	TRINIDAD AND TOBAGO BUREAU OF STANDARDS CERTIFICATION DIVISION			
	GRANTING, REFUSING, MAINTAINING, RENEWING, SUSPENDING, RESTORING OR WITHDRAWING CERTIFICATION OR EXPANDING OR REDUCING THE SCOPE OF CERTIFICATION			
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1. PURPOSE

To define the process for granting, refusing, maintaining, renewing, suspending, withdrawing and restoring certification.

2. SCOPE

This applies to all QMS, EMS and OHSMS within the Certification Body.

3. DEFINITIONS

None

4. RESPONSIBILITIES


As outlined in section 5 below.

5. PROCEDURE

5.1. The Certification Committee

- 5.1.1. The MANAGER shall approve Certification Committee Members. Any member who is not an employee of the Certification Body must sign a legally binding agreement prior to approval. The members shall be placed on an authorized list and shall have the competencies defined in the Certification Committee Member - Qualifying Checklist

- ❖ *References:* People Module in Q-pulse – Training Records
Certification Committee Member - Qualifying Checklist
- ❖ *Records:* List of Authorized Certification Committee Members
External Certification Committee Member Agreement
Competence Assessment for Reviewing Audit Reports

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- 5.1.2. The CERTIFICATION COMMITTEE shall make all decisions on granting, refusing, maintaining, renewing, suspending and withdrawing and restoring certification.

5.2. Selecting Committee Members


- 5.2.1. The type of certification decisions and number of Certification Committee Members needed for each certification decision are as follows:

Type of Decision	# of Certification Committee Members
<ul style="list-style-type: none"> • Moving to Stage 2 Certification • Maintaining Certification 	1
<ul style="list-style-type: none"> • Granting or Refusing Initial Certification • Extension of Scope of Certification • Reduction of Scope of Certification • Suspension of Certification • Withdrawal of Certification • Restoring Certification 	2

- 5.2.2. The OPERATIONS OFFICER or STANDARDS OFFICER I will identify available Certification Committee Members. The members of the committee shall:
- 5.2.2.1. Be different from the members of the Audit Team;
 - 5.2.2.2. Be assessed for conflicts of interest related to the Client under review;
 - 5.2.2.3. Satisfy TTBS' established competency requirements.

❖ *References:* *List of Authorized Certification Committee Members*
Audit Report

❖ *Records:* *Technical Review Checklist*
Declaration of Impartiality Form

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5.2.3. During the Technical Review, the CERTIFICATION COMMITTEE MEMBERS shall indicate if Technical Experts are required to explain technical parts of the audit report or give advice on certain matters. The MANAGER of the CERTIFICATION DIVISION will engage in a legally binding agreement with the individuals.

❖ *References:* *List of Technical Experts*

❖ *Records:* *External Certification Committee Member Agreement*
Technical Expert Agreement

5.3. The Certification Package

5.3.1. The OPERATIONS OFFICER OR STANDARDS OFFICER I will compile the Certification Package and send it to the assigned Certification Committee Members for the technical review and approval. The Certification Package shall include all items listed on the Certification Package Checklist.

❖ *References:* *Certification Package Checklist*

❖ *Records:* *Certification Package Checklist*


5.4. Technical Review

5.4.1. Approval to proceed to the Stage 2 Audit

5.4.1.1. The assigned members of the CERTIFICATION COMMITTEE shall review the Certification Package and make a decision on if to proceed to Stage 2 or not

5.4.2. Granting or Refusing Initial Certification

5.4.2.1. The assigned members of the CERTIFICATION COMMITTEE shall review the Certification Package to make a decision on granting or refusing certification. The review shall confirm the following:

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- 5.4.2.1.1. A confirmation that the audit objective have been fulfilled.
- 5.4.2.1.2. There is evidence that the Client's management system complies with the certification requirements.
- 5.4.2.1.3. The Client is capable of meeting the requirements for the product or service as per the scope of certification.
- 5.4.2.1.4. The Nonconformities raised are meaningful and correctly graded.
- 5.4.2.1.5. The client responds to nonconformities within the required timeframes; corrections and corrective actions identified by the Client are appropriate and consistent with the risk involved and taken in a timely manner.

Note **Major Nonconformities** must be resolved within three (3) months of issuing the non-conformity. This includes the following:

- The AUDITEE must complete its correction, root cause analysis and corrective actions, and
- The CERTIFICATION BODY must verify the effectiveness of the actions taken. A Verification Audit may be required to obtain evidence to verify that corrections and corrective actions have been implemented and are effective. In this case a verification audit report must be generated.

For Minor nonconformities, the corrective action plan must be submitted within one (1) month of issuing the nonconformity. This includes the following:

- The AUDITEE must complete its root cause analysis and plans for corrections and corrective actions, and

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- The CERTIFICATION BODY must review and accept the root cause analysis and plans for corrections and corrective actions.

5.4.2.1.6. Internal Audits and Management Reviews are effective.

5.4.2.1.7. The recommendation of the audit team is favourable, justified and accepted.

❖ *References:* *Certification Package*
 Certification Package Review Checklist
 Audit and Certification Manual

❖ *Records:* *Technical Review Checklist*

5.4.3. Maintaining Certification

5.4.3.1. The assigned member of the CERTIFICATION COMMITTEE shall review the Certification Package to make a decision on maintaining certification. The Certification is maintained for a period of three (3) years provided that the conditions listed under 5.4.2 and the additional requirements listed below in this section are suitably addressed:


5.4.3.1.1. The Surveillance Audits are conducted at the agreed frequencies which is outlined in the Audit Programme. If the Audit is not completed within three (3) months of the Due Date, the Audit will be considered cancelled.

5.4.3.1.2. For previous audits, all nonconformities are closed within the agreed time frame.

5.4.3.1.3. The Client maintains suitable records of customer complaints and keep the records of investigation and remedial actions taken.

5.4.3.1.4. The client does not misuse the certification logo & make incorrect references to certification.

5.4.3.1.5. All outstanding payments to TTBS are paid.

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5.4.3.2. Where the certification cannot be maintained, the certification committee shall determine if the certification scope must be reduced or if the certification must be withdrawn as outlined in the requirements below.

❖ *References:* *Certification Package*
 Certification Package Review Checklist
 Audit and Certification Manual

❖ *Records:* *Technical Review Checklist*

5.4.4. Renewing Certification

5.4.4.1. The assigned members of the CERTIFICATION COMMITTEE shall review the Certification Package to make a decision on renewing certification. The Certification is renewed for a period of three (3) years provided that the conditions listed under 5.4.2, 5.4.3, and the additional requirements listed below in this section are suitably addressed:

5.4.4.1.1. The Client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system. This includes, but is not limited to, recurring major nonconformities.


5.4.5. Extension of Scope of Certification

5.4.5.1. The CLIENT may apply for an Extension of Scope.

❖ *Reference:* *Agreement for Management Systems Certification*
 ❖ *Records:* *Scope Change Form*

5.4.5.2. The CERTIFICATION BODY will perform an assessment to verify that the extended scope meets the requirements of the standard. This can be done via the next scheduled Surveillance or Recertification Audit, or via a Scope Extension Audit.

❖ *Reference:* *Audit Scheduling Procedures*
 Audit and Certification Manual

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Agreement for Management Systems Certification

❖ *Records:* *Audit Report*

5.4.5.3. The assigned members of the CERTIFICATION COMMITTEE shall review the Certification Package to make a decision on whether the scope extension can be granted. The decision for granting or refusing the extension is taken as described in sections 5.4.2 above.

5.4.6. Reduction of Scope of Certification

5.4.6.1. The CLIENT may apply for a Reduction in Scope.

❖ *Reference:* *Agreement for Management Systems Certification
Audit and Certification Manual*

❖ *Records:* *Scope Change Form*

5.4.6.2. The assigned members of the CERTIFICATION COMMITTEE shall decide to reduce the Client's scope of certification by excluding the parts not meeting the requirements when the Client has persistently and seriously failed to meet the certification requirements. This includes, but is not limited to, recurring major non-conformities. Such exclusions shall be consistent with the certification standard.


5.4.6.3. The decision for reducing the scope of certification is taken as described in sections 5.4.2. above.

5.4.7. Suspension of Certification

5.4.7.1. The assigned members of the CERTIFICATION COMMITTEE shall suspend certification in cases wherein:

5.4.7.1.1. A voluntary suspension is requested by the Client.

5.4.7.1.2. The Client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system. This includes, but is not limited to, recurring major nonconformities.

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5.4.7.1.3. The Client does not allow surveillance and recertification audits to be conducted at the agreed frequencies. If the Client does not respond favourably within three (3) months of the audit due date, the Audit shall be treated as cancelled.

5.4.7.1.4. The Client does not respond to nonconformities within the required timeframes. See 5.4.1.4 above.

5.4.7.1.5. Misuse of logo & incorrect references to certification.

5.4.7.1.6. Non-payment of fees for completed audits.

5.4.7.1.7. Failure to notify of significant changes and/or incidents.

5.4.7.1.8. Failure on the part of the Client to submit the corrective action within the stipulated time may lead to TTBS issuing a suspension notice.

❖ *Reference:* *Audit and Certification Manual*
 Agreement for Management Systems Certification
 Certification Package


❖ *Records:* *Written Correspondence from Client requesting Suspension (includes e-mails and letters)*
 Technical Review Checklist
 Notice on Certification Decision

5.4.7.2. The suspension shall be for a maximum period of six (6) months.

5.4.8. Withdrawing Certification

5.4.8.1. The assigned members of the CERTIFICATION COMMITTEE shall suspend certification in cases wherein:

5.4.8.1.1. Voluntary withdrawal is requested by the Client.

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5.4.8.1.2. Failure of the Client to resolve the issues of suspension within six months.

5.4.8.1.3. Other reasons such as major legal compliance issues; the company being involved in malpractices, etc.

❖ *Reference:* *Audit and Certification Manual*
Agreement for Management Systems Certification
Certification Package

❖ *Records:* *Written Correspondence from Client requesting Withdrawal*
(includes e- mails and letters)
Technical Review Checklist
Notice on Certification Decision

5.5. Informing the Client about the Certification Decision.

5.5.1. The STANDARDS OFFICER II shall inform the auditee and the audit team of the decision, via a formal Notice from the MANAGER of the CERTIFICATION BODY, which shall include:


5.5.1.1. The reasons for not accepting the audit team's recommendation or refusing , suspending, withdrawing or reducing the scope of certification. TTBS shall further interact with the Client to initiate appropriate action to resolve the issue.

❖ *References:* *Technical Review Checklist*

❖ *Records:* *Notice on Certification Decision*

5.5.1.2. In the case of suspension or withdrawal of certification, that the Client shall discontinue the use of the logo or any reference of certification in advertising matter. The same is also addressed in the Agreement for Management Systems Certification.

In the case of withdrawal the Client shall adhere to the preceding conditions in 5.5.1.2 and return all copies of certificates to TTBS.

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5.6. Generating Certificates


- 5.6.1. The CLERK STENOGRAPHER will generate the Certificate. In the case of expansion and reduction of the scope of certification TTBS will issue a new certificate with the amended scope, revision number and revision date. The Certificate will not, however, have any change in the certification period as identified in the previous certification document.
- 5.6.2. The Certification document shall include:
- 5.6.2.1. Name and geographical location of the client
 - 5.6.2.2. Effective date
 - 5.6.2.3. Expiry date
 - 5.6.2.4. Certificate Number
 - 5.6.2.5. Criteria (i.e. the management system standard name, issue number and revision number)
 - 5.6.2.6. The scope of certification including any exclusion (exclusion applicable to only QMS)
 - 5.6.2.7. The name, address and the certification mark of TTBS and the accreditation symbol as per guidelines of the accreditation body
 - 5.6.2.8. Any other information required by the standard used for certification
 - 5.6.2.9. Revision number & date along with original certification number to distinguish the revised documents from any prior obsolete documents
- 5.6.3. The STANDARDS OFFICER II will perform an initial review.
- 5.6.4. The MANAGER of the CERTIFICATION BODY will perform the final review and sign the Certificate.

❖ *References:*

- Notice on Certification Decision*
- Technical Review Checklist*
- Audit Report*
- Audit Plan*
- Application*
- Certification Template*

❖ *Records:*

- Certificate*

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5.6.5. The CLERK STENOGRAPHER will issue the Certificate and Certification Logos in soft copy to the Client and remind them that the “Reference to TTBS certifications and use of the TTBS certification marks” is included in the “Agreement for Management Systems Certification”.

❖ *Reference:* *Q-pulse
Agreement for Management Systems Certification*

❖ *Records:* *E-mails*

5.7. Follow up Actions

5.7.1. The OPERATIONS OFFICER shall update the Registry of Certified Clients which is maintained by TTBS at its registered office and on its website, following the certification decision and where applicable. In cases of suspension, the certification status shall be stated. In cases of not renewing or withdrawal, the client shall be removed from the registry.

5.7.2. Upon request from any party, the Certification Body shall correctly state the status of certification of a client’s management system as being maintained, renewed, restored, suspended, withdrawn or reduced.

6. REFERENCES

As indicated in Section 5 above.

7. RECORDS

As indicated in Section 5 above.