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1. Certification outcomes Requirements

What the LTSA expects of you	How the LTSA will assess your performance
1.1 Correct certification outcomes	
<p>You:</p> <ul style="list-style-type: none"> consistently inspect and certify specialist aspects of vehicles and components correctly consistently certify specialist aspects of vehicles or components only if they comply with all legal requirements consistently do not certify specialist aspects of vehicles or components that do not comply with all legal requirements do not deny certification of specialist aspects of vehicles or components if they comply with all legal requirements. 	<p>The LTSA may:</p> <ul style="list-style-type: none"> observe you at work inspect vehicles and components after you have certified them inspect inspection and certification documents.
1.2 Correct technical decisions	
<p>You are consistently correct in determining if the specialist aspects of vehicles or components you are asked to certify comply with all legal requirements, taking into account technical information and information provided by the LTSA.</p> <p>Note The score for this is the average of the correct technical decision scores from the Self-assessment record – Technical Part.</p>	
1.3 Correct use of inspection and certification documents	
<p>Inspection and certification documents are:</p> <ul style="list-style-type: none"> <i>controlled documents</i> – documents you must use and complete as part of your certification work, such as LT 400, <i>uncontrolled documents</i> – any documents developed by you as part of your inspection and certification work, such as check sheets, <i>external documents</i> – any documents supplied by outside parties (e.g. vehicle owners or manufacturers) that you rely on in your inspection and certification work, such as manufacturer's and others' repair instructions, ABS or SRS reports or measurement printouts, Certificates of Design Compliance. 	<p>The LTSA may:</p> <ul style="list-style-type: none"> talk to you observe you at work inspect inspection and certification documents you use and complete.

What the LTSA expects of you	How the LTSA will assess your performance
<p>You consistently comply with all legal requirements (including LTSA requirements) relating to inspection and certification documents. This means you consistently:</p> <ul style="list-style-type: none"> • use the correct <i>controlled documents</i> for the task, i.e. the LT 400 • complete the <i>controlled documents</i> fully, accurately and legibly (originals and duplicates) with particular attention to details such as vehicles' VIN or chassis numbers, and modification and repair details • ensure that all <i>controlled documents</i> are signed by the HVS certifier • develop any <i>uncontrolled documents</i> you need to make, and/or prove, your certification decisions • obtain any <i>external documents</i> you need to make, and/or prove, your certification decisions • handle all certification documents appropriately or as required, e.g. you provide one copy of the LT 400 to the owner or TSD Agent and retain one copy. 	
<p>1.4 Correct entry of certification information</p>	
<p>Currently no information is entered by the HVS certifier.</p> <p>Do not score this section, it is not required.</p>	

1. Certification outcomes Scores

Score:	0	1
1.1	<p>Correct certification outcomes</p> <p>You and your staff regularly do not achieve the correct certification outcomes.</p> <p>This means you regularly:</p> <ul style="list-style-type: none"> do not identify vehicles or components correctly certify vehicles or components that do not comply with the legal requirements. <p>The incorrect certification outcomes are likely to compromise the safety of vehicle occupants or other road users.</p>	<p>You and your staff sometimes do not achieve the correct certification outcomes.</p> <p>This means you sometimes:</p> <ul style="list-style-type: none"> do not identify vehicles or components correctly certify vehicles or components that do not comply with the legal requirements, or deny certification of vehicles or components that do comply with all legal requirements. <p>The incorrect certification outcomes may compromise the safety of vehicle occupants or other road users.</p>
1.2	<p>Correct technical decisions</p> <p>Your score here is the average score of your performance in meeting the LTSA's expectations for 'Correct technical decisions' in the Technical Part of the Performance Review System.</p>	
1.3	<p>Correct use of certification documents</p> <p>You regularly do not comply with the legal requirements (including LTSA requirements) relating to certification documents.</p> <p>This means you regularly do not:</p> <ul style="list-style-type: none"> use the <i>correct controlled documents</i> for the task, or complete the <i>controlled documents</i>, or obtain the <i>external documents</i> you need to make, and/or prove, your certification decisions, or develop the <i>uncontrolled documents</i> you need to make, and/or prove, your certification decisions, or handle certification documents appropriately or as required, e.g. you hand one copy to the owner 	<p>You sometimes do not comply with the legal requirements (including LTSA requirements) relating to certification documents.</p> <p>This means you sometimes do not:</p> <ul style="list-style-type: none"> use the <i>correct controlled documents</i> for the task, or obtain the <i>external documents</i> you need to make, and/or prove, your certification decisions, or develop the <i>uncontrolled documents</i> you need to make, and/or prove, your certification decisions, or handle certification documents appropriately or as required, e.g. you hand one copy to the owner or TSD Agent and file the copy. <p>OR</p> <p>You regularly do not:</p> <ul style="list-style-type: none"> complete the <i>controlled documents</i> fully, accurately and legibly (originals and duplicates), or ensure that all <i>controlled documents</i> are signed

2

You and your staff **usually** achieve the correct certification outcomes.

This means you **usually**:

- identify vehicles and components correctly, and
- certify vehicles or components only if they comply with all legal requirements, and
- do not certify vehicles or components that do not comply with the legal requirements, and
- do not deny certification of vehicles or components if they comply with all legal requirements.

The incorrect certification outcomes do not compromise the safety of vehicle occupants or other road users.

3

You and your staff **consistently** achieve the correct certification outcomes.

This means you:

- consistently identify vehicles and components correctly, and
- consistently certify vehicles or components only if they comply with all legal requirements, and
- consistently do not certify vehicles or components that do not comply with the legal requirements, and
- do not deny certification of vehicles or components if they comply with all legal requirements.

Your score here is the average score of your performance in meeting the LTSA's expectations for 'Correct technical decisions' in the Technical Part of the Performance Review System.

You **usually** comply with all legal requirements (including LTSA requirements) relating to certification documents.

This means you **consistently**:

- use the correct *controlled documents* for the task, and
- obtain any *external documents* you need to make, and/or prove, your certification decisions, and
- develop any *uncontrolled documents* you need to make, and/or prove, your certification decisions, and
- handle certification documents appropriately or as required, e.g. you hand one copy to the owner or TSD Agent and file the copy.

However, you **occasionally** do not:

- complete the *controlled documents* fully, accurately and legibly (originals and duplicates), or
- ensure that all *controlled documents* are signed

You **consistently** comply with all legal requirements (including LTSA requirements) relating to certification documents.

This means you **consistently**:

- use the correct *controlled documents* for the task, i.e. the LT 400, and
- complete the *controlled documents* fully, accurately and legibly (originals and duplicates) with particular attention to details such as vehicles VIN or chassis numbers, and
- ensure that all *controlled documents* are signed, and
- develop any *uncontrolled documents* you need to make, and/or prove, your certification decisions, and
- obtain any *external documents* you need to make, and/or prove, your certification decisions, and
- handle certification documents appropriately or as required, e.g. you hand one copy to the owner or TSD Agent and file the copy.

1. Certification outcomes **Scores**

Score:

0

1

1.4 Correct entry of certification information¹

Not applicable

Not applicable

2

3

Not applicable

Not applicable

2. Competence Requirements

What the LTSA expects of you	How the LTSA will assess your performance
2.1 Technical competence	
<p>You are competent in all technical aspects of the certification work carried out by your business.</p> <p>For example, you must be competent in:</p> <ul style="list-style-type: none"> • the technical assessment of specialist aspects of vehicles and components • legal requirements (including LTSA requirements) • LTSA guidelines • the operation of the equipment that you use. <p>Note The score for this is the average of the technical competence scores from the Self-assessment record – Technical Part</p>	
2.2 Administrative competence	
<p>You are competent in all administrative aspects of the inspection and certification work carried out by your business.</p> <p>For example, you must be competent in:</p> <ul style="list-style-type: none"> • completing checksheets and other relevant inspection and certification documentation • using the Performance Review System, including maintaining the specified records. 	<p>The LTSA may:</p> <ul style="list-style-type: none"> • talk to you • ask questions to check your competence • observe you at work • inspect inspection and certification documents • inspect the records you keep • inspect your <i>Training Record</i>.

2. Competence Scores

Score:	0	1
2.1	Technical competence Your score here is the average score of your performance in meeting the LTSA's expectations for 'Technical competence' in the Technical Part of the Performance Review System.	
2.2	Administrative competence You can demonstrate little or no competence in the administrative aspects of the certification work carried out by your business. This means you have significant gaps in knowledge of, or skills in: <ul style="list-style-type: none"> the correct use of certification documents, or using the Performance Review System 	You can demonstrate some competence in the administrative aspects of the certification work carried out by your business. This means you have some gaps in knowledge of, or skills in: <ul style="list-style-type: none"> the correct use of certification documents, or using the Performance Review System.

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Your score here is the average score of your performance in meeting the LTSA's expectations for 'Technical competence' in the Technical Part of the Performance Review System.

You can demonstrate **adequate** competence in the administrative aspects of the certification work carried out by your business.

This means you can demonstrate **adequate** knowledge of, and skills in:

- the correct use of certification documents
- However, you have minor gaps in knowledge of, and skills in, using the Performance Review System.

You can demonstrate **comprehensive** competence in all administrative aspects of the certification work carried out by your business.

This means you can demonstrate **comprehensive** knowledge of, and skills in:

- the correct use of certification documents, and
- using the Performance Review System.

3. Resources Requirements

What the LTSA expects of you	How the LTSA will assess your performance
3.1 Facilities	
<p>The facilities you use:</p> <ul style="list-style-type: none"> • meet all legal requirements (including LTSA requirements) • are adequate for the nature and volume of the inspection and certification work carried out by your business, e.g. in terms of access, size, lighting, flooring, features, layout, condition and organisation. 	<p>The LTSA may inspect any of the facilities you use.</p>
3.2 Technical equipment	
<p>On the premises you use you have ready access to all technical equipment (including any manuals) required for your certification work, or required by the LTSA, such as tools and inspection equipment.</p> <p>The equipment is in good condition and working order.</p> <p>Note The score for this is the average of the technical equipment scores from the Self-assessment record – Technical Part</p>	
3.3 Administration equipment	
<p>Currently no special administration equipment is required by the HVS certifier.</p> <p>Do not score this section, it is not required</p>	
3.4 Technical information	
<p>On your premises you have, or have ready access to, all technical information required by the LTSA, such as the Vehicle Inspection Requirements Manual or standards.</p> <p>Information required:</p> <p>HVS VIRM</p> <p>HVS PRS</p> <p>HVS certifier Info Memos</p> <p>The information is complete, up-to-date and in good condition.</p>	<p>The LTSA will inspect your technical information.</p>

What the LTSA expects of you	How the LTSA will assess your performance
3.5 Controlled certification documents	
<p>You have available blanks of all controlled documents (<i>LT 400</i>) you must use and complete as part of your inspection and certification work.</p> <p>For SRT certifications, the output of an authorised SRT calculator must be included as part of the certification.</p>	<p>The LTSA may inspect your controlled certification documents.</p>
3.6 Certification staff	
<p>You hold current and appropriate LTSA appointments for the certification work you carry out, unless you are specifically permitted by the LTSA to delegate specified parts of your inspection and certification work to persons who are not required to hold LTSA appointments¹.</p> <p>All persons to whom you have delegated inspection and certification work are competent and qualified to do the specified work.</p> <p>If you are required to drive vehicles as part of your work you hold a current driver's licence for the types of vehicle you are required to drive.</p>	<p>The LTSA may:</p> <ul style="list-style-type: none"> • talk to you • talk to technicians and management of organisations to which you delegate inspection and certification work • observe you at work • inspect your <i>Delegation Record</i> • inspect your driver's licence.

¹ refer to HVS VIRM for duties that may be delegated

3. Resources Scores

Score:		0	1
3.1	Facilities		
	<p>The facilities you use:</p> <ul style="list-style-type: none"> do not meet the legal requirements (including LTSA requirements), or are inadequate for the nature and volume of the certification work carried out by your business. <p>This means the facilities are deficient to an extent that they adversely affect your certification decisions or certification outcomes.</p>	<p>The facilities you use:</p> <ul style="list-style-type: none"> may meet the legal requirements (including LTSA requirements), but are barely adequate for the nature and volume of the certification work carried out by your business. <p>This means there are serious aspects of the facilities that require improvement. Serious aspects are those that, if not improved promptly, may adversely affect your certification decisions or certification outcomes.</p>	
3.2	Technical equipment		
	Your score here is the average score of your performance in meeting the LTSA's expectations for 'Technical equipment' in the Technical Part of the Performance Review System.		
3.3	Administration equipment		
	Not applicable	Not applicable	
3.4	Technical information		
	On your premises you do not have, or have ready access to, all technical information required by the LTSA	<p>On your premises you have, or have ready access to, all technical information required by the LTSA.</p> <p>The information is complete but not up-to-date.</p> <p>For example, when you receive amendments to an inspection guide, you do not update the guide as promptly as you could.</p>	

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The facilities you use:

- meet all legal requirements (including LTSA requirements), and
- are **adequate** for the nature and volume of the certification work carried out by your business.

However, there are some **minor** aspects of the facilities that could be improved. Minor aspects are those that do not adversely affect your certification decisions or certification outcomes but that, if improved, would make your certification work easier or more efficient.

For example, there may be areas where lighting could be improved, or where the facilities could be better organised.

The facilities you use:

- meet all legal requirements (including LTSA requirements), and
- are **fully adequate** for the nature and volume of the certification work carried out by your business, e.g. in terms of access, size, lighting, flooring, features, layout, condition and organisation.

Your score here is the average score of your performance in meeting the LTSA's expectations for 'Technical equipment' in the Technical Part of the Performance Review System.

Not applicable

Not applicable

On your premises you have, or have ready access to, all technical information required by the LTSA.

The information is complete and up-to-date but not in good condition.

For example, pages from an inspection guide may have been taken out at some stage and then put back in the wrong place (i.e. the pages are no longer in the right order, making it difficult to find items).

On your premises you have, or have ready access to, all technical information required by the LTSA, such as inspection guides or standards.

The information is complete, up-to-date and in good condition.

3. Resources Scores

Score:		0	1
3.5	Controlled certification documents		
	<p>You do not have available blanks of most or any of the <i>controlled documents</i> (LT 400) you must use and complete as part of your certification work.</p> <p>OR</p> <p>You use <i>controlled documents</i> you have developed yourself but:</p> <ul style="list-style-type: none"> • you do not have permission from the LTSA to develop your own documents, or • the documents do not comply with LTSA requirements. 		
3.6	Certification staff		
	<p>You do not hold current and appropriate LTSA appointments for the certification work you carry out</p> <p>You have delegated or contracted out work without LTSA permission.</p>	<p>You hold a current and appropriate LTSA appointments for the certification work you carry out.</p> <p>However:</p> <p>A person to whom you have rightfully delegated certification work does not have the required level of competence.</p> <p>OR</p> <p>If you are required to drive a vehicle as part of your work do not hold a current driver licence for the type of vehicle required to be driven.</p>	

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You have available blanks of all *controlled documents* (LT 400) you must use and complete as part of your certification work.

Any *controlled documents* you have developed yourself, if permitted by the LTSA, comply with LTSA requirements.

You hold current and appropriate LTSA appointments for the certification work you carry out

All persons to whom you have delegated certification work are competent and qualified to do the specified work.

If you are required to drive a vehicle as part of your work hold a current driver licence for the type of vehicle required to be driven.

4. Management Requirements

What the LTSA expects of you	How the LTSA will assess your performance
4.1 Management of competence	
<p>You have a co-ordinated approach to managing your competence in all aspects of your inspection and certification work.</p> <p>This means you:</p> <ul style="list-style-type: none"> regularly assess your level of competence make sure your competence is maintained at a high level, i.e. you are aware of, and competent in dealing with, new technologies, new equipment, and new legal requirements and updates to technical information. <p>You keep an up-to-date <i>Training Record</i>, listing any internal and external training received by you.</p>	<p>The LTSA may:</p> <ul style="list-style-type: none"> talk to you inspect your <i>Training Record</i>.
4.2 Management of facilities	
<p>As engineer certifiers use other people's facilities you cannot be expected to be held responsible for these. Do not score this section; it is not required.</p> <p>Local manufacturer's premises may be scored on their suitability and safety for the work that is done there.</p>	
4.3 Management of equipment	
<p>You have a co-ordinated approach to managing your equipment. Your approach ensures that equipment is:</p> <ul style="list-style-type: none"> available in sufficient numbers for the volume of inspection and certification work carried out by you. stored as specified by the manufacturer and in locations where it is easily accessible by you actually used by you for its intended purpose maintained as specified by the manufacturer calibrated as specified by the manufacturer, or as required by the LTSA. <p>You keep an up-to-date <i>Equipment Record</i> for each piece of equipment that requires regular maintenance or calibration.</p> <p>Equipment records are required for the following if you own it and use it as part of your certification work:</p> <ul style="list-style-type: none"> three dimensional chassis machine 	<p>The LTSA may:</p> <ul style="list-style-type: none"> talk to you inspect your equipment observe you at work look at your inspection and certification volumes (to check that enough equipment is available) inspect where and how your equipment is stored inspect your <i>Equipment Records</i> ask you to demonstrate how the equipment you do not own but use is maintained and calibrated.

What the LTSA expects of you	How the LTSA will assess your performance
<ul style="list-style-type: none"> • hoist • four wheel alignment machine • torque wrench 	
4.4 Management of technical information	
<p>You have a co-ordinated approach to managing your technical information. Your approach ensures that technical information is:</p> <ul style="list-style-type: none"> • updated promptly when you receive updates from the LTSA • stored so you have easy access • maintained in good condition. <p>You keep an up-to-date <i>Technical Information Record</i>.</p> <p>You require a separate technical information record for:</p> <ul style="list-style-type: none"> • HVS VIRM • HVS PRS • HVS certifier Info memos 	<p>The LTSA may:</p> <ul style="list-style-type: none"> • talk to you • inspect your technical information and the locations where you keep it • inspect your <i>Technical Information Records</i>.
4.5 Management of certification documents	
<p>You have a co-ordinated approach to managing your certification documents. Your approach ensures that:</p> <ul style="list-style-type: none"> • all certification documents (LT 400) are kept safe at all times and out of the reach of the public • unused controlled documents (LT 400) are always kept out of the reach of the public and, outside business hours, are locked in a safe, locker, or strong cupboard or drawer • all inspection and certification documents (LT 400) are filed so that they can be easily retrieved • you keep sufficient stock of the inspection and certification documents (LT 400) needed for your inspection and certification work • the loss or theft of any controlled documents (LT 400) is reported immediately to the LTSA. <p>You keep an up-to-date <i>Controlled Document Record</i>.</p>	<p>The LTSA may:</p> <ul style="list-style-type: none"> • talk to you • inspect your used and unused certification documents and the locations where you keep them • inspect the way you file your certification documents • inspect your <i>Controlled Document Record</i>.

What the LTSA expects of you	How the LTSA will assess your performance
4.6 Management of electronic certification information	
<p>You have a co-ordinated approach to managing your electronic inspection and certification information. Your approach ensures that:</p> <ul style="list-style-type: none"> • you have backup copies or hardcopies of any electronic information relevant to your inspection and certification work, such as digital photographs. 	<p>The LTSA may:</p> <ul style="list-style-type: none"> • talk to you • observe you at work • inspect the backup copies or hardcopies you keep of your electronic certification information.
4.7 Management of certification staff	
<p>You have a co-ordinated approach to managing your staff. Your approach ensures that:</p> <ul style="list-style-type: none"> • certification decisions are made only by yourself and delegated staff and you hold current and appropriate LTSA appointment • there is effective communication and teamwork in your business at and across all levels and in all directions • responsibilities are clearly defined and all staff know who is responsible for what. <p>You keep an up-to-date <i>Delegation Record</i> if you delegate any responsibilities such as:</p> <ul style="list-style-type: none"> updating records updating technical information approved technicians for outside work <p>You display or make available upon request all LTSA appointments.</p>	<p>The LTSA may:</p> <ul style="list-style-type: none"> • talk to you and any contractors • observe you at work • inspect your <i>Delegation Record</i> and other relevant records.
4.8 Management of time	
<p>You allocate enough time for you to carry out your inspection and certification work, allowing for the complexity of the work, the facilities, the available equipment, and your level of skill.</p> <p>This means you:</p> <ul style="list-style-type: none"> • are comfortable with the time allocated and actually spent on inspection and certification work • do not feel under pressure to perform within timeframes that are unreasonably tight. 	<p>The LTSA may:</p> <ul style="list-style-type: none"> • talk to you • observe you at work • look at your inspection and certification volumes.

4. Management Scores

Score:		0	1
4.1	Management of competence	<p>Your approach to managing your competence in all aspects of your certification work is inadequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> do not assess your level of competence, or make little or no effort to maintain your competence. 	<p>Your approach to managing your competence in all aspects of your certification work is barely adequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> do not assess your level of competence on a regular basis, or make only limited efforts to maintain your competence at a high level (for example, you consider yourself too busy to go on training courses). <p>OR</p> <p>You do not keep a <i>Training Record</i>.</p>
	Management of facilities	<p>Manufacturers only.</p> <p>There is no apparent system in the storage and usage of parts and materials.</p>	<p>Manufacturers only.</p> <p>There is inadequate system in the storage and usage of parts and materials.</p>
4.3	Management of equipment	<p>Your approach to managing your equipment is inadequate.</p> <p>This means little or no equipment is:</p> <ul style="list-style-type: none"> available in sufficient numbers for the volume of certification work carried out by your business and the number of staff using it, or stored as specified by the manufacturer or in locations where you and your staff have easy access, or used as intended, or maintained or calibrated as specified by the manufacturer. 	<p>Your approach to managing your equipment is barely adequate.</p> <p>This means you make sure equipment is available in sufficient numbers for the volume of certification work carried out by your business and the number of staff using it.</p> <p>However, you often do not make sure equipment is:</p> <ul style="list-style-type: none"> stored as specified by the manufacturer or in locations where you and your staff have easy access, or used as intended, or maintained or calibrated as specified by the manufacturer. <p>OR</p> <p>You do not keep an <i>Equipment Record</i> for some or any equipment that requires regular maintenance or calibration.</p>

2

3

Your approach to managing your competence in all aspects of your certification work is **adequate**.

This means you **usually**:

- assess your level of competence on a regular basis, and
- make sure, for example by attending regular training courses, that your competence is maintained at a high level, i.e. you are aware of, and competent in dealing with, new technologies, new equipment, new legal requirements and updates to technical information.

However, you do not always:

- keep your *Training Record* up-to-date.

Your approach to managing your competence in all aspects of your certification work is **well co-ordinated**.

This means you **consistently**:

- assess your level of competence on a regular basis, and
- make sure, for example by attending regular training courses, that your competence is maintained at a high level, i.e. you are aware of, and competent in dealing with, new technologies, new equipment, new legal requirements and updates to technical information.

You keep an up-to-date *Training Record*, listing any internal and external training you receive.

Manufacturers only.

There is an **inconsistency of system** in the storage and usage of parts and materials

Manufacturers only.

All parts and materials are fully identified and stored and used in a systematic manner.

Your approach to managing your equipment is **adequate**.

This means you **usually** make sure equipment is:

- available in sufficient numbers for the volume of certification work carried out by your business and the number of staff using the equipment, and
- stored as specified by the manufacturer and in locations where you and your staff have easy access, and
- actually used by you and your staff for its intended purpose, and
- maintained as specified by the manufacturer, and
- calibrated as specified by the manufacturer, or as required by the LTSA.

You keep an *Equipment Record* for each piece of equipment that requires regular maintenance or calibration, but you do not always keep your *Equipment Records* up-to-date.

Your approach to managing your equipment is **well co-ordinated**.

This means you **consistently** make sure equipment is:

- available in sufficient numbers for the volume of certification work carried out by your business and the number of staff using the equipment, and
- stored as specified by the manufacturer and in locations where you and your staff have easy access, and
- actually used by you and your staff for its intended purpose, and
- maintained as specified by the manufacturer, and
- calibrated as specified by the manufacturer, or as required by the LTSA.

You keep an up-to-date *Equipment Record* for each piece of equipment that requires regular maintenance or calibration.

4. Management Scores

Score:		0	1
4.4	Management of technical information		
	<p>Your approach to managing your technical information is inadequate.</p> <p>This means you make little or no effort to manage your technical information. For example, some technical information may not have been updated for a considerable time.</p>	<p>Your approach to managing your technical information is barely adequate.</p> <p>This means although you make some efforts to manage your technical information, you often do not:</p> <ul style="list-style-type: none"> • update technical information promptly when you receive updates from the LTSA, or • store technical information so you have easy access. <p>OR</p> <p>You do not keep a <i>Technical Information Record</i>.</p>	
4.5	Management of certification documents		
	<p>Your approach to managing your certification documents is inadequate.</p> <p>This means you do not:</p> <ul style="list-style-type: none"> • keep certification documents safe, or • keep unused controlled documents out of the reach of the public, or • lock unused controlled documents in a safe, locker, or strong cupboard or drawer outside business hours. <p>OR</p> <p>You lost controlled documents, or had controlled documents stolen, but did not report the loss or theft to the LTSA.</p>	<p>Your approach to managing your certification documents is barely adequate.</p> <p>This means although you make some efforts to manage your certification documents, you often do not:</p> <ul style="list-style-type: none"> • keep certification documents safe, or • keep unused controlled documents out of the reach of the public, or • lock unused controlled documents in a safe, locker, or strong cupboard or drawer outside business hours, or • file your certification documents so that they can be easily retrieved, or • keep sufficient stock of controlled documents. <p>OR</p> <p>You do not keep a <i>Controlled Document Record</i>.</p>	
4.6	Management of electronic certification information		

2

3

Your approach to managing your technical information is **adequate**.

This means you **usually** make sure technical information is:

- updated promptly when you receive updates from the LTSA, and
- stored so you have easy access.

However, you do not always:

- maintain your technical information in good condition, or
- keep your *Technical Information Record* up-to-date.

Your approach to managing your technical information is **well co-ordinated**.

This means you **consistently** make sure technical information is:

- updated promptly when you receive updates from the LTSA, and
- stored so you have easy access, and
- maintained in good condition.

You keep an up-to-date *Technical Information Record*.

Your approach to managing your certification documents is **adequate**.

This means you **usually** make sure that:

- certification documents are kept safe at all times, and
- unused controlled documents are always kept out of the reach of the public and, outside business hours, are locked in a safe, locker, or strong cupboard or drawer, and
- all certification documents are filed so that they can be easily retrieved, and
- you keep sufficient stock of the certification documents needed for your certification work, and
- the loss or theft of any controlled documents is reported immediately to the LTSA.

However, you do not always keep your *Controlled Document Record* up-to-date.

Your approach to managing your certification documents is **well co-ordinated**.

This means you **consistently** make sure that:

- certification documents are kept safe at all times, and
- unused controlled documents are always kept out of the reach of the public and, outside business hours, are locked in a safe, locker, or strong cupboard or drawer, and
- all certification documents are filed so that they can be easily retrieved, and
- you keep sufficient stock of the certification documents needed for your certification work, and
- the loss or theft of any controlled documents is reported immediately to the LTSA.

You keep an up-to-date *Controlled Document Record*.

Your approach to managing your electronic certification information is **adequate**.

However, you do not always keep backup copies or hardcopies of electronic information relevant to your certification work, such as digital photographs

Your approach to managing your electronic certification information is **well co-ordinated**.

This means you consistently make sure that:

- you have backup copies or hardcopies of any electronic information relevant to your certification work, such as digital photographs.

4. Management Scores

Score:		0	1
4.7	Management of certification staff	<p>Your approach to managing your staff is inadequate. This means you make little or no effort to make sure that:</p> <ul style="list-style-type: none"> certification decisions are made only by a person who holds a current and applicable LTSA appointment 	<p>Your approach to managing your staff is barely adequate. This means you consistently make sure that:</p> <ul style="list-style-type: none"> certification decisions are made only by a person who holds a current and applicable LTSA appointment <p>Although you make some efforts to manage your staff, you regularly fail to make sure that:</p> <ul style="list-style-type: none"> responsibilities are clearly defined and all staff know who is responsible for what there is effective communication and teamwork in your business at and across all levels and in all directions, <p>OR</p> <p>You do not keep a <i>Delegation Record</i>.</p>
	Management of time	<p>You do not allocate enough time for you to carry out your certification work.</p> <p>You:</p> <ul style="list-style-type: none"> are not comfortable with the time allocated and actually spent on certification work, or feel under pressure to perform within timeframes that are unreasonably tight. 	<p>You do not always allocate enough time to carry out your certification work.</p> <p>You regularly complain about timeframes that are too tight to carry out the certification work properly.</p>
4.8			

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Your approach to managing your staff is **adequate**.

This means you consistently make sure that:

- certification decisions are made only by a person who holds a current and applicable LTSA appointment

and you **usually** make sure that:

- responsibilities are clearly defined and all staff know who is responsible for what
- there is effective communication and teamwork in your business at and across all levels and in all directions
- However, you do not:
 - always keep your *Delegation Record* up-to-date, or
 - display or make available on request all LTSA appointments

Your approach to managing your staff is **well co-ordinated**.

This means you **consistently** make sure that:

- certification decisions are made by a person who holds a current and applicable LTSA appointment
- there is effective communication and teamwork in your business at and across all levels and in all directions, and
- responsibilities are clearly defined and all staff know who is responsible for what.

You keep an up-to-date *Delegation Record*.

You display or make available on request all LTSA appointments

You generally allocate enough time to carry out your certification work, allowing for the complexity of the work, your facilities, the available equipment, and your level of skill.

You **sometimes** complain about timeframes that are too tight to carry out the certification work properly.

You allocate enough time to carry out your certification work, allowing for the complexity of the work, your facilities, the available equipment, and your level of skill.

This means you:

- are comfortable with the time allocated and actually spent on certification work, and
- do not feel under pressure to perform within timeframes that are unreasonably tight.

5. Performance improvement Requirements

What the LTSA expects of you	How the LTSA will assess your performance
5.1 Commitment to continuous improvement	
<p>You are committed to improving your inspection and certification work. This means that you actively:</p> <ul style="list-style-type: none"> • identify problems and opportunities to improve • assess the cause of problems and prioritise problems and opportunities • address problems and opportunities according to priorities and available resources. <p>You keep an <i>Improvement Record</i>.</p>	<p>The LTSA may:</p> <ul style="list-style-type: none"> • talk to you • inspect your <i>Improvement Record</i>.
5.2 Regular self-assessments	
<p>You regularly assess how well you meet the LTSA's expectations as set out in the Performance Review System.</p> <p>The frequency of self-assessments is appropriate to the size of your business and the inspection and certification work carried out by your business (but at least once a year). You carry out a self-assessment within two months before scheduled LTSA reviews.</p> <p>You record each self-assessment by completing a <i>Self-assessment Record</i>.</p> <p>You record any problems or opportunities to improve that you identify during self-assessments in your <i>Improvement Record</i> for follow-up.</p>	<p>The LTSA may:</p> <ul style="list-style-type: none"> • talk to you • inspect your <i>Self-assessment Records</i> • inspect your <i>Improvement Record</i> to check that any problems or opportunities to improve identified during self-assessments have been recorded for follow-up.
5.3 Correct handling of complaints	
<p>You are open to complaints and regard them as opportunities to improve. This means you:</p> <ul style="list-style-type: none"> • display to your customers your complaints policy, including information on how to lodge a complaint and your customers' right to complain to the LTSA • handle complaints in accordance with LTSA requirements. <p>You keep a <i>Complaints Record</i> in which all verbal and written complaints are recorded.</p> <p>You record any problems or opportunities to improve that you identify in the investigation of complaints in your <i>Improvement Record</i> for follow-up.</p>	<p>The LTSA may:</p> <ul style="list-style-type: none"> • inspect your complaints policy • talk to you • inspect your <i>Complaints Record</i> to check that any complaints against you, including any complaints raised with the LTSA, have been recorded and handled in accordance with LTSA requirements • inspect your <i>Improvement Record</i> to check that any problems or opportunities to improve identified in the investigation of complaints have been recorded for follow-up.

What the LTSA expects of you	How the LTSA will assess your performance
5.4 Commitment to the Performance Review System	
<p>You are committed to making the Performance Review System work in and for your business. This means you:</p> <ul style="list-style-type: none"> actively use the system for improving your inspection and certification work are open about your problems and achievements fully co-operate in LTSA reviews. 	<p>The LTSA may:</p> <ul style="list-style-type: none"> talk to you assess your level of co-operation in reviews assess how much of the system you have implemented.

5. Performance improvement Scores

Score:	0	1
5.1	<p>Commitment to continuous improvement</p> <p>You and most of your staff show little or no commitment to improving your certification work.</p> <p>This means you and most of your staff do not make efforts to identify problems and opportunities to improve.</p> <p>You are often not even aware of the problems you have.</p>	<p>You and most of your staff show some commitment to improving your certification work.</p> <p>This means you are aware of:</p> <ul style="list-style-type: none"> • some problems and opportunities to improve, and • what causes the problems and what you need to do to address them. <p>However, although you and some of your staff work around the problems, you regularly do not:</p> <ul style="list-style-type: none"> • record them in your <i>Improvement Record</i>, and • follow through and address them properly.
5.2	<p>Regular self-assessments</p> <p>You do not assess how well you and your staff meet the LTSA's expectations as set out in the Performance Review System.</p> <p>This means there is no evidence of you carrying out self-assessments.</p>	<p>You sometimes assess how well you and your staff meet the LTSA's expectations as set out in the Performance Review System.</p> <p>This means you carry out some self-assessments but you do not:</p> <ul style="list-style-type: none"> • carry out self-assessments regularly, i.e. at least once a year and before scheduled LTSA reviews, or • document self-assessments by completing a <i>Self-assessment Record</i>.
5.3	<p>Correct handling of complaints</p> <p>You and most of your staff are not open to complaints and your handling of complaints is inadequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> • do not have an adequate complaints policy, or • you do not display your complaints policy to your customers, or • seldom handle complaints in accordance with LTSA requirements, or • you do not keep records of complaints. 	<p>You and many of your staff are not open to complaints and your handling of complaints is barely adequate.</p> <p>This means you:</p> <ul style="list-style-type: none"> • have a complaints policy but that policy is not correctly communicated to your customers because your display does not accurately reflect your policy, or • regularly do not handle complaints in accordance with LTSA requirements (e.g. you regularly exceed the timeframes set by the LTSA for responding to complaints), or

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You and most of your staff show an **adequate** level of commitment to improving your certification work.

This means you:

- actively identify problems and opportunities to improve, and
- assess the cause of problems and prioritise problems and opportunities.

However, you do not always:

- address the problems and opportunities as promptly as you could, or
- record all problems and opportunities in your *Improvement Record*.

You and your staff are **fully committed** to improving your certification work.

This means you:

- actively identify problems and opportunities to improve, and
- assess the cause of problems and prioritise problems and opportunities, and
- address problems and opportunities according to priorities and available resources, and
- record all problems and opportunities in your *Improvement Record*.

You regularly assess how well you and your staff meet the LTSA's expectations as set out in the Performance Review System.

This means you carry out self-assessments at least once a year (or more often, as appropriate to the size of your business and the certification work carried out by your business).

However, you do not always:

- carry out self-assessments before scheduled LTSA reviews, or
- document self-assessments by completing a *Self-assessment Record*, or
- record in your *Improvement Record* problems or opportunities to improve that you identify in self-assessments.

You regularly assess how well you and your staff meet the LTSA's expectations as set out in the Performance Review System.

This means you:

- carry out self-assessments at least once a year (or more often, as appropriate to the size of your business and the certification work carried out by your business), and
- carry out self-assessments before scheduled LTSA reviews, and
- document each self-assessment by completing a *Self-assessment Record*, and
- record in your *Improvement Record* any problems or opportunities to improve that you identify in self-assessments.

You and most of your staff are open to complaints and your handling of complaints is **adequate**.

This means you:

- display your complaints policy to your customers, including information on how to lodge a complaint and your customers' right to complain to the LTSA, and
- usually handle complaints in accordance with LTSA requirements, and
- keep a *Complaints Record* in which you record most complaints.

You and your staff are open to complaints, handle them correctly, and regard them as opportunities to improve.

This means you:

- display to your customers your complaints policy, including information on how to lodge a complaint and your customers' right to complain to the LTSA, and
- handle complaints in accordance with LTSA requirements, and
- keep a *Complaints Record* in which you record all verbal and written complaints, and

5. Performance improvement Scores

Score:	0	1
		<ul style="list-style-type: none"> regularly fail to record complaints in your <i>Complaints Record</i>, or do not record any problems or opportunities to improve that you identify in the investigation of complaints in your <i>Improvement Record</i> and follow-up on them.
5.4	Commitment to the Performance Review System	
<p>You and/or most of your staff show little or no commitment to making the Performance Review System work in and for your business.</p> <p>This means you do not:</p> <ul style="list-style-type: none"> use the system for improving your certification work, or share your problems and achievements with LTSA reviewers, or co-operate in LTSA reviews. 	<p>You and most of your staff show some commitment to making the Performance Review System work in and for your business. There is little evidence that you make the Performance Review System work for your business by actively using it to improve your certification work.</p> <p>This means:</p> <ul style="list-style-type: none"> you make some efforts to use the system in your business, but mostly to satisfy LTSA reviewers, and there is a basic level of co-operation in LTSA reviews but there is a reluctance to share problems with LTSA reviewers. 	

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However, you do not always record in your *Improvement Record*, and follow-up on, the problems or opportunities to improve that you identify in the investigation of complaints.

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- record in your *Improvement Record* any problems or opportunities to improve that you identify in the investigation of complaints.

You and most of your staff show an **adequate** level of commitment to making the Performance Review System work in and for your business.

This means you:

- actively use most aspects of the system for improving your certification work, although you do not use the system to its full extent, and
- are usually open about your problems and achievements, although some staff are reluctant to share problems with LTSA reviewers, and
- show a good level of co-operation in LTSA reviews.

You and your staff are **fully** committed to making the Performance Review System work in and for your business.

This means you:

- actively use the system for improving your certification work, and
- are open about your problems and achievements, and
- fully co-operate in LTSA reviews.

