KENAS
Delivering Trust

KENYA
ACCREDITATION
SERVICE

ACC-CD-47-01

Criteria for Horticulture Products Certification (KS 1758) Scheme

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1 Background Information

1.1 Introduction

This guidance document specifies the accreditation criteria for the Floriculture and Horticulture Product Certification scheme In line with the International Standard ISO/IEC, the following modal verbs are used for the expression of provisions:

“shall” is used to indicate a requirement;

“should” is used to indicate a recommendation;

“may” is used to indicate permission;

“can” is used to indicate possibility and capability.

In case of dispute concerning the application of this document, KENAS will adjudicate on unresolved matters. It is intended that after four years and also on a needs basis the content of this document will be revised.

1.2 Purpose

This guidance document sets out the additional accreditation requirements for Product Certification Bodies providing certification for the implementation of the HCD KS 1758 Certification scheme and meeting the requirements of ISO/IEC 17065 Conformity assessment Requirements for bodies certifying products, processes and services related KENAS policies, procedures and guidance documents.

1.3 Scope

This document spells out the additional requirements to ISO/IEC 17065 and outlines additional requirements for accreditation of CBs certifying KS 1758. The criteria in this document will be applied in conjunction with those in the Assessor Guide and Terms of Reference ACC-CD-02-01, procedure for Management and Reporting of Assessments ACC-PR-07-01, Sampling during Assessment and Internal Audits ACC-PR-03-01, Policy for Management of Extraordinary Events PL-13-01, Policy for dealing with objection of assessors/experts PL-30-01 and the relevant IAF Mandatory Documents. Accreditation shall be on the basis of demonstrated competence of the Certification Body in line with IAF sector codes and the NACE sub codes.

1.4 Role(s) and Responsibility

Role	Responsibility
Certification Department	Process owner
Manager Certification	Reviewer
Chief Manager Inspection & Verification	Recommender

Role	Responsibility
Chief Executive Officer	Approval
Certification Bodies	Compliance

2 Terms and Definitions

For the purpose of this guidance document, the following terms and definitions shall apply in addition to those given in ISO/IEC 17000 and the Kenya Accreditation Service Act Cap 496A.

2.1 Acronyms and Abbreviations

AB	Accreditation Body
CB	Certification Body
CEO	Chief Executive Officer
CMIV	Chief Manager, Inspection and Verification
MC	Manager Certification
IEC	International Electrotechnical Commission
ISO	International Organization for Standardization
KENAS	Kenya Accreditation Service
TS	Technical Specifications

2.2 Definition of Terms

2.2.1 Accreditation

Third-party attestation related to a conformity assessment body conveying formal demonstration of its competence to carry out specific conformity assessment tasks.

2.2.2 Product Certification

Procedure by which a third party gives written assurance that a product, process or service conforms to specified requirements. ‘Product’ is used here to include product, process or service.

2.2.3 Product certification scheme

Product certification system as related to specified products to which the same particular standards and rules, and the same procedure, apply.

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2.2.4 Audit Time

Time needed to plan and accomplish a complete and effective audit of the client organization's management system (ISO/IEC 17021-1).

2.2.5 Scope of accreditation

The specific conformity assessment services for which accreditation is sought or has been granted.

2.2.6 Witnessing

An observation of the CB carrying out certification activities within its scope of accreditation.

2.2.7 Auditor time

The time spent by an Auditor or Audit Team in planning (including off-site document review, if appropriate); interfacing with organization, personnel, records, documentation and processes; and report writing.

2.2.8 Auditor Day

A full normal working day of 8 hours.

2.2.9 Technical area

This is an area characterized by similar activities, products or services and the related environmental aspects.

3 Criteria

3.1 Requirements of Accreditation

The requirements for product certification system implemented by the product certification body including requirements for management system manual; document and record control; preventive actions, nonconformities and corrective actions; internal audits; management reviews; complaints shall be as outlined in ISO/IEC 17065, KS 1758 Product Certification Scheme rules.

3.1.1 A Certification Body (CB) shall satisfy the following standards to be accredited for KS 1758 Product Certification scheme:

a) ISO/IEC 17065:2012 Conformity assessment — Requirements for bodies certifying products, processes and services
b) ISO/IEC TS 17021-1: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements
c) KS 1758 Product Certification Scheme rules.

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3.1.2 The following are the additional requirements that a CB applying for accreditation shall provide:

a) A potential client who has made an application to be certified or a certified client.
b) A definition of the competency required related to the KS 1758 scheme rules
c) Information about the availability of this competency (competence evaluation of (sub-) contracted auditors or experts for specified technical areas).

3.1.3 The application package includes the following:

a) Duly filled application form
b) Corporate Profile
c) Copy of documents demonstrating legal status
d) Organizational chart
e) A list of locations in which the certification body undertakes any of its certification activities as applicable. An applicant or accredited certification body shall include all names and geographic locations of a certified client covered by a certification in the certification document.
f) The activities carried out in each geographic location covered by a certification shall also be clearly specified in the certification documents.
g) Cross reference matrix identifying the CB's system documentation where accreditation requirements are met
h) Management System Documents; including certification body procedures and other supporting documentation which demonstrate conformity to the accreditation and/or sector scheme criteria
i) Matrix of auditors/technical experts which identifies their qualifications for the applicable scopes, sector scheme and standards to be issued by the CB

3.2 Determination of Accreditation Scope

3.2.1 The accreditation scope for the certification body shall be based on the KS 1758 certification scheme in line with KS 1758-1 and/or KS 1758 -2.

3.3 Human Resource Requirements

3.3.1 The Certification bodies shall determine their competence criteria for personnel involved in the management and performance of KS 1758 certification audits in accordance to KS 1758 scheme rules.

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3.3.2 The Certification Bodies shall maintain records of qualifications and experience of its auditors. Experience involves working or providing certification services in the scope under review.

3.3.3 Initial qualification of Certification Body's auditors shall include witnessing of a certification audit and on-site monitoring by a qualified Certification Body personnel member.

3.3.4 Personnel conducting or performing audits for KS 1758 Certification scheme shall maintain and improve their knowledge and skills through continuous professional development (CPD) activities, such as training, private study, seminar and conferences.

3.3.5 The certification Body shall have a process of evaluating the competence of auditors within planned intervals

3.4 Determination of audit time

3.4.1 The Certification body shall have procedures to determine the audit time determination for audit man days required for initial , surveillance and recertification audits. The procedure shall also include the policies for estimation of audit duration for multisite organizations and transfer of certificates, as needed.

3.5 On-site Assessment

3.5.1 During the initial assessment, the implementation of policies and procedures is assessed at the office(s) of the Certification body.

3.5.2 The on-site assessment shall be conducted at the head office and any other locations based on a risk evaluation.

3.5.3 The initial on-site assessment comprises two mandatory components to determine if the certification body should be granted accreditation:

a) Assessment of the applicant's implementation of its management system in an office assessment.
b) Assessment of the applicant's auditors – witnessed assessment

3.5.4 During the office assessment the team samples the files of clients and personnel to cover the scope for which accreditation is sought. This is to be determined by the Team Leader, who should apply the following guidelines:

a) Files from each of the scopes certified that are a representative of the scope requested.
b) The files to be reviewed shall include at least an initial, surveillance and recertification audit for the certification body.
c) Sectors, which are included in the program for witnessing, may be excluded.

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d) Only the non-critical sectors may be omitted.

3.5.5 The Team Leader shall verify the composition, operations and records-of the Impartiality committee (if in place) to demonstrate how they are handling impartiality.

3.5.6 The Team Leader shall interview the chair of the impartiality committee of the certification body or a committee meeting is witnessed or the minutes of the meeting verified.

3.5.7 In case the CB has any engagement with a consultancy body, KENAS shall verify files of this consultancy body to confirm the effectiveness of measures taken to mitigate any identified risks to impartiality.

3.6 Witnessing audit for initial / reassessment

3.6.1 At least two weeks before witnessing of audits the KENAS team shall be provided with the following information:

a) Documented information (e.g. Quality Manual and key procedures) of the organization to be audited by the CB
b) Duly filled application form
c) Competence profile of the auditors to be witnessed
d) CB Audit Plan;
e) Previous Audit report (including notes), required actions and responses from the previous audit activity;
f) In case a surveillance or recertification audit is witnessed, a copy of the KS 1758 certificate issued by the CB.

3.7 Selection of witness audits

3.7.1 When deciding how many and which audits are to be witnessed, a balanced selection, based on the scopes applied will be made covering the scopes to be accredited. In general, KENAS shall take into account factors such as:

a) the Certification Bodies' overall performance;
b) factors such as process complexity or legislation etc. which influence the ability of the certification body to demonstrate its ability to meet the intended outcomes of the Management System;
c) feedback from interested parties including complaints about certification bodies;
d) the results of the Certification Bodies 's internal audits;
e) scheme owner requirements, etc.;
f) whether the producer is single site or is made up of farmer groups
g) changes in Certification Bodies work patterns – growth of work within a specific region or technical area;
h) previous or other office or witnessing assessment results, etc.

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i) complaints, customer surveys;
j) interested parties and regulators requests;
k) experience from other types of accreditation of the Certification Bodies;
l) previous history of the Certification Bodies' ability to manage its operations;
m) level of controls exercised by a Certification Bodies over its certification activities;
n) specific scheme requirements; and
o) national agreements with clients.

3.7.2 In addition to the office audit activities, the following witness selection rules apply for the granting and extension of accreditation of KS 1758 certification to guarantee the appropriate coverage of the applicant scope:

3.7.2.1 In the initial accreditation cycle (meaning from first surveillance to the first reassessment), KENAS shall perform at least one witnessing activity in each accredited scope. This programme will continue until the CB has demonstrated sufficient experience and performance for an enhanced programme. When this happens, KENAS shall perform at least one witnessing activity in each accredited scope, during two successive accreditation cycles. This shall be complemented with other assessment activities to guarantee that each scope is assessed at each cycle. KENAS shall justify why the witnessing programme was reduced. Normally, the witnessing frequency established for a 1st cycle would be reinstated if significant changes occur in the CBs' auditor qualification process, auditing practices or results and audit personnel.

3.7.2.2 The first and last witnessed audits should normally not be more than 6 months apart.

3.7.2.3 The auditee for the audit, which will be observed, should be a reasonable representation for the requested scope of accreditation.

3.8 Maintenance of accreditation

3.8.1 The implementation of the accredited certification scheme shall be verified during surveillance assessment by KENAS.

3.8.2 The files reviewed during the maintenance of accreditation in a four years' period (accreditation cycle) shall cover all the scopes mentioned for which the CB is accredited.

3.8.3 The number of files to be reviewed for each assessment is calculated from the number of valid certificates under accreditation for each scope (approximately one fifth of the square root of the number of certificates with a maximum of fifteen (15) files).

3.8.4 For each four (4) year period, the number of witnessed audits shall be determined based on the following factors:

a) for each scope of sectors included in the accredited scope of the CB; or
b) 1 per √ (number of auditors qualified for KS1758 certification).

(Whichever gives the higher number, with a maximum of 10)

3.8.5 When the second factor gives the higher number of witnessed audits, these shall also be spread over all scopes. This formula ensures that both a higher diversity in technical areas and a higher number of auditors will increase the number of witnessed audits.

3.8.6 In the application of the above guidelines, it shall be considered whether witnessed audits may serve for multiple scopes (e.g. by witnessing combined audits) and how many witnessed audits are performed in the other scopes.

3.8.7 The functioning of the impartiality committee (if constituted) of the Certification body is reviewed in-depth at least once during the accreditation cycle.

3.8.8 The KENAS Assessment Team Leader shall determine the method, which may include an interview (face-to-face, or telephone conversation) with a representative (non-CB) of the Committee, or the attendance to (part of) one of their meetings.

3.9 Appeals Handling

3.9.1 An accredited body that is aggrieved by a decision of KENAS may, by notice in writing to the Chief Executive Officer and upon payment of the prescribed fees, appeal against the decision within twenty-one days of being notified of the decision.

3.9.2 A notice of appeal under this section shall set out the grounds of the appeal.

3.9.3 The Chief Executive Officer shall, within seven days of receipt of the notice under sub-section (2), forward the notice to the Accreditation Appeals Tribunal.

3.9.4 The Accreditation Appeals Tribunal shall consider the notice of appeal and the response of the Service before making an award.

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3.9.5 An award of the Accreditation Appeals Tribunal may:

a) Confirm the decision of the service;

b) Vary the decision of the Service;

c) Direct the Service to carry out a fresh evaluation of the application or undertake a fresh assessment of the conformity assessment body; or

d) issue other orders it may consider necessary including an order as to costs.

3.10 Scope extension

3.10.1 The assessment by KENAS in case of an application for an additional scope sector consists of one or more of the following assessment methods:

a) A review of documents and records;
b) A visit to the office of the CB, to verify documents and records and to interview relevant staff;
c) A witnessed audit.

3.10.2 At least the defined requirements for competence in that sector, records of the qualification process of auditors for that sector, and a complete certification dossier in that sector will be verified in a scope extension assessment.

3.10.3 Extension assessments: a witnessed audit shall ordinarily be performed in each critical code for or the applied scope.

3.11 General remarks on witnessing

3.11.1 Besides the above-mentioned considerations for selection of audits to be witnessed, KENAS will consider the following:

3.11.1.1 KENAS will ordinarily not witness the same auditors that have been witnessed in the same scheme before;

3.11.1.2 KENAS will ordinarily not witness an audit at the same organization repeatedly;

3.11.1.3 In an accreditation cycle at least one third (with a minimum of 1) of the audits to be witnessed should be initial or recertification audits;

3.11.1.4 Witnessing of audits shall include the review of the audit report.

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3.11.1.5 To be able to select the audits to be witnessed, the CB shall on request of KENAS provide a planning for the audits to be conducted in a certain period.

The information on these audits shall include as a minimum:

a) type of audit (initial, recertification or surveillance);
b) name and address of auditee;
c) audit standard(s);
d) scope of certification;
e) name(s) of auditors(s) and expert(s);
f) date(s) of the audit.

3.12 Specific assessment issues

3.12.1 During witness assessments, KENAS assessment teams will pay special attention to good auditing practices, such as sampling and the application of audit trails, especially when it comes to the audit of:

a) the internal audit and management review functions;
b) the KS1758 documentation;
c) the recording and evaluation of continual improvement;
d) the organization's systems for achieving statutory and regulatory compliance

3.12.2 During the witness of a stage I audit, special attention will be given to (ref. ISO/IEC 17021-1, cl. 9.2.3.1.1):

a) Planning for stage II;
b) Scope determination;
c) Key elements of the system (e.g. determination of significant aspects);
d) Review of allocation of resources

3.13 Accreditation Standards

3.13.1 For serving national and international demands, KENAS chooses to have the following Standards to serve as the accreditation standards under the KENAS KS 1758 Accreditation Scheme:

a) ISO/IEC 17065:2012 Conformity assessment -- Requirements for bodies certifying products, processes and services,
b) ISO/IEC 17021-1 Conformity assessment – Requirements for bodies providing audit and certification of management systems.
c) KS 1758 Certification scheme rules.

3.14 Revision

This document shall be revised/amended after every four (4) years

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4 Normative Documents

A CB shall satisfy the following normative documents for KS 1758 Certification scheme accreditation:

Ref	Document Identifier	Document Title
1.	ISO/IEC 17065	Conformity assessment -- Requirements for bodies certifying products, processes and services,
2.	ISO/IEC 17021-1	Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements
3.	KS 1758	Scheme rules

5 Revision/ Amendment Record

Date	Ver	Revised By	Reason for Revision
19/09/2023	01	SDE	Newly developed document

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