

Instructions on How to Apply for and Complete Self-Certification Program Applicable for TSR 3 2020 or FSR C 2020 Self-Certifications

Table 1 Self-Certification by LSP/Applicant – Flowchart

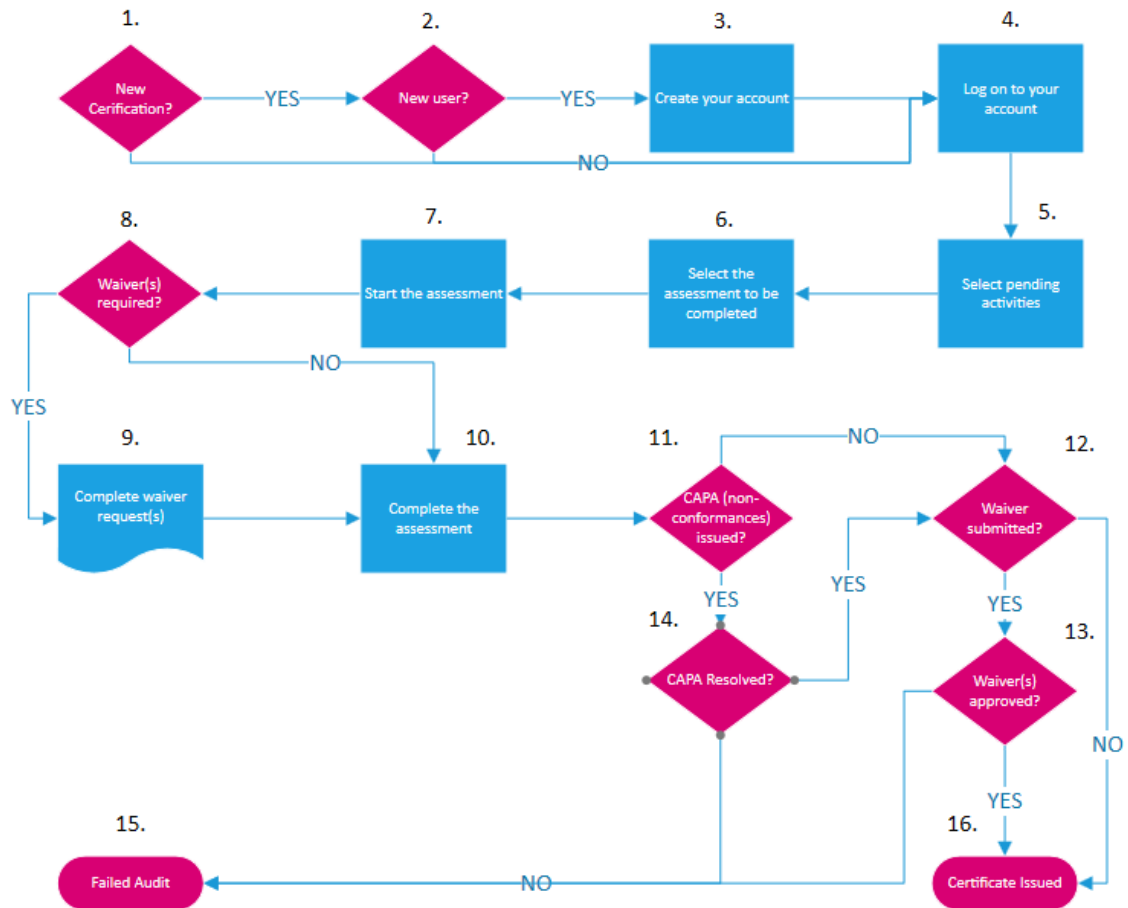


Table 2 Self-Certification by LSP/Applicant - Process

Ref.	Step	Description
1	New certification?	Directs new or existing LSP/Applicant to correct next step.
2	New LSP/Applicant?	Directs LSP/Applicant to setup an account or login as an existing LSP/Applicant.
3	Create your account.	3.1 Use this link on the TAPA website to complete a new self-certification submission form.  3.2 You will receive an invitation email from the TAPA On-line Certification Tool with the Assessment link

		3.3 To create your account, simply click on the Create Account link provided in the email invitation – your account will simply be your email address as the LSP/Applicant name and a password. You only have to create your account the first time you log into the TAPA On-line Certification Tool.
4	Log on to your account	If you have created an account, you can log into the TAPA Certification On-line Tool at any time. Just enter your account details - email address and password.
5	Select pending activities	Once you are ready to begin your self-certification assessment, log on to the TAPA Certification On-line Tool. You will find a Pending Activities grid.
6	Select the assessment to be completed	Select the assessment you would like to complete and click Complete Assessment link.
7	Start the assessment	<p>7.1 Answer all the questions by either selecting Yes, No or Not Applicable.</p> <p>7.2 You must qualify you answer by adding the appropriate comments in the box provided to demonstrate how compliance is achieved (Yes) or the reasons for non-compliance (No or Not Applicable). Incomplete answers may be rejected and result in a CAPA being issued.</p> <p>7.3 If you select No as a response to any question you must upload and attach a waiver form (see step 9).</p> <p>7.4 At the end of each question, click next to access the next category of questions.</p> <p>7.5 You can log out and then log back into the TAPA Certification On-line tool to complete your assessment at any time. Please note the question number you have completed to assist you when you return.</p>
8	Waiver required?	Directs LSP/Applicant to use the waiver process or to the correct next step
9	Complete waiver request	<p>9.1 If waivers are required ensure you follow the condition listed in the relevant TAPA standard.</p> <p>9.2 Select “No Waiver is required” option</p> <p>9.3 Ensure you answer all the 4 subsequent questions with proper detail and attachments.</p>

10	Complete the assessment	<p>10.1 Once you have completed all questions and addressed any waiver requests, click Submit.</p> <p>10.2 When you click the submit button, you will be notified if you have missed any uncompleted questions, additional information or attachments. Just enter your answer and press Submit again.</p>
11	CAPA (non-conformance) issued?	LSP/Applicant will receive an email requiring action to be taken to address CAPA's issued. A link in the email will provide access to the submitted audit
12	Waiver(s) submitted?	If waivers have been submitted, they will be reviewed by TAPA
13	Waiver(s) approved?	Approved and denied waiver results will be communicated to the LSP/Applicant and/or the auditor. Denied waivers require a new waiver or compliance to the original requirement.
14	CAPA resolved?	LSP/Applicant CAPA responses will be reviewed by TAPA. If accepted as completed the process will move to the next step
15	Failed audit	Process end. If the LSP/Applicant is still seeking certification they must submit a new audit.
16	Certificate issued	Process end. Email notification and certificate issued

Self-Certification annual interim audit by LSP/Applicant)

Table 3

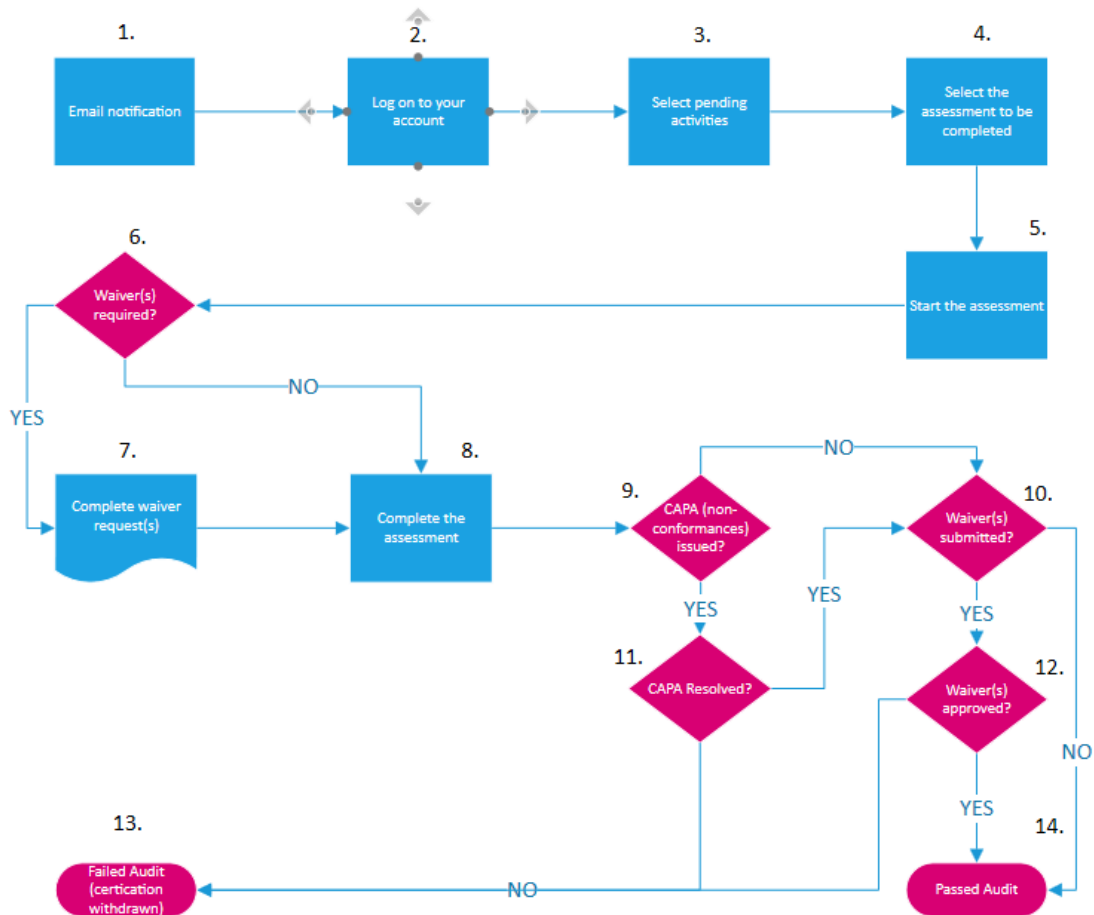


Table 4

Ref.	Step	Description
1	Email notification	LSP/Applicant receives automated email 30 days before annual IA is due
2	Log on to your account	You can log into the TAPA Certification On-line Tool at any time. Just enter your account details - email address and password.
3	Select pending activities	Once you are ready to begin your IA self-certification assessment, log on to the TAPA Certification On-line Tool. You will find a Pending Activities grid.

4	Select the assessment to be completed	Select the IA assessment you would like to complete and click Complete Assessment link.
5	Start the assessment	<p>5.1 Answer all the questions by either selecting Yes, No or Not Applicable.</p> <p>5.2 You must qualify your answer by adding the appropriate comments in the box provided to demonstrate how compliance is achieved (Yes) or the reasons for non-compliance (No or Not Applicable). Incomplete answers may be rejected and result in a CAPA being issued.</p> <p>5.3 If you select No as a response to any question you must upload and attach a waiver form (see step 7).</p> <p>5.4 At the end of each question, click next to access the next category of questions.</p> <p>5.5 You can log out and then log back into the TAPA Certification On-line tool to complete your assessment at any time. Please note the question number you have completed to assist you when you return.</p>
6	Waiver required?	Directs LSP/Applicant to use of the waiver process or to the correct next step
7	Complete waiver request	<p>7.1 If waivers are required ensure you follow the condition listed in the relevant TAPA standard.</p> <p>7.2 Select “No Waiver is required” option</p> <p>7.3 Ensure you answer all the 4 subsequent questions with proper detail and attachments.</p>
8	Complete the assessment	<p>8.1 Once you have completed all questions and addressed any waiver requests, click Submit.</p> <p>8.2 When you click the submit button, you will be notified if you have missed any uncompleted questions, additional information or attachments. Just enter your answer and press Submit again.</p>
9	CAPA (non-conformance) issued?	LSP/Applicant will receive an email requiring action to be taken address CAPA’s issued. A link in the email will provide access to the submitted audit
10	Waiver(s) submitted?	If waivers have been submitted, they will be reviewed by TAPA

11	Waiver(s) approved?	Approved and denied waivers results will be communicated to the LSP/Applicant and/or the auditor. Denied waivers require a new waiver or compliance to the original requirement.
12	CAPA resolved?	LSP/Applicant CAPA responses will be reviewed by TAPA. If accepted as completed the process will move to the next step
13	Failed audit	Process end. Certificate withdrawn
14	Passed audit	Process end. Email notification.