

KFC CERTIFICATION SCHEME AUDITING AND CERTIFICATION REGULATIONS

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B1.1 PURPOSE GOALS AND OBJECTIVES

1. The purpose goals and objectives of this KFC certification scheme auditing and certification regulations is to: -
 - a. Provide the approved Certification Bodies guidance on how they shall carry out the assessment of the products and services for the KFC Certification Scheme producers seeking the auditing and certification under the KFC Certification Scheme Management Regulations, Auditing and Certification Regulations as well as the Flowers and Ornamentals Sustainability Standard (FOSS).
 - b. Require the Certification Body to meet and to demonstrate compliance with Auditing and Certification Regulations within the scope of the KFC Flowers and Ornamentals Sustainability Standard (FOSS), Auditing and Certification Processes.
 - c. Require the Accreditation Body and the Certification Body to understand these Auditing and Certification Regulations as well as the Flowers and Ornamentals Sustainability Standard to ensure that the CB is fully compliant before the Certification Body is granted accreditation to ISO / IEC 17075.

B1.1 SCOPE AND DEFINITIONS

1. The requirements outlined in this Auditing and Certification Regulations apply to both individual producer certification and producer group certification, however there are additional requirements for producer group certification in the B2.0_Producer Group Quality Management System Auditing & Certification Regulations.
2. The term producer in this Auditing and Certification Regulations, applies to both an individual producer or a producer group.
3. The application for audit and certification is open to a person or business, that is legally responsible for the production and export of flowers and ornamental products applied for certification.

B1.1 APPLICATION FOR CERTIFICATION; PRODUCT REGISTRATION, AUDITING CERTIFICATION PROCESS

1. The certification body is executing the audit and certification processes consecutively as highlighted below: -

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- a. Application for certification and product registration in the Certification Platform and on the GLOBALG.A.P. IT Systems.
 - b. Certification and audit timing.
 - c. Certification scheme standard clauses compliance criteria.
 - d. Compliance verification processes.
 - e. Pre-audit procedure.
 - f. Certification audit processes.
 - g. Un-announced audit processes.
 - h. Farm certification procedure.
 - i. Certification flow chart.
 - j. Significant changes of the scope in a certified company.
 - k. Information from interested parties on issues of certification.
 - l. Product material sampling procedure for laboratory analysis.
 - m. Auditing logistics.
 - n. Farm audit scheduling procedure.
2. The certification body is requesting the producers to provide and record all relevant information concerning the producer on the KFC Online Certification Platform before the process of re/certification is initiated by the certification body.
 3. The legal entity that places the certified flower crops and ornamentals in the market is the legal certificate holder and is the same company that have applied for certification and have signed the *"R4.1-Terms of agreement between the Producer or Producer Group and the Kenya Flower Council"* or the GLOBALG.A.P. Sub-license.
 4. The certification body is requesting the producers to apply for audits and certification on the KFC Online Certification Platform.
 5. Upon receipt of the application, an online assessment is conducted by the certification body to ascertain whether the certification body is in a position to effectively offer the certification services applied for.
 6. The assessment must ensure that the Producer is in production of flowers and ornamental products within the accredited scope.
 7. For initial application, the certification body is acknowledging receipt of the Online V1.0-Application for Certification and Product Registration Form within 14 days from the date of application.

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8. The certification body is required to issue a new Producer a unique KFC identification number e.g. "KFC-XXXX" on the KFC Online Certification Platform. The producer is also registered on the GLOBALG.A.P. IT Systems, where applicable, and a GLOBALG.A.P. Number (GGN Number) is generated. Before registering the producer on the GLOBALG.A.P. IT Systems, the CB shall verify whether the applicant has a previous GGN registration or has any active status or sanction with another CB.
9. The application process is finalized before audit and certification takes place.
10. The certification body has ensured that annual products registration is done for products being re/certified by completing the online "V1.0-certification and product registration form" before expiry of the current certificate. The Producer completes the V1.0 Form before the re-certification audit is conducted. In case no product registration has been done, the product status is revised from certified to certificate not renewed or not re-registered.
11. The certification body is accepting and re-accepting the re-registration of the Producer if the following conditions have been met by the applicant: -
 - a. Signed the Terms of Agreement between the Registered Producer and the certification body.
 - b. Agreed to pay applicable subscription fees to Kenya Flower Council and also for the other standards the producer has applied e.g. GLOBALG.A.P. among others.
 - c. The arising fees are payable from the date the fees schedules are approved by the KFC Certification Scheme and other standards the producer has applied e.g. GLOBALG.A.P. among others.
12. The certification body has ensured that the producer who applies for certification has given the information below in the KFC Online Certification Platform Form V1.0 before the pre-audit and thereafter once per year before re-certification audit is conducted. The information is updated whenever there is a change and during the re-acceptance of the products for the next certification cycle or re-certification. All the collected information shall be verified during the CB audit. The certification body is responsible for updating the KFC Online Certification Platform and GLOBALG.A.P. data base accordingly.
13. The certification body is registering and accepting products by uploading on the KFC Online Certification Platform the following but not limited to: -
 - a. Company Contact information including but not limited to: -

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- I. Name of the company (legal entity)
- II. Contact Details i.e. address of the farm, both physical and postal.
- III. Postal code, City, County
- 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.
- VIII. Name of the contact person (legally responsible for legal entity) including: -
 - Title
 - First name
 - Last name
 - Phone number
 - E-mail address
- b. Existing GLOBALG.A.P. Number (GGN), where applicable, i.e. if a GGN had already been assigned to the producer by another CB.
- c. Production Sites and Product Handling unit's (PHUs) information including;
 - I. Company name of product handling facility (if subcontracted) / name of production site
 - II. Contact details: Street address / physical or information available to describe production site/product handling unit location
 - III. Postal address, Postal code, City, County, Country
 - IV. Phone number
 - V. E-mail address
 - VI. Northern/Southern latitude and Eastern/Western longitude or other form of geospatial coordinate information at field/facility level **is mandatory at the facility level.**
 - VII. Products produced in each production site or handled in each PHU, as soon as available in the GLOBALG.A.P. IT Systems.
- d. Production Information including: -
 - I. Flowers and Ornamental products under production and the area (in hectare) under production for each product.
 - II. Indication on Parallel ownership per product.
 - III. Production sites/Product Handling Units information.
 - IV. Subcontracted activities, jobs, tasks and home working.

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- V.** Whether flowers and ornamentals are covered or non-covered and the respective crops and area in hectares.
- VI.** Harvesting period or duration.
- VII.** First or further harvest.
- VIII.** Flowers and ornamentals supplied from other producers or producer groups (where applicable).
- IX.** Propagation material (annual area under production in hectares).
- X.** Quantity and Market information including;
 - Area under production of cut Flowers and ornamentals (ha)
 - Quantity under production.
 - Plant Propagation Material: Annual area under production (ha)
 - Markets / country the crops are exported to.
 - Periods of the year the flower crop is exported / sold.
 - Whether the company is applying for Individual Producer Certification or Producer Group Certification.
- e.** Scope and level of certification being applied for e.g. FOSS Silver, FOSS Gold, GLOBALG.A.P. FO, among others.
- f.** Environmental factors at the farm.
- g.** Human resource profile e.g. number of employees, gender, number of unionized employees, worker's committee and their membership, language used, company working hours etc
- h.** Facilities in the company farm infrastructure i.e. description of the facility e.g. by numbers, type of technology, e.t.c.
- i.** Acceptance to the defined data access rules at the applicable data access level as chosen by the producer before submitting the V1.0 Form.
- j.** Certification Standard and Option applied for capturing;
 - I.** Certification Standard applied for e.g.
 - KFC FOSS Silver
 - KFC FOSS Gold
 - GLOBALG.A.P.
 - GRASP
 - Living Wage
 - KS1758
 - II.** Certification Option e.g.
 - Option 1 – GLOBALG.A.P. Individual Producer Certification.
 - Option 2 – GLOBALG.A.P. Producer Group Certification.
 - Option 3 – KFC FOSS Silver Individual Producer Certification (includes FOSS Silver + GLOBALG.A.P. Standard).
 - Option 4 – KFC FOSS Silver Producer Group Certification (includes FOSS Silver + GLOBALG.A.P. Standard).

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- KFC FOSS Gold - Individual / Group Producer Certification.
 - III. Existing GLOBALG.A.P. Number (GGN), where applicable, i.e. if a GGN had already been assigned to the producer by another CB.
 - k. Exclusion of harvest and product handling when not applicable e.g. crop sold while in the field & the buyer (not the producer) is responsible for harvest and other handling activities.
 - l. The GLOBALG.A.P. identification number(s) of certified producer(s) sub-contracted for product handling (where applicable).
 - m. Where plant handling is included, declaration by the producer whether the same products are also packed for other certified or non-certified producers.
14. All the sites where different flower crops are grown are included in the current audit. Products produced in a non-registered site/location shall not be included in the certification scope. Likewise, products that are not registered but grown in a registered site/location shall not be included in the certification scope.
15. The certification body has ensured that all the products that are grown and exported by the farm are inspected by the auditor from the field to post-harvest. The producer has maintained a record of all the exported flowers and ornamentals.
16. The certification body has verified that the farm has not made any reference to certification for products which were not audited or declared during the audit, after the farm has been certified. All products that are exported without reference to the certificate are recorded in a mass balance system.
17. All the producer's production sites where certified products are produced are identified and registered on the scheme owner Certification Portals e.g. KFC Certification Scheme and GLOBALG.A.P. IT by the certification body.
18. The certification body has verified the legality of production sites by ensuring that: -
- a. All production sites are owned or rented and under the direct control of the legal entity.
 - b. For production sites that are not owned by the legal entity, there shall be a signed document, which includes a clear indication that the site owner does not have any responsibility or input or decision capacity regarding the production operations over the rented-out site.
 - c. There are written contracts in force between each production site owner and the legal entity that include the following elements: -

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- I. Certificate holder/Producer or Producer Group member name and legal identification
- II. Name and/or legal identification of the site owner
- III. Site owner contact address.
- IV. Details of the individual production sites.
- V. Signature of both parties' representatives.

19. The certification body has ensured that certification under parallel ownership of flowers is only possible after additional requirements are met by the producers as per section "**8.5.0S-Requirements for Parallel Ownership**" of the FOSS Standard. KFC certification scheme does not permit certification under parallel ownership.

B1.2 CERTIFICATION AND AUDIT TIMING

1. This section of the audit and certification procedure is applied by the certification body to the initial audits, re-certification and for additional products that were not included in the previous certification assessment. The audits are carried out by a Certification Body (CB) accredited to ISO / IEC 17065 standard.
2. All the audits; pre-audits, initial certification and re-certification audits are conducted on-site. A follow-up audit review may however involve a desk and/or on-site inspection.
3. An Initial certification applies in the following circumstances: -
 - a. Certification of a Producer seeking certification for the first time;
 - b. When a new product is added to the scope of the certificate;
 - c. Or when a certificate expired for more than 12 months.
4. The **certificate "Valid from" defines** the beginning of certificate cycle. For all **first-time certifications** the "Valid from" will be the date when certification decision is made by the certification body and at the same time the starting date ("anniversary ") of the 12-month certificate cycle. The "Valid from" will be the same day and month in the following year for the producer and/or producer group. In case of **re-certifications**, the "Valid from" date shall always revert to the valid from date of the initial audit certificate e.g. 4 Sept 2016, 4 Sept 2017. This is regardless of whether the Certification Decision is made after the expiry of the certificate (e.g. *previous certificate valid to date: 4 Sept 2016; Date of Certification Decision: 7 Sept 2016; then the Valid from date will still revert back to 4 Sept 2016*); since if the certification body has certified the

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Producer or Producer Group then it means the farm has been in continuous compliance and there is therefore no window when the Producer or Producer Group remains uncertified.

5. The certificates are signed by the certification body's signatory approved by the Accreditation Body or generated by the KFC certification scheme portal when all the requirements are met by the certified producer.
6. In case a Producer has had the 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 Chairperson, 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.
7. Where a certificate that was not extended and products had not been "re-accepted" by the certification body on the GLOBALG.A.P. IT Systems expires and the subsequent audit is going to take place in less than 12 months after the expiration date, a new certification cycle should start. The old cycle can be reinstated by setting the same "valid to" date as before.
8. 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.
9. If more than three months have passed after the initial audit before satisfactory corrective action evidence is provided to the certification body, a complete audit is performed before a certificate can be issued.
10. Before the certification body accepts a new Producer or Producer Group to join and maintain the previous certification status a search is carried in the database of the previous scheme owner and or Certification Body to find out whether the information provided is correct with regard to the stated position.

B1.3 KFC CERTIFICATION SCHEME FOSS COMPLIANCE CRITERIA

1. The KFC certification scheme FOSS has three levels of compliance indicators which the certified producer must demonstrate compliance with (qualitatively or quantitatively) as highlighted below: -
 - a. Major Must Principle Requirements.
 - b. Critical Principle Requirements.
 - c. Recommended Requirements.

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2. All the principal clauses in the FOSS; designated (S) and (G) major must; critical and recommended must be audited during the internal and external audits by the farm and the certification body respectively.
3. The **major must principle requirements** designated “S” in the FOSS are major must for Silver certification and those designated “G” are additional principle requirements for Gold certification.
4. Where the certification body auditor has detected failure to comply with the FOSS major must principle requirements a major must non-compliance is recorded within the “compliance assessment criteria” defined below: -
 - a. An occasional or isolated occurrence of the system failure.
 - b. An issue that presents low to medium risk to employees, environment on site or safety of the consumers.
 - c. Lack of or incomplete policy, procedure, or document or where there is lack of evidence to demonstrate compliance to the standard.
 - d. A misunderstanding where there is no evidence of material breach.
 - e. Demonstrable breach of the standard or the law.
 - f. Systematic violation of the standard or the law.
 - g. Lack of 100% compliance to the principle requirements designated as “S” (for Silver certification) or “G” (for Gold certification), except those designated as “R” in the FOSS.
 - h. The auditor must provide **reference evidence in form of comments** next to each major must principle requirement in the checklist. The comments in the checklist are providing or indicating the audit trail.
 - i. There is no scoring system that is applied for a producer to achieve certification.
 - j. The producer or producer group is required to demonstrate 100% satisfactorily compliance with every principle requirement designated “S” and “G” in the standard checklist, as applicable before certification is awarded.
3. The **Critical Principle Requirements** designated “**Critical**” in the FOSS are critical principle requirements for both Silver and Gold certification.
4. Where the certification body auditor has detected failure to comply with the FOSS critical principle requirements a critical non-compliance is recorded within the compliance assessment criteria highlighted below: -

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- a. A serious imminent threat to the safety of persons, environment and the consumer is present.
 - b. A serious threat or risk to the reputation of the Certification Scheme is present.
 - c. A serious or significant violation of employee human rights is confirmed.
 - d. In case a major non-compliance has not been satisfactorily addressed or no significant improvement has been made by the time of a follow up audit, in spite of a commitment from a producer to resolve the issue; the non-compliance is up graded from major must to critical noncompliance.
 - e. A proven attempt by the certification body auditor to fraud, to coerce, to deceive, to intimidate or to interfere with the audit, auditors or processes.
 - f. The certification body is required not give any time for addressing the detected critical noncompliance, the producer is required to take corrective actions immediately, and the producer or producer group may be suspended without delay in such circumstances.
 - g. The certification body report on critical noncompliance is given to the producer or institution that had requested for the audit within 24 hours of the critical non-compliance detection.
4. **Recommended clauses** designated “R” in the FOSS are recommended for both silver, gold certification and internal audits.
5. Although the **FOSS has classified the standard principle requirements into three levels, Critical, Major Must and Recommended** (Classification of non-compliance detected in the audits); the certification body auditor must use detailed descriptive objective evidence collected at the site, to define the intensity or classify the level of non-compliance, observations and good practice in a uniform transparent manner following the compliance assessment criteria highlighted below: -
- a. Provide good indication of the relative importance of non-compliance, observation and good practice to the certification processes.
 - b. History of compliance of the producer and/or producer group.
 - c. The frequency of the problem and whether the issue is an isolated occurrence or not.
 - d. The potential impact or severity of the problem e.g. serious threat to the safety of persons, pollution of the environment and negative impacts / effects on the consumer.
 - e. The probability of recurrence of the event.
 - f. The effectiveness or efficiency of the management system in place.

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6. **A communication in case of 'critical' non-compliance** is done when a 'critical' non-compliance is detected; by the certification body to inform the producer or producer group as soon as possible or at least within the next 24 hours. In case the producer or producer group or farm representative is on site, the certification body auditors communicate the critical non-compliance immediately to enable the producer to carry out an appropriate corrective action plan and provide a timely resolution of the issue.
7. Where the certification body detects a noncompliance arising out of **Legal Matters** before a court of law, proven by satisfactory objective evidence provided by the producer to demonstrate this fact, the noncompliance is dropped.

B1.4 COMPLIANCE VERIFICATION PROCESSES

1. The KFC certification scheme audit methodology involves records and document review, inspection of farm facilities and interview of producer management staff and various categories of employees at the different farm sections as required for the FOSS audits. Verification for compliance is recorded in the audit checklist as follows: -
 - a. Yes
 - b. No
 - c. N/A
2. The certification body is required to ensure that the checklist is completed within the following guidelines for all audits i.e. internal, initial and re-certifications audits: -
 - a. All clauses including the recommendations must be inspected during the internal and external audits by the farm and the certification body respectively.
 - b. A "Yes" on the checklist indicates 100% compliance.
 - c. A "No" on the checklist indicates partial compliance or 100% non-compliance.
 - d. A "N/A" on the checklist indicates the clause is not applicable to the producer and/or producer group. In scenarios where "N/A" is chosen, clear justification must be entered in the comment section.
 - e. **Review comments** (compliance or non-compliance) are provided for each clause on the checklist to enable the audit trail to be reviewed after

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the audit. This shall include but not limited to the documents reviewed by the auditor, site inspection observations, and interviews findings.

- f. There are no clauses exempted from the small sized producer group members.
 - g. The above comments or evidences e.g. of documents sampled, workers interviewed, are site and product specific, and are included in the checklist to give confidence that all the control points have been assessed for all sites and products.
 - h. Reference evidence comments are recorded in the checklist for all audits i.e. both internal and external audits by the farm and by CB respectively.
 - i. Where any changes to the audit findings are made by an auditor or by the certification reviewer e.g. addition or removal of non-compliances, the changes are signed off / agreed by the audit team leader as well as the auditee.
 - j. Notes of changes are kept by the Certification Body and made available for inspection on request to organisations that have formal agreements or contractual arrangements with the auditing body in relation to the release of such information.
3. The auditor may include photo evidence of compliance or non-compliance in the audit report taken at the site, after approval is given by the producer or producer group since it may contain or reveal confidential information.
 4. The certification body must ensure that the producer or producer group is fully compliant during the annual audits by: -
 - a. Inspecting all accepted products, all registered production locations or sites and all the registered product handling sites.
 - b. Inspecting all applicable clauses of the certification scheme standard to each location, site or PMU across all the locations or sites respectively e.g. flower pack houses, accommodation houses of the employees, mixing stations, agrochemical stores etc. for each individual producer or producer group as per the Producer Group Quality Management System (QMS) Auditing and Certification Procedures.
 5. In a multisite operation compliance is only achieved after complying with all applicable clauses of the certification scheme standard, to each location, site or PMU across all the locations or sites respectively e.g. flower pack houses, accommodation houses of the employees, mixing stations, agrochemical stores etc. This is done by completing a checklist per site in an audit done

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consecutively across all the sites for each individual producer and/or producer group. A report is prepared per site or one report for the entire operation but the non-compliances are site specific.

6. The following checklists are prepared and maintained by the certification scheme in the Online KFC Certification Platform for use by the certification body for the applicable scope: -
 - I. Flowers and Ornamentals Sustainability Standard (FOSS) for the Initial and Re-certification audits.
 - II. Producer Group Quality Management System Checklist for the Producer Group QMS audits.
 - III. Kenya Standard - KS1758 Part 1- Flowers and Ornamentals for KS 1758 audits.
7. The certification bodies are free to maintain their own checklists on the KFC Certification Platform, for internal audits within the certification scheme scopes.

B1.5 PRE-AUDITS

1. The certification body is carrying out pre-audits to the new producers who have registered for FOSS certification.
2. A pre-audit is the preliminary audit on a producer farm after joining K.F.C. The visit to the farm is organised by the auditors by telephone or email. The audit is carried out by the Lead auditors or the Certification Manager.
3. The certification body has prepared a pre – audit procedure that has ensured the following but not limited to: -
 - a. The crops registered for certification by the producer must be present at the farm site from the field and at post-harvest stage for an Initial Certification audit and Re-certification audit to take place.
 - b. An opening meeting is held between the auditors and the management at the farm. The auditors explain the requirements of the certification scheme standard and prepare an audit plan.
 - c. The pre-audit is conducted by reviewing records, documents and by inspection of the various sections of the farm.

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- d. A closing meeting is held after the farm tour and relevant records and documentation review. At this meeting the way forward is agreed upon by the management and the auditors.
- e. After a pre-audit, the report is uploaded on the KFC certification platform where the producer can access.
- f. The evidence of compliance is verified by the CB auditors before the initial audit is conducted.
- g. The Certification Body does not conduct the initial certification audit until the producer has demonstrated the capacity to comply by providing the following evidence that is meeting the threshold required by the standard: -
 - I. Payment of wages, overtime pay, paid leave benefits for a working month or part thereof and other financial benefits that are compliant with at least the Flower Group (industry collective bargaining agreement); or legal minimum whichever is higher for a period of not less 3 months.
 - II. Documented policies and procedures on hygiene health and safety for the work place.
 - III. Documented policies and procedures on human resource defining the terms and conditions of service for all category of workers.
 - IV. Documented integrated environmental management plan.
 - V. Documented crop production procedures that demonstrate good agriculture practice.
 - VI. Documented post-harvest quality management system procedures for all the post-harvest operations of the farm.
 - VII. Documented quality management system defining the operations of the farm, where applicable.
- h. The certification body is excluding a new producer from a pre-audit where producer is meeting one of these two conditions: -
 - I. The new producer farm is affiliated to a certified Producer or Producer Group and has an internal auditing system operated by the same internal auditor and the producer has provided the evidence of compliance required.
 - II. The farm has employed an internal auditor with demonstrated knowledge and experience of steering a farm to Flowers and Ornamentals Sustainability Standard (FOSS) certification status within the

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last two years and the new producer has provided the evidence of compliance required.

- i. The certification body is conducting the initial Certification Audit within six months after the pre-audit.

B1.5.1 PRODUCER INTERNAL AUDITS

1. The certification body is monitoring to ensure that the Producer is carrying out an internal assessment based on the FOSS at least once every year before the external CB audit.
2. The internal assessment has covered all registered production sites, PHUs, products and processes under the certification scope to verify compliance with the requirements defined in the applicable standard.
3. The internal assessment is conducted at least three months before the external CB audit to allow time for implementation of identified gaps.

B1.6 CERTIFICATION AUDIT EXECUTION PROCESS

1. The certification body is required to prepare an audit execution program for the initial and re-certification audits and provide a copy to the producer at least one month before the audit due date covering but not limited to the following details: -
 - a. Agenda for opening and closing meetings.
 - b. Audit objectives.
 - c. Audit criteria.
 - d. Methods to be used by the audit team.
 - e. Sampling for inspections and interviews.
 - f. Facilitation required from the producer.
 - g. Tasks for the company and the auditors, among others.
2. The certification body is executing the audit and certification processes for initial; re-certification audits, subsequent CB audits and also assessments for additional products which were not included in the previous certification consecutively as required below: -
 - a. When a producer certified to KFC FOSS changes from one CB to another.
 - b. When a certified producer changes from a GLOBALG.A.P. standard to a benchmarked scheme / checklist (or the other way round).

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3. Each producer shall undergo one announced initial certification audit and thereafter one subsequent CB audit per annum. The subsequent annual audit could be announced or unannounced.

4. All certification body audits are carried out by Lead Auditors approved for the audit standard and scope, using complete standard checklist provided on the KFC certification platform. The CB audits are done at the official location of the producer or site, and shall cover all registered: -
 - a. Products
 - b. Production processes
 - c. Production sites
 - d. PHUs
 - e. Administrative sites (where relevant)

5. The certification body auditors take note of the previous CB audit report before conducting the next audit, to gather the history of compliance and enable the auditors to concentrate on the weak areas of the farm.

6. The auditor has taken the following measures to protect interviewed employees from retributions or retaliation, after the audit has taken place: -
 - a. The names of workers involved in identifying arising issues are never divulged to the producer and/or producer group.
 - b. The issues or problems raised by workers are discussed with management in a non-attributable way.
 - c. The auditor maintains confidential notes of the persons who were interviewed.
 - d. The auditors provide their contact telephone number with the workers interviewed so that workers can reach them if there are reprisals or intimidation.

7. Any further clarifications which may be sought by the Producer or Producer Group on decisions regarding the certification process e.g. on certification decisions, performance or rating of the producer, among others, are given by the auditors after the audit as need arises.

8. The audit report is downloaded from the Certification Platform.

9. A follow-up audit review is performed after the initial certification, and re-certification audits to verify how the non-compliance detected during the on-

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site assessment have been closed. This shall also apply when lifting a sanction i.e. when a Producer or Producer Group notifies the certification body that a non-compliance is resolved either within or after the sanction period. This follow-up assessment is performed as follows: -

- a. The Producer provides compliance supportive evidence in form of records, documentary and/or photographic evidence as appropriate on or before the expiry of the 28 days' window to the certification body. The compliance supportive evidence is provided by uploading on the KFC on-line certification portal.
- b. Follow-up / review of submitted compliance evidence is conducted by the Team Leader, but may also be conducted by any other qualified and approved Lead Auditor in close consultation with the auditors who participated in the audit. The auditor reviews the uploaded compliance evidence within 28 days after the producer submission and before the next certification committee meeting. The auditor feedback is readily accessible by the producer on the on-line certification portal.
- c. A review of the evidence received is performed by the auditor offsite.
- d. An on-site follow-up audit is performed when critical non-compliance is recorded during the audit or when the corrective actions that has been taken by the Producer can only be evaluated through interviews and extensive documentation reviews after the initial certification and re-certification audits to verify how the non-compliance that were detected during assessment have been closed.
- e. However, in the event that the documents submitted in sub-clause (a) above are found not satisfactorily addressing the non-conformities detected during the certification or re-certification audit, and considering the farm's history of compliance, an on-site follow-up may be deemed necessary.
- f. Where applicable, the on-site follow-up audit is conducted within one month after the corrective action records are received and acknowledged by the certification body.
- g. Only one (1) on-site follow-up assessment is conducted for each re / certification audit.
- h. The follow-up audit report includes the original version of the report, audit findings during the assessment, the corrective actions taken by the farm plus any other outstanding matter arising out of the verification process.
- i. Evidence of compliance received one day prior to the certification committee meeting due date, may not be reviewed by the certification body due to time constraints.

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- j. The certification body is ensuring that the audit reports are ready at least five (5) working days before the certification committee meeting due dates; and that the reports have been reviewed by the Certification Manager before they are submitted to the committee for review.
10. The KFC Certification Scheme Committee is required to hold quarterly certification review meetings per year; to review and approve the audit reports that are done in the previous one quarter. The audit reports review is conducted online on the Certification Platform.
 11. The producer certification approvals, suspensions or cancellation are done by the Certification Body after the follow-up audit reviews as follows: -
 - a. If a certified Producer fails to comply within the 28 days' time frame required to close out the corrective actions; the F1.0-warnings, suspensions, cancellations and resolution of complaints, appeals and dispute procedure is applied appropriately by the Certification Committee. A letter of suspension is issued to the Producer or Producer Group by the Certification Body. [The suspension effective date](#) is the expiry date of the 28 days warning given during the on-site audit as indicated on the audit report **Closing Remarks**.
 - b. If a certified Producer or Producer Group fails to comply within 6 months following a re-certification audit; a cancellation from the audit process for the next one year is applied as per the F1.0-warnings, suspensions, cancellations and resolution of complaints, appeals and dispute procedure. A letter of cancellation is issued to the Producer or Producer Group by the Certification Body. The cancellation effective date is the expiry date of the 6 months' suspension period.
 - c. For an initial audit, if the non-compliance is not closed within three (3) months a complete inspection is performed before certification can be effected. A letter of non-compliance is issued to the Producer or Producer Group by the Certification Body. A fresh re-certification audit is conducted if the Producer or Producer Group re-applies for certification.
 - d. The Producer is not permitted to use KFC Logo and any other mark of conformity e.g. GLOBALG.A.P. during the period the farm is under suspension, cancellation or letter of non-compliance.
 12. The certification body is required to provide free access and permit KFC Certification Scheme audits to be witnessed by a representative of the Kenya Plantation and Agricultural Workers' Union (KPAWU), and a representative of

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a non-governmental organisation when available at their own expense or as agreed by the Certification Body.

13. The reports, information, records and other documents acquired from the producer and/or producer groups as evidence of conformity or evidence of non-compliance by the Certification Body is maintained confidentially and is not released to third parties by the certification body, unless required by the law without approval from the producer and/or producer group, for a period not less than five years. Where data and privacy law has prohibited copies not be being made from certain documents, the certification body auditors are respecting these restrictions.

B1.6.2 PRODUCER CERTIFICATE

1. A certificate with a validity period of one year minus one day from the date of the certification is issued to the Producer after approval by the Certification Body subject to applicable sanctions within the scope, as highlighted below: -
 - a. Satisfactory corrective actions are provided by a producer or producer group, before a certificate can be issued to the company.
 - b. No certificate of less than or more than one year is issued.
 - c. The certificate is issued to the Producer within 14 days after approval.
2. A certificate can only be issued to a legal entity.
3. The KFC Certification Scheme certificate awarded by the Certification Body has the following aspects: -
 - a. The name and address of the Scheme Owner.
 - b. The name and address of the certification body.
 - c. Name of certification scheme standard certificate e.g. Silver or Gold.
 - d. Description of the award e.g. reasons for the award.
 - e. Name of legal company or producer and/or producer group.
 - f. Producer or Producer Group number.
 - g. The effective date of issue of the certificate and the term for which the certification is valid - validity date of certificate both initial and expiry.
 - h. The scope of the audit and certification: -
 - I. Social, Environment, Good Agricultural Practice, aspects of FOSS.
 - II. Flower and ornamental products assessed during the audit.
 - III. The name and address of the audited sites.

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- IV.** An annex listing all the producers, production sites, and PHUs to which the certificate relates to as applicable. The certification bodies shall keep this annex updated.
- i.** Approved logos.
 - j.** Accreditation body logo and number.
 - k.** The term period for which the certification is valid.
 - l.** The signature of the issuing officer.
 - m.** The information in the certificate is similar to the information uploaded on the Certification Scheme databases and websites.
- 4.** The certificate 12 months' validity period may be shortened in case there is need to adjust the audit timings as per the CB audit timing requirements.
- 5.** The certification bodies shall not transfer a certificate from one owner to another when a production unit or farm site changes ownership in order to ensure the integrity of the certification scheme and maintenance of history. The new legal entity shall be issued with a new unique KFC Certification Scheme and GLOBALG.A.P. identification numbers, and a complete CB audit is performed.
- 6.** The certification bodies may issue communications other than the certificate related to the Producer status (registered, audited, etc.) as long as it is clear that it is not a certificate and it contains the sentence: *"The actual certification status to KFC FOSS and/or GLOBALG.A.P. of this Producer is always displayed at: www.kenyaflowercouncil.org and www.globalgap.org/search".*

B1.7 UN-ANNOUNCED AUDIT EXECUTION PROCESS

- 1.** The Certification Body shall conduct a total of 10% individual and 20% producer group from the previous year's certified producers' subsequent annual audits as unannounced.
- a.** The unannounced audits shall **NOT** be additional, but part of the annual re-certification audits for the CB.
 - b.** The 10% shall reflect the certification options **SEPERATELY** i.e. 20% of producer groups (Options 2 and 3) and 10% of individual producers (Options 1 and 3).
 - c.** The 10% and 20% shall be distributed among the countries or counties / regions in Kenya where the approved Certification Body has certificate

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holders (where applicable), and shall be representative of the countries or the counties / regions.

2. After the initial CB Certification Body audit, a producer has a 10% while a producer group member has a 20% chance of receiving the subsequent audit as unannounced during the CB audit window.

3. The Certification Body shall ensure that the 10% individual and 20% producer group selection criteria applied has not only taken into account the total number of producers, but has also based it on possible risk factors that include but not limited to: -
 - a. Geographical / production location countries or counties / regions.
 - b. Type of crop.
 - c. Compliance history.
 - d. Legislation (where several jurisdictions are covered by the CB).
 - e. Producers that have not been given unannounced audit within the countries or counties / regions.
 - f. The FOSS social or environmental compliance risk aspects.

4. An unannounced audit is also conducted: -
 - a. Where a complaint has been received from stakeholders and other interested parties.
 - b. Where the KFC certification scheme committee has raised issues relating to compliance, on a certified producer and has directed the Certification Body to carry out the unannounced audit.
 - c. This is regardless of whether or not the producer had received unannounced re-certification audit in the previous year.

5. A producer that has undergone a KFC Certification Scheme or GLOBALG.A.P. Integrity (CIPRO) audit is included in the 10% unannounced audits for the CB.

6. Where there is only one producer group (Options 2/3) certificate holder, the CB shall perform unannounced **CB QMS audit** at least every 2 years.

7. During the registration process, the producers may directly communicate to the CB and indicate a maximum 15 days where they are unavailable for an unannounced CB audit. While completing the annual "V1.0_Certification application and product registration form" the producer may also indicate the 15 days' window, but this will be for the next audit cycle.

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8. The notification to the producer on the un-announced Certification Body audit is given within and is not exceeding 48 hours window. This ensures that there is a senior farm representative during the audit.

9. In case where unannounced audit is not accepted by the producer: -
 - a. The producer shall provide justifiable reasons for the rejection e.g. medical document.
 - b. If no evidence of a justifiable reason is available, the producer shall accept the unannounced audit or be suspended.
 - c. The producer shall receive a written warning if the first proposed date has not been accepted, regardless of whether the rejection is justified or not.
 - d. A second chance is given (where justification is given), and a second notification is done by giving 48 hours' notice.
 - e. If the Producer does not accept the second notice, suspension of all certified products is given i.e. Certificate Suspension.
 - f. The suspension will be lifted when the unannounced Certification Body audit has been conducted.
 - g. All the suspensions, and cancellations are done by the Certification Managers and approved or ratified by the Committee Committees.

10. Any non-compliance found during unannounced audits is dealt with in a similar way as those found during the announced re/certification audits.

B1.8 CERTIFICATION MANAGERS AUDIT REPORTS REVIEW PROCESS & CRITERIA

1. The audit reports are reviewed by the CB Certification Manager for the purpose of recommending the certification approval of the Producer or Producer Group by the Certification Committee. The review is meant to satisfy the following criteria: -
 - a. The auditor has assessed the Producer or Producer Group and prepared the report as per the recommended procedures.
 - b. The producer and/or producer groups are recommended for approval by the Certification Committee only after they have met the evaluation criteria required as per the standard under review.
 - c. The producer and/or producer groups are not recommended for approval by the Certification Committee if they have not met the evaluation criteria required as per the standard under review.
 - d. The producer and/or producer groups are not recommended for approval by the Certification Committee if the Certification Manager evaluation /

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review have detected anomalies or deviations from criteria required by the standard under review.

B1.9 CERTIFICATION COMMITTEE AUDIT REPORT REVIEW PROCESSES & CRITERIA

1. The purpose of the certification committee is to provide an impartiality mechanism for the auditing and certification processes by balancing the interests of the stakeholders; such as Certification Scheme aims and objectives, the producer and/or producer groups business interests, the certification body commercial interests, individual auditor's aims and objectives, buyers or customer for flowers and ornamentals, products specifications, government regulators, non-governmental organisations, and requirements, among other interests. The other purpose is to minimize or eliminate any impartiality or conflicts of interests.

2. The certification body has defined the task, role and responsibility of the certification committee in its Terms of Reference that are compliant with the KFC certification scheme CC1.0-Terms of reference for the Certification Committee and B7.0-Management of impartiality, conflicts of interest and potential risks to the certification scheme, procedure.

3. The Certification Body is required to make certification decisions within a maximum of 28 calendar days after closure of any outstanding non-compliances: -
 - a. In case no non-compliances are detected during the audit, the certification body shall make the certification decision no later than 28 days after CB audit closing meeting.
 - b. Where non-compliances are detected during the audit, the Certification Body has a total of 56 calendar days from the CB audit closing meeting to make a certification decision (28 days for the producer to submit compliance evidence + 28 days for the CB to review the submitted compliance evidence).

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B1.10 CERTIFICATION STATUS

1. The Certification Body shall maintain a register of the producers' certification status in a register updated after every certification committee meeting and when certification status of a producer takes place. The register is indicating the following information amongst others: -
 - a. Producer entity / name
 - b. KFC registration number
 - c. GLOBALGAP GGN number
 - d. Certification Body name
 - e. Certified products
 - f. Area under production
 - g. Number of employees by gender
 - h. Certificate validity dates
 - i. Certification Standard
 - j. Certification Scheme options (1 – 4)
 - k. Sanction status (where applicable).

2. The producer and product certification register are also used by the certification body to update the other information systems: -
 - a. Certification Body Website.
 - b. GLOBALG.A.P. IT Systems.
 - c. Floricode or Floridata.
 - d. Information required from time to time for general public knowledge.

3. The certified producers are free to use the KFC Logo as guided by “R6.0-Use of Logo and Trademarks Rules”.

4. The certification body is monitoring the certification scheme R6.0-Use of Logo and Trademarks Rules. A Producer or Producer Group who is not certified, or who fails to adhere to “R6.0-Use of Logo and Trademarks Rules” may lose the right to use or display the logo, respectively. A letter signed from the certification body is given such a Producer or Producer Group with one-month notice to cease the use of the logo and the consequences for the failure to adhere. The CB communicates compliance status to the KFC certification scheme. The action to take in case of failure to adhere is agreed by the certification scheme Board of Directors.

5. A Producer or Producer Group can only make a claim or use a certificate for the audit scope, product and location covered by the KFC certification

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scheme audit and certification standard FOSS. i.e. The certificate awarded by the Certification Body has included the following information: -

- a. The name and address of the Scheme Owner.
- b. The name and address of the certification body.
- c. Name of certification scheme standard certificate e.g. Silver or Gold.
- d. Description of the award e.g. reasons for the award.
- e. Name of legal company or producer and/or producer group.
- f. Producer or Producer Group number.
- g. The effective date of issue of the certificate and the term for which the certification is valid - validity date of certificate both initial and expiry.
- h. The scope of the audit and certification: -
 - I. Social, Environment, Good Agricultural Practice, aspects of FOSS.
 - II. Flower and ornamental products assessed during the audit.
 - III. The name and address of the audited sites.
 - IV. An annex listing all the producers, production sites, and PHUs to which the certificate relates to as applicable. The certification bodies shall keep this annex updated.
- i. Approved logos.
- j. Accreditation body logo and number.
- k. The term period for which the certification is valid.
- l. The signature of the issuing officer.
- m. The information in the certificate is similar to the information uploaded on the Certification Scheme databases and websites.

B1.12 SIGNIFICANT CHANGES OF THE SCOPE IN A CERTIFIED COMPANY

1. Where a producer has made plans to undertake capital intensive projects resulting in significant changes with real or perceived impacts on the certification status after a re/certification audit has been conducted and a certificate issued, the producer or producer group has the sole responsibility to inform the certification body, when the projects are initiated.
2. The communication is only acceptable if a written format is forwarded to the Certification Body without any delay when the changes are initiated.
3. The significant changes that must be reported may be taking place on the producer's legal status; expansion, production processes; environment protection or social management systems within the following but not limited to this criterion: -

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- a. Over 5 hectares increase or decrease in area under production flowers and ornamentals.
 - b. Acquisition of another site in a different location.
 - c. Change of the location of the company.
 - 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 and/or facilities either through construction or demolition involving 5 hectares or more affecting 20% or more of the employees.
 - f. Change in company ownership and change of company name.
 - g. A change of the farm management framework, solid and effluent waste management systems or social management system.
 - h. A new product inclusion that was not audited in the last audit at the farm.
 - i. Any other change which involves increase of employees by 20% or more and decrease by 20% or more.
4. On receiving the proposed changes at the certification body; the decision taken may include one of the following: -
- a. Re-certification of areas where changes have taken place or evaluation of the whole farm depending on the previous audit evaluation plan.
 - b. Revision of the certification scope and certificate.
 - c. Re-evaluation of the certification decision and certification review.
 - d. Surveillance or un-announced audit.
5. The producer is given six (6) months to demonstrate compliance with the standard for the additional capital-intensive projects / changes / areas / sections / systems, among others, from the date the communication is received by the Certification Body, only when the changes do not pose serious imminent threat to the safety of persons, environment and consumer.

B1.13 COMPLAINT FROM INTERESTED PARTIES ON CERTIFICATION

1. Apart from the information gathered during certification audits, the certification body considers any information which affect certification, obtained from stakeholders and other interested parties on a certified Producer or Producer Group e.g. any information regarding abuse or harassment of employees or breach of the law, risks which can put workers or other staff member in danger, any information regarding critical non-compliance, any attempt to bribe, coerce or threaten an auditor, audit

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reviewer, audit administrator or any other person who is linked or assigned compliance duties by the Certification Body.

2. The certification body shall treat the information gathered or received in a sensitive confidential manner in accordance with the Certification Scheme Management Procedures.
3. When a complaint from stakeholders and other interested parties on issues relating to compliance on a certified producer and/or producer group, currently undergoing the certification process, the Producer or Producer Group is made aware of the complaint by the Certification Manager.
4. The certification body is required to demand from the producer evidence of compliance on the complaint within seven (7) days or design the best method and process of gathering adequate satisfactory evidence of compliance on the complaint, depending on the type or nature of complaint, from the producer: -
 - I. Where, the evidence provided by the producer or evidence gathered by the certification body is not objective, adequate or satisfactory to withdraw the complaint a noncompliance is raised on the producer by the certification body.
 - II. Where, the evidence provided by the producer or gathered by the certification body is objective, adequate or satisfactory to warrant a noncompliance arising from complaint; the complaint the producer is required to take action and provide evidence of compliance within 28 days.
 - III. Where the producer does not provide satisfactory evidence within 28 days the certification body suspends the producer and a request is forwarded to the certification committee to approve the suspension from the certification status for the next six months.
 - IV. The effective date of the suspension is day the decision is made by the certification body by email.
5. The Certification Committee gives the decision on the certification status of the farm in question following the F1.0-procedure.

B1.14 PRODUCT MATERIAL SAMPLING PROCEDURE FOR LABORATORY ANALYSIS

1. The certification bodies are required to monitor the use of plant protection products in the certified producers as required by FOSS.

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2. The KFC FOSS has defined the plant protection products criteria that producers must apply while complying with recommendations on the product label. The correct quantity of plant protection product for the crop to be treated and the proposed treatment type must be calculated, accurately prepared, and recorded. Also, only plant protection products approved by the destination market are used.
3. The KFC certification scheme has entered into an agreement with a laboratory that is ISO/IEC 17025 Accredited to conduct multi-screen residue tests on flower crops provided by the certification body.
4. The samples are collected during the 10% certified producer and/or 20% certified producer group selected for unannounced audits per year. The samples are collected by the certification bodies during these audits.
5. The samples are delivered to the laboratory within 12 to 24 hours.
6. The testing laboratory provides “bags” for carrying the samples to ensure the bags are free from contamination.
7. The sampling is conducted as follows: -
 - a. Only one flower crop sample is taken during the announced audit from each producer crop by the Team Leader out of the flower crops grown by the farm.
 - b. Ten flower stems complete with buds and foliage will make one sample.
 - c. The ten stems are sampled at the pack house from varieties of the same flower crop e.g. varieties of roses.
 - d. The stems are sampled from the flower products that have completed the QC checks that are ready for exports.
 - e. The stems will be sampled from the market destinations that the flowers were meant to go as of the day the sampling is done.
8. The certification body is provided with Goods Receipt Note on delivery of the sample to the laboratory, appointed agents around the country. On reaching the laboratory the certification body is notified online by the laboratory.
9. The tests results should be provided to the certification body within 5 to 10 working days from the date sample is received by the laboratory.

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10. The test results will be provided to the Producer or Producer Group within 5 days from the date the results are released by the Laboratory, or within 15 days from the date they were sampled from the farm by the unannounced audit Team Leader.
11. The report provided to the Producer by the certification body shall include the following aspects among others: -
 - a. Whether the plant protection products identified in the test report has included any product that is not approved for flowers and ornamentals.
 - b. Whether the test report has identified any plant protection product that is not approved by the EU destination markets as required by the FOSS.
 - c. Any deviations as indicated above will be reported as non-compliance that must be closed by the Producer or Producer Group within 28 days.
12. KFC Certification platform, has provided a profile where all the residue test reports are uploaded by the certification body.
13. KFC and the laboratory will agree on a format of reporting that can allow quick data upload onto the Certification Platform and easy generation of reports, where references can be made in the future.
14. KFC Certification Scheme would like to achieve the following objectives using this procedure: -
 - a. Maintain a system backed by reliable data to demonstrate compliance to the stakeholders with respect to responsible good agricultural practice; protection of the consumer, and protection and conservation of the natural environment.
 - b. Monitor the use of approved plant protection products and ensure that only approved plant protection products are used by the certified producer and/or producer groups.

B1.15 USE OF ICT BY THE CERTIFICATION SCHEME CERTIFICATION BODIES

1. Definition of ICT

- a. ICT refers **Information Computer Technology** i.e. the use of technology for gathering, storing, retrieving, processing, analysing and transmitting information.

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- b. It includes software and hardware such as smartphones, handheld devices, laptop and desktop computers, drones, video cameras, wearable technology, artificial intelligence, emails, among others.

2. Data Security and Confidentiality

- a. The use of ICT for auditing and certification shall be mutually agreed between the KFC Certification Scheme; certification bodies and the producers before the audit is conducted.
- b. The KFC Certification Scheme has provided the **Online Certification Portal** for auditing and certification by the certification bodies.
- c. The certification bodies are required to seek permission from the producers before they take video, audio records, take screenshots and store audit evidence during the audits and certification processes.
- d. Records of ICT use agreement shall be maintained by the certification bodies. The ICT shall not be used certification bodies where such an agreement is not in place.
- e. The KFC Certification Scheme registered producers are requested by the certification bodies to agree to the use of ICT and **Online Certification Portal** before the audit on the V1.0 Form during the initial and annual re-certification audits application.

3. The KFC Online Certification Portal

- a. The KFC Certification Scheme Online Certification Portal is used by the certification bodies to perform all the audits i.e. pre-audits, initial, re-certification, and follow-up audits using ICT this system which gives communication interaction between the auditor and the producer.
- b. The KFC Certification Scheme Online Certification Portal has all the producers registered by the certification bodies, those producers that has been de-registered, those producers that are certified, i.e. all the producers with their respective status - certified, registered, types of audits that has been done, among others.
- c. After the audit is scheduled on the on-line certification platform, the certification bodies the generated audit checklist is downloaded by the auditor onto the audit tablet and populated with the audit findings.
- d. The completed audit documents i.e. checklist, audit report and forms are uploaded onto the certification platform immediately after the audit from the Tablet by the certification bodies.

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- e. The uploaded audit documents are accessible by the producer from the online Certification platform. The audit documents are write-protected and cannot be edited by the producers i.e. the: -
 - I. U1.0-Corrective Actions Report
 - II. U3.0-Audit Evaluation Form
 - III. U5.0-Opening and Closing Meeting Attendance Form
 - IV. SC1.0-Audit Checklist
 - V. V1.0-Certification application and product registration form
- f. The producer uses the platform to submit evidence of compliance to the non-compliance raised during the audit within the provided timeframes for review by the certification bodies.
- g. The appointed auditor reviews the submitted compliance evidence documentation under the follow-up section of the platform, and the final follow-up audit report is generated.
- h. The completed audit documents are pushed to the certification committee for review.
- i. The Certification Committee reviews audit the audit reports on the Certification Platform and gives a certification decision as applicable.
- j. The following information is captured on the *Audit Evaluation* section of the on-line certification platform during the audit: -
 - I. Flower crops and hectarage (as of the time of audit).
 - II. Start and end of audit time per day.
 - III. Total audit time / duration.
 - IV. Language of audit and interviews.
 - V. Number of interviewed workers per group (per gender).
 - VI. Total Number of employees interviewed.
 - VII. Team leader remarks.
- k. The Online KFC Certification Platform data is safeguarded since it is accessed through passwords specific to each certification body auditor and specific persons from the producers.

4. Planning and Scheduling for ICT Off-site Audits on the KFC Certification Platform

- a. This is only used when an audit is conducted off-site.
- b. The certification bodies are required to determine the feasibility of ICT use to provide confidence that the audit objectives will be achieved by its use.
- c. The determination done has shall take into consideration at least the following factors amongst others: -

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- I. Provision of sufficient and appropriate information for planning and conducting the audit.
- II. Adequate cooperation from the producer.
- III. Adequate time and resources for conducting the audit.
- IV. Stability of the data collecting and storage mechanism.
- d. The certification bodies shall define eligibility criteria for determining when it is appropriate to perform the audit using ICT.
- e. Some of the criteria that can make the producer eligible for a certification body audit using ICT include but not limited to: -
 - I. An acceptable period for performing the off-site stage.
 - II. Producer's ability to designate one or more representatives capable of communicating and using the agreed ICT platform.
 - III. The certification body auditors' capability and aptitude to conduct the off-site stage using the agreed ICT platform.
 - IV. Availability of a list of activities, areas, information and personnel to be involved in the off-site stage.
- f. **Before the off-site audit takes place, the certification bodies shall: -**
 - I. Determine the platform for hosting the certification body audit e.g. virtual meeting app, wearable technology, telephone/video call, messaging app, drones, among others. The platform shall be agreed upon between the certification bodies and the producer.
 - II. Explain to the producer which documents, activities, facilities, and workers' interviews are expected to be audited via video streaming (real time), and which will be evaluated based on records/recorded information.
 - III. Test the ICT platform compatibility between the CB and the producer prior to the CB audit. A trial meeting using the media platform agreed upon shall be conducted to ensure the scheduled CB audit can be performed as planned.
 - IV. Encourage and consider the use of webcams, cameras, etc. if physical evaluation of an event is desired or necessary.
 - V. If the use of ICT is impossible due to technical restraints e.g. no phone, internet connectivity e.t.c, the off-site stage is limited to document and records review only.

5. Conducting the Off-Site Audit Stage Using ICT

- a. The dates and duration of the off-site stage of the audit shall be communicated to the producer by the certification bodies using their **Audit Activity Time Plans** prior to the audit.

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- b. The off-site stage shall be conducted in quiet environments as practically possible, to avoid interference and background noise e.g. through speakerphones.
- c. The certification bodies and the producers shall ensure there is clear understanding on the audit questions and responses throughout the audit.
- d. The off-site stage shall be conducted in adherence to the defined certification body on-site stage audit procedures e.g. opening and closing meetings, clarification of findings, non-conformances, among others.
- e. The Opening and Closing Meeting Attendance sheets shall be signed by the farm representatives attending the opening and closing meetings and uploaded on the KFC Certification Portal by the certification bodies after the entire audit process.
- f. The certification body audit team leader shall complete the Audit Evaluation Form on the online certification platform after the entire audit process capturing: -
 - I. Flower crops and hectarage (as of the time of audit).
 - II. Start and end of audit time per day.
 - III. Total audit time / duration.
 - IV. Language of audit and interviews.
 - V. Number of interviewed workers per group (per gender).
 - VI. Total Number of employees interviewed.
 - VII. Team leader remarks.
- g. When challenges arise e.g. where it is not satisfactory to maintain connection or satisfactory conditions during the scheduled time of the off-site stage, the certification bodies auditor may terminate the audit. This shall be recorded on the certification bodies audit report.
- h. The KFC certification scheme shall train the certification body auditors the risks and opportunities of the ICT platforms in use, and the impact these risks and opportunities that they may have on the credibility and objectivity of the audit information gathered.
- i. The certification body has communicated to the producer an audit execution process that is used by auditors to verify compliance detailing the farm inspection methods as required by section B1.6-Certification Audit Process to verify compliance to the audit standard requirements as applicable including but not limited to: -
 - I. Phone or video call to conduct interviews with workers' committees, workers from various departments, and producer management staff.
 - II. Video call where producer representative shows records and documents.

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- III. Video call where producer representative streams farm facilities and processes.
- IV. Producer sending pictures/videos instantly during the interviews and inspections. The sent files shall include information of the time and geo-reference for the location, or this information shall be available by other means.
- V. All the observed evidence shall be recorded on the audit checklist.
- j. The certification bodies audit report shall include the following additional information, over and above the other audit report details outlined under section B1.6-Certification Audit Process (of this document): -
 - I. Indicate which sections of the audit were conducted off-site.
 - II. The software e.g. WhatsApp video, Zoom, among others used to conduct the off-site audit including interviews, live streaming among others.
 - III. The method e.g. phone call or Video, used to conduct the off-site audit including interviews, live streaming among others as applicable.
 - IV. Any technical challenges encountered during the audit.
- k. The certification bodies shall inform the producers when, how, why, and of what, and when to make recordings or take pictures or video footage and obtained files are uploaded onto the KFC on-line certification portal.

B1.18 AUDIT DURATION- TIME SPENT ON AUDITS

1. The certification bodies are required to determine and prepare a procedure that is used to determine the man-days for the KFC certification scheme FOSS audits considering factors required by the B3.0-Determination of man days for certification audits procedure once every two years.
2. The certification bodies have considered all the factors that may influence the duration of the audit that include but not limited to: -
 - a. whether initial or re-certification audit.
 - b. Size of the farm.
 - c. Number of employees.
 - d. Number of crops under production.
 - e. History of compliance.
 - f. Number of Producer or Producer Group sites sample.
 - g. Single or multiple locations.
 - h. Contractors and subcontractors being used by producer and/or producer groups, among others.
3. The minimum period of time allocated to the audit shall be within 4–6-man days of (8 hours each) for KFC Certification Scheme Flower and Ornamental

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Sustainability Standard (FOSS) certification audit dependent on the size of the producer and number of sites among other factors.

4. The audit duration should be sufficient to allow the auditor to have an opening meeting with the farm management, inspect all applicable control points, inspect all products of the audit scope, visit all production sites, storage areas, processing and other critical locations (e.g. water source), inspect machinery in use, interview personnel; evaluate records and documents, complete the checklist with sufficient comments, and present the results to the Producer or Producer Group right after the audit has finished.

5. The certification bodies Audit Scheduling are required to ensure that the same auditor does not audit for four consecutive years, regardless of whether it is announced or unannounced audit, options 1 and 2.

6. In case of Producer Group audits (Option 2 or 4), the certification bodies QMS Auditor in the audit team shall not audit the same producer group QMS for 4 consecutive years. The Lead Auditors in the audit team may however remain the same. For **Example:** CB QMS Auditor #1 audits a producer group's QMS in years 1, 2, 3, and 4. In year 5 another CB QMS auditor (CB QMS Auditor #2), shall do the annual CB QMS audit. In years 6, 7, 8 and 9 CB QMS Auditor #1 can audit the producer group's QMS for four consecutive years again.