



# Bureau Veritas Certification ASC Terms & Conditions (ISO 17065 Product Certification)

## General

Bureau Veritas Certification offers certification audits as described in the relevant ASC Farm current version. Some specific requirements in accordance with the standard shall be respected.

To achieve their certificate of approval the client must demonstrate compliance to all sections of the relevant standard. The client must also allow access to Bureau Veritas Certification to enable audit of their systems and premises as necessary.

## Requests for Audit

Requests for audit will follow the terms and conditions as set out in "Bureau Veritas Certification Agreement".

## Audit Process

The details of the services to be provided will be agreed between the client and Bureau Veritas Certification. To provide a general guide outlined below are the key stages of the Audit process.

### Information required from the site prior to the audit

In order to prepare an audit plan, the client must send to the audit team if included in an appendix records and measures done during the previous months of the audit.

If the client has been audited within the previous 12 months, the client is obliged to send the ASC audit reports to BV. Organizations seeking certification in the first time of the relevant scope shall have been in operation for no less than 18 months or one harvest cycle, whichever is less.

If the information needed is not available the day of the audit, BV is authorized to extent the audit duration (amendment of contract needed).

### Audit plan:

An audit plan will be provided prior to the commencement of the audit except for unannounced audits.

### Audit realization:

The audit team will meet with the management of the client to discuss the details of the Audit process and consider any issues relating to the performance of the audit. Observations, general remarks and non-conformities will be identified and discussed if and when they arise during the audit. The lead auditor will prepare and present to the client's management a report of the audit, their findings, the scope of audit and seek agreement on the nature of any corrective actions to be taken, where necessary. Audit reports shall contain accurate and reproducible results. If a follow-up audit is necessary these will be subject to an additional fee. The audit is performed following the rules of confidentiality. Within 30 working days of the completing of the audit BV shall submit a draft report in English and the national or most common language spoken in the area where the operation is located. Within 5 working days ASC should post the draft report to the ASC website. BV shall allow stakeholders and interested parties to comment on the report for 20 working days

### Closing of non-conformities

The client shall provide the Lead Auditor for each non-conformity, root cause, corrective action plan within 28 calendar days and evidence for each defined action within three (3) months days from the last onsite audit date. Minor non-conformities may be extended once for a maximum period of one (1) year if on-site verification is necessary to confirm conformity.

### Audit Reporting

BV shall submit the final report to ASC in English and the national or most common language spoken in the area where the operation is located.

- For initial and recertification audits, this has to be done within 30 working days of the close of comments
- For surveillance audits, within 90 working days of the completing of the audit

Within 5 working days ASC should post the final report to the ASC website.

The client also allows Bureau Veritas Certification to forward the audit report to the appointed accreditation body. A copy of the audit report and any subsequent certificate or audit result shall be supplied to ASC and where accredited, the appointed Accreditation Body in the agreed format for the ASC standard used. All documents in relation to the audit shall be made available to the ASC upon request. All documents submitted to ASC shall be copies of original documents. All the documents provided to ASC will be treated as confidential.

### Issuance of Certificates of Approval

Certificates of Approval can only be granted and issued as and when all corrective actions agreed between the client and the lead auditor have been completed. Failing this, Bureau Veritas Certification reserve the right to re-audit the premises at the client costs. The certificate of Approval issued does not exempt the client from their legal obligations in respect of the services and products evaluated. A policy document explaining how to use Bureau Veritas Certification and relevant Accreditation Body logos is available on request. In case the date between the audit evidences and the certification decision is more than 6 months, the client shall accept that one additional audit has to be performed, in order to have fresh evidences on the audit report before the certification decision

Any failure to follow these guidelines may result in the certificate of Approval being withdrawn and/or legal action being taken.

### Re-audit

Re-audits shall be carried out at a frequency determined as specified in the relevant Standard. Bureau Veritas Certification will contact the Company to arrange a date for the re-audit before the audit deadline. It remains the client responsibility to have the audit done within appropriate window.

### Witnessed audit

The client authorises Bureau Veritas Certification to bring in additional participants (at no extra cost for the client) to the audit as follow:

- A Bureau Veritas Certification auditor in progress of qualification
- A Bureau Veritas Certification personnel supervising the lead auditor as part of usual shadow audit programme
- An accreditation body auditor supervising the lead auditor as part of usual accreditation programme
- An ASC representative supervising the lead auditor as part of ASC's integrity programme.

Refusing such arrangements may result in the certificate of Approval being withdrawn and/or legal action being taken.

### Audit by the ASC or appointed accreditation body

The client authorises ASC or appointed accreditation body to carry out further audits to validate continued certification, or for the purpose of monitoring BV conformity. These visits may be announced or unannounced and will follow the same rules as Bureau Veritas Certification audits for closing of non-conformities. Refusing such audits may result in the certificate of Approval being withdrawn and/or legal action being taken. ASC may contact the site directly in relation to its certification status or for feedback on Bureau Veritas Certification performance, or investigation into reported issues or complaints.

The certification status may be affected in the event that access to any parts of the site or process or requests to these points specified above is unreasonably refused.

### Incident notification

The client shall notify within 3 working days in writing Bureau Veritas Certification of any impending prosecution with respect to product safety or legality, a public product recall or change of circumstances that may affect the validity of continuing certification. Bureau Veritas Certification will assess the situation and may proceed to an extra audit at client cost or a suspension or withdrawal of the Certificate of approval. In case of adverse publicity or Government intervention, Bureau Veritas Certification will notify ASC.

### Withdrawal of the Certificate of Approval

Bureau Veritas Certification reserves the right to withdraw the certificate of Approval at any time. If such actions are deemed necessary the client will be fully briefed and given as much notice as is practical. The client will be given every possible opportunity to take corrective action before a final decision is taken on what action Bureau Veritas Certification should take. Bureau Veritas Certification reserves the right to publish the fact that such action has been taken.

### Appeals, Disputes and Complaints

The client should appeal or dispute against the decisions of Bureau Veritas Certification in accordance with the Bureau Veritas Certification appeals procedure within 7 calendar days of receipt of the certification decision. Appeals will be finalised within 30 calendar days of receipt. Bureau Veritas Certification complaint procedure is available on BV Website (<https://www.bureauveritas.com/home/about-us/our-business/certification/about-us/complaints-management/>). In the event of an unsuccessful appeal, Bureau Veritas Certification has the right to charge costs for conducting the appeal.

### Communication to the stakeholders

The applicant has the responsibility to make known to the public of any upcoming ASC audit at their premises (e.g. initial, surveillance, extension or recertification) to allow for interested parties and stakeholders to provide their input to and comment during the audit process.

### ASC standards change

ASC retains the right to change the ASC standards and certification requirements and that certification is conditional on conforming to new or revised standards and new or revised certification requirements within the timeframes established by the ASC

### Management of change

The client has the responsibility to inform BV if any changes are made in the operation that may require oversight from BV. This can include but is not limited to:

- Changes in species farmed
- Changes in the number of sites.
- Administration of medication to some or all sites.
- Changes that may impact the start of the chain of custody