

# PECB MS

## Understanding the Audit and Certification Process

Upon verifying that your organization is in compliance with the requirements of the relevant standard by means of an audit, a Management System Certification is granted by PECB MS. This certification is then maintained through scheduled annual surveillance audits conducted by PECB MS, with the recertification audit performed on a triennial basis.



\* Surveillance Audits to be conducted no longer than 12 months from the previous audit

RECERTIFICATION AUDIT  
Within two months before the triennial certificate expiration

## Granting Certification

Granting certification means the state that the compliance to the certification requirements has been confirmed by PECB MS as per its audit and certification procedures.

A PECB MS Certificate can be granted after the initial certification audit, expanding certification audit or renewing certification audit. The Certification is issued once all the nonconformities identified, if any, have been corrected and/or closed.

## Refusing Certification

Refusing certification means the state that the compliance to the certification requirements has not been confirmed by PECB MS as per its audit and certification procedures; or the client fails to comply with its obligations. As a result, no PECB MS Certificate will be granted.

## Maintaining Certification

Maintaining certification means the state that demonstrates that the client continues to satisfy the requirements of the management system standard during the surveillance audits.

Surveillance audits shall be conducted no longer than 12 months from the previous audit.

## Renewing Certification

Renewing certification means the state that demonstrates that the client continues to satisfy the requirements of the management system standard during the recertification audit.

Recertification audits are conducted on a triennial basis; within 2 months before the expiration of the certification.

## Expanding Certification

Expanding certification means that the scope of a certification already granted can be expanded. The client should send the request for scope expansion to PECB MS, by filling the application form. PECB MS will evaluate the request and provide an amended estimation of the audit duration.

Scope expansion audits may be conducted in conjunction with regular surveillance audits or separately as special audits.

## Reducing Certification

Reducing certification means the state that the customer does not fulfill some of the certification requirements under the scope of certification after it is granted. The scope is reduced in the following situations:

1. Client's request;
2. Parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction is in line with the requirements of the standard used for certification;
3. If correction or corrective action is not taken within the time agreed, the certification could be reduced, suspended or withdrawn.

## Suspending Certification

Suspending certification means the state that the client's certification is temporary invalid for not fulfilling the PECB MS requirements, such as:

1. Client does not accept surveillance audits to be conducted at the required frequencies;
2. Serious complaints about the certified client are received by interested parties;
3. The required actions against the changes of the management system or requirements have not been taken into consideration by the client during the specified period;
4. No or ineffective correction and corrective actions in response to the non-conformities observed during surveillance audits have been taken by the client;
5. Any willful misuse of logo of PECB MS or Accreditation Body(ies);
6. Not correcting misuse of certification mark, within one (1) month;
7. Failing to clear the payment of outstanding invoices within one month after completion of audit;
8. Client used and applied the certificate (certification) out of its scope;
9. It is proved that the information and/or materials provided by the client during assessment are misleading;
10. PECB MS determines that the client does not comply with the agreement(s) and/or contract(s) concluded with PECB MS;
11. The certified client has voluntarily requested a suspension;
12. Other reasons as deemed appropriate by PECB MS.

PECB MS informs the client in writing when the certification is suspended, identifying the reasons for suspension. If reasons for suspension are not resolved within the given timeframe by PECB MS, the certification will be withdrawn or scope of certification will be reduced.

## Restoring Certification

Restoring the certification means the state that the client's certification is restored and in good standing after being temporarily invalid. A certification will be restored if the issue that resulted in the suspension has been resolved.

## Withdrawing Certification

Withdrawing certification means the state the client's certification is withdrawn for not fulfilling PECB MS requirements, such as:

1. Failure to correct suspension within the time established by PECB MS;
2. Client's request;
3. The certified client is no longer identified because of its dismantlement or communication disconnecting, etc.;
4. The suspension of client's certification is more than 2 times during the term of validity of its certification.

PECB MS informs the client in writing when withdrawing the certification, by providing the reasons. The withdrawal of certification means that certification is no longer valid. The client may re-apply to PECB MS for initial certification. Any application received from a withdrawn client is treated as a new client.