Appendix

The aim of this document is to improve understanding of the process of certification by the Thai International Certified Assessment Co., Ltd (TICA) of the entity seeking a TICA certification.

Section 1

1. General provisions

1.1 TICA has operational guidelines for certifying standards that conform to international criteria and in accordance with the specifications of the relevant accreditation body;

1.2 Implementation of these operational guidelines is between TICA and the signatory on the proposal;

1.3 Definitions

Multi-site This refers to an organization with branch offices or separate offices from the headquarters. As such, the authority for planning, control or management with headquarters, either in total or in part, may not need to use the same name despite their legal linkage or mutual contractual obligations. Nevertheless, the branch offices use the same quality control management system as headquarters. Thus, there is a system of continuous implementation, just as in the case of other multi-site enterprises, e.g., franchises, factories with separate sales offices, or companies with many branches.

Virtual Site This refers to the location of the applicant entity which produces products or services on a continuous basis through a virtual site (e.g., a computer network, or Internet website, or Web server) which does not exist as part of a physical entity such as a warehouse, factory, laboratory or maintenance facility.

Temporary Site This refers to other sites requesting a certification. These entities operate under the certification for a finite period of time. The site may implement management of a large project or a site which manages a small-scale activity. The activities are under a program of auditing and inspection to assess systemic risk which may lead to violation of specifications of the products or services. For example, a construction site may have a built-in system for overall quality control management and management of the environment which covers the principal site, but does not cover the temporary-site activity.

2. Services

2.1 TICA provides the following services

a. Certification of quality, environment, safety and other in accordance with international standards;

b. Pre-Assessment, Second Party Audit and training. These services are independent of the audit to certify the system; i.e., they do not simplify the certification process or help the entity to prepare for certification.

- Pre-Assessment: This refers to an audit before the certification audit. The steps in both types of audits are the same. However, the pre-assessment is not the basis for a certification decision.
- Second Party Audit: This refers to an audit of a stakeholder in the organization, an applicant or contractor, and uses criteria in accordance with the terms of the applicant or contractor, and is not the basis for a certification decision.

- Training: This refers to delivery of a training curriculum on the topic of certification systems, and does not provide consultation or assistance in implementing a certification system.

Implementation of in accordance with Item 2.1(a) includes a specification of time and advance notice for the entity seeking a certification so that there is mutual agreement of the activity.

2.2 Time frame for the audit:

a. Initial Audit (or Registration Audit): This refers to the audit to certify a system, and is conducted in two stages. The 1st stage has the objective to conduct a preliminary assessment of the applicant's system through an on-site review of existing documentation. The 2nd stage has the objective to assess the efficiency and effectiveness of system implementation of the applicant, including an on-site inspection of the consistency of actual implementation.

b. Surveillance Audit: This is a regularly scheduled audit of the system which may occur on a semi-annual or annual basis, depending on agreement between TICA and the entity seeking certification. The schedule can be revised after one year of audit.

c. Renewal Audit: This is a new audit after the term of the audit is complete, as specified in the TICA operational procedures. This must be conducted before the expiration of the certificate.

d. Special Audit: This refers to an ad hoc, unscheduled audit. The reason this is done may be due to an event with potentially severe impact, a significant change in system management, a complaint filed by someone associated with the company, or other reason, as specified in the . TICA operational procedures. This will entail an increase in the audit budget based on the time required.

2.3 In order for the audit to be successfully complete and agreed upon by both parties, TICA will produce a report and share that with the certification applicant. The report will list strengths and weaknesses so that the organization can make improvements. The report is not a decision to certify or not certify the recipient. Copies of the report must be kept internal to the company.

2.4 Implementation of certification, system maintenance, suspension or withdrawal must be conducted in accordance with TICA regulations.

3. Qualification of the applicant for certification

3.1 The applicant has had an internal audit and a management review at least 1 time before being eligible to apply for a certification. In the case of a multi-site organization, there must be an internal audit and management review of each site in the organization which is to be certified, and there must be relevant information of implementation for all sites.

3.2 The applicant has prepared all the relevant documents and information in a way that is accessible to the auditor, including providing conveniences, such as a meeting room and security provisions related to the audit, in accordance with TICA requests. In addition, the certification applicant must make available a representative to explain or answer questions, or otherwise assist the auditors.

3.3 The applicant must allow the audit team full access to all aspects of operations and locations in the site of the audit to maximize the effectiveness of the audit.

3.4 The certification applicant is responsible for ensuring the safety of the audit team just as they would any employee of the organization.

3.5 If the certification applicant wishes to terminate after signing the proposal, they must:

a. Inform TICA at least four weeks in advance. If not, TICA can collect 25% of the total amount of the tender.

b. Inform TICA at least two weeks in advance. If not, TICA can collect 50% of the total amount of the tender.

4. Costs and expenditures

4.1 The cost of the certification is specified in the quotation. The cost of the surveillance and renewal audits is based on the cost specified in the quotation.

4.2 The additional cost of a special audit is not part of the cost of the routine audits.

4.3 The proposal of costs and other expenditures will change immediately if the details in the application are not factual as they relate to the certification applicant.

4.4 The audit will occur after the application fee is paid, at a time specified in Item 2.1.

4.5 If the expenditures are not in accordance with specifications, TICA reserves the right to suspend or withdraw the certification.

5. The certify body

5.1 If, during the audit, TICA is interrupted in conducting its operations by the applicant in a way that prevents a complete audit, the applicant must cover the expenses incurred up to that point.

5.2 If there is an interruption of the audit, TICA will not be responsible for services which the applicant requested as part of the initial, signed proposal.

6. Limitations in financial responsibility or compensation for loss (as a result of the audit) must be reported within 45 working days.

6.1 TICA will be responsible for only those losses proved to be the result of negligence of the certifier.

6.2 TICA is not responsible for losses that result from past risk of the applicant which perpetuates the risk at present as a result of lack of applicant action to prevent or warn the auditor about.

6.3 TICA is not responsible for losses resulting from actions of the applicant which are not in accordance with the specifications or which are illegal.

6.4 TICA is not a insurance company, whether that loss is to property or implementation. In the event of damages, the certificate applicant needs to appeal to the appropriate insurance company.

6.5 TICA is not responsible for damages that result from losses of the applicant or loss of company profits because the certification is a system of management only; it is not related to protecting the benefits of the company's implementation.

7. Documentation management

TICA will retain all of the documentation related to the audit, and keep that information private for the specified duration of time. The duration of maintenance of the documentation is in accordance with the requirements of the accreditation body. All of the information can be disseminated to the public only after implementation according to the TICA guidelines. If the applicant requests confidential maintenance of the documentation for a period longer than originally specified, requiring additional costs, the applicant must assume the cost of that time extension.

Section 2

TICA has specified the procedures for certification using guidelines which meet international criteria and are appropriate to the operational procedures of the accreditation body, as follows:

General

1. TICA provides services in support of the certification system, management of quality/ environment/ safety in ways that are consistent with international standards. This includes Second Party Audits, Pre- Assessment Audits and training. Implementation of these services does not make the audit easier or present a conflict of interest. Implementation of all activities will be by TICA or an appointee by TICA, including the certification, surveillance and renewal systems, expansion of scope, reduction in scope, suspension, withdraw or other action, in accordance with TICA regulations.
2. TICA has an organizational structure which depicts lines of authority and responsibility, including documentation of legal status, which can be displayed to the public at-large.
3. The applicant for certification can access to publication information such as service information, certified organization, audits process by direct inquiries to customer service department or check the official website ; http://www.ticacert.com

Certification

1. General

1.1 In order to obtain certification, the applicant needs to list, and protect all relevant documentation of the management system in a format that meets international standards and clearly displays the information which TICA requires. In the case of a multi-site organization, these procedures need to be done for all sites to be covered under the certification in order to inform the audit plan and preparation of an appropriate size of the audit team.

1.2 The audit will be conducted only within the scope and locations specified by the applicant in the application. Any certification that results is specific only to that scope and those sites. If any of the information provided by the applicant is found to be false, the entire process must be repeated from the start.

1.3 The certification applicant must implement according to the TICA criteria. If it is found that the applicant does not abide by these criteria, or there is major non-compliance due to deviation from the criteria, regardless of the time it occurs, TICA reserves the right to immediately suspend the certification.

2. Application process

When the applicant submits the complete application to TICA, in the case of multi-site organizations, the applicant needs to add information about the central office, or headquarters, and the sites to be included in the request for certification. The applicant needs to specify in detail if the scope differs by site.

TICA will submit the proposal, including documentation of the action between TICA and the applicant (Appendix) to the authority for signature of approval. The signatory must be an authorized individual designated in the approval document as a juristic person or company. Any designation of signatory authority must have a certified Power of Attorney document attached. Next, TICA will proceed by having the chief authority specify the audit plan, audit team, and experts. If TICA is not able to provide the requested certification, TICA will inform the applicant and discontinue implementation of the process, including collection of information on the applicant's organization, so that they can re-check the information within the time framework.

3. Registration Audit

In the case of a multi-site organization, after the audit approves the applicant to implement and maintain the system in accordance with the specifications, the organization must apply the specifications of the certification to all its sites and determine whether a given site qualifies for certification. The applicant will be informed of the approval and receive a hard copy of the certificate after a successful surveillance audit. If one or more sites are not in compliance, then the multi-site organization cannot simply remove them from the certification. The certification audit is implemented in two stages as follows:

1st Stage Registration Audit has the following objectives:

1. To evaluate the related documentation;
2. To evaluate the site of operations to assess readiness of resources, capacity of the applicant, and conveniences to facilitate the audit in stage 2;
3. To gain an understanding of the management system, implementation of tasks, processes, equipment used, and system of controls. In the case of a multi-site organization, the relevant information is needed for all sites to be covered under the certification.

Key topic areas for the 1st Stage Audit:

1. Accuracy of the scope of the requested certification;
2. Consistency with the specifications of the documentation and related records;
3. Appropriateness of policy, targets and guidelines for achieving the targets;
4. Understanding of specifications and details on key performance or significant aspects related to the scope and implementation of the management system;
5. Data related to the legal specifications and other specifications related to implementation by the applicant, including various authorizations and approvals;
6. Internal audits and management review, and appropriateness of these for the system specifications, including readiness for the next stage of the audit process;

7. Grievances submitted by any of the stakeholders.

Remarks: The on-site 1st Stage Audit is to be implemented completely for all steps, just as for the 2nd Stage Audit

Implementation after completion of the 1st Stage Audit

1. Specify the findings, including areas which may deviate from the specifications and criteria to be applied in the 2nd Stage Audit. Issue a report to share findings with the applicant.
2. Summarize the results of the audit as to the stated objectives of the 1st Stage Audit and whether or not it is possible to proceed with the 2nd Stage Audit.
3. If significant changes to the management system occur during the 1st Stage Audit then adjustment of the objectives of the next stage might be needed, some additional inspection conducted, or a repeat of the 1st Stage Audit entirely.
4. The duration of both the 1st and 2nd Stage Audits is not to exceed 90 days. However, if the applicant requests it, or if there is insufficient time to address non-conformance issues, then the 1st Stage Audit can be repeated.

2nd Stage Registration Audit This audit has the objective to inspect the application of the management system to operations, including effectiveness. This audit is comprised of the following:

1. Evidence of compliance with all the relevant specifications
2. Results of implementation by key objectives and targets
3. Results of implementation from a legal perspective
4. Implementation of controls of the process
5. Results of the internal audit and management review
6. Linkages between the following:
   - 6.1 Specifications of policy, results of implementation by objectives and targets, and consistency with expectations according to standards or the law;
   - 6.2 Roles and responsibilities, knowledge and capability of staff, outputs of implementation, and summary results of the internal audit.
7. Involvement of managers in the administrative system

Implementation of the 2nd Stage Registration Audit

If there are issues of non-compliance, then proceed as follows:

1. Inform the applicant of the need to address these deficiencies, including an analysis of the causes and specifying corrections to remove the source of the non-compliance. The applicant is to inform TICA, with evidence, that the corrections have been made within 30 days of first notification, and additional evidence within 60 days from the date of the audit.
2. TICA reviews the corrections, the causes and the measures to prevent recurrence, and whether these are acceptable, including inspection of the effectiveness of the measures and foundation thereof.
   - 2.1 If there is major non-compliance, then the review of changes to rectify the deficiencies is done on-site, and which may be a review of the entire system or just certain components.

2.2 If there is minor non-compliance, then the review may only need to be a document review. However, if necessary, on-site inspections may occur, with a review of the entire system or just certain components.

2.3 If the applicant is not able to correct the deficiencies within six months, then the 2nd Stage Audit is repeated. The exception is if the applicant requests, in writing, to withdraw their application for certification and, thus, terminating the process.

2.4 Compile the evidence, analysis and summary of the audit, and submit the report to the Certification Committee to consider approval of the application.

4. Certificate

Issuing or re-deeming the certificate is performed according to the following:

a. TICA issues a certificate with the agreed content to the applicant. If this is a renewal of a certification, then the previous certificate must be returned to TICA.

b. The certificate specifies the expiration date of the certification, and recertification can be done if the organization passes the audit and is implementing according to the stated criteria.

5. Use of the certificate/mark /logo/name of certified body

In the certification system, TICA has the authority to allow the applicant to use the certificate/mark/logo/name of certified body for a specified duration as indicated in the certificate. Details of implementation are described in the TICA handbook on use of certification symbols. The handbook is provided to the applicant when issuing the certificate. If the applicant uses the mark/logo/name of the certified body, then the applicant is to comply with the regulations of the accreditation body. If the applicant inappropriately uses the mark/logo/name of the certified body, then TICA may suspend or withdraw the certification. Any change in the status of the certification will be reported to the public.

The validation of certification status can be checked by direct inquiries to the customer service department or checked from official website of TICA ; http://www.ticacert.com. The uses the certificate/mark/logo/name of the certified body in a way that is dishonest or not factual is is against the law which can be sued.

6. Surveillance audit/Renewal audit

The specifications for the surveillance audit and renewal audit of a certification covers the management system of the organization. The applicant must retain the surveillance audit findings, description of any complaint by the applicant, and other information related to the certification, and make these available to TICA upon request. After the applicant passes the surveillance audit according to the standard specifications, the applicant must apply for certification renewal after completing three years from the date of the initial audit, as per the following details:

Surveillance audit

Objectives:

1. To maintain credibility that the management system is continuing to comply with specifications from the time of the initial audit
2. To monitor any changes related to the scope of certification

Key features of the surveillance audit

1. Presentation of results of the internal audit and management review
2. Inspection of corrections to deficiencies found in the most recent audit
3. Addressing of complaints or grievances
4. Assessment of the effectiveness of the management system to lead toward target achievement
5. Assessment of the progress of activities and modifications on a continuous basis
6. Assessment of the continuity of operational controls
7. Review of any significant changes
8. Inspection of the use of the certificate/mark/logo/name of the certified body and/or referencing the certification

Implementation after the surveillance audit

In the case of non-compliance, proceed as follows:

1. Inform the applicant on the need for corrections through an analysis of causes and definition of steps needed to remove the cause of the deficiencies. A report of that analysis is to be submitted to TICA, including supporting documentation, within the specified time period. The first rectification must occur within 30 days, with additional support documentation submitted within 60 days counting from the date of the audit.
2. TICA reviews the improvements, causes and measures to prevent recurrence as to whether they are acceptable or not. This includes an inspection of the effectiveness of the corrections and supporting documentation.
   - 2.1 In the case of major non-compliance, the review of rectification is done on-site, and may be a review of the entire system or only some components.
   - 2.2 If there is minor non-compliance, then the review may only need to be a document review. However, if necessary, on-site inspections may occur, with a review of the entire system or just certain components.
   - 2.3 If the applicant is not able to correct the deficiencies within six months, then the chief auditor may conduct a spot-check (not preannounced). The exception is if the applicant requests, in writing, to withdraw their application for certification and, thus, terminating the process.
   - 2.4 Compile the evidence, analysis and summary of the audit, and submit the report to the Certification Committee to consider approval of the application.

New certification

Renewal Audit: This is conducted in full, the same as the 2nd Stage Registration Audit, with the exception being the case where there is a significant change in the management system of the applicant, or there is a change in the context of management. In that case, a new audit is to be conducted with the following objectives:

1. To assess the consistency of the management system with the specifications over time;
2. To affirm that the management system is still consistent and effective, and remains within the scope of the specifications in the certification;
3. To evaluate the effectiveness of the management system in leading toward achievement of the applicant's objectives.

Key features of the renewal audit, in consideration of the following:

1. Effectiveness of the entire system and relationship to the scope of the certification, and whether there is continuous adjustment or not;
2. Commitment to maintaining effectiveness and improvement in implementation;
3. Entire support system which helps policy, objectives and targets be successful.

Remarks: The duration of the certification renewal should take into consideration the time the applicant needs to address deficiencies since these need to be redressed before the certificate expires.

Implementation after the renewal audit

In the case where there is non-compliance, proceed as follows:

1. Inform the applicant on the need for corrections through an analysis of causes and definition of steps needed to remove the cause of the deficiencies. A report of that analysis is to be submitted to TICA, including supporting documentation, within the specified time period. The first rectification must occur within 30 days, with additional support documentation submitted within 60 days counting from the date of the audit.
2. TICA reviews the improvements, causes and measures to prevent recurrence as to whether they are acceptable or not. This includes an inspection of the effectiveness of the corrections and supporting documentation.

   2.1 In the case of major non-compliance, the review of rectification is done on-site, and may be a review of the entire system or only some components.

   2.2 If there is minor non-compliance, then the review may only need to be a document review. However, if necessary, on-site inspections may occur, with a review of the entire system or just certain components.

   2.3 If the applicant is not able to correct the deficiencies within six months, then the chief auditor may conduct a spot-check (not preannounced). The exception is if the applicant requests, in writing, to withdraw their application for certification and, thus, terminating the process.

2.4 Compile the evidence, analysis and summary of the audit, and submit the report to the Certification Committee to consider approval of the application.

7. Reduction/expansion of the scope

If there is a reduction/expansion of the scope of the certification – whether in terms of the site or products – the applicant must provide details as specified in Item 2. In the case of an expansion of the scope, the assessment will only focus on the proposed expansion, unless the expansion affects other operations or management and, if so, those components will also need to be the subject of the audit. If there is a reduction in scope, if it is found that that the certified organization is unable to implement activities under the original scope, or the organization requests a reduction in scope, TICA will issue a new certificate which applies only to the remaining parts of the original scope, while maintaining the original expiry date. The organization must return the original certificate to TICA, and there will be a public announcement of the new, reduced-scope certification.

8. Changes in the system/process/products

The certified organization must inform TICA in writing of any changes to the management or production system, or products which could have an impact on standards or regulations such as Site changed, Production technology changed, Certification scope changed. TICA will be the arbiter of the determination of the impact of the changes. This may include a new audit. If the organization does not inform TICA of said changes, TICA reserves the right to suspend or withdraw the certification.

9. Short Notice Audit

TICA can conduct a short Notice audit (i.e., without advance warning) of the certified organization if it receives a complaint about system management from a stakeholder.

10. Announcements to the public

The certified organization may inform the public of the certification through various media channels, or include that information in a brochure, letterhead, name card, etc. The information may include the scope or products that are certified. However, the certified organization may not apply the certificate to products not included in the original certification. Moreover, any public announcement must not confuse the public about what is/is not certified, and the organization must not confuse or cause misunderstanding among the stakeholders about the certification. In addition, TICA will take legal action against a certified organization if they make an announcement which causes misunderstanding, or suspend/withdraw the certification, with a public announcement of that action.

Cancelling, suspending, withdrawing or refuse a certification

1. Cancellation

The certified organization may request TICA to cancel the certification. At that time, the organization must cease using the certificate/mark/logo/name of the certified body and return the certificate to TICA.

2. Suspension

If any of the following pertains, TICA will suspend the certification, and the certified organization must submit a plan to rectify the problem within 120 days. During that time, the organization must temporarily return the certificate, cease using the certificate/mark/logo/name of the certified body, and inform the public of that suspension:

a. Major non-compliance is detected without corrective action;
b. Minor non-compliance is detected in the latest audit and corrective action has not been taken or is inadequate by the time of the next audit;
c. Unauthorized use of the certificate/mark/logo/name of the certified body;
d. Default on payment for services or postponement of the audit in excess of the criteria;
e. There is a major accident which halts production for more than two months;
f. The surveillance or renewal audit finds non-allowed deviation or underperformance in executing the rectification plan.

The organization may request TICA to restore a suspended certification, with supporting documentation, or after an on-site audit team submits a recommendation for action to the Judgement Committee. If the Committee decides to restore the certification, TICA will inform the organization, return the certificate to the organization, and make a public announcement accordingly. At that time, the organization may resume use of the certificate/mark/logo/name of the certified body.

3. Withdrawal

If any of the following pertains, TICA will withdraw the organization's certification and the organization must cease using the certificate/mark/logo/name of the certified body and return the certificate.

a. The company is not able to correct the deficiencies within the specified time frame of the temporary suspension of certification;
b. The application is found to have false information;
c. The company has discontinued operations;
d. The company defaults on payment for services or experiences a major accident which causes a halt to operations which cannot be rectified within the time frame of the temporary suspension of certification;
e. There is implementation that is not in compliance with the stated criteria.

4. Refuse of certification

If any of the following pertains, TICA will refuse the certification:

a. The applicant provides false information which adversely impacts on the process of certification which violates the stated principles, e.g., forging key documents, withholding of relevant information, or providing false information about the company;
b. The applicant produces and uses a counterfeit certificate;
c. The company cannot implement the management system in an efficient manner;

d. The company uses the certificate/mark/logo/name of the certified body in a way that is dishonest or not factual, and which could cause misunderstanding in the public.

Documentation of complaints

The organization must keep records of complaints and how those were addressed and must provide that documentation to TICA upon request.

Appeals, Complaints and Disputes

The following are guidelines for submitting appeals, complaints or disputes:

a. The certified entity/applicant may submit, in writing, an appeal, complaint or dispute to TICA within 45 days of an allegation, unsatisfactory inspection, or certification decision;

b. TICA will inform the Certification Committee for fair and neutral consideration.

Change in the rules or conditions of certification

If there are changes to the rules or conditions of the certification system, TICA will inform the Certification Committee to consider those changes and specify a date when the changes go into effect. The relevant entities will be informed in advance of the pending changes before the public announcement, for their review and acceptance. The relevant entities must then make the appropriate changes to conform to the new rules/conditions. TICA will conduct a review of implementation of those changes in the specified time frame.

Confidentiality

TICA will not disclose the information of the certified organization/applicant to any outside party, no matter what the circumstances – with the exception in the case of a legal order, in which case TICA will request permission from the certified organization/applicant in advance.

Security

The certified organization/applicant is responsible for ensuring the safety and security of the audit team and, if any damage/loss occurs to the audit team which is not the fault of the team, TICA will expect to receive compensation for the damages from the organization/applicant.

Accreditation Body

1. TICA is responsible for informing the accreditation body about the certification system within the specified time. That information consists of the following:
    a. Essential information and documents for the audit;
    b. Standards and scope of the organization which are auditable, including additions by the accreditation body, or reduction of measures or scope;
    c. Names of the applicant
    d. Changes in other criteria or conditions.
2. The certified organization/ applicant must allow access of the auditor team of the accreditation body to conduct inspections to determine compliance with the criteria, conditions and general provisions as covered under the certification.

History Record

Date	Page	Clause	Rev.	History Record	Prepare	Approve
01/12/62	10	8	07	Add examples of system / process / product changes that customers must notify to TICA.	ชุติมา	แสงแก้ว