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Ethiopian Conformity Assessment Enterprise

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**PROCEDURE FOR MANAGEMENT SYSTEM  
CERTIFICATION PROCESS**

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Effective date:  
19<sup>th</sup> May,  
2025

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**Signature:**

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### 1. PURPOSE

The purpose of this procedure is to define the process of certification for the respective management systems certification offered by ECAE CD.

### 2. SCOPE

This procedure applies to all management systems activities undertaken within the relevant functions of ECAE CD.

### 3. REFERENCES

- i. ISO/IEC 17021-1:2015 Conformity assessments- Requirements for bodies providing audit and certification of management systems.
- ii. ISO/IEC 17021-2:2016 Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 2: Competence requirements for auditing and certification of environmental management systems
- iii. ISO/IEC 17021-3:2017 Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 3: Competence requirements for auditing and certification of quality management systems
- iv. ISO/IEC 17021-10:2018 Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 10: Competence requirements for auditing and certification of occupational health and safety management systems
- v. ISO/TS 22003:2013 Food safety management systems — Requirements for bodies providing audit and certification of food safety management systems
- vi. IAF MD 5 Determination of audit time of Quality, environmental, and Occupational Health & Safety Management systems
- vii. IAF MD 22 Application of ISO/IEC 17021-1 for the certification Of occupational health and safety management Systems (OH&SMS)
- viii. IAF MD 16 Application of ISO/IEC 17011 for the Accreditation of Food Safety Management. Systems (FSMS) Certification Bodies.
- ix. IAF MD 2: IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems,

### 4. RESPONSIBILITY

- i. It is the responsibility of Team Leaders to implement the requirements of this procedure.
- ii. The Quality Manager is responsible to ensure the implementation of this procedure.

### 5. DEFINITIONS AND ABBREVIATIONS

#### 5.1. Definitions

For the purpose of this document the definitions given in ISO/IEC 17021-1:2015 and 19011:2018, apply

#### 5.2. Abbreviations

DC: Director, Certification  
LA: Lead Auditor  
NCR: Non-conformance Report  
ATM: Audit Team Member



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CAR: Corrective action Report

TL: Team Leader

QM: Quality Manager

### 6. PROCEDURE

#### 6.1. Application and application review

6.1.1 A client seeking for management system certification from ECAE CD shall fill in the application form OF/CD/2.12

6.1.2 The Team leader shall conduct a review of the application and supplementary information to ensure that:

6.1.2.1 the information about the applicant organization and its management system is sufficient to develop an audit programme

6.1.2.2 any known difference in understanding between the certification body and the applicant organization is resolved;

6.1.2.3 ECAE CD has the competence and ability to perform the certification activity;

6.1.2.4 The scope of certification sought, the site(s) of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are taken into account.

6.1.3 Based on the review of the application, ECAE CD shall either accept or decline an application for certification. When the application for certification is declined as a result of the review of application, ECAE CD shall document the reasons for declining an application and make clear to the client the reasons.

6.1.4 The Team Leader shall determine the competencies to be included in the audit team and for the certification decision.

6.1.5 The Team leader shall determine whether the audit is to be conducted remotely or onsite. If it is determined that the audit should be conducted remotely, the Team leader shall confirm that ECAE CD and the client have the capability to undertake the audit remotely and it is a viable option upon conducting a risk assessment on the outcome of the audit. This includes confirmation of ICT resources, competence of the auditors, and capability of client's auditee for conducting the remote audit.

#### 6.2. Audit programme

6.2.1 The Team leader shall develop an audit programme for the full certification cycle in order to identify the audit activities required to demonstrate that the client's management system fulfils the requirements for certification to the selected standard.

6.2.2 The audit programme for the initial certification shall include a two stage initial audit surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification. The first certification cycle shall begin with the certification decision. Subsequent cycles shall begin with the recertification decision.

6.2.3 ECAE CD shall conduct surveillance audit at least once every calendar year except in recertification years. The first surveillance audit after initial certification shall not be more than 12 months from the certification date.

6.2.4 Whenever ECAE CD takes into account certification already granted to the client and to audits performed by another certification body, it shall obtain and retain sufficient evidence such as reports



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and documentation on corrective actions to any non-conformity. Based on the information obtained ECAE CD shall justify and record any adjustment to the existing audit programme and follow up on implementation of corrective actions concerning previous non conformities.

6.2.5 Where the client operates shifts the activities that take place during shift working hours shall be considered when developing the audit programme and audit plan.

### 6.3. Audit time determination

6.3.1 Based on information in the application form the Team Leader shall determine audit time for the particular management system scope under review. In determining the audit time, the team leader shall make reference to IAF MD1, IAF MD 5 and ISO TS 22003 as applicable and capture this information in OF/CD/2.24 (Audit man days' calculation form)

6.3.2 ECAE CD shall consider the following aspects when calculation audit time

- i. the requirements of the relevant management system standard;
- ii. complexity of the client and its management system;
- iii. technological and regulatory context;
- iv. any outsourcing of any activities included in the scope of the management system;
- v. the results of any prior audits;
- vi. size and number of sites, their geographical locations and multi-site considerations;
- vii. the risks associated with the products, processes or activities of the organization;
- viii. Whether audits are combined, joint or integrated.

6.3.3 The team leader shall record the duration and justification of the management system audit in OF/CD/2.24.

6.3.4 The certification fee based on the audit time calculation shall be communicated to the client in the customer offer and order letter OF/CD/2.14

### 6.4. Multi-site sampling

6.4.1 The Team Leader shall develop a sampling plan for clients whose management system covers the same activity in various geographical locations.

6.4.2 The rationale for sampling shall be documented for each client in OF/CD/2.24. Reference shall be made to ISO TS 22003 and IAF MD 1 as applicable.

### 6.5. Multiple management system standards

6.5.1 The team leader shall consider clients who have applied for certification to multiple management system standards and ensure adequate on site auditing when planning. The audit time shall be determined for each management system individually then combined.

6.5.2 For clients applying for certification for integrated management system the team leader shall determine the audit time for each individual management system and apply IAF MD 11 in the calculation.

### 6.6. Transfer of certification from another CB to ECAE CD

6.6.1 Only certifications which are covered by an accreditation of an IAF MLA signatory shall be eligible for transfer from another CB to ECAE. Organizations holding certificates that are not covered by such accreditation shall be treated as new clients.



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6.6.2 The team leader from ECAE CD shall carry out review of the certification of the prospective client through documentation review which may include a visit. Reasons for not conducting a visit shall be fully justified and documented and a visit shall be conducted if no contact can be made with the issuing certification body.

6.6.3 The review should cover the following aspects and its findings shall be fully documented:

- i. Confirmation that the client's certified activities fall within the accredited scope of the ECAE CD;
- ii. the reasons for seeking a transfer;
- iii. that the site(s) wishing to transfer certification hold an accredited certification that is valid in terms of authenticity, duration and scope of activities covered by the management system certification. If practical, the validity of certification and the status of outstanding nonconformities should be verified with the issuing certification body unless it has ceased trading. Where it has not been possible to communicate with the issuing certification body, the ECAE CD shall record the reasons;
- iv. a consideration of the last certification or recertification audit reports, subsequent surveillance reports and any outstanding nonconformities that may arise from them. If the last certification, recertification or subsequent surveillance audit reports are not made available or if the surveillance audit is overdue then the organization shall be treated as a new client;
- v. Complaints received and action taken;
- vi. the stage in the current certification cycle and
- vii. any current engagement by the organization with regulatory bodies in respect of legal compliance.

6.6.4 Normally, only valid accredited certification should be transferred. In cases where certification has been granted by a certification body which has ceased trading or whose accreditation has been expired, suspended or withdrawn, ECAE CD may consider such a certification as a transfer at its discretion. In such cases, before it proceeds with the transfer, ECAE CD shall obtain agreement from the, accreditation body whose mark it intends to place on the certificate. In the case of acquisitions, the acquiring certification body should, where practical, fulfil the contractual obligations of the acquired certification body.

6.6.5 The check list for transfer of certification OF/CD/2.28 shall be filled.

6.6.6 Certification which is known to have been suspended or under threat of suspension shall not be accepted for transfer. If ECAE CD has not been able to verify the status of the certification with the issuing certification body, the organization shall be required to confirm that the certificate is not suspended or under threat of suspension.

6.6.7 Outstanding nonconformities should be closed out, if practical, with the issuing certification body, before transfer. Otherwise they shall be closed out by the ECAE CD.

6.6.8 If no further outstanding or potential problems are identified by the pre-transfer review, a certification may be issued following the normal decision making process of the ECAE CD. The programme of ongoing surveillance shall be based on the previous certification regime unless ECAE CD has conducted an initial or recertification audit as a result of the review.

6.6.9 Where doubt continues to exist, after the pre-transfer review, as to the adequacy of a currently or previously held certification, ECAE CD shall, depending upon the extent of doubt, either:

- i. treat the applicant as a new client or
- ii. conduct an audit concentrating on identified problem areas.



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6.6.10 The decision as to the action required will depend upon the nature and extent of any problems found and shall be explained to the organization and the justification for the decision shall be documented and the records maintained by the ECAE CD.

### 6.7. Planning audits

6.7.1 The team leader shall determine the audit scope, audit criteria when reviewing information supplied by the client during application. Further to this the team leader shall determine the audit objectives that shall include but not limited to the following:

- i. determination of the conformity of the client's management system, or parts of it, with audit criteria;
- ii. determination of the ability of the management system to ensure the client meets applicable statutory, regulatory and contractual requirements;
- iii. determination of the effectiveness of the management system to ensure the client can reasonably expect to achieving its specified objectives;
- iv. as applicable, identification of areas for potential improvement of the management system.

6.7.2 The team leader shall ensure that the audit scope describes the extent boundaries of the audit such as sites, organizational units, activities and processes to be audited.

6.7.3 The team leader shall identify the audit criteria which shall be used as a reference against which conformity is determined and shall include

- i. The requirements of a defines normative document on management systems
- ii. The defined process and documentation of the management system developed by the client.

### 6.8. Audit team selection and assignment

6.8.1 In selecting and appointing the audit team, including the audit team leader and technical experts as necessary, the team leader shall take in to account the competence needed to achieve the objectives of the audit and requirements for impartiality and the audit team shall have the totality of the competences identified. If there is only one auditor, the auditor shall have the competence to perform the duties of an audit team leader applicable for that audit.

6.8.2 In deciding the size and composition of the audit team, consideration shall be given to the following:

- a) Audit objectives, scope, criteria and estimated audit time.
- b) Whether the audit is a combined, joint or integrated.
- c) The overall competence of the audit team needed to achieve the objectives of the audit.
- d) Certification requirements (including any applicable statutory, regulatory or contractual requirements.
- e) Language and culture.

6.8.3 The Team Leader shall appoint auditors for each audit based on the updated auditors and technical expert's competence matrix OF/CD/2.6.

6.8.4 Whenever a technical expert, interpreter or observer is appointed as part of the audit team they shall operate under the direction of an auditor and shall not unduly influence the audit.

6.8.5 The technical expert shall not act as an auditor in the audit team.

6.8.6 The presence and justification of technical experts and observers in an audit shall be agreed upon by ECAE CD and the client prior to the conduct of the audit.

6.8.7 The team leader shall allow auditors in training to participate in the audit provided they are under evaluation by an auditor.





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6.8.8 Guides assigned to the audit team shall facilitate the audit team and shall not influence or interfere in the audit process or audit outcome.

6.8.9 The responsibilities of the guide can include establishing contacts and timing for interviews, arranging visits to specific parts of the site or organization, ensuring that rules concerning site safety and security procedures are known and respected by the audit team members, witnessing the audit on behalf of the client, providing clarification or information as requested by an auditor.

6.8.10 The lead auditor in consultation with the audit team shall assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities.

### 6.9. Audit plan.

6.9.1 The appointed lead auditor shall establish an audit plan OF/CD/2.20 prior to each audit identified in the audit programme for each client

6.9.2 The audit plan shall refer or include the following:

- i. the audit objectives;
- ii. the audit criteria;
- iii. the audit scope, including identification of the organizational and functional units or processes to be audited;
- iv. the dates and sites where the on-site audit activities will be conducted, including visits to temporary sites and remote auditing activities, where appropriate;
- v. the expected duration of on-site audit activities;
- vi. the roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters.

6.9.3 ECAE CD shall require the audit team to undertake the following tasks when carrying out the audits:

- i. examine and verify the structure, policies, processes, procedures, records and related documents of the client relevant to the management system standard;
- ii. determine that these meet all the requirements relevant to the intended scope of certification;
- iii. determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system;
- iv. communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets.

6.9.4 The lead auditor shall communicate the audit plan once the dates are agreed upon by the client 14 days in advance

6.9.5 Upon request ECAE CD shall provide the name of and make available background information on each member of the audit team with sufficient time for the client to object to the appointment of any particular audit member and for ECAE CD to reconstitute the team in response to any valid objection.

### 6.10. Initial certification

6.10.1 ECAE CD shall conduct initial certification audits in two stages; Stage 1 and Stage 2.

6.10.2 ECAE CD shall require the client to provide the management system documentation for a document review in preparation for the initial certification audit by the selected audit team and provide a document review report.



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### 6.11. Stage 1

6.11.1 ECAE CD shall carry out Stage 1 audits on site unless it is not feasible to do so due to occurrence of extra ordinary events such as natural calamities, pandemics etc.

6.11.2 The lead auditor shall prepare an audit plan for Stage 1 audit capturing the audit objectives as follows:

- i. review the client's management system documented information;
- ii. evaluate the client's site-specific conditions and to undertake discussions with the client's personnel
- iii. to determine the preparedness for stage 2;
- iv. review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- v. obtain necessary information regarding the scope of the management system, including:
  - a. the client's site(s);
  - b. processes and equipment used;
  - c. levels of controls established (particularly in case of multisite clients);
  - d. applicable statutory and regulatory requirements;
- vi. review the allocation of resources for stage 2 and agree the details of stage 2 with the client;
- vii. provide a focus for planning stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document;
- viii. evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2.

6.11.3 The lead auditor shall document the conclusions with regard to fulfilment of the Stage 1 objectives and readiness for stage 2 audit shall be communicated to the client identifying areas of concern that could be classified as a non-conformity during Stage 2 audit. This shall be in the Stage 1 audit report form OF/CD/2.21.

6.11.4 ECAE CD shall require the client to resolve any areas of concerns raised in the Stage 1 audit within 6 months within which a Stage 2 shall be planned upon the client submitting information relating to the resolved areas of concern to the CB.

6.11.5 If any significant changes impacting the management system occur ECAE may consider the need to repeat part of Stage 2.

6.11.6 ECAE CD shall inform the client that the outcome of Stage 1 audit may lead to postponement or cancellation of stage 2.

### 6.12. Stage 2

6.12.1 ECAE CD shall carry out a stage 2 audit on site to evaluate the implementation, including effectiveness of the clients' management system.

6.12.2 ECAE CD shall audit the following:

- i. information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;





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- ii. 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);
- iii. the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;
- iv. operational control of the client's processes;
- v. internal auditing and management review;
- vi. management responsibility for the client's policies.

6.12.3 The audit team shall analyze all information and audit evidence gathered during stage 1 and stage 2 to review the audit findings and agree on the audit conclusions.

### 6.13. Conducting audits

6.13.1 ECAE CD shall conduct audits on site. Where it is necessary to use electronic means or auditing of a virtual site ECAE CD shall ensure that such activities are conducted by competent personnel.

6.13.2 The audit team shall ensure that the evidence obtained during audits shall be sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question

6.13.3 ECAE CD shall audit team shall start the audit with an opening meeting including the following:

- i. introduction of the participants, including an outline of their roles;
- ii. confirmation of the scope of certification
- iii. confirmation of the audit plan (including type and scope of audit, objectives and criteria), any changes, and other relevant arrangements with the client, such as the date and time for the closing meeting, interim meetings between the audit team and the client's management;
- iv. confirmation of formal communication channels between the audit team and the client;
- v. confirmation that the resources and facilities needed by the audit team are available;
- vi. confirmation of matters relating to confidentiality;
- vii. confirmation of relevant work safety, emergency and security procedures for the audit team;
- viii. confirmation of the availability, roles and identities of any guides and observers;
- ix. the method of reporting, including any grading of audit findings;
- x. information about the conditions under which the audit may be prematurely terminated;
- xi. confirmation that the audit team leader and audit team representing the certification body is responsible for the audit and shall be in control of executing the audit plan including audit activities and audit trails;
- xii. confirmation of the status of findings of the previous review or audit, if applicable;
- xiii. methods and procedures to be used to conduct the audit based on sampling;
- xiv. confirmation of the language to be used during the audit;
- xv. confirmation that, during the audit, the client will be kept informed of audit progress and any concerns;
- xvi. opportunity for the client to ask questions.

6.13.4 The lead auditor shall record attendance in OF/CD/1.18.

6.13.5 ECAE CD audit team shall periodically assess audit progress and exchange information of which the lead auditor shall reassign work as necessary.



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- 6.13.6 The audit team shall periodically communicate the progress of the audit and any concerns to the client.
- 6.13.7 Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), the lead auditor shall report this to the client and, if possible, to the certification body to determine appropriate action.
- 6.13.8 Such action may include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. The audit team leader shall report the outcome of the action taken to the certification body.
- 6.13.9 The lead auditor shall review with the client any need for changes to the audit scope based on information gathered during the audit.
- 6.13.10 The audit team shall obtain information relevant to the audit objectives, scope and criteria obtained by appropriate sampling and verified to become audit evidence
- 6.13.11 Methods used by the audit team to obtain information shall include but not limited to interviews, observation of processes and activities, review of documentation and records.

### 6.14. Identifying and recording audit findings and preparing audit conclusion

- 6.14.1 The audit team shall summarize audit findings. Any non-conformity identified shall be detailed, classified and recorded to enable an informed certification decision to be made or for certification to be maintained.
- 6.14.2 The audit team may identify opportunities for improvement. Audit findings which are non-conformities shall not be recorded as opportunities for improvement.
- 6.14.3 The audit team shall record a finding of non-conformity against a specific requirement and shall contain a clear statement of the non-conformity identifying in detail objective evidence on which the non-conformity is based in OF/CD/2.5.
- 6.14.4 The audit team shall ensure that nonconformities are discussed with the client to ensure that the evidence is accurate and that the non-conformities are understood.
- 6.14.5 The audit team shall refrain from suggesting the cause of non-conformities and their solution.
- 6.14.6 The lead auditor shall attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings and record any unresolved points.
- 6.14.7 The audit team under the responsibility of the lead auditor prior to the closing meeting, at the auditors meeting shall undertake the following:
- review the audit findings, and any other appropriate information obtained during the audit, against the audit objectives and audit criteria and classify the nonconformities;
  - agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;
  - agree any necessary follow-up actions;
  - confirm the appropriateness of the audit programme or identify any modification required for future audits (e.g. scope of certification, audit time or dates, surveillance frequency, audit team competence).

### 6.15. Conducting the closing meeting

- 6.15.1 The audit team shall conduct a formal closing meeting and record attendance in OF CD 1.60.



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6.15.2 The closing meeting shall be held as appropriate with clients' management and those responsible for functions or processes to be audited.

6.15.3 The closing meeting shall also include the following elements where the degree of detail shall be consistent with the familiarity of the client with the audit process:

- i. advising the client that the audit evidence obtained was based on a sample of the information; thereby introducing an element of uncertainty;
- ii. the method and timeframe of reporting, including any grading of audit findings;
- iii. the certification body's process for handling nonconformities including any consequences relating to the status of the client's certification;
- iv. the timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit;
- v. the certification body's post audit activities;
- vi. information about the complaint and appeal handling processes.

6.15.4 The lead auditor shall give an opportunity for the client to ask questions. Any diverging opinions regarding audit findings or audit conclusions between the audit team and client shall be discussed and resolved. Any diverging opinions not resolved shall be recorded.

#### 6.16 Audit report

6.16.1 ECAE CD shall provide a written report for each audit to the client in which opportunities for improvement and not specific solutions may be provided. ECAE CD shall maintain ownership of the report.

6.16.2 The lead auditor shall be responsible for the preparation and content of the audit report

6.16.3 The audit report shall provide an accurate, concise and clear record of the audit to enable an informed certification decision to be made and shall include or refer to the following:

- i. identification of ECAE CD;
- ii. the name and address of the client and the client's representative;
- iii. the type of audit (e.g. initial, surveillance or recertification audit or special audits);
- iv. the audit criteria;
- v. the audit objectives;
- vi. the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;
- vii. any deviation from the audit plan and their reasons;
- viii. any significant issues impacting on the audit programme;
- ix. identification of the audit team leader, audit team members and any accompanying persons;
- x. the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;
- xi. audit findings, reference to evidence and conclusions, consistent with the requirements of the type of audit;
- xii. significant changes, if any, that affect the management system of the client since the last audit took place;
- xiii. any unresolved issues, if identified;
- xiv. where applicable, whether the audit is combined, joint or integrated;



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- xv. a disclaimer statement indicating that auditing is based on a sampling process of the available information;
- xvi. recommendation from the audit team
- xvii. the audited client is effectively controlling the use of the certification documents and marks, if applicable;
- xviii. verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.

6.16.4 The audit report shall also contain:

- i.a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:
  - a. the capability of the management system to meet applicable requirements and expected outcomes;
  - b. the internal audit and management review process;
- ii.a conclusion on the appropriateness of the certification scope;
- iii. confirmation that the audit objectives have been fulfilled.

### 6.17 Cause and analysis of non-conformities

- 6.17.1 ECAE CD shall require each client to analyse the cause and describe the specific correction and corrective action taken or planned to be taken, to eliminate the identified non-conformities within 14 days of conducting the audit
- 6.17.2 The lead auditor shall review the corrections, identified causes and corrective actions suggested by the client and determine if they are acceptable.
- 6.17.3 For minor non conformities ECAE CD shall require the client to provide a corrective action plan within 1 month.
- 6.17.4 For major non conformities ECAE CD shall require the client to provide the evidence of implementation within 3 months. This can be confirmed either onsite or offsite as agreed with the client during the closing meeting.
- 6.17.5 ECAE CD shall verify the effectiveness of any correction and corrective action provided by the client in the subsequent audit as planned in the audit programme.
- 6.17.6 The evidence obtained to support the resolution of the non-conformities shall be recorded in the audit report.

### 6.18 Certification decision

- 6.18.1 ECAE CD shall ensure that persons or committees that make the decisions for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits, and also the individual (s) appointed to conduct the certification decision shall have appropriate competence.
- 6.18.2 The Team Leader shall conduct a review of the information provided by the audit team to confirm the following:
  - i. the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;



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- ii. for any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions;
- iii. for any minor nonconformities it has reviewed and accepted the client's plan for correction and corrective action.

6.18.3 The audit team shall provide the following information to the Team Leader for granting initial certification:

- i. the audit report;
- ii. comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client;
- iii. confirmation of the information provided to the certification body used in the application review
- iv. confirmation that the audit objectives have been achieved;
- v. a recommendation whether or not to grant certification, together with any conditions or observations.

6.18.4 If the Lead auditor or any member of the audit team is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, the ECAE CD shall conduct another stage 2 prior to recommending certification.

6.18.5 ECAE CD does not outsource any of its certification activities including certification.

6.18.6 When a transfer of certification is envisaged from another certification body to ECAE CD IAF MD 2 shall be applied for obtaining sufficient information in order to take a decision on certification.

6.18.7 ECAE CD shall make decisions on renewing certification based on results of the recertification audit and results of the review of the system over the period of certification and any complaints received from the users of certification.

### 6.19 Surveillance activities

6.19.1 ECAE CD shall undertake surveillance activities that include on site auditing of the clients' management systems fulfilment of specified requirements with respect to the standard which the certification is granted. ECAE CD may consider the following surveillance activities

- i. enquiries from the certification body to the certified client on aspects of certification;
- ii. reviewing any certified client's statements with respect to its operations (e.g. promotional material, website);
- iii. requests to the certified client to provide documented information (on paper or electronic media);
- iv. other means of monitoring the certified client's performance.

6.19.2 ECAE CD shall plan onsite surveillance audits together with other surveillance activities to maintain confidence that the certified clients' management system continues to fulfil requirements between recertification audits. Each surveillance for the relevant management system shall include:

- i. internal audits and management review;
- ii. a review of actions taken on nonconformities identified during the previous audit;
- iii. complaints handling;
- iv. effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);
- v. progress of planned activities aimed at continual improvement;
- vi. continuing operational control;



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- vii. review of any changes;
- viii. use of marks and/or any other reference to certification

### 6.20 Recertification

- 6.20.1 ECAE CD shall conduct recertification audit to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. When recertification audits to be conducted a review on the previous shall be conducted this review include the types and numbers NCs, OFIs, and any complain received in the certified client.
- 6.20.2 ECAE CD shall plan and conduct recertification audits to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document.
- 6.20.3 ECAE CD shall be plan and conduct recertification audits in due time to enable for timely renewal before the certificate expiry date.
- 6.20.4 The recertification activity shall include the review of previous surveillance audit reports and consider the performance of the management system over the most recent certification cycle.
- 6.20.5 Where there have been significant changes to the management system, the organization, or the context in which the management system is operating (e.g. changes to legislation) ECAE CD shall consider to have a stage 1 recertification activities.

### 6.21 Recertification audit

- 6.21.1 The recertification audit shall include an on-site audit that addresses the following:
  - i. the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
  - ii. demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
  - iii. the effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s).
- 6.21.2 For any major nonconformity, ECAE CD shall require the client to provide evidence of implementation within 3 months. These actions shall be implemented and verified prior to the expiration of certification.
- 6.21.3 When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification shall be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.
- 6.21.4 If ECAE CD has not completed the recertification audit or is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended. The client shall be informed and the consequences shall be explained.
- 6.21.5 Following expiration of certification, ECAE CD can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.





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### 6.22 Special audits

- 6.22.1 ECAE CD shall undertake a review of the application by a client to expand scope of a certification already granted.
- 6.22.2 Whenever it is necessary for ECAE CD to conduct a short notice audit or an unannounced audit to investigate complaints, or in response to changes or as a follow up on suspended clients ECAE CD shall make known to the certified client the conditions under which such audits shall be conducted.
- 6.22.3 For such cases ECAE CD shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

### 6.23 Suspending, withdrawing or reducing the scope of certification

- 6.23.1 ECAE CD has documented a policy POL/CD/1.2 for suspension, withdrawal and reducing of scope of certification
- 6.23.2 ECAE CD shall record any certificate that is returned by the client following suspension, withdrawal, or reduction of the scope in the returned certificate registration form, OF CD/2.31.

### 6.24 Complaints and appeals handling

ECAE CD has documented a procedure OP/CD/1.6 for handling of complaints and appeals arising out of the certification process

## 7.0 RECORDS

Document Number	Document Title
OF/CD/2.12	Application form
OF/CD/2.24	Audit time determination form
OF/CD/2.9	Assignment of auditors/Technical experts
OF/CD/2.16	Audit program
OF/CD/2.16-1	Annual Audit program
OF/CD/2.20	Audit plan
OF/CD/2.14	Customer offer and order letter
OF/CD/2.17	Agenda for opening and closing meeting
OF/CD/1.18	Attendance register
OF/CD/2.21-1	QMS Audit report
OF/CD/2.21-2	EMS Audit report
OF/CD/2.21-3	OHSMS Audit report
OF/CD/2.21-4	FSMS Audit report
OF/CD/2.21-5	IMS Audit report
OF/CD/2.22	Audit report form
OF/CD/2.26	Certificate template
OF/CD/2.28	Check list for transfer of certification
OF CD/2.31	Returned certificate registration form
OF/CD/2/13	Certification agreement
OF/CD/2.24	Sampling
OF/CD/1.10	CAR
OF/ECAE/1.16-1	Certification decision
OF/CD/2.12-1	New Applicant/client registration and follow up form



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**REVISION HISTORY**

Revision	Description of Change	Author(s)	Effective Date
5	Clause 6.1.5 and 6.20.1 has been modified, and 6.8.1, 6.8.8, 6.18.1, 6.18.5 are added.	Zewdu Tesfaye	23 <sup>rd</sup> April 2024
6	6.8.1 is added	Solomon Aysanew	19 <sup>th</sup> May 2025



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