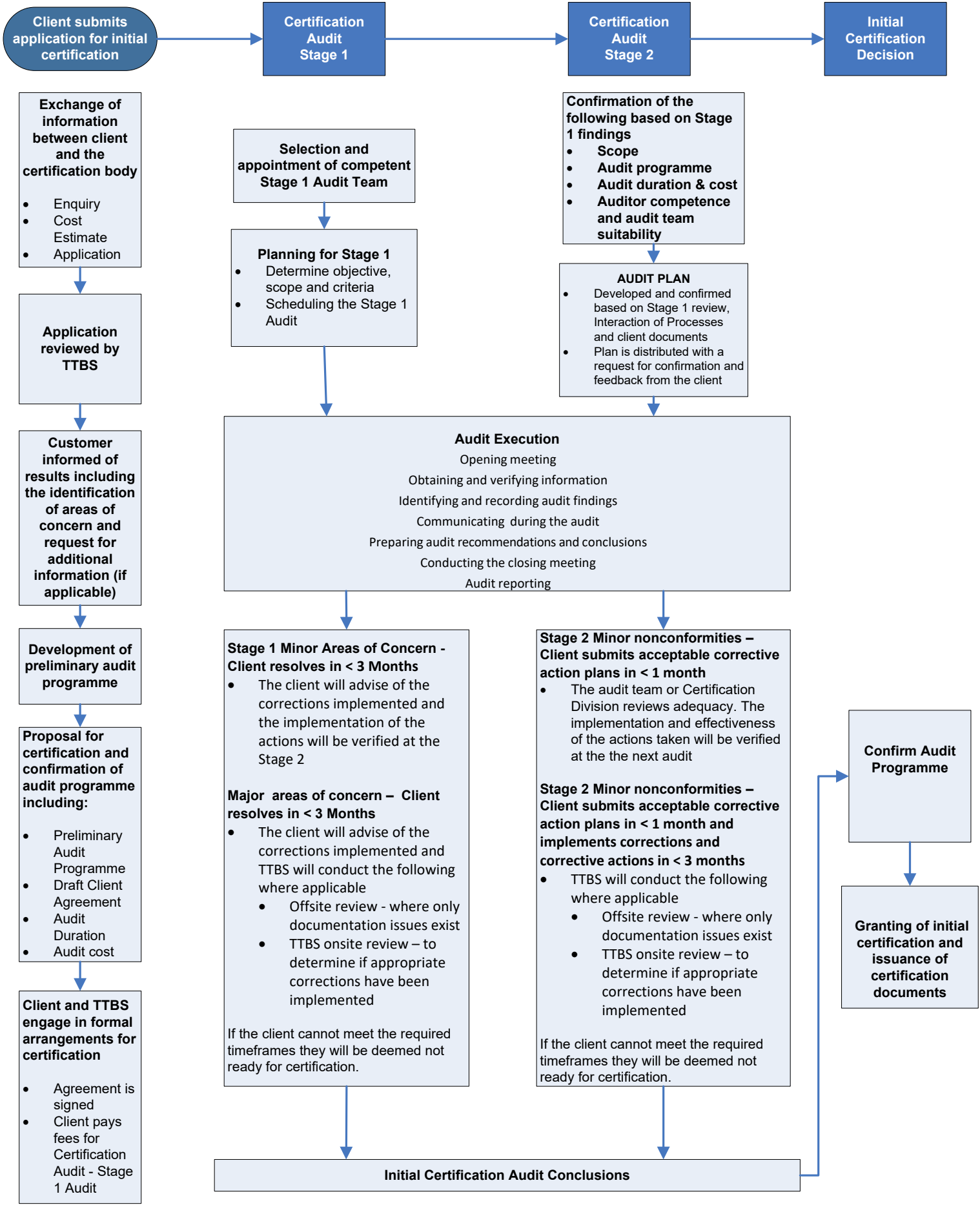


# AUDIT AND CERTIFICATION PROCESS – INITIAL CERTIFICATION



- The first Surveillance audit shall take place no later than twelve (12) months from the date of performing the Stage 2 audit.
- A typical certification cycle shall comprise of two surveillance activities and any special audits deemed necessary. The due dates for these audits are the anniversary of the certification date.
- The frequency of surveillance audit can be increased from an annual period to a six month period where there are concerns about the effectiveness of the Management System.
- Failure to perform any or all surveillance activities by the required dates may result in suspension of the certification.

- A recertification audit must be conducted at least three (3) months before the expiry of the certificate in order to renew certification. The following criteria must be met before the expiry of the current certificate:
- -Legal agreements and planning
  - -Scheduling of audit
  - -Completion of Audit
  - -Acceptance of Corrective Action plans
  - -Review of Appeals and Complaints

**Information exchange between Certification Division and Client**

- The Certification Division shall provide
  - (a) A new Agreement for management systems Certification
  - (b) Information necessary or changes necessary to the requirements for Certification or Recertification
- The client shall provide up to date information while seeking or during Certification which is applicable to the following
  - (a) Legal, commercial, organizational status or ownership;
  - (b) Organization or management
  - (c) Contact person, address and sites
  - (d) Scope of operations under the certified management system and
  - (e) Major changes to the management system and its processes

The Certification Division to confirm or adjust audit scope, audit programme, audit duration, audit cost, suitable auditors and communicate to client

**Audit Plan**  
Audit team develops audit plan while considering audit programme  
Review and approval done by the Certification Division  
Plan is distributed with a request for confirmation and feedback from the client

**Audit Execution**

Conducting the opening meeting Communication during the audit Audit reporting	Obtaining and verifying information Preparing audit conclusions	Identifying and recording audit findings Conducting the closing meeting
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**Minor nonconformities – Client submits acceptable corrective action plans in < 1 month**

- The audit team or Certification Division reviews adequacy. The implementation and effectiveness of the actions taken will be verified at the the next audit

**Minor nonconformities – Client submits acceptable corrective action plans in < 1 month and implements corrections and corrective actions in < 3 months**

- TTBS will conduct the following where applicable
  - Offsite review - where only documentation issues exist
  - TTBS onsite review – to determine if appropriate corrections have been implemented

For surveillance audits if the client cannot meet the required timeframes they will not be able to maintain certification, the certificate will be suspended. If the client is not able to resolve the issue within six (6) months the certificate will be withdrawn.

For recertification audits if the client cannot meet the required timeframes they will be deemed not ready for recertification.

**Audit Conclusion**

**Maintenance of certification decision**  
(including maintaining, suspending, withdrawing or expanding or reducing the scope of certification)

**Recertification decision**  
(including renewing, refusing, restoring or expanding or reducing the scope of certification)

**Independent review of certification by Appeals Committee (if Client launches an Appeal)**

**Granting recertification and issuance of certification documents**

If Approved

If Denied

