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## 1 SCOPE

This procedure applies for re-evaluation of processes, products or services certified by ECAE CD

## 2 POLICY

It is the policy of CD to ensure the continuing effectiveness of the licensees' certified system.

## 3 PURPOSE

The purpose of this procedure is to undertake the re-evaluation process, on certified clients, in a consistent and effective way which enables the Ethiopian Conformity Assessment Enterprise's Certification Directorate (ECAE CD) maintain confidence that the certified clients continue to fulfil relevant certification requirements.

## 4 REFERENCE

- ISO/IEC 17065: Conformity assessment – Requirements for bodies certifying products, processes and services,
- ISO/IEC 17067: Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes.

## 5 RESPONSIBILITY

The overall responsibility to implement this procedure lies with the Team Leader, Product Certification while the responsibility for each process step is as defined in the process flowchart under responsibility column.

## 6 DEFINITIONS AND ABBREVIATIONS

### 6.1 Definitions

For the purpose of this document, the terms and definitions given in ISO 9000, ISO/IEC 17000, ISO 19011, ISO/IEC 17065 and the following apply.

Certified client – Organization whose product(s), process(s) and/or service(s) has (have) been certified.

### 6.2 Abbreviations

<b>ET:</b>	Evaluation Team
<b>ETL:</b>	Evaluation Team Leader
<b>CD:</b>	Certification Directorate
<b>DC:</b>	Director, Certification
<b>ECAE</b>	Ethiopian Conformity Assessment Enterprise
<b>ES:</b>	Ethiopian standard(s)
<b>Lab.:</b>	Laboratory
<b>TE:</b>	Technical expert

## 7 PROCEDURE

### 7.1 Flowchart



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Input	Process	Output	Responsibility
<ul style="list-style-type: none"> <li>-Annual surveillance schedule</li> <li>- Personnel competence criteria</li> </ul>		ET assignment note	TLPC
<ul style="list-style-type: none"> <li>- ET assignment note</li> <li>- CD/PC/F7.8.0</li> </ul>		Draft Surveillance audit plan	ETL/TE
<ul style="list-style-type: none"> <li>-Draft audit plan</li> <li>-Annual surveillance schedule</li> </ul>		Approved/rejected surveillance audit plan	TLPC/QM
<ul style="list-style-type: none"> <li>- Approved surveillance audit plan</li> </ul>		Completed checklist (data) and sample(s)	ETL/TE
<ul style="list-style-type: none"> <li>- Product sample(s)</li> <li>- ES (Test methods)</li> </ul>		Lab. test report(s)	ETL/TE
<ul style="list-style-type: none"> <li>- Completed checklist (data)</li> <li>- Lab. Test report</li> <li>- Certification requirements, ES</li> </ul>		Draft Surveillance audit report	TLPC
<ul style="list-style-type: none"> <li>- Draft audit report</li> <li>- Certification requirements</li> </ul>		Report review note (Recommendation)	TLPC/CE
<ul style="list-style-type: none"> <li>- Draft audit report</li> <li>- Certification requirements, (ES, relevant scheme)</li> </ul>		Decision note on compliance /noncompliance	DC
<ul style="list-style-type: none"> <li>Decision note on noncompliance</li> </ul>		Communicated and recorded decision (Suspended/ withdrawn License)	DC
<ul style="list-style-type: none"> <li>- Decision note on compliance</li> <li>- CD/PC/F7.7.1 or CD/PC/F7.7.2</li> </ul>		Maintained License/certificate of conformity	DC

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## 7.2 Description of process steps

Process Step	Description of process
1.	<p>The annual surveillance audit schedule is prepared together with other annual performance plan of the CD. Based on the annual surveillance schedule and filled auditors and technical expert's competence criteria checklists (OF/CD/1.15 and CD/PC/F6.1.2-2) the TLPC assigns ET including ETL to carryout surveillance audits as planned.</p> <p>Surveillance audit shall be conducted at least every quarter of a year for compulsory products. TLPC shall initiate surveillance audit according to the annual surveillance schedule.</p>
2.	<p>The assigned ETL prepares a draft surveillance audit plan based on the annual surveillance schedule and taking into consideration the certified company's management system, for each company. Then the draft audit plan will be submitted to TLPC for approval.</p> <p>Note: If the assigned ETL is external, the TLPC will communicate the annual surveillance schedule to him/her in advance.</p>
3.	<p>The draft surveillance audit plan shall be reviewed for its completeness and approved by QM/TLPC.</p>
4.	<p>Surveillance evaluation activities include on-site evaluation and market surveillance, if required. Depending on the certification system used, an on-site evaluation includes evaluation of all activities performed by supplier, i.e.; from raw materials receiving to delivery of finished products, and his quality system and drawing of product samples for laboratory testing. The evaluation team collects all necessary data using surveillance checklist and prepares surveillance evaluation report.</p>
5.	<p>Product sample(s) collected during surveillance evaluation shall be submitted to the ECAE laboratory or other recognized laboratories for analysis. Sample(s) shall be tested according to the relevant Ethiopian Standard(s).</p>
6.	<p>The ETL shall prepare surveillance evaluation report based on the evidences collected during the plant's evaluation and laboratory test results of the product sample(s). The surveillance evaluation report shall be clear, concise, simple and legible and shall be supported by objective evidences. Non conformities shall be identified in terms of specific requirements of the certification scheme and other relevant documents against which the evaluation has been carried out.</p>
7.	<p>The TLPC reviews the surveillance evaluation report submitted by ETL for its adequacy of providing complete, accurate and clear information regarding the status of certified</p>

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	client and forward his review notes with recommendations to DC for decision on certification.
8.	The DC evaluates the findings of surveillance evaluation against the relevant scheme of certification of CD and decides whether to: <ul style="list-style-type: none"> <li>• Re- evaluation the factory,</li> <li>• Maintain certification,</li> <li>• Suspend certification,</li> <li>• reduce the scope of certification or</li> <li>• withdraw (cancel) certification.</li> </ul>
9.	In case the client fails to comply with the relevant certification requirements, the DC suspends, reduces the scope or withdraw certification, and notify the client in writing. Subsequent action will be taken based on the certification agreement (CD/PC/F4.1.2).
10.	Description is not required for this process step.

#### 8 SUSIDARY DOCUMENTS

- CD/PC/F8.2.4: Document Master List
- CD/PC/F8.2.5-2: Document Distribution List
- CD/PC/F7.4.1: Evaluation plan for product certification
- CD/PC/F7.4.3: Process evaluation checklist
- CD/PC/F7.8.0: Directory of certified products
- CD/PC/CRD4.1.2: Certification agreement
- CD.PC.F7.4.1 Evaluation plan for product certification
- Relevant ES
- Relevant certification scheme

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### Document Issue History

Revision No.	Description of change	Author(s)	Effective date
0	Initial release	<b>Zelege Folla</b>	
1	The content of document issue history have been modified and policy statement included.	Deressa Fuffa, Saedi A.A. and Zelege Folla	July 15
2	In description of process step 1 a word 'for compulsory products' is added and for process step 3 'QM' is added as an additional responsibility.	Addisu Belayneh	April 2021

<b>Approver by: Amsalu Enyew</b>	<b>Signature:</b>
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