

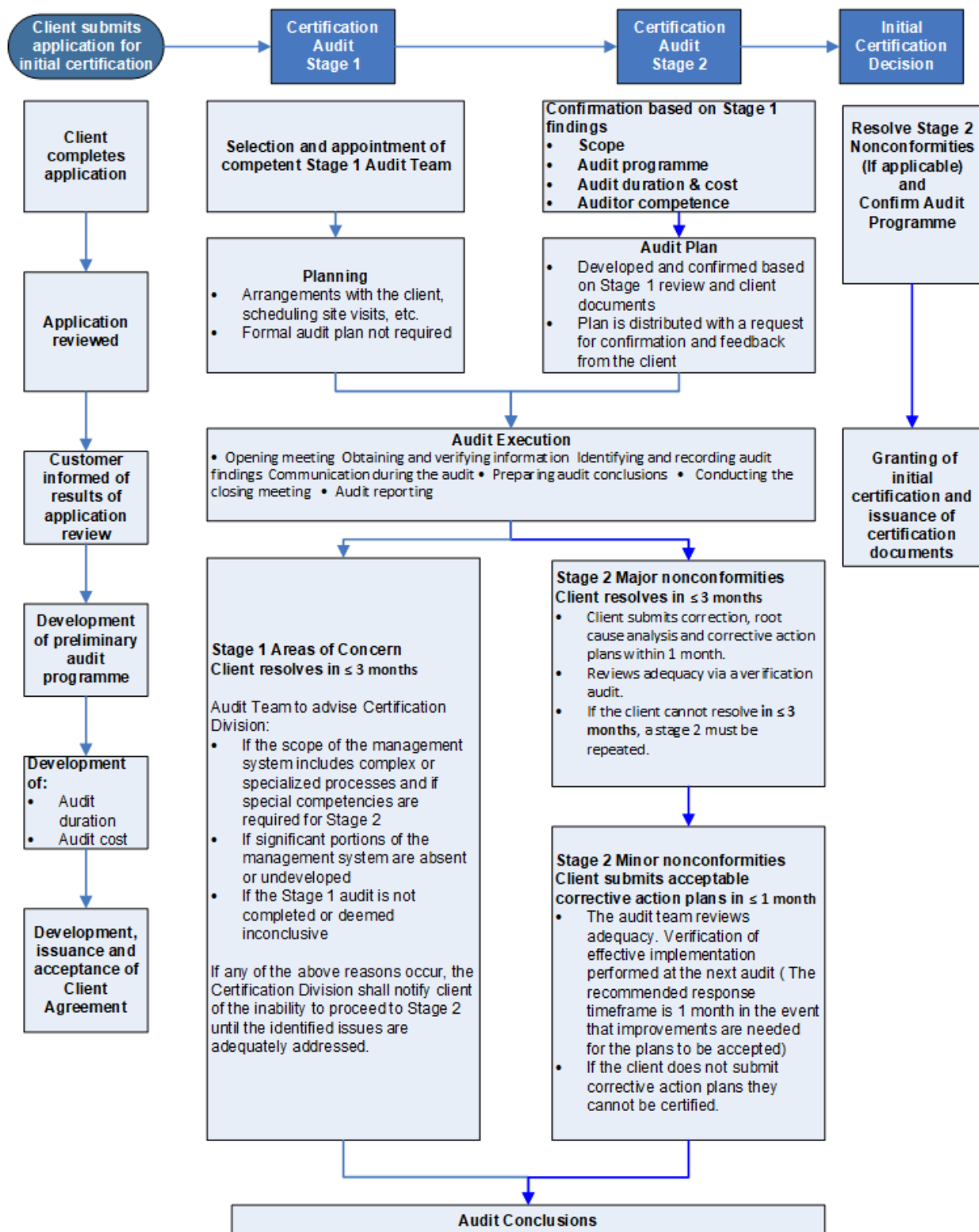


**TRINIDAD AND TOBAGO BUREAU OF STANDARDS (TTBS)
CERTIFICATION DIVISION**

AUDIT AND CERTIFICATION PROCESS

Control Number	Revision Number	Date Issued	Date Revised	Approved by
CERT-MS-ID-003	6	2018-04-24	2025-07-16	R Ramnath

INITIAL CERTIFICATION PROCESS





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SURVEILLANCE AND RECERTIFICATION PROCESS

- The first Surveillance audit shall take place no later than twelve (12) months from the date of performing the Stage 2 audit.
- Subsequent audits shall be scheduled annually and in alignment with the initial Certification date.
- A certification cycle shall comprise of a certification or re-certification audit and two annual surveillance audits.
- Failure to perform any or all surveillance audits by the required dates may result in suspension of certification.

Invitation to recertify once the following criteria is 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 for Surveillance and Recertification Activities.
- The client shall provide up to date information on the following: (a) legal, commercial, organizational status or ownership; (b) organization and 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.

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

Audit Plan

- Lead Auditor 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 (It is recommended that the plans be submitted as soon as possible in the event that improvements are needed before it can be accepted.)
- If client cannot submit in ≤ 1 months, Stage 2 can be repeated or client must restart application.

Audit Conclusion

Certification decision

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

Granting recertification and issuance of certification documents