

**KENYA FLOWER COUNCIL CERTIFICATION SCHEME**  
**QUALITY SYSTEM PROCEDURES**

**AUDITING AND CERTIFICATION PROCEDURES**

**THE SCOPE OF THIS PROCEDURE**

1. The scope of the KFC Certification Scheme Auditing and Certification Procedure is: -
  - a. The controlled production process of Cut flowers and Ornamentals owned by individual producer or producer groups within one country.
  - b. The Individual Producer or Producer Group is the legal entity and is the certificate holder, when the company is certified. The members of the producer groups are not issued with certificates.
  - c. The producer or producer groups comply with the requirements in the KFC Flowers and Ornamentals Sustainability Standard and other similar standards for flowers and ornamentals.
2. The KFC Certification Scheme does not provide audit and certification services to:
  - a. Flowers and ornamentals harvested from the wild.
  - b. Individual producer with multi-sites operating with Quality Management System (QMS).
  - c. Flowers products that are not produced by the registered producer or producer group.
  - d. Parallel production systems, where the producer or producer group produce the same flower species partly as certified and partly as non-certified. A situation in which the farmer produces one product as certified and another product as non-certified is not parallel production for example where Roses are certified and Carnations are non-certified.

**APPLICATION FOR AUDITING AND CERTIFICATION.**

1. The producers apply for the audit and certification in the KFC Certification Platform.
2. The producer is required to complete all relevant information in the KFC Certification Platform; *Application for Certification and Product Registration and the Terms of agreement between the producer the Kenya Flower Council*; annually before the re-certification takes place.
3. On receiving the application form; KFC is assessing application to ascertain that the products are within the scope of the Certification Scheme.
4. For the initial application for certification the certification body is acknowledging the receipt of the *Application for Certification and Product Registration*; within 14 days from the date of receiving from the producer.
5. The producer or producer group product registration process is finalized before certification takes place.

6. A new producer is issued with the appropriate identification number such as "KFC-XXXX" or GLOBALG.A.P. GGN.
7. In case the producer does not re-apply for certification and no product registration has been done, the product certification status is revised from certified to certificate not renewed or not re-registered.
8. The certification body accepts and re-accepts the re-registration of the producer or producer group if the following conditions have been met by the applicant: -
  - a. Signed the Terms of agreement between the certification body and producer.
  - b. Agreed to pay fees to the certification body for the applied standard payable from the date of application for certification.
9. The producer or producer group applying for certification is giving the information below per year before the re-certification audit is conducted.
  - a. Company Contact information including but not limited to: -
    - I. Name of the company.
    - II. Contact address of the farm, both physical and postal.
    - III. Postal code, Town, City, County, Country.
    - IV. Phone Number.
    - V. E-mail address.
    - VI. Legal company registration number.
    - VII. Northern/Southern latitude and Eastern/Western longitude or other form of geospatial coordinate information as defined and requested by GLOBALG.A.P. The minimum input accuracy level shall be +/-10 m. If the Producer or Producer Group decides to display this information, the display accuracy level will be 10 m for market participants and 1,000 m for the public.
  - b. Name of the contact person responsible for the legal entity, including: -
    - I. Title
    - II. First name
    - III. Last name
    - IV. Phone number
    - V. E-mail address
  - c. The previous GLOBALG.A.P. GGN Number; where applicable.
  - d. Production Sites and Product Handling unit's information including;
    - I. Company name of product handling facility (if subcontracted) and the name of production site
    - II. The producer contact details: Street address; physical or information available to describe production site or product handling unit location.
    - III. Postal address, Postal code, Town, City, County, Country.
    - IV. Phone number.
    - V. E-mail address



2. A certification or re-certification audit cannot take place before the application for certification process is completed; the crops are registered online by the producer and the application has been **verified** by the certification body.
3. The harvest and produce handling that has taken place before the application for certification is not valid for the audit and certification. Similarly, those products that had not reached the harvesting stage are not included for certification since they have not been inspected.
4. The audit is carried out when there is sufficient evidence such as during harvest time for annual and perennial flower crops or when the activities are at the peak periods to facilitate the verification of the certification scheme standard requirements from the field, harvesting and product post-harvest handling activities and records.
5. For a new producer or producer group the records of the agronomic activities are available for inspection and all the entries to documentation are kept for at least 3 months prior to the initial audit. The record has reference to each production area covering all the crops included in the product certification application covering all the agronomic activities required for the flower product certification that are maintained for at least two years unless a longer period is required by a specific certification scheme standard or by a legal requirement.
6. A follow-up audit is done to verify the compliance status of the control points that were not inspected during the re / certification assessment; the corrective actions taken by the farm plus any other outstanding matter arising out of the verification process.
7. The sampling for un-announced audits by the certification body ensures that the producers that are growing annual crops that did not have certification or re-certification audits at the harvesting time are given a priority; the next re-certification audit is carried out during the harvesting time and the subsequent audits for that particular producer or producer group is done during the harvesting period.
8. During the re-certification audits for multiple crops, the production processes of all the crops included in the certification scope are assessed at the farm by on-site visits, interviews with the producer or producer group and workers, review of documents and records.
9. The annual re-certification assessments fall within an inspection window that occurs over a period of 8 months; 4 months before the expiry date of the original certificate, and up to 4 months after the expiry date of the original certificate where the certification body extends the certificate validity. The certification body can extend the certificate validity by up to four months. There is a minimum of at least 6 months' period between two re-certification audits.
10. The approval of the certificate validity extension beyond 12 months can only be done on the following basis: -

- a. The certification body wants to schedule the on-site audit after the certificate has expired in order to observe a certain part of the production process, because it has not been seen in the previous audit, and it is considered to be a high-risk process in terms of product safety or to be able to see a newly added product and / a new site or producer or producer group.
  - b. The certification body wants to schedule the on-site inspection/audit after the certificate has expired in order to observe a certain part of the production process, because it has not been seen in the previous inspection/audit, because it is considered to be a high-risk process in terms of product safety or to be able to see a newly added product, process or a new site or producer or producer group.
  - c. The certification body needs to be able to extend some certificates because of resource constraints.
  - d. The certification body was not able to conduct the on-site audit and the producer or producer group was not able to receive the certification body audit due to circumstances beyond its control (force majeure) for example natural disaster, political instability in the region, epidemic or unavailability of the producer or producer group due to medical reasons.
  - e. The producer or producer group is going to be re-inspected during the four-month extension period.
  - f. The certification body re-accepts the producer or producer group's request, requests for the producer or producer group (product/s) re-certification for the next cycle within the validity period of the previous certificate.
  - g. The producer or producer group cannot change the certification body in the cycle subsequent to the one for which the extension was granted.
11. The audits are only done when all relevant agronomic activities and post-harvest handling processes are taking place to provide the certification body with assurance that all registered crops, even if not present at the time of inspection, are handled in compliance with the standard requirements.
  12. In case a producer or producer group has had its certificate cancelled and recalled, or has been suspended and complies within the 6-month suspension period, the validity date of the certificate is from the date of the Certification Committee meeting or the date of approval by the Certification Committee, and the certification cycle is maintained. The certification cycle is also not changed if the certificate had been extended and a product re-accepted during the previous certification cycle.
  13. Where the certificate had expired for more than 12 months, the certification body shall start a new certification cycle just like for an initial certification.
  14. If more than three months have passed after the initial inspection before satisfactory corrective action evidence is provided by the producer, a complete audit is performed before a certificate can be issued.

**CERTIFICATION SCHEME COMPLIANCE CRITERIA**

1. The KFC Certification Scheme has three types of non-compliance: -
  - a. Major Must non-compliance.
  - b. Critical non-compliance – Some of the major must clauses are identified as critical.
  - c. Recommendations – some of the clauses are identified as recommended.
2. The Major Must non-compliance is recorded in case the auditor has detected failure to comply with the certification scheme standard, policies and procedures.
3. A critical non-compliance is recorded in case the auditor has detected failure to comply with the certification scheme standard, policies and procedures where a serious imminent threat to the safety of persons, environment and consumer is present.
4. A recommendation is recorded where the auditor has identified an opportunity for improvement.
5. A major contractual non-conformity occurs where there is a breach of the signed agreements between the producer or producer group and certification body (KFC).
6. Where a 'critical' non-compliance is detected, the auditor is required to inform the producer or producer group as soon as possible or at least within the next 24 hours. However; if the producer or producer group representative is on site, the auditor communicates the critical non-compliance immediately. This enables the producer or producer group to carry out appropriate corrective action plans and timely resolution of the issue.
7. A non-compliance is not raised if the matter being assessed is before the court; where the producer or producer group has provided satisfactory objective evidence to demonstrate this fact.

**CERTIFICATION COMPLIANCE VERIFICATION PROCESS**

1. The Kenya Flower Council auditing and inspection methodology involves records and document review, inspection of farm facilities and interview of various categories of employees.
2. The verification for compliance is recorded in the audit platform checklist as; Yes, No, N/A and comments on each clause.
3. There are no clauses that are exempted from the audit verification and inspection to the individual producers and producer group.
4. The auditor may attach photo evidence of compliance or non-compliance in the audit report; taken at the site after approval is sought from the producer or producer group since it may contain or reveal confidential information.
5. The auditor must ensure that the producer or producer group is fully compliant during the annual audits by: -

- a. Inspecting all the accepted products, all the registered production locations or sites and all the registered product handling sites.
  - b. Inspecting all applicable clauses of the standard to each location, site or product management unit across all the locations or sites respectively such as the flower pack houses; residential houses of the employees, mixing stations, agrochemical stores for each individual producer or producer group as per the KFC Producer Group Quality Management System (QMS) KFC Auditing and Certification Procedures.
6. In a multisite operation compliance is only achieved by the producer or producer group after the producer is compliant with all the applicable clauses of the standard; to each location, site or product management unit across all the locations or sites respectively such as the flower pack houses; employee residential houses, agrochemical mixing stations and stores. This is accomplished by completing a checklist per site in an audit that is done consecutively across all the sites for each individual producer or producer group. A report is prepared per site or one report for the entire operation where the non-compliances are site specific.

#### **PRE-AUDITS**

1. This is the preliminary audit on a producer or producer group after application for audit and certification is accepted by the KFC certification body.
2. The pre-audit is conducted using the standard applied for by the producer or producer group by reviewing records, documents and by inspection of the various sections of the farm. The documentation and records review include crop production records, chemical and fertiliser usage records, human resource records as well as records covering hygiene, health & safety, among others.
3. The producer is required to provide satisfactory corrective actions that are taken on the report to KFC for review and verification for compliance before the initial audit is conducted.
4. The initial certification audit is not organized and is not conducted until the company has demonstrated the capacity to comply to the standard applied by providing various records and documents required by the standard specified by the auditor on the pre-audit report.

#### **CERTIFICATION AUDIT SCHEDULING PROCESS**

1. The producer or producer group is required to apply for pre-audit, initial audit and re-certification audits on the KFC Online Certification Platform.
2. The KFC audit team leader responsible for the audit prepares an audit plan within the KFC Online Certification Platform, that is available and access able to the producer.
3. The *Certification Audit Execution Process and Scope* document is sent to the producer during the scheduling of the audit. Before the audit is executed a

detailed *Audit Activity Time Plan* is prepared by the team leader and attached to the KFC Online Certification Platform, for information to the producers.

4. The Certification audit - execution process and scope, document in English and Kiswahili Language is informing the producer management staff and other employees the name of the auditors; the tasks for each respective auditor, the tasks for the general manager, the standard under review, the scope of the audit, the audit goals and objectives, the audit compliance criteria, the audit methodology for the social, environmental, production processes or systems, the feedback information to the certification body, the agenda for the opening meeting and for the closing meeting, the titles of persons who may attend the opening and closing meetings from the producer, how the audit findings will be communicated to the producer including critical non-compliances, among other information.

#### **UN-ANNOUNCED AUDIT PROCESS**

1. At least 10% of the producer or producer groups, based on the number of farms audited and certified the previous year are given an unannounced audit within one calendar year.
2. The 10% selection criteria applied considers the geographical locations of the farms; the type of crops, compliance history and includes only those farms that had not been given this audit within the previous two years.
3. The communication for an un-announced audit by the auditors to the producer or producer groups is given to the farm within 13 to 48 hours' notice. This ensures that there is a senior farm representative during the audit.
4. Those producer or producer groups that have undergone a GLOBALG.A.P. CIPRO audit are exempted from the 10% unannounced audits.
5. The non-compliance detected during the un-announced audit are added to those detected during the re-certification audit if they were not closed out by then. The producer or producer groups must comply with all the non-compliances before the certificate is re-issued.
6. *Flower crop samples* are collected during the unannounced audits and taken to the designated laboratory for inspection to verify whether the producers had used banned plant protection products and those products that are prohibited by the destination markets.

#### **INTERNAL AUDIT REPORT REVIEW PROCESS**

1. The audit reports are reviewed internally by the certification body before the certification approval of the producer or producer groups by the Certification Committee. The review is required to satisfy that the auditor had carried out the audit within the auditing and certification procedures.
2. Where deviations are observed they are recorded for immediate corrective actions to prevent recurrence of the same.

**CERTIFICATION COMMITTEE AUDIT REPORT REVIEW PROCESS AND CRITERIA**

1. The purpose of the certification committee review is to provide the required impartiality to the approval process by balancing the interests of the producer or producer groups, the certification body aims and objectives, the individual auditor's aims and objectives, customer specifications and requirements, government regulations, and the interests of the applicable stakeholders along the supply chain.
2. The certification committee is performing this important role guided by the *Terms of Reference for the Certification committee*.
3. The **output** from the audit and certification committee review is recorded indicating where there are corrective actions to be taken by the producers and the certification body.
4. The output of the certification committee (minutes) are indicating the following but not limited to the: -
  - a. Names and number of producer or producer groups who were audited and were not recommended by each Lead Auditor for certification approval and reasons for declining to recommend approval.
  - b. Names and number of producer or producer groups who were audited and were recommended for certification by each Lead Auditor for certification and the committee declined to approve them plus the reasons for the decision.
  - c. Names and number of producer or producer group who were recommended for certification by each Lead Auditor who are approved for certification.
  - d. Any other information on which a decision for certification is based upon, which comes from any source other than the producer or producer group evaluation process.
  - e. The feedback on the corrective actions taken by the producers and the certification body on committee's recommendations.
5. The certification committee decisions are made known to the producer or producer group by a letter signed by the CEO.
6. The producer or producer group whose certification had been declined by the certification committee are given an opportunity to provide feedback on corrective actions or to take appropriate action which is verified for compliance by the auditors and feedback is given to the committee.

**CERTIFICATION STATUS**

1. The KFC certification body is updating and is maintaining the certification status of the producers in the KFC website; GLOBALG.A.P. data base, Floricode database, as soon as the need arises and in the brochures from time to time for public knowledge.
2. The certified producer and producer group are free to use the KFC Logo and to make claims “[KFC Flowers and ornamentals sustainability standard Silver or Gold certified]” and “[GGN: XXXXXXXX – GLOBALG.A.P. certified Flowers]” in their business to business online communication systems and documents in its correct colours and contents.
3. The producer is awarded and is issued with a certificate and schedule for the audit scope; product/s and location/s covered during the audit.

**SIGNIFICANT CHANGES OF THE SCOPE IN A CERTIFIED COMPANY**

1. Where the producer goes through significant changes after a re-certification audit has been conducted and a certificate issued, another certification audit is conducted to ensure that the certification captures the new changes as part of the audit scope.
2. The significant changes are within these criteria: -
  - a. Over 5 hectares increase or decrease in area under production of flowers and ornamentals.
  - b. Over 500 increase or decrease of employees.
  - c. Change in location of the company or acquisition of another site in a different location.
  - d. Replacement of flowers and Ornamentals which had been certified with other types involving 5 hectares or more.
  - e. Change on company's production technology or facilities either through construction or demolition involving 5 hectares or more.
  - f. Change in company ownership.
  - g. A change which has involved 50% or more of the employees or 50% of the farm area or institutional framework.
  - h. A new product inclusion that was not audited in the last audit at the farm.
3. The producer is required to inform the KFC certification body of any such changes by writing without any delay after the changes. The repeat re-certification audit or corrective action/s is implemented within six months after the official communication.

**COMPLAINTS FROM INTERESTED PARTIES ON CERTIFICATION**

1. Apart from the information gathered during the certification audits, the certification body considers any other information which may affect certification, obtained from stakeholders and other interested parties on the certified producers. The complaint may include but not limited to abuse or harassment of

employees; breach of the law, risks that might harm human beings or the natural environment, critical non-compliance, attempted bribery, coercion or threats to [auditors, audit reviewer, audit administrator] or any other person who is linked or assigned compliance duties by the Certification Body.

2. The complaint information is handled in a confidential ethical and professional manner. The producer is made aware of the complaint by the certification body and is required to give a statement on the circumstances surrounding the complaint to the certification body within seven working days.
3. The statement is analysed by the certification body and further information or evidence of compliance may be requested from the producer when there is need to do so.
4. Where satisfactory evidence of compliance is received and accepted by the certification body, the issue is closed and the producer is given feedback. In case the matter is not closed; a report is given to the KFC certification committee in the next scheduled meeting, where a decision on the certification status of the is made.

**PLANT PROTECTION PRODUCT SAMPLING AND TESTING PROCESS**

1. The KFC Flowers and ornamentals sustainability standard requires the application rate of plant protection products per given area and the dilution rates to comply with recommendations on the product label. The correct quantity of plant protection product for the type of crop to be calculated and prepared accurately and recorded. The plant protection products approved for flowers and ornamentals in Kenya and by the destination markets are used.
2. The certification body is permitted by the KFC auditing and certification procedures to conduct multi-screen residue tests on the flower crops in a laboratory that is ISO 17025 Accredited.
3. The samples are collected from the 10% certified producer and producer group selected for the unannounced audits per year and delivered to the laboratory within 12 to 24 hours.
4. The objective of the tests is to provide KFC with a monitoring mechanism to ensure that only approved plant protection products are used by the certified producers.
5. The sample test results are also providing KFC with reliable data that is used to demonstrate the level of compliance or noncompliance, to the stakeholders.