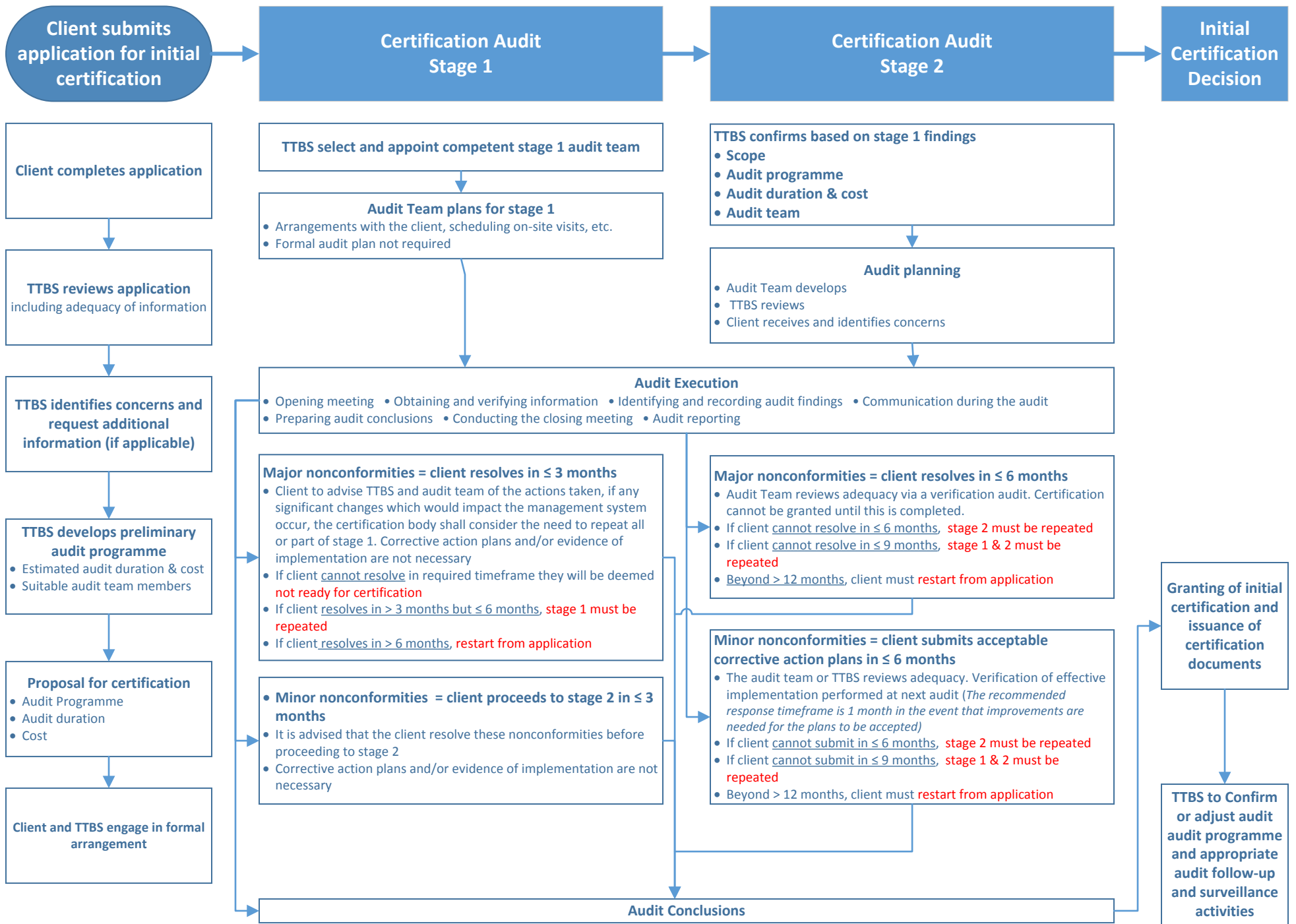


**AUDIT AND CERTIFICATION PROCESS (INITIAL CERTIFICATION ACTIVITIES)**



## Surveillance Audits

- At least 1 per calendar year
- The first audit must be conducted within 12 months of the initial certification audit

## Recertification

- to be completed before expiry of certificate

### Information exchange between client and TTBS

- TTBS to provide information on changes to requirements for certification
- Client to provide information on changes to (a) legal, commercial, organizational status or ownership (b) organization and management (c) contact address and sites (d) scope of operations (e) major changes to the management system and processes

TTBS to Confirm or adjust audit scope, audit programme, audit duration, audit cost, suitable auditors and communicate to client

### Audit Plan

- Audit team develops considering audit programme and mandatory inclusions into consideration
- TTBS reviews
- Client receives and identifies concerns

### Audit Execution

- Conducting the opening meeting
- Obtaining and verifying information
- Identifying and recording audit findings
- Communication during the audit
- Preparing audit conclusions
- Conducting the closing meeting
- Audit reporting

### Major nonconformities = client resolves (completed correction and corrective actions) in ≤ 3 months

- Audit Team reviews adequacy via a **verification audit**.
- If client **cannot resolve in ≤ 3 months**, where viable a recommendation for **reducing the scope** of certification will be made, otherwise a recommendation for **suspension** will be made. Certification can be restored once the nonconformities are resolved.
- If **suspended for > 6 months**, a recommendation for **withdrawal** will be made. The client will have to reapply and engage in an initial certification audit including stage 1 & 2 to become certified again.

### Major nonconformities = client resolves (completed correction and corrective actions) in ≤ 3 months

- Audit Team reviews adequacy via a **verification audit**. Recertification cannot be granted until this is completed.
- If client **cannot resolve in ≤ 3 months**, where viable a recommendation for reducing the scope of certification will be made, otherwise **recertification will not be granted**.
  - If client **resolves in ≤ 6 months** following expiration of the certificate, **certification will be restored**.
  - If client **cannot resolve in ≤ 6 months** following the expiration of the certificate, the client will have to **reapply and engage in an initial certification audit** including stage 1 & 2 to become certified again.

### Minor nonconformities = client submits acceptable corrective action plans in ≤ 3 month

- The audit team or TTBS reviews adequacy. Verification of effective implementation performed at next audit. *(The recommended response timeframe is 1 month in the event that improvements are needed for the plans to be accepted)*
- If client **cannot submit in ≤ 3 months**, where viable a recommendation for **reducing the scope** of certification will be made, otherwise a recommendation for **suspension** will be made. Certification can be restored once acceptable responses are submitted.
- If **suspended for > 6 months**, a recommendation for **withdrawal** will be made. The client will have to reapply and engage in an initial certification audit including stage 1 & 2 to become certified again.

### Minor nonconformities = client submits acceptable corrective action plans in ≤ 3 month

- The audit team or TTBS reviews adequacy. Recertification cannot be granted until this is completed. *(The recommended response timeframe is 1 month in the event that improvements are needed for the plans to be accepted)*
- If client **cannot submit in ≤ 3 months**, where viable a recommendation for **reducing the scope** of certification will be made, otherwise **recertification will not be granted**.
  - If client **submits in ≤ 6 months** following expiration of the certificate, certification will be restored.
  - If client **cannot submit in ≤ 6 months** following expiration of the certificate, the client will have to **reapply and engage in an initial certification audit** including stage 1 & 2 to become certified again.

### Audit Conclusions

Independent review of certification (if required)

Recertification decision

Granting recertification and issuance of certification documents