

Regenevate Guidelines for Certification Bodies

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1 PURPOSE

To determine the requirements for certification bodies that wish to provide inspection and certification services in accordance with Regenevate Standard rules and obtain authorisation, including application, authorisation and termination of authorisation.

2 SCOPE

This guide covers the requirements, authorisation process and supervision of existing authorisations for Certification Bodies (CBs) seeking authorisation to conduct audits and certification under the Regenevate Standards, as well as for authorised CBs in relation to the following scopes.

- Regenevate Plant Production Farm Standard
- Regenevate Chain of Custody Standard

The standards and normative documents related to these scopes are available at www.regenevate.org.

3 CERTIFICATION BODY APPLICATION RULES

3.1 Receipt and Evaluation of Applications

CB must fill out the “Certification Body Application Form” available at www.regenevate.org and send it to info@regenevate.com along with the required information and documents in order to provide services under any Regenevate Standard.

3.1.1 The application form and accompanying documents are reviewed by the Regenevate Technical Committee.

3.1.2 All documents submitted for the evaluation of the application must be current and complete.

3.1.3 After the application form and accompanying documents have been reviewed by the Regenevate Technical Committee, CB is informed of the status of the application.

3.1.4 If any deficiencies are identified in the application form and attachments, these are communicated to the CB in writing, and a 6-month period is granted for their completion.

3.1.5 Following the review, if the application is deemed suitable, preliminary approval is granted to the CB.

3.1.6 Along with the preliminary approval, the applicant signs a confidentiality agreement with the CB.

3.1.7 Following preliminary approval, the CB must complete the necessary staff training.

3.1.8 Following the training, an authorisation audit is conducted. During this audit, the organisation's management system, practices and records are examined in detail.

3.1.9 If the audit result is positive, the CB is authorised under the Regenevate Standard.

3.1.10 All steps of the process must be completed within six (6) months from the date of preliminary approval. If the process cannot be completed within six months, the organisation must submit a new application.

3.2 Authorisation Audit and Decision

Authorisation Audit aims to assess whether CB has sufficient resources, expertise and system infrastructure to carry out audit and certification activities within the scope of the Regenevate Standard.

3.2.1 Authorisation audits are conducted by auditor(s) appointed by the Regenevate Technical Committee in two stages: office audit and witness audit.

a. Office Audit: CB's quality management system and internal processes are evaluated for compliance with the Regenevate Standard.

b. Witness Audit: CB's audit activities carried out in the field are observed. These audits are conducted both in terms of field applications and within the scope of the supply chain. In addition, the auditor's assessment is also carried out at this stage. Audits are conducted in accordance with the provisions of the TS EN ISO/IEC 17065:2012 'Conformity Assessment – Requirements for Bodies Providing Certification of Products, Processes and Services' Standard and the Regenevate Standard. If any non-conformities are identified during the audit process, CB is required to address these non-conformities within the specified timeframe.

3.2.2 After the audit is completed, the audit report is submitted to the Regenevate Technical Committee. The Technical Committee evaluates the report and makes an authorisation decision.

3.2.3 The authorisation approval is communicated to the CB in writing. The 'Regenevate Authorisation Agreement' must be signed by the CB and submitted along with the same communication.

3.2.4 The scope of the authorised CB, the geographical regions it is authorised for, and its contact information are published on the Regenevate official website for public Access.

3.3 Trainings

3.3.1 It is essential that the CB has sufficient knowledge of the Regenevate Standard rules and application principles. In this regard, the BK's relevant personnel are required to participate in the authorisation training courses organised by Regenevate.

3.3.2 The training programme includes comprehensive information on the structure of the standard, requirements, audit criteria, implementation principles and system operation. Participation in and successful completion of the training is a prerequisite for continuing the certification process.

4 REQUIREMENTS FOR CERTIFICATION BODIES

4.1 General Requirements

4.1.1 Legal Status and Organisational Structure

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies providing certification of products, processes and services,' Standard, Clause 5.1 Organisational structure and top management.

The structure and organisation of the CB shall be established in such a way as to support the reliability and impartiality of the certification activities carried out. In this context, the certification body is expected to meet the following structural requirements:

- a. CB must have legal documents that clearly establish its legal personality.
- b. Authority, responsibility and task definitions related to certification activities must be clearly documented and verified by the relevant parties.

4.1.2 Legal Compliance Obligation

CB is obliged to comply fully with the national legislation and other legal regulations applicable in the countries in which it operates. This obligation aims to ensure both the suitability of the certification processes and the legal reliability of the organisation.

4.1.3 Responsibilities and Financial Status

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies operating certification of products, processes and services,' Standard, Clause 4.3.1.

4.1.3.1 The management unit that is generally responsible for the operation of the CB should be clearly defined along with its job description and should be responsible for the overall management of the organisation, including its financial situation.

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies operating certification of products, processes and services,' Standard, Clause 4.3.2.

4.1.3.2 CB shall have sufficient qualified personnel and financial stability to carry out its certification activities in an impartial, effective and sustainable manner.

4.1.4 Impartiality

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies providing certification of products, processes and services,' Standard, Clause 4.2 Management of impartiality.

4.1.4.1 CB shall be independent of any commercial, financial or other pressures that could influence the results of the certification process. It shall not supply, design or provide consultancy services for the types of products it certifies.

4.1.4.2 CB cannot control or certify the activities of its managers, partners, auditors, employees, and first-degree relatives within the scope of their authority.

4.1.4.3 CB's managers, partners, auditors and employees may not work for another CB at the same time.

4.1.4.4 Auditors cannot perform technical reviews for their own reports or issue certification decisions.

4.1.4.5 CB shall be responsible for ensuring that the services provided under the scope of authorisation are carried out impartially and are not influenced by commercial and financial interests or other pressures.

4.1.4.6 The CB shall have a written commitment from senior management regarding impartiality.

4.1.4.7 All CB personnel, including subcontractors, must act impartially. CB will require personnel who will be involved in any part of the audit (including investigations) to declare any potential conflicts of interest prior to the audit.

4.1.4.8 CB will not offer or provide consulting services to customers related to Regenevate certification, including the assessment of management systems or internal audits.

4.1.4.9 An impartiality committee shall be established to ensure impartiality. The committee shall provide all necessary input on matters such as procedures and policies relating to service impartiality, factors that may affect trust in impartiality and certification, and situations that conflict with other mandatory requirements.

4.1.5 Non-discrimination

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies providing certification of products, processes and services,' Standard, Clause 4.4 Non-discrimination requirements.

4.1.6 Publicly available information

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies operating certification of products, processes and services,' Standard, Clause 4.6 Publicly available information.

4.1.7 Confidentiality

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies operating certification of products, processes and services,' Standard, Clause 4.5 Confidentiality.

4.1.7.1 CB agrees to keep confidential all information obtained during the certification process and to use such information solely for the purpose of providing its services, and not to disclose such information to any third party.

4.1.7.2 Unless prohibited by law, CB shall share with Regenevate any information related to the services upon request.

4.2 Sources

4.2.1 Personnel

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies operating certification of products, processes and services,' Standard, Clause 6.1 Certification body personnel.

4.2.1.1 CB must have sufficient numbers of competent personnel to perform the services within its scope of authority.

4.2.1.2 Personnel qualifications should be evaluated annually.

4.2.1.3 CB audit personnel must complete the mandatory training provided by Regenevate before conducting their initial audits on the areas they will be auditing.

4.2.2 Use of External Resources

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies providing certification of products, processes and services,' Standard, Clause 6.2.2 External resources (Use of external resources).

4.2.2.1 CB may outsource other processes except for technical review, certification decision, publication, cancellation, withdrawal and suspension of scope and process certificates.

4.2.2.2 CB shall enter into an agreement with its external resources to prevent confidentiality and conflict of interest.

4.2.2.3 CB assumes responsibility for the activities of external resources used in activities within its scope of authority, including monitoring and evaluating the competence of personnel.

4.3 Management System

4.3.1 General Management System Documentation

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies operating certification of products, processes and services,' Standard, Clause 8.2 General management system documentation.

4.3.1.1 CB must have comprehensive and documented procedures that are appropriate for the activities it carries out within the scope of the Regenevate Standard. When preparing these procedures, it must take into account the guidelines of the Regenevate Standard. The procedures prepared must be created taking into account the type and volume of work performed and the number of personnel involved in the process, and must be updated regularly.

4.3.2 Control of Documents

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies providing certification of products, processes and services,' Standard, Section 8.3 Control of documents.

4.3.2.1 CB shall provide BK personnel and certified/applicant organisations with updated versions of the Regenevate Standard and related documents in an appropriate manner.

4.3.3 Record Control

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies providing certification of products, processes and services,' Standard, Clause 8.4.1.

4.3.3.1 The CB shall retain records related to the conduct of certification activities in accordance with the applicable standards for a minimum period of 5 years.

4.3.4 Management Review

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies providing certification of products, processes and services,' Standard, Clause 8.5 Management review.

4.3.5 Internal Audits

See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies operating certification of products, processes and services,' Clause 8.6 Internal audits.

4.3.5.1 The results of internal audits related to standards shall be provided to Regenevate for annual review.

4.3.6 Corrective and Preventive Actions

4.3.6.1 See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies providing certification of products, processes and services,' Clause 8.7 Corrective actions.

4.3.6.2 See TS EN ISO/IEC 17065:2012 'Conformity assessment – Requirements for bodies operating certification of products, processes and services,' Clause 8.8 Preventive actions.

4.3.6.3 Non-conformities and preventive actions will be documented and reported as part of the internal audit results submitted to Regenevate.

5. CERTIFICATION BODY MONITORING

5.1 Personnel Monitoring

See TS EN ISO/IEC 17065:2012 'Conformity Assessment – Requirements for Bodies Operating Certification of Products, Processes and Services,' Clause 6.1.2.1.

5.2 Sanctions

5.2.1 Approval of a CB may be revoked or suspended in the following circumstances:

- Expiry of the authorisation approval period,
- Failure of CB to sign the contract with the Standard owner,
- Failure of CB to comply with the terms of the contract concluded with the Standard owner or manufacturer/companies,
- BK being forced to suspend the activities of its local or regional office(s),

- Any changes in the organisational structure, ownership, accreditation status, or legal registration, unless such changes are notified within 10 business days,
- The revocation of the accreditation of the TS EN ISO/IEC 17065:2012 'Conformity Assessment – Requirements for Bodies Operating Certification of Products, Processes and Services' Standard,
- Other issues or conditions related to CB that, in the opinion of the Standard Owner, could jeopardise the integrity or reputation of the Regenerate programme.

5.2.2 The CB must respond within 15 business days of receiving the suspension notice from the Regenerate Committee. The CB must submit corrective action(s) or a corrective action plan to prevent the suspension. If the corrective actions are accepted, the Regenerate Committee decides whether to continue the approval. If the corrective actions are insufficient or not submitted at all, the Regenerate Committee revokes the BK's approval.

5.2.3 If the authorisation of a CB is revoked:

- All Regenerate-certified customers will be immediately notified by CB regarding this matter.
- The Regenerate Authorisation Approval List on the Regenerate website will be updated.

To support the timely transition to a new CB and to ensure uninterrupted service to the manufacturer, all manufacturer records, reports, and other information will be transferred by CB to the Regenerate Committee.

