and distribution;
- the responsible persons have direct access to all relevant background information upon which to base the development, review and approval of documentation;
- updates, changes or amendments shall be processed in adequate time;
- consideration is given to the effect that a proposed change may have on other parts and/or procedures inside and/or outside the organisation;
- other affected parties inside and outside of the inspection body, particularly staff, are notified of changes and amendments, as far as relevant;
- all necessary actions are taken prior to the implementation of a change;
- current issues of appropriate and approved documentation are available at all relevant locations and to all relevant staff in charge of operations essential for the effectiveness of the quality system;
- superseded, invalid and obsolete documents are promptly removed from use throughout the organisation, one copy, suitably identified as "obsolete", being filed for at least three years.

**5.6.4** A master list of all relevant documents shall be maintained, identifying who is responsible for approval and for the distribution and revision status.

## 5.7. Vehicle inspection identification

The inspection body shall ensure by whatever means, that all vehicle inspections are uniquely identified. This is best achieved using, where possible, the vehicle's unique vehicle identification number (VIN), or, if the VIN is not available, a unique combination of the vehicle chassis number, identification number and/or engine number.

**5.8. Vehicle inspection traceability**

- 5.8.1** The inspection body shall ensure by whatever means, that it is possible to trace full details of all vehicle inspections for at least three years.
- 5.8.2** If vehicle inspections are carried out by more than one technical inspector, each one of them has to be traceable by recording the individual's identification, using manual, electronic or other means.
- 5.8.3** The items of the vehicle inspection equipment used for each vehicle inspection shall be unequivocally identified and recorded.

**5.9. Vehicle inspection process control**

- 5.9.1** The inspection body shall ensure that all quality relevant processes, but in particular the vehicle inspection processes, are carried out under controlled conditions.
- 5.9.2** Special consideration shall be given to the under-vehicle inspection process, since it is the most critical part with regard to process quality.
- 5.9.3** The vehicle inspection process control shall include:
- documented procedures clearly defining the process, particularly where the absence of such procedures could seriously affect the process quality;
  - what facilities and equipment should be used;
  - establishment and maintenance of a suitable and safe working environment;
  - compliance with relevant reference standards and/or legal and regulatory provisions;
  - monitoring and (statistical) control of relevant parameters of process;
  - approval of procedures and equipment;
  - availability of sufficient and of adequately qualified and trained staff;
  - performance criteria, stipulated in the clearest and most practical manner, e.g. written procedures and/or work instructions, representative samples, photographs or illustrations;
  - maintenance and calibration arrangements for vehicle inspection equipment, to ensure continuing process capability.

**5.10. In-process verifications**

- 5.10.1** The inspection body shall ensure that in-process verifications are carried out in order to allow early identification of non-conformities and timely initiation of corrective action.
- 5.10.2** For that purpose, appropriate sampling procedures and statistical control techniques shall be used to identify trends before non-conformities actually occur. These statistical evaluations may also be useful for identifying defective processes that require attention and improvement.

**5.11. Preventive action**

- 5.11.1** The inspection body shall undertake preventive action, to prevent the occurrence of quality relevant non-conformities and to assist in prompt identification, if they should arise.

**5.11.2** Preventive action includes:

- ensuring availability and use of appropriate and up-to-date sources of information;
- regular in-process verifications;
- systematic analysis of quality records relating to non-conformities, audit results, client complaints, service reports and management review records.

**5.12. Corrective action**

**5.12.1** The inspection body shall take corrective action whenever necessary, in order to initiate process improvement whenever deficiencies are detected in the quality system and/or in the vehicle inspection process and to prevent the recurrence of any identified quality relevant non-conformities.

**5.12.2** Reasons why corrective action may be necessary include:

- failures, malfunctions or non-conformities in vehicle inspection equipment;
- inadequate or non-existent procedures and documentation;
- non-conformities identified through in-process control, analysis of vehicle inspection records, audit observations, client complaints, service reports, management review results or observations and reports by staff, e.g.:
  - non-compliance with procedures;
  - poor scheduling;
  - lack of training;
  - inadequate working conditions;
  - inadequate availability of staff and/or material resources.

**5.12.3** In order to keep corrective action useful and effective, the inspection body shall:

- clearly state when corrective action is required, accepting that corrective action shall be commensurate with the quality relevance of the deficiencies and problems encountered;
- clearly establish the responsible staff who shall have authority to take corrective action;
- define how the corrective action shall be carried out;
- fix limit target dates for implementing the corrective action;
- bring the implemented corrective action to the attention of the staff having responsibility in the activity concerned, e.g. by means of appropriate amendments to the relevant procedures and/or documents;
- verify the effectiveness of corrective action.

**5.12.4** Regarding the technical part of the vehicle inspection process, corrective action shall:

- be required at each time any quality-relevant non-conformity is identified or detected;
- be taken immediately;
- be the responsibility of the highest level manager (or of his deputy) in the relevant inspection centre;
- be documented and brought to the attention of all technical inspectors concerned;
- be checked for its effectiveness by means of a timely internal quality audit.

**5.12.5** The inspection body shall keep records of all corrective actions.

### 5.13. Quality audits

**5.13.1** The inspection body shall plan and carry out periodic quality audits, in order to:

- verify whether the quality of the vehicle inspection process still complies with the criteria specified in this Recommendation;
- determine whether the quality system effectively achieves the quality objectives stated by the inspection body's executive management in its quality policy;
- provide an opportunity to improve the inspection body's quality system.

**5.13.2** Quality audits shall be held on the technical part of the vehicle inspection process at least once a year. For less quality relevant parts, quality audits may be scheduled on a two yearly basis.

**5.13.3** In addition to the periodic quality audits, a quality audit may be initiated for any of the following reasons:

- an initial evaluation to verify that the quality system has being correctly implemented;
- when significant changes have been made, e.g. reorganisations and/or procedure revisions;
- when the performance or quality level of the services provided are in, or are suspected to be in, jeopardy, due to non-conformities;
- to verify that necessary corrective actions have been taken and effectively implemented;
- to evaluate an inspection body's quality system against a quality system standard.

**5.13.4** Quality audits shall be carried out by auditors who are independent of the activity being audited and have suitable competence, knowledge and qualification. Preferably, they should report direct to the executive management.

**5.13.5** It is recommended that quality audits are undertaken in accordance with the provisions of the EN ISO 10011.

**5.13.6** The results of quality audits shall be recorded and brought to the attention of the staff having responsibility in the activity audited. The management responsible for that activity shall take appropriate corrective actions on deficiencies found during the audits, according to the provisions of chapter 5.11. and 5.12. of this Recommendation.

### 5.14. Quality system review

**5.14.1** The inspection body's executive management shall review annually the quality system in order to ensure its continuing suitability and effectiveness in satisfying the requirements of this Recommendation and the inspection body's stated quality policy and objectives.

**5.14.2** The quality system review should include the following items:

- the organisational structure, including the adequacy of staff and resources,
- the degree of implementation and status of the quality system,
- the actual quality of the vehicle inspections compared to the required quality,
- the information received through client feedback, quality audits and vehicle inspection performance.

**5.14.3** The quality system review shall be well structured, on either a systematic or random basis, giving chronic problem areas special attention. The results shall be analysed for trends and indications of systematic problems and be discussed with the staff concerned. Necessary changes and corrective actions shall be taken and implemented, according to the provisions of chapter 5.11 and 5.12 of this Recommendation.

Note: The results of quality audits shall form an integral part of the input into the annual quality system review by the inspection body's executive management.

**5.14.4** The inspection body shall keep records of the results of the quality system reviews.

## **6. VEHICLE INSPECTION FACILITIES AND EQUIPMENT**

### **6.1. General requirements**

**6.1.1** The inspection body shall ensure that suitable and adequate facilities and equipment to perform the vehicle inspections in conformity with the prescribed requirements are available.

**6.1.2** Unless climatic conditions allow, most vehicle inspections should be carried out in closed buildings, excepted for those parts of the vehicle inspection process that generate significant environmental stress like noise or emissions.

**6.1.3** The buildings used as vehicle inspection centres:

- should preferably have a "drive-through" lay-out, i.e. different doors for entry and exit;
- shall be designed with sufficient space for the technical inspectors to perform vehicle inspections adequately and correctly and in safe and secure conditions;
- should be provided with adequate heating and ventilation systems;
- should have sufficient and suitable outside parking for the vehicles waiting for inspection;
- shall have adequate sanitary facilities, preferably separate ones for staff and visitors.

**6.1.4** Vehicle inspection equipment shall conform to the provisions defined in European Directive 96/96/EC or equivalent national or international regulations.

In the absence of specific provisions in the Directive, national or international regulations, equipment must be fully suitable and appropriate for undertaking the specified tests.

**6.1.5** In particular, vehicle inspection centres shall have available for use at least the following equipment according to the category or categories of vehicles to be inspected and the inspection procedures to be used *as prescribed in national regulations*:

- weigh-bridge or other weighing equipment;
- roller brake tester;
- decelerometer;
- pit or platform hoist, both equipped with a movable vehicle jack and artificial lightning;
- play detector (at least for vehicles with a gross vehicle mass over 3,500 kg);

- headlight tester, preferably mounted on rails, with suitable even standing surface for the vehicle;
- opacimeter, suitable for analysing diesel engine smoke;
- exhaust gas analyser, capable of measuring at least carbon monoxide (in %) and the  $\lambda$ -value of catalytic systems;
- manometer, appropriate for measuring air pressures in pneumatic brake systems.

**6.1.6** Inspection centres may have available and/or use other and/or supplementary equipment for specific purposes.

**6.1.7** The inspection body shall select vehicle inspection equipment meeting the accuracy and precision requirements specified in the relevant legal and regulatory provisions.

**6.1.8** The measuring equipment shall be used in a manner that ensures that the measurement uncertainty is known and is consistent with the required measurement capability.

## **6.2. Control and maintenance**

**6.2.1** All vehicle inspection equipment used shall be properly identified, e.g. using indestructible markings or labels.

**6.2.2** The vehicle inspection body shall ensure that vehicle inspection equipment is handled, preserved and stored so that accuracy, fitness and suitability are properly maintained. The condition of quality relevant vehicle inspection equipment that has been stored shall be assessed before use to detect any deterioration and/or non-conformity.

**6.2.3** The vehicle inspection equipment shall be safeguarded from adjustments that would invalidate the calibration setting.

**6.2.4** Out of calibration or otherwise non conforming vehicle inspection equipment shall be marked as such (e.g. "out of use") and shall be adequately protected against use until corrective action, adjustment and/or re-calibration has been taken and its conformity with the specified requirements has been re-established.

**6.2.5** Where relevant, vehicle inspection equipment shall have regular in-service functional checks between the programmed calibrations. In-service functional checks shall at least be at the following frequencies:

- |                        |                                     |
|------------------------|-------------------------------------|
| - brake tester         | once per month;                     |
| - headlight tester     | once per week;                      |
| - opacimeter           | once per day, before the first use; |
| - exhaust gas analyser | once per day, before the first use. |

**6.2.6** If the inspection body uses computers or other automated equipment in the vehicle inspection process, it shall ensure that computer software is checked and tested, prior to its release for use and regularly during in-service use, to ensure its adequacy and capability for the intended purpose.

### 6.3. Calibration

- 6.3.1** The inspection body shall ensure that there are proper arrangements to adequately control and calibrate vehicle inspection equipment before and during use, in order to ensure its accuracy, its conformity to the relevant requirements and its continued suitability and to provide confidence in decisions based on measurements.
- 6.3.2** The calibration procedures, sometimes known as calibration programmes, shall define the calibration processes, their environmental conditions, their frequency, the acceptance criteria and the action to be taken when the results are found unsatisfactory and/or inadequate.
- 6.3.3** Quality relevant vehicle inspection equipment shall be calibrated before first use and at least at the following frequencies during in-service use *or at other frequencies as prescribed in national regulations*:
- |                        |            |
|------------------------|------------|
| - brake tester         | 6 months;  |
| - headlight tester     | 6 months;  |
| - opacimeter           | 6 months;  |
| - exhaust gas analyser | 6 months;  |
| - manometer            | 12 months. |
- 6.3.4** Calibration shall be done, where appropriate, against certified equipment having a known and traceable relationship to internationally or nationally recognised standards. Where no such standards exist, the basis used for calibration shall be fully documented, according to the equipment manufacturer's recommendation, if any.
- 6.3.5** If vehicle inspection equipment is found to be out of calibration or there are any other systematic errors, the validity of the vehicle inspection results since the date of last calibration shall be re-assessed. If there was any relevant non-conformity, the vehicle inspection body shall, as soon as practicable inform the owners/keepers of the affected vehicles and invite them immediately for re-inspection, making it clear that there will be no charge for the inspection.
- 6.3.6** The calibration status shall be shown clearly on relevant vehicle inspection equipment, preferably by means of suitable markers or labels, indicating at least the date of the last calibration and the date the next calibration is due.
- 6.3.7** Reference measurement standards held by the inspection body shall be used for calibration only and not for other purposes. Only competent bodies who can provide traceability to international or national measurement standards shall calibrate reference measurement standards.
- 6.3.8** The inspection body shall keep records of all calibrations performed.

### 6.4. Purchasing

#### 6.4.1 General requirements

- 6.4.1.1** The inspection body shall ensure that quality relevant vehicle inspection equipment that is purchased conforms to the relevant requirements of its quality system or of this Recommendation and to the applicable legal and technical provisions.

- 6.4.1.2** The inspection body shall clearly define the persons who have the authority:
- to review and approve the purchasing documents and data for adequacy prior to their release;
  - to perform receiving verifications, so that the vehicle inspection equipment can be released for use or to initiate appropriate corrective action (including the reassessment of the supplier) if non-conformities are identified.
- 6.4.1.3** The inspection body shall keep records of purchase orders and receiving verifications. Analysis of these records may be useful to determine trends in the quality performance of sub-contractors.

#### **6.4.2 Purchasing orders**

The inspection body shall ensure that the documents for purchasing quality relevant vehicle inspection equipment shall clearly and completely describe the equipment ordered, including:

- the type, class or other precise identification;
- the precise technical specification, including any necessary drawings;
- any relevant technical data or reference to any applicable technical information and/or standard;
- if applicable, the title, number and issue of the relevant standard.

#### **6.4.3 Receiving verification**

- 6.4.3.1** The inspection body shall ensure that new quality relevant vehicle inspection equipment is not released for use until it has been verified as fulfilling all the supplier's contractual obligations and as conforming to the purchasing order requirements and, if appropriate, to other specified technical or quality requirements.
- 6.4.3.2** Receiving verification shall focus on the following items:
- correct number, proper identification, no apparent damage;
  - presence of relevant supporting documentation and technical data.

### **7. SPECIFIC REQUIREMENTS FOR THE VEHICLE INSPECTIONS**

#### **7.1. General requirements**

The inspection body shall establish, maintain and document all the procedures necessary to ensure that vehicle inspections are performed adequately, correctly and completely, in conformity to prescribed requirements, and to verify that all provisions of these requirements are met.

#### **7.2. Vehicle inspection procedures**

The inspection body shall have and apply fully documented methods and procedures against whose requirements vehicle conformity is to be determined. The methods and procedures could be defined either in national legislation or in the following documents;

- a) European Union Directive 96/96/EC;
- b) CITA Recommendation N° 1: Inspection of Motor Vehicles;
- c) CITA Recommendation N° 2: Additional items to be inspected on Public Service Vehicles;

- d) CITA Recommendation N° 5: Inspection of Motorcycles;
- e) CITA Recommendation N° 6: Inspection of the installation and operation of LPG equipment for the propulsion of motor vehicles;
- f) CITA Recommendation N° 8: Brake testing procedures
- g) CITA Recommendation N° 4: Decisions to be taken with reference to technical modifications carried out on vehicles in use.

### **7.3. Vehicle inspection planning**

The inspection body shall plan vehicle inspections, giving sufficient attention to the real availability of human and material resources, in order to allow:

- the technical inspectors sufficient time to fulfil their duties, without stress that could affect quality;
- the vehicle owners or operators to have their vehicles inspected in a reasonable time and under acceptable conditions.

### **7.4. Handling of vehicles submitted to vehicle inspections**

**7.4.1** The inspection body shall ensure that the vehicles submitted for inspection are carefully handled and protected during the vehicle inspection process, in order to prevent any damage, deterioration or contamination.

**7.4.2** The inspection body shall ensure that any confusion regarding the identity of vehicles submitted for inspection is avoided by at least checking the vehicle identification number (VIN).

**7.4.3** The technical inspector in charge shall have authority to refuse to perform the relevant inspection, verification or test until the vehicle has been put into a satisfactory condition, if there are technical reasons which -

- i. make it unsafe to undertake an inspection (e.g. significant risk of fire, tyre in a dangerous condition);
- ii. could result in damage to the vehicle if the inspection is performed (e.g. engine not properly maintained so could be damaged by a free acceleration test);
- iii. make it impossible to carry out a proper inspection (e.g. lack of fuel, underside covered in excess mud or oil, but not original design features of the vehicle).

### **7.5. Vehicle inspection sub-contracting**

**7.5.1** The inspection body shall normally perform the vehicle inspections itself. Vehicle inspections shall only be sub-contracted in very exceptional circumstances when the inspection body is prevented from performing the vehicle inspection itself and provided the responsible authority has agreed.

**7.5.2** Full responsibility for determining the conformity of inspected vehicles with the relevant requirements remains with the inspection body even when part or all of the inspection is sub-contracted.

### **7.6. Other requirements for the vehicle inspection process**

**7.6.1** The inspection body shall ensure that vehicle inspections are performed giving due consideration to environment protection, health and safety, in conformity to relevant international and/or national legal provisions.

- 7.6.2 Technical inspectors shall have ready access to up-to-date documents, instructions, standards, written procedures, work-sheets and reference data relevant to their work.
- 7.6.3 The inspection body shall ensure that all relevant parts of the vehicle inspections are performed on each specific vehicle by ensuring that the vehicle inspection process provides a way of knowing the status of an inspected or tested vehicle.
- 7.6.4 All calculations and data relating to the vehicle inspection process shall be subject to appropriate conformity checks.
- 7.6.5 If unused test certificates need to be stored, they shall be kept in a secure place.

## 7.7. Vehicle inspection reports and vehicle inspection certificates

- 7.7.1 The inspection body shall ensure that for all vehicle inspections there is a retrievable vehicle inspection report (consisting of information for internal and audit purposes) and a vehicle inspection certificate (legal evidence for the owner or operator that the vehicle has been submitted for inspection).
- 7.7.2 Before issuing a vehicle inspection certificate, the inspection body shall ensure that:
  - all specified inspections, verifications and tests have been performed adequately, correctly and completely;
  - all associated data and documentation are available.
- 7.7.3 The vehicle inspection reports and vehicle inspection certificates shall include the final evaluation of the inspection results and all other information needed to understand and interpret them correctly.
- 7.7.4 The vehicle inspection reports shall include at least following information:
  - name of the vehicle inspection body, preferably by a standardised heading;
  - where the vehicle inspection was performed;
  - date of the vehicle inspection;
  - unique identifier for each report, e.g. a report serial number or the vehicle chassis number and/or the registration number;
  - identity of the vehicle inspected;
  - deviations, if any, to the standard inspection and/or testing procedures;
  - relevant data obtained from measurements during the vehicle inspection process;
  - signature and title or an equivalent marking of the staff who performed the quality relevant parts of the vehicle inspection and of the staff responsible for its final evaluation.
- 7.7.5 All information on vehicle inspection reports and certificates shall be reported accurately, clearly and unambiguously. Data or results supplied by sub-contractors shall be clearly identified and marked as such.
- 7.7.6 Corrections and/or additions on vehicle inspection certificates shall not be allowed. If any correction or addition is necessary, the spoilt certificate shall be withdrawn and a new vehicle inspection certificate issued.
- 7.7.7 Vehicle inspection reports and certificates shall be produced and signed or otherwise approved by authorised staff persons only.

## 7.8. Vehicle inspection records

**7.8.1** The inspection body shall establish and keep records of all vehicle inspections performed, including those performed by sub-contractors.

**7.8.2** The vehicle inspection records shall be held securely and kept confidential to the vehicle owner or operator, unless otherwise specified by relevant international or national legislation.

## **8. COMPLAINTS AND APPEALS**

**8.1.** The inspection body shall have implemented a documented procedure for dealing with complaints about its vehicle inspection activity.

**8.2.** The inspection body shall have implemented a documented procedure for considering and resolving appeals against the results of vehicle inspections and related decisions.

**8.3.** Complaints and appeals shall be dealt with in an unbiased manner.

**8.4.** The inspection body shall keep records of all complaints and appeals received and of the actions taken.

## **9. QUALITY RECORDS**

**9.1.** The inspection body shall have implemented a procedure for adequate and correct collection, identification, indexing, filing, storage, maintenance and disposition of all quality relevant records, including those of quality relevance concerning sub-contractors. The quality records shall be legible and shall be stored in facilities that provide a suitable environment to prevent damage, deterioration and loss. They shall be adequately protected against unauthorised access, but shall be readily accessible and retrievable as and when needed.

**9.2.** At least the following quality records shall be kept:

**9.2.1** vehicle inspection reports;

**9.2.2** vehicle inspection equipment receiving reports;

**9.2.3** calibration data and reports;

**9.2.4** staff qualification, training and experience;

**9.2.5** quality audit reports;

**9.2.6** quality system review reports;

**9.2.7** corrective action reports.

**9.3.** Thorough analysis of quality records shall be done as they provide an important input for identifying trends in quality measures and the need for corrective action and improvement.

**9.4.** Unless otherwise specified in any relevant legislation or regulation, the retention time of quality records shall be at least three years for the items listed in 9.2.1-9.2.3 and five years for the items listed in 9.2.4 - 9.2.7.

*Note:* Quality records may be stored and/or copied in any suitable form e.g. as paper copy or electronic media.

## **10. CO-OPERATION**

### **10.1. Co-operation with authorities or other bodies granting accreditation**

**10.1.1** The inspection body shall afford the authority or body granting accreditation such reasonable co-operation as necessary to enable this authority or body to monitor the inspection body's compliance with the requirements of this Recommendation and with any other relevant criteria. In particular, the inspection body shall afford the accreditation body's representatives access to all relevant areas in inspection centres for witnessing vehicle inspections and to all quality relevant documents, in order to verify the inspection body's capability and its compliance to the relevant legal and technical requirements.

**10.1.2** With regard to its accreditation, the inspection body shall:

- pay all fees for assessment and surveillance as determined by the authority or body granting accreditation, having regard to the real costs involved;
- not use its accreditation in a manner likely to bring the authority or body granting accreditation into disrepute and shall not make any statement relevant to its accreditation which the authority or body granting accreditation might reasonably consider to be misleading;
- immediately inform the authority or body granting accreditation of any changes bearing on its compliance with the requirements of this Recommendation and other quality relevant criteria.
- not use in any communication media any misleading terminology to make reference to its accredited status

## **10.2. Co-operation with other bodies performing road vehicle inspections**

The inspection body is expected to participate, as appropriate, in exchanges of experience with authorities and other vehicle inspection bodies and in drafting national, European or international standards concerning vehicle inspection, with the object of formulating inspection procedures and improving the overall quality of vehicle inspections.

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## Annex A

(informative)

### Bibliography

- [1] ISO 8402: 1986 *Quality - Vocabulary*
  - [2] EN ISO 9000-1:1994: *Quality management and quality assurance standards - Part 1: Guidelines for selection and use.*
  - [3] EN ISO 9000-2: 1993 *Quality management and quality assurance standards - Part 2: Generic guidelines for the application of ISO 9001, ISO 9002 and ISO 9003.*
  - [4] EN ISO 9002: 1994 *Quality systems - Model for quality assurance in production, installation and servicing.*
  - [5] EN ISO 9004-1:1994 *Quality management and quality system elements - Part 1: Guidelines*
  - [6] EN ISO 9004-2:1991 *Quality management and quality system elements - Part 2: Guidelines for services.*
  - [7] EN 45004:1995 *General criteria for the operation of various types of bodies performing inspection.*
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## RECOMMENDATION No 9

### B. QUALITY SYSTEM FOR ROAD VEHICLE INSPECTION BODIES UNDER THE DIRECT SUPERVISION OF A DESIGNATED AUTHORITY

#### INTRODUCTION

This CITA Recommendation and the related Recommendation number 9 A have been drawn up with the objective of promoting confidence in inspection bodies performing mandatory inspections of road vehicles that can show that they comply with their requirements.

In general, inspection bodies performing mandatory inspections of road vehicles carry out these inspections on behalf of public authorities, according to prescribed laws, regulations, standards, directives or specifications, with the objective of certifying the conformity of the inspected vehicles with the requirements of these provisions.

This Recommendation applies to inspection bodies that are not fully independent of the owner or operator of the vehicle being inspected or are involved in the maintenance, repair or sale of vehicles or vehicle components but which operate under the direct supervision of the State or an authority designated by the State.

The CITA Recommendation has been drawn up in the light of experience by inspection bodies who have performed mandatory inspections of road vehicles for many years, taking into account the relevant provisions of the International and European Standards EN ISO 9002 and EN 45004.

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## 1. SCOPE

- 1.1. This Recommendation specifies quality management requirements an inspection body has to meet if it is to be recognised as being competent to carry out mandatory inspections of road vehicles, according to prescribed requirements.
- 1.2. This Recommendation is applicable to inspection bodies that are not fully independent of owner or operator of the vehicle being inspected or are involved in the maintenance, repair or sale of vehicles or vehicle components but which operate under the direct supervision of the State or an authority designated by the State.
- 1.3. This recommendation is for use by inspection bodies in developing their quality, administrative and technical systems that govern their operations. It is also for use by regulatory authorities involved in supervising or confirming the competence of inspection bodies.

## 2. DEFINITIONS

For the purpose of this Recommendation, the definitions given in ISO 8402 and in EN 45020 and the following definitions apply.

### 2.1. Vehicle inspection

Process to perform mandatory inspection (including any associated testing) of road vehicles according to prescribed requirements and to determinate the conformity of the inspected vehicles to those requirements, on the basis of a professional judgement.

### 2.2. Prescribed requirements

List of items to be inspected and/or tested that are prescribed or otherwise specified in the territory where the inspection is performed, such as European Union directive 96/96/EC or other equivalent national or international specification.

### 2.3. Inspection body

Public or private organisation (authority, company, corporation, enterprise or institution) authorised and supervised by a national government or governmental authority to perform mandatory vehicle inspections.

### 2.4. Technical inspector

Person in an inspection body carrying out all or part of the technical aspects of a vehicle inspection.

### 2.5. Vehicle inspection centre

Facilities (i.e. building and mobile units) used by an inspection body to perform vehicle inspections.

### 2.6. Vehicle inspection equipment

All equipment, including computer hardware and software, directly used for vehicle inspections, i.e. for examinations, verifications, measurements and testing.

## 2.7. CITA

"International Motor Vehicle Inspection Committee" (*"Comité International de l'Inspection Technique Automobile"*), a world-wide non-profit making association of inspection bodies and related organisations, constituted according to Belgium law, with category 2 advisory status at the United Nations Economic Commission for Europe.

## 3. ADMINISTRATIVE REQUIREMENTS

- 3.1. The inspection body, or the organisation of which it is a part, shall be legally identifiable.
- 3.2. *Not applicable*
- 3.3. If the inspection body is involved in activities other than vehicle inspection, these activities shall be clearly defined.
- 3.4. Unless its business conditions, including its functions, the scope of its activity and the list of applicable fees, are not ruled by international and/or national laws or regulations, the inspection body shall have a documented description of the conditions, including the due fees, under which it is doing its business. This documentation shall be available to all parties interested.
- 3.5. Unless its liability is assumed by the State in accordance with national laws, the inspection body shall have liability insurance covering material damages and personal damages according to national law.
- 3.6. *Not applicable*

## 4. IMPARTIALITY, INTEGRITY, CONFIDENTIALITY

- 4.1. If not specified by national laws, the inspection body shall be impartial to the extent required with regard to the conditions under which it performs vehicle inspections.
- 4.2. The inspection body shall provide safeguards within the organisation to ensure adequate segregation of responsibilities and accountabilities in the provision of inspection services by organisation and/or documented procedures.
- 4.3. Unless otherwise specified in international and/or national laws or regulations, all interested parties shall have access to the services of the inspection body. There shall not be undue conditions, particularly concerning fees. The procedures under which the inspection body operates shall be administrated in a non-discriminatory manner.
- 4.4. Unless otherwise specified by national laws or regulations, the inspection body shall ensure confidentiality of all personal information obtained from outside or generated internally in the course of its vehicle inspection activities.
- 4.5. The inspection body's staff shall be committed contractually to impartiality, integrity and confidentiality, and any breach of these commitments may result in dismissal.

## 5. QUALITY MANAGEMENT REQUIREMENTS

### 5.1. General requirements

The inspection body applying the quality system according to the provisions of the present recommendation shall be under the supervision of an authority designated for that purpose by the national government.

**5.1.1** The supervising authority shall be:

**5.1.1.1** a national or state government department or agency, or

**5.1.1.2** an authority that has been authorised by the national or state government and which satisfies the requirements of paragraph 4.1 in part A.

### 5.2. Quality policy

**5.2.1** The inspection body's executive management shall clearly define and document its policy and objectives for quality, including its own commitment to quality in general and to the requirements of this Recommendation in particular.

**5.2.2** The quality policy and its objectives shall be consistent with the *quality policy and/or* expectations of the government or authorising authority and of *the public*, vehicle owners and operators, and also with the inspection body's own organisational goals and objectives, taking account of cost/benefit considerations.

**5.2.3** The executive management shall ensure:

**5.2.3.1** that the inspection body's quality policy is written in simple language and is understood by all its staff;

**5.2.3.2** that the quality policy achieves its quality objectives by implementing an effective quality system and by providing adequate and sufficient resources and training to support its development and implementation;

**5.2.3.3** that the quality system is maintained without any deviations at all levels of the inspection body's organisation by providing adequate and sufficient resources and training, through the permanent control of all quality relevant processes and by immediate corrective action, whenever required or indicated.

### 5.3. Quality system

#### 5.3.1 General requirements

**5.3.1.1** The inspection body shall establish, document and maintain a quality system to implement quality management and to ensure that the objectives of the inspection body's quality policy are continuously achieved, so that:

- the governmental authorities and vehicle owners and operators are satisfied with the services provided;
- vehicle inspections are carried out adequately, correctly and efficiently, in conformity to the requirements of this Recommendation and of all relevant legal and technical requirements

**5.3.1.2** So that it is a cost/effective aid in the control of quality, the quality system shall be reasonably adapted to the inspection body's size and volume of activity, i.e. the number of vehicle inspections performed.

### 5.3.2 Quality manual

- 5.3.2.1** The inspection body's quality system shall be fully documented by means of a quality manual. Normally, the quality manual shall consist of an overall quality manual, outlining the structure of the quality system and covering the general quality requirements of this Recommendation, supported by one or more specific quality procedures, covering the more particular aspects of the different parts of the vehicle inspection process.
- 5.3.2.2** The overall quality manual shall contain a detailed and updated distribution list, or make reference to such a list, for both the overall quality manual itself and the specific quality procedures.

### 5.3.3 Quality procedures

- 5.3.3.1** The quality procedures, being an integral part of the inspection body's quality system, shall be consistent with the requirements of this Recommendation and the inspection body's quality policy.
- 5.3.3.2** The range and detail of the quality procedures shall depend upon the complexity of the function, the working method used and the qualifications and training of the persons carrying it out. They should be simple, unambiguous, understandable and as short as possible.

Note: Documented procedures may make reference to work instructions that define in detail how an activity shall be performed.

## 5.4. Organisational structure

The inspection body shall have an organisational structure that enables it to maintain its capability to perform vehicle inspections adequately and correctly and with the desired quality.

## 5.5. Staff resources and management

### 5.5.1 General requirements

- 5.5.1.1** Sufficient staff shall be made available for all the functions, including management, training, documentation and verifications as well as internal quality audits.
- 5.5.1.2** In particular, the inspection body shall have a sufficient number of permanent technical inspectors with the relevant knowledge of road vehicle technology and the required expertise to perform adequately and correctly vehicle inspections and all other functions directly related to the vehicle inspection process.
- 5.5.1.3** The technical inspectors shall be employees of the inspection body or under contract to the inspection body provided the terms of the contract ensure that inspectors have the same qualifications, experience, training, control and supervision as permanent employees.
- 5.5.1.4** The remuneration of the technical inspectors shall not depend directly upon the number of vehicle inspections they individually perform or on the results of the inspections.

## 5.5.2 Manager

- 5.5.2.1** The inspection body shall have a manager, who
- is qualified and experienced in the operational procedures for vehicle inspections;
  - is responsible to the supervising authority for ensuring that the vehicle inspections are performed in conformity to the requirements of this Recommendation and the relevant regulations, standards and directives; and
  - has defined and adequate authority for all quality assurance matters and in particular for ensuring that a quality system is established, implemented and maintained in accordance with the requirements of this Recommendation and those of the supervising authority.

- 5.5.2.2** The manager shall be a permanent employee.

## 5.5.3 *Not applicable*

## 5.5.4 Deputising, guidance and supervision

- 5.5.4.1** The inspection body shall have a named person who shall deputise when the appointed manager is absent.
- 5.5.4.2** The inspection body shall provide effective guidance and supervision, particularly for the technical inspectors, by persons familiar with the vehicle inspection process and the evaluation and assessment of the results of vehicle inspections.

## 5.5.5 Job descriptions, qualification and training

- 5.5.5.1** The inspection body shall make all staff in its organisation, whose function and work directly affect the quality of vehicle inspections aware of their responsibility and authority in quality matters. All such functions shall be clearly described and documented in appropriate job descriptions, which include the minimum requirements for education, qualifications, training, technical knowledge and experience.
- 5.5.5.2** *Not applicable.*
- 5.5.5.3** The technical inspectors shall have sufficient knowledge of the road vehicle technology so that they can make professional judgements on the conformity of vehicles to the prescribed requirements. They shall have at least a medium level qualification in vehicle mechanics and technology, according to national requirements. They shall be approved by the supervising authority.
- 5.5.5.4** The inspection body shall develop an appropriate training plan and shall ensure that responsible managers and technical inspectors, as well as other staff, whose functions and work directly affect the quality of the vehicle inspections, attend regular training and/or education courses.
- 5.5.5.5** All staff shall be trained to operate correctly the quality system and its procedures and documents to the satisfaction of the supervising authority.
- 5.5.5.6** The education and training courses shall take into account the qualifications and experience of the staff involved and the individual training needs required for satisfactory performance, particularly for new recruits or staff transferred to new assignments.

- 5.5.5.7** The technical inspectors shall attend at least three days (24 hours in total) educational courses each year.
- 5.5.5.8** The education courses shall include specific technical training necessary for performing vehicle inspections and will focus on new technical developments and recent changes and amendments of the prescribed requirements, in order to keep relevant staff, particularly the appointed manager and technical inspectors up-to-date.
- 5.5.5.9** The education courses shall also include general and quality related training to instil and to heighten quality awareness. Special consideration shall also be given to provide staff with effective and adequate customer communication skills.
- 5.5.5.10** The inspection body shall keep up-to-date records about the qualifications, training and experience of each member of staff, which can be used to identify any gaps in training.

### **5.5.6 Responsibility and authority**

Adequate authority and organisational freedom shall be delegated to staff managing, performing and verifying work affecting the quality of vehicle inspections, in order to allow them to exercise their responsibilities for achieving the inspection body's quality objectives with the desired efficiency, in particular by:

- initiating all necessary actions to prevent the occurrence of any non-conformities;
- identifying and recording any quality relevant problems and initiating, recommending or providing appropriate solutions,
- monitoring the implementation of agreed corrective action and initiating further development until the deficiency or the unsatisfactory condition has been corrected.

## **5.6. Document and data control**

**5.6.1** The inspection body shall establish and maintain documented procedures to control all documentation and data directly related to the inspection body's quality system in general and to the vehicle inspection process in particular. The procedures shall apply to internal as well as to external documentation (e.g. European directives, international or national regulations and standards).

*Note:* Documents and data may be recorded and produced using any type of media, e.g. paper copy or electronic media.

**5.6.2** The document and data control procedures shall clearly state for all relevant documents and data:

- when and how they shall be reviewed, which should be at least each time a legal or technical regulation relevant to vehicle inspection is significantly amended;
- who is responsible for their development, review, update, change, approval, issue, recording, distribution and removal.

**5.6.3** Regarding the document and data control procedures, the inspection body shall ensure that:

- only experienced persons are authorised to develop, review, update, change and approve documents and data prior to their issue and distribution;

- the responsible persons have direct access to all relevant background information upon which to base the development, review and approval of documentation;
- updates, changes or amendments shall be processed in adequate time;
- consideration is given to the effect that a proposed change may have on other parts and/or procedures inside and/or outside the organisation;
- as far as relevant, other affected parties inside and outside of the inspection body, particularly staff and supervising authority, are notified of changes and amendments, as far as relevant;
- all necessary actions are taken prior to the implementation of a change;
- current issues of appropriate and approved documentation are available at all relevant locations and to all relevant staff in charge of operations essential for the effectiveness of the quality system;
- superseded, invalid and obsolete documents are promptly removed from use throughout the organisation, one copy, suitably identified as "obsolete", being filed for at least three years.

**5.6.4** A master list of all relevant documents shall be maintained, identifying who is responsible for approval and for the distribution and revision status.

## **5.7. Vehicle inspection identification**

The inspection body shall ensure by whatever means, that all vehicle inspections are uniquely identified. This is best achieved using, where possible, the vehicle's unique vehicle identification number (VIN), or, if the VIN is not available, a unique combination of the vehicle chassis number, identification number and/or engine number.

## **5.8. Vehicle inspection traceability**

**5.8.1** The inspection body shall ensure by whatever means, that it is possible to trace full details of all vehicle inspections for at least three years.

**5.8.2** If vehicle inspections are carried out by more than one technical inspector, each one of them has to be traceable by recording the individual's identification, using manual, electronic or other means.

**5.8.3** The items of the vehicle inspection equipment used for each vehicle inspection shall be unequivocally identified and recorded.

## **5.9. Vehicle inspection process control**

**5.9.1** The inspection body shall ensure that all quality relevant processes, but in particular the vehicle inspection processes, are carried out under controlled conditions.

**5.9.2** Special consideration shall be given to the under-vehicle inspection process, since it is the most critical part with regard to process quality.

**5.9.3** The vehicle inspection process control shall include:

- documented procedures clearly defining the process, particularly where the absence of such procedures could seriously affect the process quality;
- what facilities and equipment should be used;
- establishment and maintenance of a suitable and safe working environment;

- compliance with relevant reference standards and/or legal and regulatory provisions;
- monitoring and (statistical) control of relevant parameters of process;
- approval of procedures and equipment;
- availability of sufficient and of adequately qualified and trained staff;
- performance criteria, stipulated in the clearest and most practical manner, e.g. written procedures and/or work instructions, representative samples, photographs or illustrations;
- maintenance and calibration arrangements for vehicle inspection equipment, to ensure continuing process capability.

#### **5.10. In-process verifications**

**5.10.1** The inspection body shall ensure that in-process verifications are carried out in order to allow early identification of non-conformities and timely initiation of corrective action.

**5.10.2** For that purpose, appropriate sampling procedures and statistical control techniques shall be used to identify trends before non-conformities actually occur. These statistical evaluations may also be useful for identifying defective processes that require attention and improvement.

#### **5.11. Preventive action**

**5.11.1** The inspection body shall undertake preventive action, to prevent the occurrence of quality relevant non-conformities and to assist in prompt identification, if they should arise.

**5.11.2** Preventive action includes:

- ensuring availability and use of appropriate and up-to-date sources of information;
- regular in-process verifications;
- systematic analysis of quality records relating to non-conformities, audit results, client complaints, service reports and management review records.

#### **5.12. Corrective action**

**5.12.1** The inspection body shall take corrective action whenever necessary, in order to initiate process improvement whenever deficiencies are detected in the quality system and/or in the vehicle inspection process and to prevent the recurrence of any identified quality relevant non-conformities.

**5.12.2** Reasons why corrective action may be necessary include:

- failures, malfunctions or non-conformities in vehicle inspection equipment;
- inadequate or non-existent procedures and documentation;
- non-conformities identified through in-process control, analysis of vehicle inspection records, audit observations, client complaints, service reports, management review results or observations and reports by staff, e.g.:
  - non-compliance with procedures;
  - poor scheduling;
  - lack of training;
  - inadequate working conditions;
  - inadequate availability of staff and/or material resources.

**5.12.3** In order to keep corrective action useful and effective, the inspection body shall:

- clearly state when corrective action is required, accepting that corrective action shall be commensurate with the quality relevance of the deficiencies and problems encountered;
- clearly establish the responsible staff who shall have authority to take corrective action;
- define how the corrective action shall be carried out;
- fix limit target dates for implementing the corrective action;
- bring the implemented corrective action to the attention of the staff having responsibility in the activity concerned, e.g. by means of appropriate amendments to the relevant procedures and/or documents;
- verify the effectiveness of corrective action.

**5.12.4** Regarding the technical part of the vehicle inspection process, corrective action shall:

- be required at each time any quality-relevant non-conformity is identified or detected;
- be taken immediately;
- be the responsibility of the highest level manager (or of his deputy) in the relevant inspection centre;
- be documented and brought to the attention of all technical inspectors concerned;
- be checked for its effectiveness by means of a timely internal quality audit.

**5.12.5** The inspection body shall keep records of all corrective actions.

### **5.13. Quality audits**

**5.13.1** Normally the supervising authority will do quality audits. If this is not the case, or for those items not covered, the inspection body shall plan and carry out periodic quality audits, in order to:

- verify whether the quality of the vehicle inspection process still complies with the criteria specified in this Recommendation;
- determine whether the quality system effectively achieves the quality objectives stated by the inspection body's management in its quality policy;
- provide an opportunity to improve the inspection body's quality system.

**5.13.2** Quality audits shall be held on the technical part of the vehicle inspection process at least once a year. For less quality relevant parts, quality audits may be scheduled on a two yearly basis.

**5.13.3** In addition to the periodic quality audits, a quality audit may be initiated for any of the following reasons:

- an initial evaluation to verify that the quality system has been correctly implemented;
- when significant changes have been made, e.g. reorganisations and/or procedure revisions;
- when the performance or quality level of the services provided are in, or are suspected to be in, jeopardy, due to non-conformities;
- to verify that necessary corrective actions have been taken and effectively implemented;

- to evaluate an inspection body's quality system against a quality system standard.

**5.13.4** *Not applicable.*

**5.13.5** *Not applicable.*

**5.13.6** The results of quality audits shall be recorded and brought to the attention of the staff having responsibility in the activity audited. The management shall take appropriate corrective actions on deficiencies found during the audits, according to the provisions of chapter 5.11. and 5.12. of this Recommendation.

#### **5.14. Quality system review**

**5.14.1** The inspection body's management shall review annually the quality system in order to ensure its continuing suitability and effectiveness in satisfying the requirements of this Recommendation and the inspection body's stated quality policy and objectives.

**5.14.2** The quality system review should include the following items:

- adequacy of staff and resources,
- degree of implementation and status of the quality system,
- actual quality of the vehicle inspections compared to the required quality,
- information received through client feedback, quality audits by the supervisory authority, internal quality audits and vehicle inspection performance.

**5.14.3** The quality system review shall be well structured, on either a systematic or random basis, giving chronic problem areas special attention. The results shall be analysed for trends and indications of systematic problems and be discussed with the staff concerned. Necessary changes and corrective actions shall be taken and implemented, according to the provisions of chapter 5.11 and 5.12 of this Recommendation.

*Note:* The results of quality audits shall form an integral part of the input into the annual quality system review by the inspection body's executive management.

**5.14.4** The inspection body shall keep records of the results of the quality system reviews.

### **6. VEHICLE INSPECTION FACILITIES AND EQUIPMENT**

#### **6.1. General requirements**

**6.1.1** The inspection body shall ensure that suitable and adequate facilities and equipment to perform the vehicle inspections in conformity with the prescribed requirements are available.

**6.1.2** Unless climatic conditions allow, most vehicle inspections should be carried out in closed buildings, excepted for those parts of the vehicle inspection process that generate significant environmental stress like noise or emissions.

**6.1.3** The buildings used as vehicle inspection centres:

- shall be designed with sufficient space for the technical inspectors to perform vehicle inspections adequately and correctly and in safe and secure conditions;
- should be provided with adequate heating and ventilation systems;

- should have sufficient and suitable outside parking for the vehicles waiting for inspection;
- shall have adequate sanitary facilities, preferably separate ones for staff and visitors.

**6.1.4** Vehicle inspection equipment shall conform to the provisions defined in European Directive 96/96/EC or equivalent national or international regulations.

In the absence of specific provisions in the directive, national or international regulations, equipment must be fully suitable and appropriate for undertaking the specified tests.

**6.1.5** In particular, vehicle inspection centres shall have available for use at least the following equipment according to the category or categories of vehicles to be inspected and the inspection procedures to be used *as prescribed in national regulations*:

- weigh-bridge or other weighing equipment;
- roller brake tester or equivalent plate brake tester;
- decelerometer;
- pit or platform hoist, both equipped with a movable vehicle jack and artificial lightning;
- play detector (at least for vehicles with a gross vehicle mass over 3,500 kg);
- headlight tester, preferably mounted on rails, with suitable even standing surface for the vehicle;
- opacimeter, suitable for analysing diesel engine smoke;
- exhaust gas analyser, capable of measuring at least carbon monoxide (in %) and the  $\lambda$ -value of catalytic systems;
- manometer, appropriate for measuring air pressures in pneumatic brake systems.

**6.1.6** Inspection centres may have available and/or use other and/or supplementary equipment for specific purposes.

**6.1.7** The inspection body shall select vehicle inspection equipment meeting the accuracy and precision requirements specified in the relevant legal and regulatory provisions.

**6.1.8** The measuring equipment shall be used in a manner that ensures that the measurement uncertainty is known and is consistent with the required measurement capability.

## **6.2. Control and maintenance**

**6.2.1** All vehicle inspection equipment used shall be properly identified, e.g. using indestructible markings or labels.

**6.2.2** The vehicle inspection body shall ensure that vehicle inspection equipment is handled, preserved and stored so that accuracy, fitness and suitability are properly maintained. The condition of quality relevant vehicle inspection equipment that has been stored shall be assessed before use to detect any deterioration and/or non-conformity.

**6.2.3** The vehicle inspection equipment shall be safeguarded from adjustments that would invalidate the calibration setting.

- 6.2.4** Out of calibration or otherwise non conforming vehicle inspection equipment shall be marked as such (e.g. "out of use") and shall be adequately protected against use until corrective action, adjustment and/or re-calibration has been taken and its conformity with the specified requirements has been re-established.
- 6.2.5** Where relevant, vehicle inspection equipment shall have regular in-service functional checks between the programmed calibrations. In-service functional checks shall at least at the following frequencies:
- brake tester once per month;
  - headlight tester once per week;
  - opacimeter once per day, before the first use;
  - exhaust gas analyser once per day, before the first use.
- 6.2.6** If the inspection body uses computers or other automated equipment in the vehicle inspection process, it shall ensure that computer software is checked and tested, prior to its release for use and regularly during in-service use, to ensure its adequacy and capability for the intended purpose.

### 6.3. Calibration

- 6.3.1** The inspection body shall ensure that there are proper arrangements to adequately control and calibrate vehicle inspection equipment before and during use, in order to ensure its accuracy, its conformity to the relevant requirements and its continued suitability and to provide confidence in decisions based on measurements.
- 6.3.2** The calibration procedures, sometimes known as calibration programmes, shall define the calibration processes, their environmental conditions, their frequency, the acceptance criteria and the action to be taken when the results are found unsatisfactory and/or inadequate.
- 6.3.3** Quality relevant vehicle inspection equipment shall be calibrated before first use and at least at the following frequencies during in-service use or *at other frequencies as prescribed in national regulations*:
- brake tester 6 months;
  - headlight tester 6 months;
  - opacimeter 6 months;
  - exhaust gas analyser 6 months;
  - manometer 12 months.
- 6.3.4** Calibration shall be done, where appropriate, against certified equipment having a known and traceable relationship to internationally or nationally recognised standards. Where no such standards exist, the basis used for calibration shall be fully documented, according to the equipment manufacturer's recommendation, if any.
- 6.3.5** If vehicle inspection equipment is found to be out of calibration or there are any other systematic errors, the validity of the vehicle inspection results since the date of last calibration shall be re-assessed. If there was any relevant non-conformity, the vehicle inspection body shall, as soon as practicable inform the owners/keepers of the affected vehicles and invite them immediately for re-inspection, making it clear that there will be no charge for the inspection.
- 6.3.6** The calibration status shall be shown clearly on relevant vehicle inspection equipment, preferably by means of suitable markers or labels, indicating at least the date of the last calibration and the date the next calibration is due.

**6.3.7** Reference measurement standards held by the inspection body shall be used for calibration only and not for other purposes. Only competent bodies who can provide traceability to international or national measurement standards shall calibrate reference measurement standards.

**6.3.8** The inspection body shall keep records of all calibrations performed.

## **6.4. Purchasing**

### **6.4.1 General requirements**

The inspection body shall ensure that quality relevant vehicle inspection equipment that is purchased conforms to the relevant requirements of its quality system or of this Recommendation and to the applicable legal and technical provisions.

### **6.4.2 Purchasing orders**

The inspection body shall ensure that the documents for purchasing quality relevant vehicle inspection equipment shall clearly and completely describe the equipment ordered, including:

- the type, class or other precise identification;
- the precise technical specification, including any necessary drawings;
- any relevant technical data or reference to any applicable technical information and/or standard;
- if applicable, the title, number and issue of the relevant standard.

### **6.4.3 Receiving verification**

**6.4.3.1** The inspection body shall ensure that new quality relevant vehicle inspection equipment is not released for use until it has been verified as fulfilling all the supplier's contractual obligations and as conforming to the purchasing order requirements and, if appropriate, to other specified technical or quality requirements.

**6.4.3.2** Receiving verification shall focus on the following items:

- correct number, proper identification, no apparent damage;
- presence of relevant supporting documentation and technical data.

## **7. SPECIFIC REQUIREMENTS FOR THE VEHICLE INSPECTIONS**

### **7.1. General requirements**

The inspection body shall establish, maintain and document all the procedures necessary to ensure that vehicle inspections are performed adequately, correctly and completely, in conformity to prescribed requirements, and to verify that all provisions of these requirements are met.

### **7.2. Vehicle inspection procedures**

The inspection body shall have and apply fully documented methods and procedures against whose requirements vehicle conformity is to be determined. The methods and procedures could be defined either in national legislation or in the following documents;

- a) European Union Directive 96/96/EC;
- b) CITA Recommendation N° 1: Inspection of Motor Vehicles;

- c) CITA Recommendation N° 2: Additional items to be inspected on Public Service Vehicles;
- d) CITA Recommendation N° 5: Inspection of Motorcycles;
- e) CITA Recommendation N° 6: Inspection of the installation and operation of LPG equipment for the propulsion of motor vehicles;
- f) CITA Recommendation N° 8: Brake testing procedures
- g) CITA Recommendation N° 4: Decisions to be taken with reference to technical modifications carried out on vehicles in use.

### **7.3. Vehicle inspection planning**

The inspection body shall plan vehicle inspections, giving sufficient attention to the real availability of human and material resources, in order to allow:

- the technical inspectors sufficient time to fulfil their duties, without stress that could affect quality;
- the vehicle owners or operators to have their vehicles inspected in a reasonable time and under acceptable conditions.

### **7.4. Handling of vehicles submitted to vehicle inspections**

**7.4.1** The inspection body shall ensure that the vehicles submitted for inspection are carefully handled and protected during the vehicle inspection process, in order to prevent any damage, deterioration or contamination.

**7.4.2** The inspection body shall ensure that any confusion regarding the identity of vehicles submitted for inspection is avoided by at least checking the vehicle identification number (VIN).

**7.4.3** The technical inspector in charge shall have authority to refuse to perform the relevant inspection, verification or test until the vehicle has been put into a satisfactory condition, if there are technical reasons which -

- i. make it unsafe to undertake an inspection (e.g. significant risk of fire, tyre in a dangerous condition);
- ii. could result in damage to the vehicle if the inspection is performed (e.g. engine not properly maintained so could be damaged by a free acceleration test);
- iii. make it impossible to carry out a proper inspection (e.g. lack of fuel, underside covered in excess mud or oil, but not original design features of the vehicle).

### **7.5. Vehicle inspection sub-contracting**

**7.5.1** The inspection body shall normally perform the vehicle inspections itself. Vehicle inspections shall only be sub-contracted in very exceptional circumstances when the inspection body is prevented from performing the vehicle inspection itself and provided the responsible authority has agreed.

**7.5.2** Full responsibility for determining the conformity of inspected vehicles with the relevant requirements remains with the inspection body even when part or all of the inspection is sub-contracted.

### **7.6. Other requirements for the vehicle inspection process**

**7.6.1** The inspection body shall ensure that vehicle inspections are performed giving due consideration to environment protection, health and safety, in conformity to relevant international and/or national legal provisions.

- 7.6.2 Technical inspectors shall have ready access to up-to-date documents, instructions, standards, written procedures, work-sheets and reference data relevant to their work.
- 7.6.3 The inspection body shall ensure that all relevant parts of the vehicle inspections are performed on each specific vehicle by ensuring that the vehicle inspection process provides a way of knowing the status of an inspected or tested vehicle.
- 7.6.4 All calculations and data relating to the vehicle inspection process shall be subject to appropriate conformity checks.
- 7.6.5 If unused test certificates need to be stored, they shall be kept in a secure place.

## 7.7. Vehicle inspection reports and vehicle inspection certificates

- 7.7.1 The inspection body shall ensure that for all vehicle inspections there is a retrievable vehicle inspection report (consisting of information for internal and audit purposes) and a vehicle inspection certificate (legal evidence for the owner or operator that the vehicle has been submitted for inspection).
- 7.7.2 Before issuing a vehicle inspection certificate, the inspection body shall ensure that:
  - all specified inspections, verifications and tests have been performed adequately, correctly and completely;
  - all associated data and documentation are available.
- 7.7.3 The vehicle inspection reports and vehicle inspection certificates shall include the final evaluation of the inspection results and all other information needed to understand and interpret them correctly.
- 7.7.4 The vehicle inspection reports shall include at least following information:
  - name of the vehicle inspection body, preferably by a standardised heading;
  - where the vehicle inspection was performed;
  - date of the vehicle inspection;
  - unique identifier for each report, e.g. a report serial number or the vehicle chassis number and/or the registration number;
  - identity of the vehicle inspected;
  - deviations, if any, to the standard inspection and/or testing procedures;
  - relevant data obtained from measurements during the vehicle inspection process;
  - signature and title or an equivalent marking of the staff who performed the quality relevant parts of the vehicle inspection and of the staff responsible for its final evaluation.
- 7.7.5 All information on vehicle inspection reports and certificates shall be reported accurately, clearly and unambiguously. Data or results supplied by sub-contractors shall be clearly identified and marked as such.
- 7.7.6 Corrections and/or additions on vehicle inspection certificates shall not be allowed. If any correction or addition is necessary, the spoilt certificate shall be withdrawn and a new vehicle inspection certificate issued.
- 7.7.7 Vehicle inspection reports and certificates shall be produced and signed or otherwise approved by authorised staff persons only.

## 7.8. Vehicle inspection records

**7.8.1** The inspection body shall establish and keep records of all vehicle inspections performed, including those performed by sub-contractors.

**7.8.2** The vehicle inspection records shall be held securely and kept confidential to the vehicle owner or operator and the supervising authority, unless otherwise specified by relevant international or national legislation.

## **8. COMPLAINTS AND APPEALS**

**8.1.** The inspection body shall have implemented a documented procedure for dealing with complaints about its vehicle inspection activity.

**8.2.** The inspection body shall have implemented a documented procedure for considering and resolving appeals against the results of vehicle inspections and related decisions.

**8.3.** Complaints and appeals shall be dealt with in an unbiased manner.

**8.4.** The inspection body shall keep records of all complaints and appeals received and of the actions taken.

## **9. QUALITY RECORDS**

**9.1.** The inspection body shall have implemented a procedure for adequate and correct collection, identification, indexing, filing, storage, maintenance and disposition of all quality relevant records, including those of quality relevance concerning sub-contractors. The quality records shall be legible and shall be stored in facilities that provide a suitable environment to prevent damage, deterioration and loss. They shall be adequately protected against unauthorised access, but shall be readily accessible and retrievable as and when needed.

**9.2.** At least the following quality records shall be kept:

**9.2.1** vehicle inspection reports;

**9.2.2** vehicle inspection equipment receiving reports;

**9.2.3** calibration data and reports;

**9.2.4** staff qualification, training and experience;

**9.2.5** quality audit reports, including those of the supervising authority;

**9.2.6** quality system review reports;

**9.2.7** corrective action reports.

**9.3.** Thorough analysis of quality records shall be done as they provide an important input for identifying trends in quality measures and the need for corrective action and improvement.

**9.4.** Unless otherwise specified in any relevant legislation or regulation, the retention time of quality records shall be at least three years for the items listed in 9.2.1-9.2.3 and five years for the items listed in 9.2.4 - 9.2.7.

Note: Quality records may be stored and/or copied in any suitable form e.g. as paper copy or electronic media.

## 10. CO-OPERATION

### 10.1. Co-operation with supervising authorities

**10.1.1** The inspection body shall afford the supervising authority such reasonable co-operation as necessary to enable this authority or body to monitor the inspection body's compliance with the requirements of this Recommendation and with any other relevant criteria. In particular, the inspection body shall afford the supervising authority's representatives access to all relevant areas in inspection centres for witnessing vehicle inspections and to all quality relevant documents, in order to verify the inspection body's capability and its compliance to the relevant legal and technical requirements.

**10.1.2** With regard to its authorisation, the inspection body shall:

- pay all fees for assessment and surveillance as determined by the supervising authority, having regard to the real costs involved;
- not use its authorisation in a manner likely to bring the supervising authority into disrepute and shall not make any statement relevant to its authorisation which the supervising authority might reasonably consider to be misleading;
- immediately inform the supervising authority of any changes bearing on its compliance with the requirements of this Recommendation and other quality relevant criteria;
- not use in any communication media any misleading terminology to make reference to its authorised status.

### 10.2. Co-operation with other bodies performing road vehicle inspections

The inspection body is expected to participate, as appropriate, in exchanges of experience with supervising authorities and other vehicle inspection bodies.

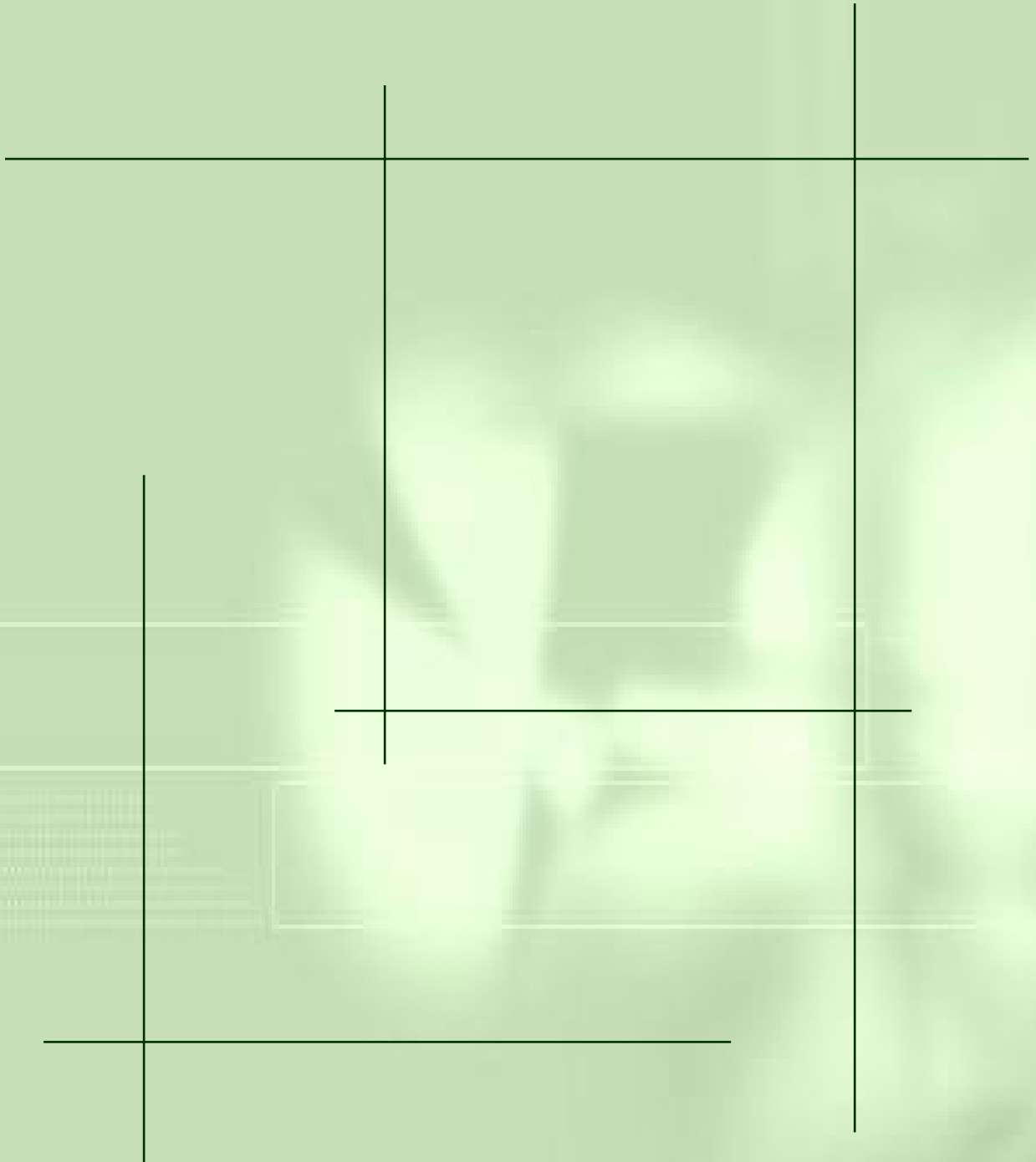
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## Annex A

(informative)

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