



Bonsucro Certification Protocol

Version 6 – December 2021



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Responsibility for this Document

The Bonsucro Technical Advisory Board is responsible for this document.

It becomes effective from July 2022.

Versions Issued

Revision round	Date	Description of amendment
1	June 2010	Draft version sent to Bonsucro RED Sub Committee
2	July 2010	Final version approved by Bonsucro Management Committee
3	December 2010	Revision made based on compliance with EU RED
4	March 2011	Revision made based on compliance with EU RED
4.01	September 2011	Revision following review of document
5	June 2015	Major revision to create a document aimed at certification bodies, revision of existing requirements, inclusion of new requirements, revision of Annexes
5.01	May 2016	Revision in light of amendments to RED and FQD, as described in Directive 2015/1513
5.02	August 2016	Revision in light of amendments to RED and FQD, as described in Directive 2015/1513
5.03	September – October 2016	Revision in light of amendments to RED and FQD, as described in Directive 2015/1513
5.1	April 2017	Revision to align with new requirements described in EU RED Directive 2015/1513
6	December 2021	Major revision of existing requirements and inclusion of farmer, smallholder and mill only certification. Separation of EU RED requirements and Accreditation and Oversight Requirements

About this document

This document is written in English. Bonsucro will use the English version for all interpretations and decisions. Bonsucro does not assume any liability for errors or misunderstandings introduced when this document is translated into other languages.

Bonsucro is responsible for this document which is a living document and will be reviewed on an ongoing basis for continued relevance and effectiveness.

Bonsucro encourages its stakeholders to share their views regarding Bonsucro documents. Any comments on this document can be submitted to standards@bonsucro.com and via the Bonsucro website: www.bonsucro.com.

About Bonsucro

Bonsucro is the leading global sustainability platform and standard for sugarcane, one of the world's most important crops.

Bonsucro's purpose is to collectively accelerate the sustainable production and uses of sugarcane.

Bonsucro convene over 270 members from more than 50 countries to address critical challenges in the sugarcane sector and drive both performance and impact through our system of sustainability standards.

Bonsucro work across all sugarcane products and derivatives – sugar, ethanol, molasses, and bagasse in traditional and newer market sectors, from sugar and alcohol to biofuels and bioplastics.

Bonsucro is ISEAL Code Compliant. Bonsucro's system has been independently evaluated against ISEAL's Codes of Good Practice – a globally-recognised framework for effective, credible sustainability systems.

More information is available at www.isealalliance.org

Bonsucro Certification System

The Bonsucro Certification System is applicable to:



SUGARCANE FARMS smallholder(s), individual farm or group of farms



SUGARCANE MILLS independently or with farms



OPERATORS IN THE SUPPLY CHAIN a single site or group with several sites

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Part 1: Purpose and Scope

1. General

- 1.1 The Bonsucro Certification Protocol establishes requirements for Certification Bodies (CBs) to enable them to assure the long-term continuity and consistency of the delivery of Bonsucro certification.
- 1.2 The Bonsucro Certification Protocol aims to provide the transparency that is required of an international Certification System for it to have credibility with stakeholders, including governments, international governmental bodies (e.g. regulatory bodies), CBs, suppliers of sugarcane and sugarcane-derived products, non-governmental organisations and consumers.
- 1.3 The Bonsucro Certification Protocol outlines the audit process and general procedures linked to providing certification against the Bonsucro Standards.
- 1.4 The Bonsucro Accreditation and Oversight Procedure outlines the general requirements for a CB to gain and maintain accreditation to provide certification against the Bonsucro Standards and Certification Protocol.
- 1.5 The Bonsucro Certification & Auditing Guidance aims to support and guide auditors and staff in the delivery of audits and certification decisions. However, it is not a normative document and non-conformities cannot be raised against the Certification & Auditing Guidance.
- 1.6 These individual documents cannot be used as stand-alone documents and must always be used in relation to each other.
- 1.7 There are two (2) certification options:
 - conformity with Bonsucro requirements or
 - conformity with Bonsucro requirements and additional requirements that are needed for EU Renewable Energy Directive (EU RED) conformity. The additional EU RED requirements are outlined in the Bonsucro EU RED Standard.

2. References

For references without version numbers, the latest edition of the documents referred to applies.

- All Bonsucro reference documents are published in Bonsucro Public Quality Management System Library: <https://www.bonsucro.com/public-qms-library/>
- All ISO Standards are published on <https://www.iso.org/home.html>
- EU Directives are published on https://ec.europa.eu/energy/topics/renewable-energy/renewable-energy-directive_en

Reference documents

Document	Description
Bonsucro Production Standard	This standard contains principles and criteria for achieving sustainable production of sugarcane and all sugarcane-derived products in respect of economic, social and environmental dimensions.
Implementation Guidance for the Bonsucro Production Standard	This guidance document provides further information on how to implement the Bonsucro Production Standard.
Bonsucro Production Standard for Smallholder Farmers (including Guidance)	This standard contains principles and criteria for Smallholder Farmers working towards achieving sustainable production of sugarcane and all sugarcane-derived products in respect of economic, social and environmental dimensions. Guidance on how to implement the standard are included.
Bonsucro Mass Balance Chain of Custody Standard (including Guidance)	The Bonsucro Mass Balance Chain of Custody Standard contains a set of technical and administrative requirements for enabling the tracking of claims on the sustainable production of Bonsucro sugarcane and all sugarcane derived products along the entire supply chain from fields to mill through to production (e.g. conversion, processing, manufacturing, transformation), warehousing, transportation and trade of sugarcane and all sugarcane derived products. Guidance on how to implement the standard are included.
Bonsucro EU-RED Standard (including Guidance)	This standard contains additional requirements that are needed for EU Renewable Energy Directive (EU RED) conformity. These are additional requirements to the Bonsucro Production Standard, Bonsucro Mass Balance Chain of Custody Standard, Bonsucro Certification Protocol, and Bonsucro Accreditation and Oversight Procedure.
Bonsucro Calculator	The Bonsucro Calculator is a tool for data collection to be used before and during audits to assess conformity against the Bonsucro Production Standard.
Bonsucro Certification and Auditing Guidance	This guidance document provides further information on how to audit and certify operations and products against Bonsucro Standards and Certification Protocol.
Bonsucro Glossary	This document regroups definitions from all applicable scheme documents.
Bonsucro Claims and Labelling Rules	This document sets the rules and boundaries with regards to public claims associated with Bonsucro's systems, products, and services.
Bonsucro Interpretation Questions	These publications aim to define how to interpret a specific existing Bonsucro Standard or Certification Protocol requirement when the original Standard / Protocol wording is not clear. The aim is to ensure the rightful and consistent implementation of the Bonsucro Standards and Certification Protocol.
Bonsucro Grievance Mechanism	This document specifies the procedure to follow to submit a complaint via the Bonsucro Grievance Mechanism.

Document	Description
Bonsucro Credit Trading Terms & Conditions	This document specifies the Terms and Conditions for the supply of Brokerage Services to Sellers and Buyers of Bonsucro Credits
Bonsucro Accreditation and Oversight Procedure	This document specifies the requirements and procedure for the accreditation and oversight of certification bodies (CBs) including the initial accreditation process and the requirements for the maintenance of accreditation.
Bonsucro Exemption Procedure	This document defines the process followed by Certification Bodies to request an exemption against the Bonsucro Standards, Certification Protocol, and related policies and guidelines.
Bonsucro Code of Conduct	This Code applies to Bonsucro Members: sugarcane production, processing and sourcing activities and the products and services linked to those activities by a business relationship. The Code also applies to Bonsucro Members that are civil society and/or non-governmental organisations.
Bonsucro policy on suspension and termination of membership	This policy outlines the instances in which Bonsucro will consider suspension, termination or changes to the status of any of the members.
ISO/IEC 17065:2012 Requirements for bodies certifying products, processes and services. d. IAF GD 5:2006 IAF Guidance on the of ISO/IEC Guide 65:1996 General requirements for bodies operating product certification systems.	This document specifies the requirements for bodies certifying products, processes and services
ISO 19011:2018 Guidelines for auditing management systems.	This document provides guidelines for auditing management systems.

3. Definitions

When this document mentions the Bonsucro Production Standard it can mean either the Bonsucro Production Standard or the Bonsucro Production Standard for Smallholder Farmers, depending on applicability.

All definitions are provided in the Bonsucro Glossary



4. Certification Protocol Structure Overview

Signing a client	Booking an audit	Before the audit	During the audit	After the audit	Other
1. Define client's scope of certification	4. Plan audit according to cycle	6. Consider the possibility for combined audits	13. Carry out an opening meeting	19. Follow up on corrective action plans	23. Suspend or withdraw a certificate
2. Review client's application	5. Create an audit team	7. Request client prepares for the audit	14/15. Carry out audit checks	20. Take a certification decision	24. Transfer a certificate
3. Sign contract		8. Carry out a stakeholders' consultation	16. Evaluate groups	21. Compile audit documents	
		9. Determine farms / site sample size	18. Issue non-conformities	22. Issue a certificate	
		10. Determine interview sample size	17. Carry out a closing meeting		
		11. Define audit duration			
		12. Issue audit plan			



Part 2: Certification Process Requirements

1. Scope of Certification

Ref.	Requirement
1.1	A client's scope of certification shall be defined in accordance with Table 1 and shall be a combination of:
1.1.1	Unit of Certification
1.1.2	The standard(s)
1.1.3	Sugarcane and/or Sugarcane-derived products
1.1.4	Activity (ies)
1.1.5	List of additional sites (if applicable)
1.1.6	List of farms (if applicable)
1.2	The scope of certification may be modified as requested by the client. Any changes to the scope of certification shall only be granted by the CB following a risk assessment to determine likely conformity with the Bonsucro Standards. The CB shall decide whether to carry out an audit prior to approving the scope extension. The risk assessment shall be made in writing and communicated to Bonsucro along with the updated certificate.
1.3	<p>Production Standard for Smallholder Farmers</p> <p>The scope of certification against the Smallholder Standard can be with or without a mill. If with a mill, the mill can act as a Group Manager. If the mill also wishes to be certified it has to comply with the milling indicators of the Production Standard and the Mass Balance Chain of Custody Standard. The CB shall issue a Smallholder Standard certificate separately from the mill's Production Standard and ChoC certificate.</p>
1.4	<p>Production Standard – Agriculture Indicators</p> <p>When farmers including smallholders are organised as an association or similar and when the association acts as the Group, the composition of the Group can be all the farmers of the association or a sub-group of the association. The Group shall be assessed in accordance with the section Evaluation of Groups in this Protocol.</p>
1.5	Production Standard – Processing and Milling indicators
1.5.1	The CB shall verify that the mill can demonstrate that the sources of sugarcane, sugar or biofuel originate from a Bonsucro-certified entity.
1.5.2	Certification against the Bonsucro Production Standard Processing & Milling indicators also requires certification against Bonsucro's Mass Balance Chain of Custody Standard. Both Standards must be met in order to be certified. A certificate shall only be issued when the mill is found to conform with both Standards.

Ref.	Requirement
1.6	Production Standard
1.6.1	Certification against the Bonsucro Production Standard also requires certification against Bonsucro's Mass Balance Chain of Custody Standard. Both Standards must be met in order to be certified. A certificate shall only be issued when the mill is found to conform with both Standards.
1.6.2	If the mill's unit of certification contains both farms and smallholder farmers, the farms shall be audited against Production Standard agricultural indicators (and applicable calculator), and the smallholder farmers shall be audited against the Production Standard for Smallholder Farmers (and applicable calculator). Alternatively, the client can decide to ask for all farms and smallholder farmers to be audited against the Production Standard agricultural indicators (and applicable calculator).
1.6.3	If the mill applies for certification to the Production Standard and the Production Standard for Smallholder Farmers as per 1.6.2, the CB shall mention it on the certificate and the conformity score shall be met by each group individually. The CB shall issue a Smallholder Standard certificate separately from the mill's Production Standard and ChoC certificate.
1.6.4	The farms included in the unit of certification shall comprise of the farms selected to supply certified cane.
1.6.5	If the mill purchases any other sugarcane or sugarcane-derived product for inclusion in the mill's production, the CB shall verify if the mill can demonstrate that the material originates from Bonsucro certified sources in accordance with Bonsucro ChoC requirements.
1.6.6	If the mill sends sugarcane to another mill for crushing (also known as toll processing), either of the following can apply:
1.6.6.1	If the mill receiving the cane is certified, it can process the cane as certified cane and shall include it in its Mass Balance.
1.6.6.2	If the mill receiving the cane is not certified, it cannot process the cane as certified cane.
1.6.7	The total area included in the unit of certification and used for certified cane production, not just the area harvested in the reporting period, shall be assessed.
1.7	Mass Balance Chain of Custody
1.7.1	Mass Balance ChoC certification shall be required for all operators who take legal ownership of the Bonsucro certified sugarcane and/or all sugarcane derived products from the mill onwards, and who wish to make claims about the use or trade of Bonsucro certified sugarcane or derived products. Companies that do not take legal ownership shall not be included in the certificate, but relevant and applicable activities shall be described in the audit report.
1.7.2	In case of a group certification, the sites must have an overarching internal control system that controls, enforces, verifies and documents the implementation of and conformity with the Bonsucro Mass Balance ChoC Standard.

Ref.	Requirement
1.8	Bonsucro Credit Seller Both Production (or Production for Smallholder Farmers) and Mass Balance ChoC certification shall be required for all operators who wish to sell Bonsucro Credits: this is applicable to mills and independently certified farmer organisations.



Table 1: Scope of certification

Protocol Reference	Applicable Standard(s)	Unit of Certification	Certified output products	Activity	Additional Sites
1.3	Production Standard for Smallholder Farmers	Group of smallholder farmers with less than 25 hectares of land in total <i>(unless Exception described in Production Standard for Smallholder Farmers applies)</i>	Sugarcane Sugarcane by-products	All relevant activities on smallholder farmers sites	N/A
1.4	Agricultural indicators of the Production Standard	Single or Group of farms in geographical proximity and in similar jurisdiction organized into a formal Group.	Sugarcane Sugarcane by-products	All relevant activities on farm sites	N/A
1.5	Processing & milling indicators only of the Production Standard & Mass Balance Chain of Custody	Single mill	Raw Sugar Ethanol (1G/2G) Molasses Other (specify)	Crushing All relevant activities on mill sites Production of raw sugar Refinery/distillery (optional)	Storage (for ex. warehouse/terminal) Other (specify)
1.6	Production Standard & Mass Balance Chain of Custody	Single mill with farms that comply with the standard	Raw Sugar Ethanol (1G/2G) Molasses Other (specify)	Crushing All relevant activities on mill /farm sites Refinery/distillery (optional) Residue (optional) Processing Power export (optional)	Storage (for ex. warehouse/terminal) Other (specify)
1.7	Mass Balance Chain of Custody	Single site after the mill; or Group of sites after the mill	Refined Sugar Ethanol Other (specify)	(per site) Processing (distillery) Processing (refinery) Processing (blending) Processing (other) Distribution	List of sites after the mill included in the certification.

Protocol Reference	Applicable Standard(s)	Unit of Certification	Certified output products	Activity	Additional Sites
				Wholesaler Packing and repacking Trading Transportation Storage	



2. Client Application

Ref.	Requirement
2.1	The CB shall verify that potential and existing clients are Bonsucro members before planning an initial audit. A certification decision cannot be taken until a client has had its Bonsucro membership confirmed. The CB shall verify the client Bonsucro membership validity and number on Bonsucro members' webpage https://www.bonsucro.com/bonsucro-members-2/ :
2.1.1	If the Membership Type is “Member”, then the client has a valid Bonsucro membership.
2.1.2	If the Membership Type is “Candidate Member”, then the client does not hold a valid membership. The candidacy end date is not a guarantee that a Bonsucro membership will be granted on that date.
2.1.3	If the client is not listed on Bonsucro members' webpage but has referenced an existing Bonsucro membership number in its application to the CB, the CB shall verify if the client is under legal ownership of an existing Bonsucro member, in which case the Bonsucro membership can be extended to the client, unless explicitly communicated otherwise by Bonsucro.
2.1.4	In some cases clients under same legal ownership can decide to operate under separate Bonsucro memberships, in which case 2.1.3 is not applicable.
2.2	The CB shall request from the client the necessary information to allow it to determine the scope of certification, to constitute the audit team according to the requirements in this Protocol, and to determine the audit's duration. In addition, the CB shall also:
2.2.1	Verify that the client has not had a Bonsucro-certificate withdrawn or suspended in the last three (3) years, in which case it shall contact Bonsucro.
2.2.2	Request from the client to declare whether they have been previously found to be in major non-conformity with an aspect of the mandatory sustainability criteria with another voluntary scheme, and/or had their certificates suspended or withdrawn from other similar voluntary schemes prior to certification.
2.2.3	Discuss with the client if existing stocks should be assessed during the initial audit to be considered as part of the client's certified volumes.



3. Contract

Ref.	Requirement
3.1	The information received by the CB shall be used to issue a formal proposal or contract to the client. In an initial communication the CB shall also inform the client of:
3.1.1	the range of methods that may be used to collect objective evidence during audits, including documentation review, field checks and interviews.
3.1.2	rules governing the use of the Bonsucro certificate of conformity and that no claims can be made without valid certification.
3.1.3	the CB's complaint, appeal or dispute process.
3.1.4	where to obtain a copy of the Bonsucro Standard(s), guidance and other Bonsucro reference documents.
3.1.5	Bonsucro being advised of the establishment of the contract.
3.1.6	the need to inform the CB on changes which may affect its certification.
3.1.7	documentation needing to be maintained for a period of at least five (5) years or longer if mandatory according to prevailing laws and regulations.
3.1.8	the need for the client to start using the Bonsucro Calculator (where applicable).
3.1.9	Bonsucro's Claims and Labelling Rules and License Agreement for use of the logo.
3.1.10	Rules applicable to the sharing of certification data.
3.1.11	Clear Service Level Agreements on timeline applicable to the service delivered such as answering the client's queries regarding the audit and providing them with the final audit report.



4. Audit Planning and Audit Cycle

Ref.	Requirement
4.1	A pre-assessment to verify conformity against Bonsucro requirements is optional and shall be agreed between the client and the CB. A pre-assessment does not lead to a certification decision and shall not include consultancy work from the CB on how to achieve conformity.
4.2	The CB shall plan all audits to allow sufficient time to review all stakeholder comments received, to review the Calculator, and to select the audit team based on the personnel competencies described in Part 2 section 5 of this Protocol as well as the Bonsucro Accreditation and Oversight Procedure.
4.3	The CB shall prepare the audit plan taking into account the need to verify conformity to the relevant Standards including Interpretation questions.
4.4	The CB shall carry out the initial audit over a period not exceeding five (5) month. The five (5) month period does not include the subsequent period of time when the client develops and implements a corrective action plan and the CB follows up on completion (desk review or onsite visit).
4.5	After the initial audit, the CB shall carry out audits following a three (3) year certification cycle
4.6	A re-certification audit shall be carried out and a certification decision taken before expiration of the three (3) year certificate.
4.7	Two (2) surveillance audits shall be carried out during the certification cycle before the next re-certification audit.
4.8	The surveillance audits shall take place within twelve (12) months from the end date of the previous audit (closing meeting). The client may request for the audit to happen three (3) months earlier or later provided reasonable justification is submitted in writing to the CB who shall carry out a risk assessment before deciding whether the audit can be brought forward or postponed by 3 months.
4.9	A surveillance audit may be organised earlier if, on the basis of information received from external parties, including any potential breaches to the Bonsucro Code of Conduct, the CB identifies potential non-conformities or a risk to the integrity of the Bonsucro certification system.
4.10	The audits (initial, surveillance and re-certification) shall be carried out in such a way that over the three (3) year certificate validity period, the CB has assessed all the range of activities of the client.
4.11	The CB shall refer to Table 2a to decide whether to carry out a Bonsucro Production Standard audit fully onsite, part onsite / part remote, or fully remote. This is applicable

Ref.	Requirement
	to audits against all certification scopes described in Table 1 except 1.7 Mass Balance Chain of Custody only audits.
4.12	The CB shall refer to Table 2b to decide whether to carry out a Bonsucro Mass Balance Chain of Custody only audit fully onsite, part onsite / part remote, or fully remote. This is only applicable to audits against certification scope 1.7 as described in Table 1.
4.13	When considering whether a remote or part remote audit is applicable in line with 4.11 or 4.12, the CB shall always carry out a risk analysis and consider the client's preference for an onsite audit.

Table 2a: Onsite and Remote Audits – Production Standard

Type of audit	Force Majeure (1)	Conditions	Audit Delivery
Initial 4.11.1	No		Whenever feasible, the CB shall carry out a desk review of the relevant client's documentation as part of the audit preparation. The CB shall carry out an onsite audit.
Initial 4.11.2	Yes	In cases where: Bonsucro has published a Force Majeure announcement on its website. The CB shall include in the audit report a reference to the announcement, a risk analysis and risk management plan.	The CB shall carry out a two-phase audit in line with ISO 17011 requirements: Phase 1: remote audit Phase 2: onsite audit to take place within 5 months of the end of Phase 1 audit. After completion of second phase and provided the relevant level of conformity have been achieved; Certificate delivered in line with the Bonsucro Certification Protocol.
Initial 4.11.3	Yes	In cases where: Bonsucro has not published a Force Majeure announcement on its website. The CB shall send an exemption request to Bonsucro including a description of the Force Majeure case, a risk analysis and risk management plan, and reference the exemption terms in the audit report.	
Re-certification 4.11.4	No		Whenever feasible, the CB shall carry out a desk review of the relevant client's documentation as part of the audit preparation. The CB shall carry out an onsite audit.

Type of audit	Force Majeure (1)	Conditions	Audit Delivery
Re-certification 4.11.5	Yes	In cases where: Bonsucro has published a Force Majeure announcement on its website. The CB shall include in the audit report a reference to the announcement, a risk analysis and risk management plan.	The CB shall carry out a two-phase audit in line with ISO 17011 requirements: Phase 1: remote audit Phase 2: onsite audit to take place within 5 months of the end of Phase 1 audit. After completion of second phase and provided the relevant level of conformity have been achieved; Certificate delivered in line with the Bonsucro Certification Protocol.
Re-certification 4.11.6	Yes	In cases where: Bonsucro has not published a Force Majeure announcement on its website. The CB shall send an exemption request to Bonsucro including a description of the Force Majeure case, a risk analysis and risk management plan, and reference the exemption terms in the audit report.	
Surveillance 4.11.7	Either	In cases where: no Major nonconformity was raised at the previous audit, and the CB considers the risk of non-conformity and fraud to be low.	The CB shall carry out a fully remote audit but reserve the right to carry out an onsite follow up audit if required.
Surveillance 4.11.8	Either	In cases where: At least one (1) Major nonconformity was raised at the previous audit, or the CB considers the risk of non-conformity and fraud to be medium to high.	The CB shall carry out a two-phase audit in line with ISO 17011 requirements: Phase 1: remote audit Phase 2: onsite audit to take place within 5 months of the end of Phase 1 audit. After completion of second phase and provided the relevant level of conformity have been achieved; certification decision delivered in line with the Bonsucro Certification Protocol.

(1) Force Majeure challenging the CB ability to carry out an onsite audit.

Table 2b: Onsite and Remote Audits – ChoC Standard

Type of audit	Force Majeure (1)	Conditions	Audit Delivery
Initial 4.12.1	No		Whenever feasible, the CB shall carry out a desk review of the relevant client's documentation as part of the audit preparation. The CB shall carry out an onsite audit.
Initial 4.12.2	Yes	In cases where: Bonsucro has published a Force Majeure announcement on its website. The CB shall include in the audit report a reference to the announcement, a risk analysis and risk management plan.	The CB shall carry out a fully remote audit but reserve the right to carry out an onsite follow up audit if required.
Initial 4.12.3	Yes	In cases where: Bonsucro has not published a Force Majeure announcement on its website. The CB shall send an exemption request to Bonsucro including a description of the Force Majeure case, a risk analysis and risk management plan, and reference the exemption terms in the audit report.	
Re-certification 4.12.5	Either		The CB shall carry out a fully remote audit but reserve the right to carry out an onsite follow up audit if required.
Surveillance 4.11.7	Either		The CB shall carry out a fully remote audit but reserve the right to carry out an onsite follow up audit if required.

(1) Force Majeure challenging the CB ability to carry out an onsite audit.



5. Creating the Audit Team

Ref.	Requirement
5.1	The CB shall have a process for selecting and appointing audit teams, based on the personnel competency requirements outlined in this Protocol.
5.2	Multidisciplinary audit teams shall be created when the required experience and qualifications of auditors are met by more than one (1) individual. As a whole, the audit team shall have audit skills and audit experience with certification in agricultural, forestry and/or industrial areas covering the following topics:
5.2.1	environmental impact and ecology
5.2.2	health and safety
5.2.3	labour conditions and social aspects
5.2.4	legal framework for production of sugarcane and all sugarcane derived products
5.2.5	traceability / chain of custody schemes
5.2.6	group certification
5.3	The technical manager or lead auditor shall ensure that:
5.3.1	For Production Standard audits, the audit team's gender composition is comparable to that of its client and workers and shall always include at least one (1) woman.
5.3.2	Over a 12-month period, some of the ChoC Standard audits (i.e. not including Production Standard) contracted by the CB are carried out by a woman auditor.
5.4	The CB shall provide the name and when requested, background information on each member of the audit team, with sufficient time for the client to object to the appointment of any particular auditor, interpreter/translator or technical expert and for the CB to reconstitute the team in response to any valid objection. The CB determine the validity of the objection based on the CB's internal process.
5.5	Technical experts and Interpreters/translators shall be independent from the client. When independent experts are used, they shall be agreed with the client in advance. The CB shall ensure that their role is limited to advising the audit team on issues related to their area of expertise. They shall not participate actively in the audit process unless they are specifically qualified by the CB as auditors for that purpose.
5.6	When carrying out a remote or part remote audit as per Table 2a, the CB shall consider the use of local auditors or facilitators under remote supervision by the lead auditor. This shall be documented in the audit report.



6. Combined Audits

Ref.	Requirement
6.1	The option to combine the Bonsucro audit with an audit for another certification scheme or against a national or international standard is allowed as long as certain criteria and/or conformity indicators from that standard are deemed equivalent to some criteria and/or conformity indicators in the Bonsucro standard(s).
6.2	Such equivalence shall be established by the CB to identify which Bonsucro criteria and/or conformity indicators can be considered as addressed by the other standard.
6.3	A gap analysis shall also be conducted to identify which criteria and/or conformity indicators in the Bonsucro Standard are not addressed by the other standard.
6.4	The result of the gap analyses shall be included in the audit report.



7. Pre-Audit Calculator Data Collection

Ref.	Requirement
7.1	The CB shall request that the client fill out the Calculator Input data tab according to the scope of the audit and in advance of the audit.
7.2	The CB shall review the Calculator data provided by the client as part of the audit preparation and during the audit (see sections 14 and 15).



8. Stakeholder Consultation

Ref.	Requirement
8.1	<p>For initial Production Standard audits, the CB shall send to Bonsucro details of the client to be assessed within the next 3 months: client's name, membership number and address, dates of audit (if known, otherwise can be updated up to 2 weeks before the audit) and CB's contact details in order to seek stakeholder feedback. Bonsucro shall publish the announcement on the Bonsucro website.</p> <p>For re-certification Production Standard audits, the CB shall send to Bonsucro details of the client to be assessed: client's name, membership number and address, dates of audit (if known, otherwise can be updated up to 2 weeks before the audit) and CB's contact details in order to seek stakeholder feedback. Bonsucro shall publish the announcement on the Bonsucro website.</p>
8.2	<p>For initial certification and recertification Production Standard audits, as part of the audit process (audit preparation, audit assessment days, follow up), the certification body shall undertake a stakeholder engagement process with relevant stakeholders such as statutory bodies, local community groups, workers' organizations, local and national NGOs, trade unions and community groups to obtain feedback on conformity with the Bonsucro Production Standards. Further information on conducting stakeholder consultations is provided in Annex 1.</p>



9. Determining Farm/Site Sample Size

Ref.	Requirement
9.1	For initial and re-certification audits, the CB shall determine the minimum number of farms to be audited using Table 3. If the farms are within Category 6 of Table 3, Table 4 shall be used. For Group Mass Balance Chain of Custody, Table 4 shall be used. The number of farms / ChoC sites shall always be rounded up.
9.2	The sample chosen shall be representative of the diversity of production methods used (e.g. mechanized harvesting, manual harvesting), operational set-up of the farms, or based on a risk-assessment. The rationale for the sample chosen shall be included in the audit report.
9.3	For audits against the Production Standard V5.1, the evaluation of indicators applicable to the whole cane supplying area will be based on whether the operator carried out the measures of the plans concerning these requirements. No onsite visit will be required unless the needs arise from the CB risk analysis.
9.4	If a farm belongs to several groups of farms that have already been Bonsucro certified, the CB may exclude that farm from the sampling regime only if that farm has already been included in scope of certification of other groups that hold a valid Bonsucro certificate. An alternative farm shall then be selected.
9.5	If a farm provides sugarcane to more than one certified mill, the CB may exclude that farm from the sampling regime only if the total volume of production from that farm has already been included in the scope of certification of the farm group or other mills that hold a valid Bonsucro certificate.
9.6	For audits against the Production Standard for Smallholder Farmers, the sample shall be chosen at random and include farms that have and have not completed the Bonsucro Farm Diary using Tables 3, 4 and 5.
9.7	For surveillance audits, farms and sites sampling shall be based on the CB's written risk assessment to be included in the audit report (and not Table 3 and 4).

**Table 3: Minimum Sample Size of Farms to be audited**

Category	% of sugarcane in the unit of certification supplied by the farm	% of farms to be audited
1	>25%	100%
2	11 - 25%	50%
3	6 - 10%	25%
4	2 - 5%	10%
5	0.5 - 1%	5%
6	≤ 0.5% (majority small scale farms)	See Table 4

Table 4: Minimum Sample Size of Farms/ ChoC Sites to be audited

	Number of Farms/Sites to be audited
Total Number of Farms/Sites	Initial and Re-certification
1 to 5	1
6 to 16	2
17 to 36	3
37 to 64	4
65 to 100	5
101 to 144	6
145 to 196	7
Over 196	Square root

Table 5: Minimum Sample Size based on Farm Diaries completed

Year of Audit	Percentage of farms sampled that have completed the farm diary	Percentage of farms sampled that may have not completed the farm diary
Year 0 (initial audit)	20%	80%
Year 1 (surveillance 1)	40%	60%
Year 2 (surveillance 2)	60%	40%
Year 3 (re-certification audit)	80%	20%
Year 4 (surveillance 1)	100%	0%
Year 5 (surveillance 2)	100%	0%



10. Determining Sample Size for Interviews

Ref.	Requirement
10.1	For initial and re-certification Production Standard audits, individual and group interviews shall take place based on the recommended interview samples sizes guidelines in Table 6. The CB shall request that the client makes available a quiet area where interviews can take place. Consideration should be given to the size, spread, contractual status and the locations of workers to ascertain auditor days required. Translators may be present during the interviews, but these shall be conducted without the presence of management.
10.2	If a client has more than 2000 workers, the number of interviews is determined on a case by case basis depending on the facility. Consideration must be given to the size of the site and the potential disruption caused by a large audit team. The suggested 62 in the last category is a minimum and this should increase as worker numbers increase. This is at the discretion of the auditor and in agreement with the client.
10.3	For surveillance audits, farmers, other workers and family members interviews shall be based on the CB's written risk assessment to be included in the audit report.

Table 6: Interview sample size for initial and recertification-audit*

No. of workers excl. management	Individual Interviews	Group Interviews	Total workers Interviewed	Worker Files/Time and Wage Records	Effective Time Spent on Interviews
1-100	6 or total workers if < 5	1 group of 4	10	10	2.5 hours
101-500	6	4 groups of 5	26	26	6 hours
501-1000	12	6 groups of 5	42	42	8.5 hours
1001-2000	20	8 groups of 4	52	52	12.5 hours
2000+	22	8 groups of 5	62	62	14 hours

* Source: Sedex Members Ethical Trade Audit (SMETA) Best Practice Guidance (Version 6.0 May 2019).

The total number of workers (excluding management) employed during peak season within the certification unit shall be considered, not just the number of workers on the sites/farms sampled. Include seasonal / contracted workers.



11. Audit Duration

Ref.	Requirement
11.1	The audit duration shall be defined by the CB depending on the scope of the audit and the complexity of the client. The number of auditor days, as well as the rationale for the number of days shall be included in the audit report.
11.2	Table 7 includes a compulsory minimum auditor days and recommended auditor days. The auditor days include days spent auditing remotely and onsite, but do not include days spent for audit preparation, desk reviews, report writing, technical review, corrective action follow up. The auditor days also include time spent calling and meeting with stakeholders as part of the stakeholders' consultation described in section 8. E.g. One (1) auditor auditing five (5) days represent five (5) auditor days. Two (2) auditors auditing five (5) days represent ten (10) auditor days.

Table 7: Number of auditor days

Type	Minimum Auditor Days	Recommended Auditor Days
Farms Only or Mill Only		
Initial Certification Audit	4	5 – 6
Surveillance Audit	2	3 – 4
Re-Certification Audit	4	5 – 6
Farms & Mill		
Initial Certification Audit	10	10 – 12
Surveillance Audit	4	6 – 8
Re-Certification Audit	8	9 – 10
ChoC only		
Initial Certification Audit	1	1 – 3
Surveillance Audit	1	1
Re-Certification Audit	1	1 – 3



12. Audit Plan

Ref.	Requirement
12.1	The CB shall prepare an audit plan which shall allow sufficient time to verify processes and procedures and their implementation. It shall contain as a minimum:
12.1.1	12.1.1. Audit objectives and scope.
12.1.2	12.1.2. Names and roles of lead auditor and audit team members.
12.1.3	12.1.3. Language of the audit and any translator requirement.
12.1.4	12.1.4. Number of farms included in the audit sample if applicable.
12.1.5	12.1.5. Number of workers to be interviewed.
12.1.6	12.1.6. Number of sites included in the Group if applicable.
12.1.7	12.1.7. Delivery of the audit (onsite, part onsite / part remote, remote).
12.2	12.2. The approximate time allocated for each audit activity shall be stated in the audit plan.



13. Opening Meeting

Ref.	Requirement
13.1	In addition to the guidelines set out in the latest versions of ISO 19011:2018, the auditor(s) shall:
13.1.1	Confirm access to all relevant documents
13.1.2	Confirm the sites/farm and interview sample sizes
13.1.3	Inform the client (if initial audit or scope extension audit) that it is not certified and cannot make any such claims until confirmed as certified by the CB.
13.1.4	Inform the client that volumes are considered certified from the date of certification. The client must make an active request to the CB should they wish the auditor to consider sugarcane or sugarcane-derived products harvested or in inventory at the time of the audit. See 14.3.6. The fact that the information provided in the Calculator might be from the previous harvest season does not affect the volume certification requirement.
13.1.5	Advise that the data collected during the audit will be shared with Bonsucro in line with section 21.



14. Initial and Re-certification Audit Checklist

Ref.	Requirement
14.1	For audits against the Bonsucro Standards, auditors shall review the documented management system of the client and collect evidence of conformity against the agreed scope. The documentation review can be carried out as a separate activity or integrated into the audit. The auditor(s) shall:
14.1.1	Confirm whether the policies and procedures of the client are adequate for the scope, the intent and requirements of the applicable Bonsucro Standard(s).
14.1.5	Confirm if a member of the management has been appointed who, irrespective of other responsibilities, has overall responsibility and authority for conformity with the Bonsucro Standard(s).
14.2	For audits against the Production Standard and Production Standard for Smallholder Farmers, the auditors shall:
14.2.1	Review copies of any prosecutions or legal enforcement notices (including collective legal proceedings), ongoing, or which have been subject to a final decision within the previous 4 years, insofar as they relate to conformity of the client with the Core Indicators (as identified in the Bonsucro Production Standard).
14.2.2	Review a copy of any latest labour inspection report (including documents about notices of infractions) by the competent national authority (such as the Labour Inspection Office) insofar as they relate to conformity of the client with the Core Indicators (as identified in the Bonsucro Production Standard).
14.2.3	Obtain copies of the documents referred to in 14.2.1 and 14.2.2 from the client or directly from the relevant authorities or databases.
14.2.4	Conduct interviews with a sample of relevant stakeholder groups identified during the consultation.
14.2.5	Interview farmers, other workers and family members (if applicable) based on a sample referring to section 10 of this Protocol. The interview sample shall consider the type of workers and shall include separate group of interviews for different categories. The audit shall be carried out in such a way that per audit cycle the CB has assessed all the category of workers on the farm or site. Interviews shall be conducted without the presence of management and shall be conducted so that confidentiality is maintained. The interview sample shall be chosen by the auditor(s). Please note that the auditors shall always - by mean of interview or questionnaire - consult with trade union representatives related to the client, and consider the answers received as input for the audit.
14.2.6	Verify any concerns raised during the stakeholder consultation, for instance on Land Rights and Community Rights and evaluate implemented FPICs as needed.
14.2.7	Verify that training and internal inspections have taken place (if applicable).
14.2.8	Verify any complaints & grievance mechanisms (if applicable).

Ref.	Requirement
14.2.9	During the audit, the auditor shall amend the calculator in line with the audit findings so as to reflect the conformity score applicable at the closing meeting.
14.2.10	After the audit, the auditor shall amend the calculator to acknowledge the corrective actions carried out after the audit, so as to reflect the conformity score taken into consideration for the certification decision, the CB shall submit this last version of the document with the audit report. (see section 21)
14.2.11	Sample farms or sites chosen as representative of the diversity of the work force and in accordance with section 9 of this Protocol. The auditor(s) may decide which farms/sites to audit depending on their level of confidence in the effectiveness of the Group's procedures and/or on a risk assessment. The rationale for the samples chosen shall be included in the audit report. The auditor(s) shall assess groups in accordance with the section Evaluation of Groups.
14.2.12	Verify that procedures are established and understood and that the training provided is effective.
14.2.13	Cross-check the correctness of some of the data as provided by the client (sugarcane volumes, farm diaries).
14.2.14	Determine whether a farm or site non-conformity is specific to that farm or site or applies systematically to the whole Group.
14.3	For audits against the Mass Balance Chain of Custody Standard, the auditors shall:
14.3.1	Confirm all relevant product specifications including intermediate products, residues and waste products and the client's processes and locations where these are carried out.
14.3.2	Verify the accounting system and how sustainability criteria are recorded and review a sample of products to verify the robustness of the traceability system. Physical Bonsucro certified product and sustainability data shall be reconciled.
14.3.3	Verify that the Mass Balance system is held at each site, that it is documented, up-to-date, and verify that the total mass balance over a given period is accurate.
14.3.4	During a re-certification audit, determine aggregated traded volumes and perform a book check on the aggregated volumes traded as Bonsucro certified by the operator during the previous certificate period. The volume of products sold as certified (via physical mass balance trade or credit trading system) shall not exceed the volume of certified outputs from certified inputs minus conversion loss plus any volumes in storage.
14.3.5	Confirm volumes sold through the credit trading system.
14.3.6	Confirm the date that sugarcane and sugarcane-derived products harvested or in inventory can be considered certified. During an initial audit, should the client have made an active request to the CB to consider sugarcane or sugarcane-derived products harvested or in inventory at the time of the audit.
14.3.6.1	At a farm's initial audit, the CB shall verify if the sugarcane already harvested and in inventory at the farm or elsewhere may be considered Bonsucro certified and shall

Ref.	Requirement
	verify that it has come from farms included in the unit of certification so that it can be accounted for.
14.3.6.2	At a mill's initial mill audit, the CB shall verify if the sugarcane already harvested and delivered to the mill during the current or previous harvest season as well as the sugarcane derived products already produced and in inventory at the mill or elsewhere may be considered Bonsucro certified and shall verify that it has come either from farms included in the unit of certification of the mill or are covered by a separate Bonsucro certificate.
14.3.6.3	At another organisation's Chain of Custody only initial audit (i.e. not a mill nor a farm), the CB shall verify whether material in inventory, and received up to three months prior to the audit, originates from certified sources. The CB shall confirm whether this material can be considered Bonsucro certified.
14.3.7	Collect the list of Bonsucro-certified suppliers and for re-certification, clients who purchased certified sugarcane and sugarcane-derived products with their attached volumes.
14.3.8	Verify a sample of on and off-pack claims made since the last audit. Confirm the claims sampled can be matched against traded volumes. Confirm that a valid License Agreement, when applicable, has been signed, and the claim, when applicable, pre-approved by Bonsucro.
14.3.9	Should no products included in the scope of certification be available on the day of the initial audit, the auditor shall consider evaluating the effectiveness of the internal control system using similar conventional products.
14.3.10	The auditor shall also complete the Volumes and Supply Chain Declaration tab, the Audit & Certificate Summary tab and the Conformity Evaluation tab. (see section 21)



15. Surveillance Audit Checklist

Ref.	Requirement
15.1	For audits against the Bonsucro Standards, auditors shall review the documented management system of the client and collect evidence of conformity against the agreed scope. The documentation review can be carried out as a separate activity or integrated into the audit.
15.2	Based on a risk assessment to be included in the audit report, the auditor(s) shall consider reducing the scope of the audit.
15.3	As a minimum, the auditor(s) shall:
15.3.1	Collect evidence of conformity for all Mass Balance Chain of Custody Standard indicators
15.3.2	Collect evidence of conformity for all Production Standard core indicators
15.3.3	Collect evidence of conformity for all Production Standard Principle 5 indicators applicable for this audit year.
15.3.4	Collect evidence of conformity for all Production Standard non-core social indicators.
15.3.5	Collect evidence of conformity for Production Standard non-core and non-social indicators on a risk basis (see 14.2).
15.3.6	Verify any changes to the unit of certification, scope, personnel, client structure, local conditions, documented management system and the effectiveness of the corrective actions as a result of previous non-conformities.
15.3.7	Confirm whether the policies and procedures of the client are adequate for the scope, the intent and requirements of the applicable Bonsucro Standard(s).
15.3.8	Use any relevant information received from third parties in support of the above-mentioned actions.
15.4	For audits against the Production Standard and Production Standard for Smallholder Farmers, the auditors shall:
15.4.1	Review copies of any prosecutions or legal enforcement notices (including collective legal proceedings), ongoing, or which have been subject to a final decision within the previous 4 years, insofar as they relate to conformity of the client with the Core Indicators (as identified in the Bonsucro Production Standard).
15.4.2	Review a copy of any latest labour inspection report (including documents about notices of infractions) by the competent national authority (such as the Labour Inspection Office) insofar as they relate to conformity of the client with the Core Indicators (as identified in the Bonsucro Production Standard).
15.4.3	Obtain copies of the documents referred to in 15.4.1 and 15.4.2 from the client or directly from the relevant authorities or databases.

Ref.	Requirement
15.4.4	Interview farmers, other workers and family members (if applicable) based on a sample referring to section 10 of this Protocol. The interview sample shall consider the type of workers and shall include separate group of interviews for different categories. The audit shall be carried out in such a way that per audit cycle the CB has assessed all the category of workers on the farm or site. Interviews shall be conducted without the presence of management and shall be conducted so that confidentiality is maintained. The interview sample shall be chosen by the auditor(s). Please note that the auditors shall always - by mean of interview or questionnaire - consult with trade union representatives related to the client, and consider the answers received as input for the audit.
15.4.5	Verify any concerns raised during the stakeholder consultation, for instance on Land Rights and Community Rights and evaluate implemented FPICs as needed.
15.4.6	Verify that training and internal inspections have taken place (if applicable).
15.4.7	Verify any complaints & grievance mechanisms (if applicable).
15.4.5	During the audit, the auditor shall amend the calculator in line with the audit findings so as to reflect the conformity score applicable at the closing meeting.
15.4.6	After the audit, the auditor shall amend the calculator to acknowledge the corrective actions carried out after the audit, so as to reflect the conformity score taken into consideration for the certification decision. The CB shall submit this last version of the document with the audit report. (see section 21)
15.4.7	Sample farms or sites chosen as representative of the diversity of the work force and in accordance with section 9 of this Protocol. The auditor(s) may decide which farms/sites to audit depending on their level of confidence in the effectiveness of the Group's procedures and/or on a risk assessment. The rationale for the samples chosen shall be included in the audit report. The auditor(s) shall assess groups in accordance with the section Evaluation of Groups.
15.4.8	Verify that procedures are established and understood and that the training provided is effective.
15.4.9	Cross-check the correctness of some of the data as provided by the client (sugarcane volumes, farm diaries).
15.5	For audits against the Mass Balance Chain of Custody Standard, the auditors shall:
15.5.1	Confirm all relevant product specifications including intermediate products, residues and waste products and the client's processes and locations where these are carried out.
15.5.2	Verify the accounting system and how sustainability criteria are recorded and review a sample of products to verify the robustness of the traceability system. Physical Bonsucro certified product and sustainability data shall be reconciled.
15.5.3	Verify that the Mass Balance system is held at each site, that it is documented, up-to-date, and verify that the total mass balance over a given period is accurate.
15.5.4	Determine aggregated traded volumes and perform a book check on the aggregated volumes traded as Bonsucro certified by the operator during the previous certificate

Ref.	Requirement
	period. The volume of products sold as certified (via physical mass balance trade or credit trading system) shall not exceed the volume of certified outputs from certified inputs minus conversion loss plus any volumes in storage.
15.5.5	Confirm volumes sold through the credit trading system.
15.5.6	Collect the list of Bonsucro-certified suppliers and clients who purchased certified sugarcane and sugarcane-derived products with their attached volumes.
15.5.7	Verify a sample of on and off-pack claims made since the last audit. Confirm the claims sampled can be matched against traded volumes. Confirm that a valid License Agreement, when applicable, has been signed, and the claim, when applicable, pre-approved by Bonsucro.
15.5.8	Should no products included in the scope of certification be available on the day of the initial audit, the auditor shall consider evaluating the effectiveness of the internal control system using similar conventional products.
15.5.9	The auditor shall also complete the Volumes and Supply Chain Declaration tab, the Audit & Certificate Summary tab and the Conformity Evaluation tab. (see section 21)



16. Evaluation of Groups

Ref.	Requirement
16.1	The aim of a Group audit is to verify the established management system of the Group and verify a sample of farms/sites included in the Group. The auditor(s) shall verify that:
16.1.1	the client has several locations, i.e. a group of individual companies or one company with numerous sites.
16.1.2	the Group Manager has an up-to-date list of sites.
16.1.3	sites have similar processes and products. If not, stratification shall take place.
16.1.4	a Group Manager has been established who is responsible for internal control and individual site conformity.
16.2	The auditor(s) shall audit the Group Manager and a sample of farms/sites. The sample size shall be determined by using Table 4. Auditors may decide which sites to audit depending on their level of confidence in the effectiveness of the Group's procedures and/or on a risk assessment. The rationale for the samples chosen shall be included in the audit report.
16.2.1	Stratification shall take place where the group's sites can be classified into distinct sub-groups (for example for groups composed of members with up to 50ha and those with more than 50ha in size or based on geographic location). If stratification is required, auditors shall follow the sampling procedure for each sub-group independently.
16.3	The auditor(s) shall verify that the Group Manager undertakes an internal review of the performance of each farm/site at least annually to assess the effectiveness of the documented procedures and the conformity of the sites against the Bonsucro Standards and that appropriate non-conformities are issued.
16.4	The auditor(s) shall verify that the Group Manager can monitor production and sales of sugarcane produced by group members.
16.5	When one sampled farm/site within the Group is found not to be in conformity, the CB shall determine whether the issue is specific to one site or applies systematically to the whole Group, in which case the CB may suspend all sites included in the certification.



17. Closing Meeting

Ref.	Requirement
17.1	In addition to the guidelines set out in the latest versions of ISO 19011:2018, the auditor(s) shall:
17.1.1	Inform the client that (if initial audit or scope extension audit) it is not certified and cannot make any such claims until advised by the CB.
17.1.2	Inform the client that the estimated certified production volume for the certificate period to come and the carry over volume from the previous certificate period shall form the total estimated certified production volume.
17.1.3	Inform the supply chain operator that only once certified (if initial or re-certification audit) should they start accounting for the certified volumes received/purchased.
17.1.4	Present the audit findings and confirm with the client on the timeline for addressing any non-conformities raised.
17.1.5	The auditor(s) shall confirm that failure to implement the action plan agreed between the CB and the client by the deadline may lead to the certificate being suspended.
17.1.6	Agree on planning of surveillance audits.



18. Conformity Level Grading

Ref.	Requirement
18.1	The CB shall evaluate the client's conformity level against each applicable Standards Indicator. If an indicator is not applicable, the auditor shall document it as such in the audit report.
18.2	The conformity level grading shall be either:
18.2.1	Conformity
18.2.2	Observation
18.2.3	Non-conformity
18.2.4	Incidental non-conformity
18.2.5	Systemic non-conformity
18.3	Conformity level grading shall be issued as described in Table 8.
18.4	An observation can be documented where conformity is established but where improvements are needed and which, if not addressed, may lead to a non-conformity at the next audit.
18.5	An incidental non-conformity (equivalent to Minor non-conformity in the Bonsucro EU RED Standard) shall be raised when a non-conformity on a core indicator is observed as an isolated event, limited in temporal and spatial scale, and the client has provided sufficient evidence that their internal management system should prevent such practices. This grading is only applicable to core indicators in the Production Standard and Production Standard for Smallholder Farmers.
18.6	A systemic non-conformity (equivalent to Major non-conformity in the Bonsucro EU RED Standard) shall be raised when corroborative evidence demonstrates that a core indicator is not respected, and the client cannot provide sufficient evidence that their internal management system prevents such practices. This grading is only applicable to core indicators in the Production Standard and Production Standard for Smallholder Farmers.
18.7	When an indicator relates to both processing (mill / industry) and agriculture (farm), the non-conformity shall be issued against the mill or the farms or both.
18.8	When a non-conformity which has previously been issued to the client and closed, is issued again, it shall be identified as a recurring non-conformity in the audit report and the corrective action shall be defined accordingly.

Ref.	Requirement
18.9	For Groups, a systemic non-conformity for a Group Manager or Site is raised if there is a failure to meet a Standard requirement as described in 18.6: A site-specific systemic non-conformity shall also apply to the Group Manager.
18.10	For Groups, an incidental non-conformity for a Group Manager or Site is raised if there is a failure to meet a Standard requirement but which can be considered a temporary lapse or is unusual/non-systemic as described in 18.5: a site-specific incidental non-conformity shall also apply to the Group Manager.

Table 8: Conformity level grading

Standard indicators group	Applicable conformity level grading
Production Standard core indicators	Conformity Incidental non-conformity Systemic non-conformity Observation
Production Standard non-core indicators	Conformity Non-conformity Observation
ChoC Standard indicators	Conformity Non-conformity Observation

In the above Table “Production Standard” means Bonsucro Production Standard and Bonsucro Production Standard for Smallholder Farmers.



19. Corrective Action Plans

Ref.	Requirement
19.1	The CB shall request that the client submit within four (4) weeks of the audit closing meeting a corrective action plan for:
19.1.1	Non-conformities against the core indicators of the Production Standard and Production Standard for Smallholder Farmers.
19.1.2	Non-conformities against the indicators of the ChoC Standard.
19.1.3	Non-conformities against the non-core indicators of the Production Standard and Production Standard for Smallholder Farmers if the client does not meet the pass rate.
19.2	The corrective action plan shall include a root cause of the non-conformity, an action plan describing how conformity shall be achieved, the person responsible for implementing the actions and the timeframe for implementation.
19.3	The CB shall assess the corrective action plan and whether it is likely to address the non-conformity within the deadline specified in Table 9. Should the CB consider the corrective action plan presented as not being satisfactory, the CB shall set a deadline for the client to submit an updated corrective action plan.
19.4	During subsequent audits or as and when agreed, the CB shall verify the implementation of the corrective action plan and whether the actions taken are sufficient to close the non-conformity within the deadline specified in Table 9.
19.5	Should the corrective action plan to address a non-conformity require a longer timeframe than the one indicated in Table 9, the CB shall carry out a risk analysis and decide whether to submit an exemption request to Bonsucro.
19.6	Should the non-conformities not be addressed within the deadline specified in Table 9, the CB shall apply the sanctions described in Table 9.
19.7	A client might volunteer to provide the CB with additional corrective action plans to address non-conformities against non-core indicators in order to gain a conformity result above the pass rate. In such case, requirements 19.2 to 19.4 are applicable, but requirements 19.5 and 19.6 are no applicable.
19.8	Should corrective action plans not be provided in line with 19.7, the client shall provide a formal declaration to the CB explaining the reasons why the client will not be proactively working on these non-core indicators: e.g. the client is engaging with the requirement through a different set of actions.



Table 9: Corrective action plans management

Standard indicators group	Non-conformity grading	Initial audit	Re-certification audit	Surveillance audit
Production Standard core indicators	Incidental non-conformity	Must correct all NCs before the certification decision. If no certification decision within 12 months of the initial audit closing meeting, the client must undergo another initial audit.	Must correct all NCs before the certification decision. If no certification decision by the time the certificate expires, the client's certificate is withdrawn.	Must correct all NCs within 6 months of the surveillance audit closing meeting. If not, the client's certificate is suspended for 3 months. If the cause for suspension is not addressed the client's certificate is withdrawn.
	Systemic non-conformity			Must correct all NCs within 3 months of the surveillance audit closing meeting. If not, the client's certificate is suspended for 3 months. If the cause for suspension is not addressed the client's certificate is withdrawn.
Production Standard non-core indicators	Non-conformity	Must correct at least the required number of NCs to meet the pass rate (1) before the certification decision. If no certification decision within 12 months of the initial audit closing meeting, the client must undergo another initial audit.	Must correct at least the required number of NCs to meet the pass rate (1) before the certification decision. If no certification decision by the time the certificate expires, the client's certificate is withdrawn.	Must correct at least the required number of NCs to meet the pass rate (1) within 3 months of the surveillance audit closing meeting. If not, the client's certificate is suspended for 3 months. If the cause for suspension is not addressed the client's certificate is withdrawn.
ChoC Standard indicators	Non-conformity	Must correct all NCs before certification decision. If no certification decision within 12 months of the initial audit closing, the client must undergo another initial audit.	Must correct all NCs before certification decision. If no certification decision by the time the certificate expires, the client's certificate is withdrawn.	Must correct all NCs within 3 months of the surveillance audit closing meeting. If not, the client's certificate is suspended for 3 months. If the cause for suspension is not addressed the client's certificate is withdrawn.

In the above Table: "Production Standard" means Bonsucro Production Standard and Bonsucro Production Standard for Smallholder Farmers. "NCs" mean non-conformities. (1) See 19.1.3



20. Certification Decision

Ref.	Requirement
20.1	Based on the recommendation of the lead auditor, and after review of the evidence reported by the audit team, the CB's technical manager shall take the final decision on certification, provided nothing has come to his/her attention to cause him/her to believe that there are errors in the evidence collected by the audit team.
20.2	A positive certification decision shall be made provided the required pass rates have been met in line with:
20.2.1	Table 10 for audits against the Production Standard (and/or Bonsucro Production Standard for Smallholder Farmers) and the ChoC Standard.
20.2.2	Table 11 for audits against the ChoC Standard.
20.3	For Production Standard (and/or Bonsucro Production Standard for Smallholder Farmers) pass rate, the CB shall refer to the certification result shown in the updated Bonsucro Calculator.
20.4	For Production Standard (and/or Bonsucro Production Standard for Smallholder Farmers), the mill (industry section of the Bonsucro calculator) and the farms (agriculture section of the Bonsucro calculator) must each achieve the relevant pass rates.
20.5	If the client fails to achieve applicable pass rates within the deadline specified in Tables 10 or 11:
20.5.1	Following an initial audit, the CB shall cancel its certification contract with the client or agree to a new initial audit.
20.5.2	Following a re-certification audit, the CB shall withdraw the client certificate. See section 23 for certificate suspension and withdrawal procedure.
20.5.3	Following a surveillance audit, the CB shall suspend a client's certificate for a maximum period of three (3) months or until the end of the current certificate validity period, whichever comes first. See section 23 for certificate suspension and withdrawal procedure.



Table 10: Pass Rates – Audit Scope: Production and ChoC Standards

Standard indicators group	Initial audit pass rates	Re-certification audit pass rate	Surveillance audit pass rate
Production Standard core indicators	Conformity with 100% applicable indicators must be achieved.		
Production Standard non-core indicators	Conformity with a minimum of 60% of applicable indicators must be achieved.		
ChoC Standard indicators	Conformity with 100% applicable indicators must be achieved.		
Certification decision	If above 3 pass rates achieved, certification is granted, and a certificate issued.	If above 3 pass rates achieved, certification is renewed, and an updated certificate issued.	If above 3 pass rates achieved, certification is maintained, and the decision communicated in the final audit report.
	If above 3 pass rates not achieved within 12 months of the initial audit closing meeting, the client must undergo another initial audit.	If above 3 pass rates not achieved by the time the certificate expires, the client's certificate is withdrawn.	If above 3 pass rates not achieved within agreed deadlines (see Table 9), the client's certificate is suspended for 3 months. If the cause for suspension is not addressed the client's certificate is withdrawn.

In the above Table: "Production Standard" means Bonsucro Production Standard and Bonsucro Production Standard for Smallholder Farmers.

Table 11: Pass Rates – Audit Scope: ChoC Standard

Standard indicators group	Initial audit pass rates	Re-certification audit pass rate	Surveillance audit pass rate
ChoC Standard indicators	Conformity with 100% applicable indicators must be achieved.		
Certification decision	If above pass rate achieved, certification is granted, and a certificate issued.	If above pass rate achieved, certification is renewed, and an updated certificate issued.	If above pass rate achieved, certification is maintained, and the decision communicated in the final audit report.
	If above pass rate not achieved within 12 months of the initial audit closing meeting, the client must undergo another initial audit.	If above pass rate not achieved by the time the certificate expires, the client's certificate is withdrawn.	If above pass rate not achieved within agreed deadlines (see Table 9), the client's certificate is suspended for 3 months. If the cause for suspension is not addressed the client's certificate is withdrawn.



21. Audit Documentation

Ref.	Requirement
21.1	Following an initial, re-certification or surveillance audit, the CB shall send Bonsucro the final version of the audit documents listed in Table 12 within 48 hours of the certification decision being taken.
21.2	For initial and re-certification audits, the CB shall communicate the certification decision to the client five (5) working days after sending the audit documents listed in Table 12 to Bonsucro, or after receiving feedback from Bonsucro, whichever comes first.
21.3	For initial and re-certification audits, Bonsucro shall aim to carry out a review of the audit documents listed in Table 12 within five (5) working days of receiving them from the CB but reserves the right to request additional time if needed. Bonsucro may request further clarification following the review of the documents received.
21.4	For surveillance audits, the CB shall communicate the certification decision to the client as soon as it has been taken
21.5	For surveillance audits, Bonsucro shall aim to sample audit information received and provide regular feedback to CBs.
21.6	The audit report shall provide a complete, accurate, concise and clear record of the audit in line with ISO 19011:2018 requirements. As a minimum, the following information shall be included in audit reports:
21.6.1	Client information to be published on Bonsucro website post certification decision: Certificate holder name, Membership Name, Bonsucro membership number, Country, Website, Contact email, Certification body, Certificate number, Scope of Certification as defined in this Protocol (Part 3 section 1), Initial certification date, Certificate validity dates.
21.6.2	Scope of the audit and audit type (e.g. initial, surveillance, re-certification, combined or to follow up on non-conformities)
21.6.3	Contact details of audit client representative, opening and closing meeting attendees
21.6.4	Audit dates, date the report was submitted by the lead auditor, date the report was reviewed by the technical manager, date of certification decision, name of person taking the certification decision, name of auditor(s), name and affiliations of technical experts and interpreters/translators.
21.6.5	Farm or site sample size as well as complete list of farms/sites included in the certification unit and details of land ownership (rented or owned) (if applicable) and rationale/justification for sample chosen.
21.6.6	For initial audits against the Production Standard for smallholder farmers, the report shall include the list of farmers, with their respective sugarcane production area (ha) and Bonsucro certified sugarcane production area, as well as other criteria taken into account by the CB to decide to include each farmer in the scope of certification (e.g. is

Ref.	Requirement
	part of the production sold to another mill: refer to the Production Standard for smallholder farmers for more details).
21.6.7	Interview sample size (individuals and groups) and rationale/justification for sample chosen.
21.6.8	For surveillance audit, rationale/justification for audit scope.
21.6.9	If using any Bonsucro claim (on and off-pack claims made since the last audit), a list of claims sampled and a confirmation that they can be matched against traded volumes (list volume of certified sugarcane or sugarcane-derived content in labelled product(s).)
21.6.10	Status of ongoing legal disputes and enforcement notices.
21.6.11	The results of stakeholder consultations.
21.6.12	Farm diary information of sampled farms (if applicable).
21.6.13	For the Production Standard, the conformity score (in %) broken down between the mill and the certified production area (farms).
21.6.14	A description of the non-conformities issued and whether they are recurring, and action plan agreed including timelines for implementation.
21.6.15	A description of the assessment of corrective actions to address previous non-conformities issued and status.
21.6.16	A description of observations identified during the audit.
21.6.17	An update on observations identified during previous audits.
21.7	The certificate and annexes shall be issued in line with section 22.
21.8	The relevant tabs of the calculator shall be completed in line with Table 12 and Annex 2.
21.9	Data captured by the CB in the Audit & Certificate Summary tab of the calculator includes specific information about the client audit and certification (see annex 2 for complete list) and shall be published on Bonsucro website.
21.10	All audit documentation and data sent by the CB to Bonsucro shall be retained in Bonsucro internal databases.
21.11	Any audit data sent by the CB to Bonsucro might be analysed by Bonsucro for the purpose of monitoring its assurance system performance. This data might be shared and published in aggregated format, except for data referred to in 21.9 which shall be published under the name of each specific client.



Table 12: Audit Documents Submission

Document	Production Standard Audit
Audit Report	Production Standard audits and ChoC only audits
Certificate and annexes	Production Standard audits and ChoC only audits if the document has been updated since last audit
Calculator	Production Standard audits: <ul style="list-style-type: none"> > Updated input and output calculator tabs > Completed Volumes and Supply Chain Declaration tab > Completed Audit & Certificate Summary tab > Completed Conformity Evaluation tab (or CB equivalent template approved by Bonsucro)
Calculator	ChoC only audits: <ul style="list-style-type: none"> > Completed Volumes and Supply Chain Declaration tab > Completed Audit & Certificate Summary tab > Completed Conformity Evaluation tab (or CB equivalent template approved by Bonsucro)
Any other relevant audit documentation	Production Standard audits and ChoC only audits If applicable



22. Certificates

Ref.	Requirement
22.1	The CB shall provide a certificate which may be shared with all entities covered by the certificate.
22.2	The validity certificate issued following an initial or re-certification audit shall be three (3) years.
22.3	General information
22.3.1	<p>The certificate shall clearly indicate:</p> <ul style="list-style-type: none"> > Certificate holder name > Certificate holder address (only one address for the main certificate holder) > Bonsucro membership number (3 letters and 4 digits) > Date of initial certification, Certificate validity dates and certificate issue date. > Name, logo and Bonsucro membership number of the CB. > Bonsucro name and logo. > Name and signature of the CB technical manager. > A statement that reads “Further clarification regarding this certificate can be directed to info@bonsucro.com or by visiting www.bonsucro.com.” > Any other information required by ISO 17065:2012.
22.3.2	It is no longer a requirement to include volumes and total area certified on a certificate. This information shall only be captured in the audit report.
22.4	Certification Scope – Standards
22.4.1	<p>The certificate shall clearly indicate which standards the certificate holder has been audited against, including the applicable Standard version number:</p> <ul style="list-style-type: none"> > Bonsucro Production Standard > Bonsucro Production Standard for Smallholder Farmers > Bonsucro Mass Balance Chain of Custody Standard > Bonsucro Certification Protocol > Bonsucro EU RED Standard
22.4.2	If a mill or a group of farmers is certified against both the Bonsucro Mass Balance Chain of Custody Standard and the Bonsucro Production Standard, the certificate holder can be issued a single certificate including both standards.
22.4.3	<p>In cases where a mill includes smallholder farmers in its certification scope, the certificate body shall not include the Smallholder Standard on a mill’s certificate but issue a separate certificate.</p> <p>E.g. 1 – if a mill is certified with supply area including only smallholder farmers: the certification body shall issue:</p> <ul style="list-style-type: none"> > one certificate including Bonsucro Production Standard (Milling requirements) and Bonsucro Mass Balance Chain of Custody Standard > one certificate including Bonsucro Production Standard for Smallholder Farmers <p>E.g. 2 – if a mill is certified with supply area including smallholder farmers, and other farms: the certification body shall issue:</p>

Ref.	Requirement
	<ul style="list-style-type: none"> > one certificate including Bonsucro Production Standard and Bonsucro Mass Balance Chain of Custody Standard > one certificate including Bonsucro Production Standard for Smallholder Farmers
22.5	Certification Scope – Farms / Sites and activities
22.5.1	<p>The certificate shall clearly indicate a list of:</p> <ul style="list-style-type: none"> > all farms included in the scope of certification (can be included in an annex referenced by the main certificate document), including the name, area size, reference number (if available), GPS coordinates of the farms (if available) and total certified production area in hectares. > all sites included in the scope of certification (can be included in an annex), including the name, address and activities performed by each site: <ul style="list-style-type: none"> ○ Milling ○ Refining ○ Distilling ○ Packing / Repacking ○ Trading Office ○ Processing (Other) – please indicate ○ Other activity – please indicate
22.6	Certification Scope – Products
22.6.1	The certificate shall clearly indicate which products are included in the scope of certification. The products shall only be included on the certificate if the certification body has successfully audited the management system used to track the corresponding certified volumes in the inventory and mass balance.
22.6.2	The certification body shall identify with the certificate holder which products should be listed on the certificate.
22.6.3	<p>The certificate can include certified products which have been produced, regardless if these are being further processed or not, sold as certified or not, sold physical mass balanced products or sold as Bonsucro Credits via the Bonsucro Credit Trading Platform.</p> <p>E.g. A farm can list certified Sugarcane which they sell as certified sugarcane to a mill or as Sugarcane Credit to another member.</p> <p>E.g. A mill can list certified Refined Sugar (White granulated sugar) which they produce and sell as certified refined sugar to a trader/manufacturer.</p> <p>E.g. A mill can list certified Sugarcane. The mill does not sell certified sugarcane but process it into another product.</p> <p>E.g. A distillery can list certified Ethanol (Ethanol 2G) which they produce and sell as certified ethanol to a trader/manufacturer.</p> <p>E.g. A trader can list certified Molasses which they purchase from a mill and sell as certified molasses to a trader/manufacturer.</p> <p>E.g. A chocolate manufacturer can list certified Refined Sugar (Powdered Confectioners' Sugar) which they purchase and use in the manufacturing of confectionery product.</p>
22.6.4	The products shall be identified on the certificate against a Bonsucro product class, as well as local / industry product/derivative name (if applicable). E.g. Ethanol (Ethanol

Ref.	Requirement
	2G): Ethanol is the Bonsucro product class, and Ethanol 2G is the more specific industry name. See annex 3 for a list of Bonsucro product classification, and a non-exhaustive list of applicable local / industry product/derivative names.
22.7	Issuing documents to individual farms
22.7.1	The CB may also issue a dated document to individual farms included in the unit of certification. The decision to issue this document is at the CB's discretion, based on their evaluation of risks. The document shall not refer to the farm as certified.
22.7.2	The document shall include: <ul style="list-style-type: none"> > Name of farm(s) (as shown in the list of farms of the main certificate). > A statement that '(the CB) states that the farm mentioned above is part of the unit of certification of (name of main certificate holder: mill of group of farms) which is certified against the Bonsucro Production Standard (version number)'. > Date of issuance and expiry date (which shall match the date of expiry of the main certificate). > Bonsucro name and logo. > Name and signature of the CB technical manager. > A statement that reads: "Further clarification regarding this certificate can be directed to (name of mill), info@bonsucro.com or by visiting www.bonsucro.com.

23. Suspension and Withdrawal

Ref.	Requirement
23.1	Following certification, a client's certificate shall be suspended for a maximum period of three (3) months if the client fails to:
23.1.1	submit a corrective action plan in line with 19.1
23.1.2	amend a corrective action plan in line with 19.3
23.1.3	implement a corrective action plan corrective action plan following a surveillance audit (see 20.5.3).
23.1.4	undergo an audit within the timeframe detailed in section 4.
23.2	When a certificate is suspended, the CB shall inform the client that:
23.2.1	It shall not promote or advertise their certification in any way.
23.2.2	It shall not claim to be certified.
23.2.3	Bonsucro will publish the suspension on the Bonsucro website and may publicise the suspension to interested parties.

Ref.	Requirement
23.3	A corrective action plan outlining the steps to be taken to address the suspension shall be required from the client.
23.4	The CB shall inform Bonsucro of any suspension within four (4) days of its confirmation with the client, by forwarding a copy of the communication sent to the client including:
23.4.1	the name of the client,
23.4.2	the certificate number of the client,
23.4.3	the start date of the suspension,
23.4.4	the reason for the reason,
23.4.5	the corrective action plan and due date by which all corrective action and follow-up visits shall occur,
23.4.6	confirmation that the information was communicate to the client in line with 23.2.
23.5	The CB shall send Bonsucro regular updates on progress made by the client.
23.6	The CB may lift a suspension and re-instate the certificate once it has verified the implementation of the corrective action plan which may include an on-site follow up audit of the client.
23.7	The CB shall inform Bonsucro of any suspension being lifted within four (4) days of its confirmation with the client, by forwarding a copy of the communication sent to the client including:
23.7.1	the name of the client,
23.7.2	the certificate number of the client,
23.7.3	the end date of the suspension,
23.7.4	a confirmation that the corrective action plan has been carried out.
23.8	Should the follow up audit within the suspension period prove to be unsatisfactory, or if the client does not address the issue raised, the client's certificate shall be withdrawn.
23.9	The CB shall immediately withdraw a client's certificate or shall terminate an initial audit of a client should evidence be found which indicates that:
23.9.1	sugarcane products have been falsely and intentionally identified as Bonsucro.
23.9.2	any fraud or misrepresentation has taken place with the aim of influencing the certification decision.
23.9.3	the client's Bonsucro membership has been cancelled.

Ref.	Requirement
23.9.4	The client provided untrue copies and/or false documents to the auditor, especially regarding documents referenced in section 14.2.1, 14.2.2, 15.4.1 and 15.4.2 of this Protocol.
23.10	When a client decides to transfer their certificate to a new CB, cancel their certification contract with a CB (except in case of a certificate transfer to another CB), the CB shall give the client written confirmation of the cancellation.
23.11	When a client decides to transfer their certificate to a new CB (see section 24), should the current certificate expire before the new certificate has been issued by the new CB, the current CB shall withdraw the certificate.
23.12	When 23.8, 23.9, 23.10 or 23.11 applies, the CB shall inform the client that on the date the certificate is withdrawn:
23.12.1	It shall no longer promote or advertise their certification in any way.
23.12.2	It shall no longer claim to be certified.
23.12.3	Remaining sugarcane and sugarcane-derived products shall no longer be sold as certified physical mass balance volumes nor Bonsucro Credits.
23.12.4	Bonsucro will publish the certificate withdrawal on the Bonsucro website, delist the client's certificate from the Bonsucro Credit Trading Platform and may publicise the certificate withdrawal to interested parties.
23.13	The CB shall inform Bonsucro of certificate withdrawal at the latest within twenty-four (24) hours of the certificate withdrawal by forwarding a copy of the communication sent to the client including:
23.13.1	the name of the client,
23.13.2	the certificate number of the client,
23.13.3	the date the certificate was withdrawn,
23.13.4	confirmation that the information was communicate to the client in line with 23.12.



24. Transfer of Certificates

Ref.	Requirement
24.1	Clients may change their CB at any time. In this case, the current CB shall liaise directly with the new CB to arrange details of the transfer and to exchange information about the client's certification.
24.2	The current CB shall inform the client that:
24.2.1	Bonsucro shall be informed of the change of CB, including the reason for the change.
24.2.2	A copy of the latest audit report, calculator and certificate will be sent to the new CB, within 5 working days of the client informing the current CB of the name of the new CB.
24.2.3	All non-conformities outstanding shall remain
24.2.4	All surveillance audits scheduled or planned shall remain until cancellation of current certificate (see 24.6).
24.3	The current CB shall inform Bonsucro of the change of CB, including the reason for the change, and the name of the new CB, within 5 working days of initial request by the client.
24.4	The new CB shall issue a new certificate with the same period of validity as the current one.
24.5	Within 24h of completing 24.4, the new CB shall provide Bonsucro with:
24.5.1	The name of the client.
24.5.2	The name of the previous CB.
24.5.3	The issue date and certificate number of the current certificate.
24.5.4	Date of the last audit by the current CB.
24.5.5	Confirmation that all the necessary information regarding the certification (including the Calculator) was received from the previous CB.
24.5.6	Information on the status of non-conformities issued.
24.5.7	The date of the next audit by the new CB.
24.5.8	Confirmation of the date of transfer (email correspondence including the current CB and the client).
24.5.9	Confirmation that the client has agreed that Bonsucro may share any relevant information relating to the previous certificate to the new CB.

Ref.	Requirement
24.5.10	A copy of the new certificate.
24.6	The current CB shall only cancel the current certificate once the new certificate has been issued by the new CB as per 24.4.
24.7	Should the client not comply with 24.2.4, the current CB shall suspend the current certificate in line with section 23.1.4.
24.8	Should the current certificate expire before the new certificate has been issued by the new CB, the client certification will be considered withdrawn in line with section 23.11.



Annex 1: Conducting Stakeholder Consultations

Types of Stakeholders

Bonsucro defines stakeholders as follows:

Individual or group that has an interest in any decision or activity of an organization and; Individual or group that is or is likely to be subject to the effects of the activities of an organization.

This definition recognises two types of stakeholders: those that are interested and those that are affected. Both types must be consulted in order to comply with the Certification Protocol. Affected Stakeholders shall be given higher weight than Interested Stakeholders.

Interested Stakeholders include:

- a. National government (including environmental agencies)
- b. NGOs
- c. Donors and development organisations
- d. Buyers
- e. Academia and other technical experts etc.

Examples of affected stakeholder include, but are not restricted to, persons, groups of persons or entities located in the neighbourhood of the mill and farms. The following are examples of affected stakeholders:

- a. Local communities
- b. Indigenous peoples
- c. Workers
- d. Neighbours
- e. Downstream landowners
- f. Local processors
- g. Local businesses
- h. Tenure and use rights holders, including landowners
- i. Organizations authorized or known to act on behalf of affected stakeholders, for example social and environmental NGOs, labour unions, etc.

Stakeholder Consultation Process

Stakeholder consultations shall be conducted based on the following principles:

- a. Stakeholder identification: The CB shall identify all parties with an interest in or being affected by the mills' and farms' activities.
- b. Stakeholder notification: Identified stakeholders shall be invited to participate in the consultation.
- c. Stakeholder consultation: All identified stakeholders shall be provided with access to sufficient information to be able to provide informed comments. The consultation techniques employed shall be culturally appropriate.
- d. Stakeholder feedback: The CB shall respond to all stakeholders who participated in the consultation process showing how their comments were taken into account.
- e. Consultation records: The CB shall maintain records of the consultation process, including a list of stakeholders consulted with their comments and evidence that the consultation was carried out in line with the requirements of the Certification Protocol.

Annex 2: Calculator content

As per paragraph 21.8, the relevant tabs of the calculator shall be completed in line with Table 12 and Annex 2.

This annex gives a detailed list of data to be captured in each tab of the calculator.

Input and output calculator tabs Content (Production audit)
<p>After the audit, the auditor shall amend the calculator input and output tabs to acknowledge the corrective actions carried out after the audit, so as to reflect the conformity score taken into consideration for the certification decision.</p> <p>The CB shall submit this last version of the document with the audit report.</p>
Volumes and Supply Chain Declaration tab Content (Production audit)
<p>The auditor shall complete the following information:</p> <ul style="list-style-type: none"> > Actual volumes produced during the previous reporting period (broken down by product) > Actual volume sold as Bonsucro certified during the previous reporting period (broken down by product, by buyer and by physical mass balance volume versus Bonsucro credits sales). > Estimated volumes to be produced over the next reporting period > Certified area at the time of the certification decision
Volumes and Supply Chain Declaration tab Content (ChoC audit)
<p>The auditor shall complete the following information:</p> <ul style="list-style-type: none"> > Actual volumes purchased during the previous reporting period (broken down by product, by supplier and by physical mass balance volume versus Bonsucro credits purchases). > Actual volume sold as Bonsucro certified during the previous reporting period (broken down by product, by buyer)
Audit & Certificate Summary tab (all audits)
<p>The auditor shall complete the following information to be published on Bonsucro website post certification decision:</p> <p>Information from the certificate and certificate annexes:</p> <ul style="list-style-type: none"> > Certification Body (CB) Name > CB Bonsucro Membership Number > Certificate Holder (CH) Name > CH Bonsucro Membership Number > CH Address > CH Town > CH Province > CH Country > CH GPS coordinates > CH Website (Preference: link to webpage referencing Bonsucro - if not: home page) > CH contact email (Preference: generic email address, alternatively, the contact person will be required to complete and sign Bonsucro GDPR form) > Certificate Number > Standards Scope > Activities Scope > Products Scope

<ul style="list-style-type: none"> > Applicable actual certified production area > Certification Status > First date certified > Current certificate start date > Current certificate expiry date > Current certificate issue date <p>Information from the calculator conformity evaluation tab:</p> <ul style="list-style-type: none"> > Audit start date > Audit finish date > Production core indicators conformity % > Production non-core indicators conformity % > ChoC indicators conformity % > Performance against 5 production standard indicators (score & comment): <ul style="list-style-type: none"> ○ 3 strategic indicators selected by Bonsucro. ○ 1 indicator selected by the lead auditor / CB as an area of potential progress for the certificate holder. ○ 1 indicator selected by the certificate holder to reflect good performance in a specific area. 	
Conformity Evaluation tab (all audits)	
The auditor shall complete the following information:	
<p>General information:</p> <ul style="list-style-type: none"> > Certification Body (CB) Name > CB Bonsucro Membership Number > Certificate Holder (CH) Name > CH Bonsucro Membership Number > Lead Auditor name and gender > Auditors names and gender > Additional audit team members / observers names and functions > Audit start date > Audit finish date > Number of auditors' days (as defined in section 11) > Type of Audit: Initial, Recertification, Surveillance 1, Surveillance 2, Scope extension > Audit delivery: Full onsite, Part remote / Part onsite, Full remote 	<p>Information per indicator (if indicator applicable to both agriculture and industry, information is split into 2 data entry):</p> <ul style="list-style-type: none"> > Standard version e.g. Production V5, SHF Production V1, ChoC V5, EU RED V1 > Indicator reference > Applicability as per scope definition in Standard > Indicator text > Conformity level (as defined in section 18) > Auditor narrative > Non-conformity status > Corrective action plan details, timeline and update
<p>The tab will automatically calculate:</p> <ul style="list-style-type: none"> > Conformity level aggregated results summary (at audit closing meeting, before implementation of corrective action plan) > Conformity level aggregated results summary (at certification decision, after implementation of corrective action plan) 	

Annex 3: Bonsucro Products Classification

As stated in section 22.6, the products shall be identified on the certificate against:

- > a Bonsucro product class, and
- > local/industry product/derivative names (if applicable).

Bonsucro product class

Bonsucro has defined product classes to streamline the information captured on the certificate. These product classes impact on:

- > the ability of a certificate holder to sell Bonsucro Credits via the Bonsucro Credit Platform
 - (1) *When this specific product class is listed on a certificate, the company is allowed to trade Bonsucro Credits of the same name via the Bonsucro Credit Trading Platform. Additional restrictions apply to Bonsucro Sugarcane Credits, please visit <https://credits.bonsucro.com/>. This means that conversion factors apply to these classes for the credit trading platform.*
- > the analysis of volumes reported in the audit report

Local/industry product/derivative names

Bonsucro has allocated a non-exhaustive list of products and derivatives for each product class. Capturing this information on the certificate, when applicable, builds a more accurate and thorough overview of products manufactured by certificate holders using/including a sugarcane derivative product.

- > E.g. Ethanol (Ethanol 2G): Ethanol is the Bonsucro product class, and Ethanol 2G is the more specific industry name.

Bonsucro Product Class	Includes / understood as
Sugarcane (1)	Also referred to sugar cane. It includes several species, varieties and hybrids of tall perennial grass in the genus <i>Saccharum</i> and related general, tribe Andropogoneae, that are used for sugar production.
Raw Sugar (1)	Also referred to as crude raw sugar. Under this Bonsucro product class, shall only be included and reported non-food grade raw sugar products. This raw sugar product is produced by the mill and contains a high level of impurities. It has not undergone any form nor level of refining.
Refined Sugar	<p>Under this Bonsucro product class, shall be included refined food-grade sugar products. All these products have gone through steps to remove impurities.</p> <p>The 3 sub-categories to consider are:</p> <ul style="list-style-type: none"> – Food-grade unrefined sugars – Food-grade raw cane sugars – Food-grade refined sugars <p>Food-grade unrefined sugars: They are the least refined, as they retain most of the original cane molasses. They have from 8 to 14% molasses, which gives them a strong flavour and dark brown colour. The sugar content is around 90% sucrose and 5% invert sugar (which is glucose plus fructose).</p> <p><i>Local/industry product/derivative name examples:</i></p>

Bonsucro Product Class	Includes / understood as
	<ul style="list-style-type: none"> – Whole cane sugar – Jaggery (India) – traditional Brown sugar – Piloncillo (Mexico) – traditional Brown sugar – Sucanat - SUGAR Cane NATURAL (unrefined brown sugar produced by a drying process developed by the Swiss company Pronatec) – Light Brown / Dark Muscovado (Mauritius, Philippines) – traditional Brown sugar – Barbados Sugar (Barbados) – traditional Brown sugar – Panela (Colombia) – traditional Brown sugar – Rapadura (Brazil) – traditional Brown sugar – Kokuto (Japan) – traditional Brown sugar – Rock Sugar (China) – traditional Brown sugar – Molasses / Blackstrap molasses – Pure Cane Syrup <p>Food-grade raw cane sugars: They are processed/ refined to remove most molasses – Single Crystallisation Sugars & By-products. They usually have less than 2% molasses, which gives them a delicate flavour and a colour ranging from blond to light brown. They are slightly less refined but more processed than the unrefined sweeteners listed first in this post as they generally contain 97 to 99% sucrose.</p> <p><i>Local/industry product/derivative name examples:</i></p> <ul style="list-style-type: none"> – Raw Cane Sugar (partially processed sugar which retains more of the naturally present molasses) – Demerara Sugar (partially processed sugar which retains more of the naturally present molasses) – Turbinado Sugar (partially processed sugar which retains more of the naturally present molasses) – Powdered Confectioners' Sugar – Light / Dark Brown Sugar – Molasses Sugar in the raw <p><i>Also referred to as: evaporated cane juice, dried cane syrup, dehydrated cane juice, less processed cane sugar, washed sugar, natural cane sugar, single-crystallisation sugar.</i> <i>This category includes "Mill white" sugar or "Plantation white sugar" produced immediately after the first stage at sugar-extraction mills, intended for local food consumption.</i></p> <p>Food-grade refined sugars: They are highly processed and purified sweeteners. The main component in any refined sugar is sucrose—from 91 to 99.96% when in solid form, and from 50 to 80% when liquid (syrup, molasses). Considered one of the purest food products, granulated white sugar (aka table sugar).</p> <p><i>Local/industry product/derivative name examples - based on:</i></p> <ul style="list-style-type: none"> – Size of the crystals: granulated, fine granulated, extra fine granulated, superfine (quick dissolve), ultrafine (bakers' special, bakers' sugar, caster sugar, bar sugar, sanding) powdered (confectioners), fondant (icing or frosting sugar). Includes "Regular" white sugar or White granulated sugar, Brown granulated sugar (Free-flowing brown sugar) – Amount of molasses: brown sugars classified as light (golden) and dark, or brownulated (either made by directly boiling a brown sugar syrup or mixing white sugar with various amounts of molasses) – Coarse refined sugars: sparkling sugar, rock sugars, sugar swizzle sticks – Refined sugars in lump forms: cubes, tablets, gourmet sugars – Liquid refined cane sugars: syrups (including golden syrup), light, dark and blackstrap molasses, liquid sugar (white granulated sugar that has been dissolved

Bonsucro Product Class	Includes / understood as
	<p><i>in water), invert syrups/sugar (result of inversion process where sugar is split into its 2 component sugars - glucose and fructose – to create a liquid sugar with equal parts glucose and fructose)</i></p> <p><i>This category includes VHP sugar.</i></p>
Molasses (1)	<p>Final mother liquor leftover after the crystallization of sugar.</p> <p><i>Local/industry product/derivative name examples:</i></p> <ul style="list-style-type: none"> – <i>Blackstrap sold as a food and dietary supplement. It is also a common ingredient in animal feed, is used to produce ethanol and rum, and in the manufacturing of citric acid.</i> – <i>Purer molasses syrup Purer molasses syrups are sold as molasses, and may also be blended with maple syrup, invert sugars, or corn syrup.</i> – <i>ethyl alcohol, citric acid, lactic acid, cattle feed, oxalic acid, bakers' yeast, mono sodium glutamate, torula yeast, lysine, acetone-butanol-alcohol</i> – <i>Alcohol-derived chemicals: acetic acid, acetic anhydride, acetone, ethyl acetate, ethyl benzene, styrene, poly-styrene, poly-ethylene and synthetic rubber</i> – <i>Alcoholic drinks from sugarcane juice / molasses: Basi (fermented alcoholic beverage made from sugarcane juice), Cachaça (liquor made of the distillation of sugarcane juice), Falemum (alcoholic drink made from sugarcane juice), Rum (liquor made from sugarcane products, typically molasses but sometimes also cane juice)</i>
Bagasse	<p>Residual dry fibre of the cane after cane juice has been extracted.</p> <p><i>Local/industry product/derivative name examples:</i></p> <ul style="list-style-type: none"> – <i>Cattle feed</i> – <i>Paper, particle boards,</i> – <i>Bio pellets, Bioplastic pellets,</i> – <i>Biogas produced from the transformation of bagasse using enzymes.</i>
Ethanol (1)	<p>The sugarcane juice is extracted by milling it or through a diffuser that is physical-chemically treated before the fermentation step. The fermentation or alcoholic fermentation converts juice sugars into cellular energy for the yeast, resulting in the production of ethanol and carbon dioxide.</p> <p><i>Local/industry product/derivative name examples:</i></p> <ul style="list-style-type: none"> – <i>First-generation (1G) ethanol</i> – <i>Second-generation (2G) ethanol</i>
Electricity	<p>Can include electricity produced by burning to produce steam, which in turn creates electricity:</p> <ul style="list-style-type: none"> – From bagasse – From Ethanol – From concentrated vinasse (CMS)
Other	<p>This category can be used by the certification body to record Local/industry products/derivatives which do not fall under other product classes. e.g. Dunder and mill mud that is used as fertilizer.</p>