





TRINIDAD AND TOBAGO BUREAU OF STANDARDS  
CERTIFICATION DIVISION  
**AUDIT AND CERTIFICATION PROCESS**  
(SURVEILLANCE & RECERTIFICATION) Detailed Version

Control Number  
CERT-MS-ID-003

Revision Number  
5

Date Issued  
2018-04-24

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2022-03-08

Approved by  
Y Brown

- The first Surveillance audit shall take place no later than twelve (12) months from the date of performing the Stage 2 audit.
- Consequential annual audits shall remain reflective of the initial Certification date and are expected no later than twelve (12) months from the date of the previous audit.
- A certification cycle shall comprise of two surveillance activities and any special audits deemed necessary.
- Failure to perform any or all surveillance audits by the required dates may result in certification suspension.

Invitation to recertify once the following criteria are met before expiry of 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 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 address and sites (d) Scope of operations under the certified management system and (e) Major changes to the management system and its processes

**Audit Plan**

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

**Surveillance / Recertification Audits**

**Major nonconformities**

Client resolves in ≤ 3 months

- Audit team reviews adequacy via a verification audit. Certification cannot be granted until this is completed.
- If client cannot resolve in ≤ 3 months, stage 2 can be repeated or client must restart application.

**Surveillance / Recertification Audits**

**Minor nonconformities**

Client submits acceptable corrective action plans in ≤ 1 month

- The audit team or Certification Division reviews adequacy. Verification of effective implementation performed at the 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 ≤ 1 month, The CB must be informed in detail and in writing.

**Audit Conclusion**

**Certification decision**  
(including granting, refusing, maintaining, renewing, suspending, restoring or withdrawing, or on expanding or reducing the scope of certification)

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

**If Approved**

**Issuance of Decision Letter and/or Granting recertification and issuance of certification documents**