

## Fair Rubber e.V.

### Audit Procedure

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#### Amendment History

| Version | Date       | Description                                                                                       | Approved By      |
|---------|------------|---------------------------------------------------------------------------------------------------|------------------|
| 1.0     | 31/03/2023 | Initial adoption under name of "Fair Rubber Audit System", included policy and procedural aspects | General Assembly |
| 2.0     | 14/08/2026 | Differentiation between policy and procedure and following recommendations of ISEAL Code v 1.1    | Board            |

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### 1. Purpose

This Procedure defines the operational steps for planning, conducting, evaluating, and following up on audits within the Fair Rubber certification system.

### 2. Scope

This Procedure applies to:

- a) audits at supplier partners;
- b) certification decisions based on audit outcomes;
- c) follow-up and corrective action processes.

### 3. Roles and Responsibilities

#### Certification Assistant

The Certification Assistant is responsible for:

- a) coordinating audits with the certification body;
- b) maintaining audit schedules and risk factor classifications;
- c) receiving and reviewing audit reports;
- d) communicating with supplier partners;
- e) preparing cases for the Certification Committee, by reviewing audit findings and recommendations and considering status of corrective actions.

#### 3.1. Certification Body

The certification body is responsible for:

- a) Providing trained staff with one year work experience in forestry or agricultural sector  
OR experience in the execution of audits (at least 10 audits)
- b) planning and conducting audits in accordance with the agreed protocol;
- c) identifying non-compliances and corrective actions;
- d) following up on implementation of corrective actions from earlier audits
- e) preparing clear and documented audit reports;
- f) submitting findings and recommendations to Fair Rubber within an agreed timeframe.

#### 3.2. Certification Committee

The Certification Committee is responsible for:

- a) evaluating audit findings and recommendations;
- b) evaluating supplier responses and corrective action plans;
- c) taking final certification decisions within a reasonable timeframe
- d) taking final decisions of the risk factor

### 4. Audit Planning

#### 4.1. Audit Scheduling

Audits are scheduled by the certifier based on:

- a) the applicable risk factor category;
- b) the audit cycle;
- c) any additional risk indicators.

## 4.2. Preparation

The Certification Assistant ensures that:

- a) relevant documentation is provided to the certification body;
- b) audit scope and timelines are agreed.

## 5. Audit Execution

Audits are conducted:

- a) on-site at supplier partner level;
- b) against the Fair Rubber Standard;
- c) using the agreed audit protocol and reporting format.

## 6. Audit Findings and Reporting

### 6.1. Non-Compliances

Audit findings may include:

- a) minor non-compliances;
- b) major non-compliances;
- c) observations and recommendations  
Recommendations to address non-compliances found

### 6.2. Reporting

The certification body submits the non-conformity report within 10 and the audit report within 25 working days to:

- a) the supplier partner; and
- b) the Fair Rubber Secretariat.

## 7. Risk Factor Assignment

Following the audit, the Certification Assistant assigns or confirms the supplier's risk factor category based on:

### Risk Factor 1 (3-year interval)

- maximum of five (5) minor non-compliances;
- documented efforts to address findings;
- full annual premium documentation;
- regular quarterly sales reporting to Fair Rubber e.V.

### **Risk Factor 2 (2-year interval)**

- up to ten (10) minor non-compliances;
- reporting and premium documentation are not consistently complete.

### **Risk Factor 3 (1-year interval)**

- low audit performance, including major non-compliances, more than 10 minor non-compliances
- insufficient reporting or premium documentation.

## **8. Corrective Actions**

### **8.1. Corrective Action Plans**

Supplier partners receive from the Certification Body:

- a) formal confirmation of audit completion;
- b) a list of required corrective actions;
- c) a deadline for every non-compliance by when it needs to be solved

NCs need to be addressed and solved within a certain deadline as indicated in the corrective action plan – following the logic that major NCs will have to be solved within a shorter timeline than minor NCs; whereas major NCs must be solved within 3-6 months, minor NCs can have longer timelines that go up to the next following audit (according to risk factor set).

### **8.2. Follow-Up**

Corrective actions are monitored by the Certification Assistant via:

- a) desk-based review; or
- b) follow-up audits, where required.

Major NCs shall always be given first priority. Not keeping the given deadline can end up in a suspension of the certification. The suspension may be lifted when the NC is closed.

Where minor NCs are not solved three times in a row, these will become major NCs with a shorter timeline and stronger consequences if not followed.

All such decisions are taken by the certification committee.

## **9. Certification Decision**

The Certification Committee:

- reviews audit results, corrective actions, and supplier remarks;
- decides on certification status;

- documents the decision.

The supplier partner receives:

- a formal notification of the certification outcome (i.e. certificate);
- confirmation of any outstanding action points.

In cases where an audit cannot be passed successfully, a renewal audit can be agreed after some time (3-6 months depending on the severeness of the non-compliance – decided by the certification committee). Until a new audit is successfully passed, the certification is suspended and the certificate loses its validity.

## **10. Combination with Other Certification Systems**

Where audits are combined with other systems:

- Fair Rubber reviews available audit results from those systems;
- additional audits are conducted for the remaining Fair Rubber requirements;

## **11. Record Keeping and Documentation**

The Certification Assistant maintains records of:

- audit reports;
- certification decisions;
- corrective action tracking.

Records are retained in accordance with governance and legal requirements.

## **12. Review and Continuous Improvement**

This Procedure is reviewed periodically to ensure continued alignment with:

- The Fair Rubber Standard;
- The Audit Policy;
- System learning and assurance of best practice.

**End of Procedure Document**