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## 6. Certification assessment Stage 2

Against successful preparation as confirmed by auditor(s) through completion of Stage 1 audit process including raising, acknowledging noncompliance and successful acceptance of correction and corrective actions against noncompliance of Stage 1 Audit, on a date agreed with the client Stage 2 of the assessment of the system is carried out. Generally, the minimum gap of Stage 1 and stage 2 audits should be 7 days, but it can be reduced with prior authorization from Head of certification or Managing Director or in their absence any other directors who have not participated in the audit process, provided the preparation found adequate, the clients provide commitment to take speedy action.

Evidence of such communication for audit team and subsequent authorization must be documented in the audit file.

The maximum interval between stage 1 and stage 2 audits is not accepted more than 6 months

Stage 2 audit is a detailed assessment of the individual processes (both main processes and support processes).


Against completion of Stage 2 audit process including raising, acknowledging noncompliance and submitted correction and corrective actions against noncompliance of Stage 2 Audit, The Lead auditor is only authorized to make a recommendation to UCS. The recommendation may be one of the following:

- Unreserved recommendation to grant certification
- Recommendation to grant certification when certain specific issues have been resolved. This may require a follow-up visit to verify the corrective action.
- Recommendation to refuse certification. This requires a full re-assessment. It is unusual for an organization that has completed Stage 1 to have this result at the end of Stage 2.

**The purpose of stage 2** is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 shall take place at the site(s) of the client. It shall include the auditing of at least the following:

- a) information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;
- b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
- c) the client's management system ability and its performance regarding meeting of applicable
- d) statutory, regulatory and contractual requirements;
- e) operational control of the client's processes;
- f) internal auditing and management review;
- g) management responsibility for the client's policies.

**Note 2 :** For the initial audits according to the TAS standards, such as TAS 9047, TAS 9046, TAS 9070, TAS 1004, etc. Customer must provide a sample to demonstrate the virtual production process for the auditor to review (in the case of an out-of-season assessment).

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## 7. Certification Grant and Surveillance audits

UCS's Certification Manager against receipt of recommendation received from lead auditor supported with audit pack including audit reports, send the same to the Head of Certification or Technical review Committee for reviewing audit process to ascertain that audit has been conducted as per Man-days, audit resources and audit has been conducted as per requirement of UCS procedures and requirement of relevant standard.

UCS will grants Certificate against satisfactory compliance report from the Head of Certification or Technical review Committee supported with comments from auditors about compliance. The Head of Certification or reviewer (s) alone or in combination of personnel are appointed to review the audit documents finally before submitting the granted certification to final approval from the Managing director.

The Head of Certification or Technical review Committee (s) who will be taking certification decision are also appointed to ensure appropriate competence is demonstrated.

UCS ensures that the Person who take the decision for certification or recertification shall be independent and not participated on the audit program.

Surveillance audits are conducted at planned interval as mentioned in contract review document F06.

For the surveillance audits TAS standard systems, such as TAS 9047, TAS 9046, TAS 9070, TAS 1004, etc., established that:

1. For first surveillance audits, the customer must be audit when the production season arrives without waiting for the planned inspection round.
2. For second surveillance audits, the customer must be audit when the next production season after the 1st Surveillance audits.

**Note 3:** Established must be at least one unannounced audit of the customer per certification cycle. The audit type may be Onsite audit or Remote audit.

UCS always conducts surveillance and recertification audit as per planned schedule however in certain circumstances like earthquake, flood, insurgencies, terrorist, movement, extraordinary events (such as; COVID-19) etc. if such schedule gets effected, special permission from the MD shall be taken in advance to maintain the continuation of the certificate with sufficient documentary support like photographs, new paper information etc. In such cases pending audit shall be schedule as soon as possible after restoration of conditions at the audit location.

Audit team tracks and monitor any changes to its certified client and its management system in surveillance audit if it is informed in advance before the audit or otherwise during audit, and accordingly includes those functional areas in audit plan during surveillance audit. Auditor records those findings in audit report (R01) under surveillance audit activities.

The audit plan of surveillance should include at least the following:

- a) a review of actions taken on nonconformities identified during the previous audit,
- b) treatment of complaints,
- c) effectiveness of the management system with regard to achieving the certified client's objectives,