

Bonsucro Accreditation and Oversight Procedure

Version 2

1 PURPOSE AND SCOPE

- 1.1 This document specifies the procedure for the accreditation and oversight of certification bodies (CBs) including the initial accreditation process and the requirements for the maintenance of accreditation.
- 1.2 The purpose of this procedure is to ensure the credibility of the Bonsucro accreditation process by incorporating best practice guidelines from ISEAL and ISO 17011 and to provide transparency and clarity on the process of Bonsucro accreditation.

2 DEFINITIONS

- 2.1 Accreditation: Formal, third party recognition of competence to perform specific tasks. It is formal recognition by Bonsucro that a CB has been granted permission to carry out Bonsucro certification audits.
- 2.2 Audit: Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled (ISO 19011:2011).
- 2.3 Assessment: See Audit. The term is generally used to refer to the audit of a CB by Bonsucro
- 2.4 Witness Assessment: Observation by Bonsucro of the CB carrying out certification audits

3 REFERENCES

- 3.1 Guidelines: ISEAL Assuring Compliance with Social and Environmental Standards Code (Assurance Code) v.1
- 3.2 Standards: ISO 17011:2004 General requirements for accreditation bodies accrediting conformity assessment bodies.

4 ACCREDITATION CRITERIA

- 4.1 Certification can only be granted by a CB that has been accredited by Bonsucro and that has a valid Accreditation Agreement with Bonsucro. Bonsucro reserves the right to make changes to

the accreditation process provided that reasonable notice is given as stipulated in the Accreditation Agreement.

- 4.2 The CB shall be accredited or comply with ISO 17065. The CB shall conform to Bonsucro requirements in case of a conflict with ISO17065.
- 4.3 Accreditation against ISO 14065:2013 and experience in carrying out audits in conformity with ISO 14064-3:2006 is recommended but not mandatory.
- 4.4 The CB shall ensure that:
 - a. there is a mechanism to safeguarding impartiality through a documented impartiality structure within the CB operations.
 - b. internal audits are carried out at least every 12 months to verify the fulfilment of applicable requirements and to evaluate if the management system is effectively implemented and maintained.
 - c. there are documented procedures for preventing, reviewing and determining timely and appropriate responses to any declarations of potential conflict of interest made. These procedures shall ensure that the declared potential or actual conflict of interest does not influence the actions or decision of the CB.
- 4.5 Once accredited, the CB shall inform Bonsucro of any changes to its organisation that may affect the accreditation scope, such as changes to personnel (employed auditors and contractors), geographic location and status of existing and relevant accreditations.

5 ACCREDITATION PROCESS

5.1 Application

- 5.1.1 Upon receipt of an accreditation enquiry, Bonsucro shall send the latest version of the CB Application Form to the CB applicant and request the following documentation:
 - a. An organizational chart indicating head and local offices.
 - b. A list of countries in which the CB wishes to offer Bonsucro audits. This list shall include the name of each local office including contact details
 - c. The name of the technical manager responsible for Bonsucro certification.
 - d. The required proof of qualification of the technical manager, lead auditor, auditors and representative.
 - e. Details of the Quality Management System (QMS) incorporating all of the requirements of the Bonsucro Standards and Bonsucro Certification Protocol.
 - f. The scope of any valid relevant accredited schemes.

5.2 Review of Application

- 5.2.1 When the application form and all required documentation have been returned, these shall be verified against the requirements in the Bonsucro Certification Protocol by a Bonsucro S&I staff.
- 5.2.2 Should the review prove unsatisfactory, Bonsucro may:
 - a. Request further training of CB personnel.
 - b. Request further documentary evidence as part of the application process.

5.3 Initial Assessment

- 5.3.1 Once the application has been approved, a desk review of the applicant CB QMS and a head office assessment as it relates to the application of the Bonsucro requirements shall be carried out. This may be carried out on site or remotely. An assessment report with the conclusions shall be provided to the CB with possible non-conformities and observations.
- 5.3.2 Bonsucro shall inform the applicant CB that it will need to witness the first client audit in order to confirm and grant accreditation.
- 5.3.3 The witness assessment shall follow the steps described in this procedure and an assessment report shall be prepared by Bonsucro and sent to the CB containing the conclusion of the assessment.

5.4 Accreditation

- 5.4.1 Further to the initial and witness assessments, if all requirements for accreditation are met, or an action plan to address minor non-conformities has been provided and agreed, a contractual agreement shall be sent. Accreditation cannot be granted if there are outstanding major non-conformities.
- 5.4.2 Once CBs have signed and returned the contractual agreement to Bonsucro and the relevant fees have been paid, Bonsucro shall list the CB on its website as an accredited CB.
- 5.4.3 The scope of accreditation will be set by Bonsucro and may be a combination of standard(s) and geographic scope.
- 5.4.4 Bonsucro shall advise the CB that it will need to be notified in case of:
 - a. Changes to its organisation that may affect the accreditation scope (such as changes to personnel (employed auditors and contractors), geographic location.
 - b. Changes to existing and relevant accreditations. This may include providing Bonsucro with reports of audits and surveillance by accreditation bodies.
- 5.4.5 Bonsucro shall advise the CB that subcontracting by an accredited CB of another CB or using a free-lance auditor to perform Bonsucro audits is allowed, provided that all subcontractors comply with the requirements for lead auditors and auditors as specified in the Bonsucro Certification Protocol. In addition, Bonsucro may request the CB to demonstrate that the subcontractor:

- a. has a contract with the CB.
- b. is controlled by the CB and uses the CB's internal control system and procedures.
- c. In the case of a subcontracted CB, that it complies with ISO 17065:2012.

6 MONITORING CB PERFORMANCE

6.1 The ongoing monitoring of accredited CB performance will be carried out using three main mechanisms:

- a. The review of each CB audit report and Calculator by a member of the Bonsucro Standards and Innovation team.
- b. As a minimum, one witness assessment per year per accredited CB
- c. One head office assessment per year per accredited CB at the geographic location where the accreditation is held.

6.2 All assessments activities shall be performed by staff that have auditing experience, have completed an ISO 9001 course or have attended an introductory training on ISO 9001.

6.3 Bonsucro reserves the right to conduct monitoring and evaluation at any point in time, particularly in case relevant information on potential non-conformities has been brought to the attention of Bonsucro by external parties.

6.4 As described in the Bonsucro Certification Protocol, a major non-conformity may be issued to a CB when there is a failure to meet applicable requirements.

6.5 Major non-conformities identified shall be fully addressed, and conformity demonstrated, within a period of up to 3 months.

6.6 Minor non-conformities may be issued by Bonsucro to CBs when there is failure to meet applicable requirements, but which can be considered a temporary lapse or is unusual/non-systematic.

6.7 Minor non-conformities shall be fully addressed, and conformity demonstrated, within a period of up to 12 months.

6.8 Bonsucro reserves the right to carry out additional assessments to verify the effectiveness of the implementation of corrective actions.

7 REVIEW OF CB AUDIT REPORTS

7.1 All CB client audit reports shall be reviewed by Bonsucro and feedback sent to the CB within five (5) working days from receipt of the report.

7.2 The audit report review by Bonsucro shall consider:

- a. The completeness of the audit
- b. Appropriateness of the grading of the non-conformities

- c. Appropriateness of sample selections (interviews and farms)
- d. Accuracy of the Calculator

7.3 As a result of audit report reviews, Bonsucro may request clarification, additional documentation or corrections to be made to audit reports.

8 HEAD OFFICE & WITNESS ASSESSMENTS

8.1 The head office assessments may be held on-site or held remotely. The CB will be advised in good time on the type of head office assessment.

8.2 The sample for the witness assessments shall be chosen based on the following criteria:

- a. New auditor or new CB country of operation
- b. Client located in a country that has not been assessed by Bonsucro previously
- c. Information received by Bonsucro staff or others about the client or the CB
- d. Logistical considerations.

8.3 Prior to the assessment, the Bonsucro assessor must confirm that there are no conflicts of interest between Bonsucro and the CB by completing the Declaration of Interest Form.

8.4 The Bonsucro assessor should send the assessment plan at least two (2) weeks prior to the start of the assessment to the CB.

8.5 All assessments shall begin with an opening meeting between Bonsucro and the CB where the scope and objectives are to be confirmed including confidentiality and conflict of interest. The assessment results should be shared with the CB during a closing meeting at the end of the assessment between Bonsucro and the CB auditor.

8.6 After each assessment, an assessment report is to be sent to the CB within four (4) weeks of the end of the assessment with the non-conformities and observations issued and deadline for their closure. The Bonsucro template assessment report should be used.

8.7 The non-conformities and observations must be copied into the CB Registry of NCs.

9 CONDITIONS FOR SUSPENSION

9.1 A CB accreditation status may be suspended by Bonsucro if the CB:

- a. no longer complies with the criteria for initial accreditation; or
- b. fails to comply with contractual obligations as stated in the contractual agreement between Bonsucro and the CB; or
- c. misuses the Bonsucro trademarks; or

- d. fails to provide corrective actions within the required deadline following a witness or head office assessment.
- 9.2 Prior to suspension, warnings may be issued to the CB to allow for remedial actions within a deadline set by Bonsucro. Bonsucro reserves the right to immediately withdraw the accreditation status of a CB in case of major failure to comply or evidence of fraud.

10 REVIEW OF THE ACCREDITATION SYSTEM

- 10.1 At least annually, Bonsucro will carry out a review of its accreditation and oversight mechanism to assess its continuing integrity, adequacy and effectiveness. This shall be done through either:
- a. An Internal or external audit
 - b. Review of client audit reports
 - c. Review of customer feedbacks
 - d. Management Review
- 10.2 At least annually, Bonsucro will carry out a review of the risk management plan as it relates to its accreditation and certification activities.
- 10.3 Bonsucro shall aim to carry out performance evaluations of all those staff involved in assessments of the CBs every year.