

Ecocert Audit Preparation Guide ECOCERT and/or COSMOS Cosmetics Standard

Changes to this document are identified by a vertical line in the margin

Regardless of your activity (subcontractor or manufacturer, brand owner, handler) your Ecocert approval will only be complete after your first audit. This audit has to take place before any activity related to the production or the commercialization of certified products starts. It is called the **qualification** audit.

The following years, audits called **renewals** will be done in order to maintain and renew the certification documents.

For all manufacturers and subcontractors, the number of renewal audits (either 1 or 2 per year) will be determined by the company's activity (number of products to be certified, number of ingredients, quality system...)

Please note that the operators carrying out the stages of purchasing ingredients and manufacturing (manufacturers and subcontractors), besides handlers, will have 2 qualification audits systematically (an extensive audit, as well as a follow-up audit that will take place the following semester).

The **extensive audit** is where **all** the control points will be verified including the process visit.

On the other hand, all control points will not be verified exhaustively at the **follow-up** audit. The auditor will select the control points depending on your activity and, eventually, the discrepancies released during previous audits.

The following points will or could be verified, and the corresponding documents must be prepared for the auditor's arrival.

Stages/ Points that could be verified	Documents/Informations to keep available
Certified/to be certified Products	
<ul style="list-style-type: none"> -Check of the products' list and the associated validations (accuracy of all commercial names, validation dates in line with the last files received, correct declaration of subcontractors and handlers if applicable the concerned products, addition of new products, identification of products that will be discontinued, etc.) -Products check (labels, packing, etc.) 	<ul style="list-style-type: none"> -List of products to be certified Ecocert and/or Cosmos -Validation of labels and packing articles -Sampling of finished products -Associated quality documents (monitoring procedures for the validation of the different stages of a new product, etc.)
Products commercialization and communication	
<ul style="list-style-type: none"> -Check of sales invoices and products' delivery notes 	<ul style="list-style-type: none"> -Sales invoices, delivery notes

<ul style="list-style-type: none"> -Check of communication/marketing documents (catalogue, advertising documents, website, etc.) 	<ul style="list-style-type: none"> -Communication/marketing documents under your responsibility -List of updated advertising documents, signed form if applicable, provision of external use documents
Ingredients in the formulation of certified products, suppliers	
<ul style="list-style-type: none"> -Check of the ingredients list and associated validations -Check of ingredients 	<ul style="list-style-type: none"> -List of ingredients (only concerns operators buying ingredients), security sheets, technical sheets, purchase invoices, delivery notes and organic certificates (for certified ingredients) <u>valid on the purchase date</u> -Attestation of origin in the case of sale by a distributor
Subcontractors and/or handlers	
<ul style="list-style-type: none"> -Check of the declared subcontractors/handlers list -Check of the conformity of subcontractors/handlers 	<ul style="list-style-type: none"> -Updated subcontractors/handlers list -Licenses, certificates and/or subcontractors' attestations and/or handlers -Subcontractors/handlers' purchase invoices and delivery notes
Subcontracting and/or handling activity for an ordering party	
<ul style="list-style-type: none"> -Check of the activity carried out : products received, process performed, products shipped 	<ul style="list-style-type: none"> -Ingredients/products' delivery notes given by the ordering party -Invoices and delivery notes concerning the subcontracting or handling carried out for the ordering party -Intermediate labels under your responsibility
Field visit : supplying, reception, production facilities, packaging, storage	
<ul style="list-style-type: none"> -Visit of the production, packaging and storage facilities of the finished products -Check of equipments, procedures, cleaning products, position instructions, samples library, etc. 	<ul style="list-style-type: none"> -Plan of premises and facilities concerned -Process description (different stages from the reception to the shipment, productivity) -Metrological follow-up -Associated instructions/procedures -List of cleaning products. Control of cleaning operations between 2 productions (cleaning products declared and validated, procedures, attestation for ecological detergents, etc.). Concerns the cleaning before and after the production/packaging stage (between 2 productions of certified products or between a production of a certified product and a conventional product) -Cleaning products' technical and safety data sheets
Control system, records and/or procedures implemented	

<ul style="list-style-type: none"> -Validations and conformity follow-up in relation to the concerned standard -Ingredients supplying, purchase and reception -Products supplying, purchase and reception -Manufacturing of finished and/or semi-finished product -Packing of finished and/or semi-finished product -Storage of raw material, finished and/or semi-finished product -Cleaning of production, packing equipments, storage area 	<ul style="list-style-type: none"> -All associated quality documents. Recordings and/or procedures implemented at all levels (ingredients reception, production, packing, storage, etc.) -Manufacturing/packing files. Manufacturing and packing order (manufacturing sheets specifying the ingredients, theoretical quantities, real quantities introduced), implementation book or form, cleaning records, vacuum of line, etc. -Contracts of eventual partners for the cleaning -Documents allowing verify the absence of contamination, confusion or mixing between certified and conventional products.
Check of environmental management system	
<ul style="list-style-type: none"> -Waste management (waste sorting, specific destruction, etc.) -Rubbish management -Energy management 	<ul style="list-style-type: none"> -Documents created for the energy management of rubbish and waste (recycling, subcontracting, destruction, etc.) -Environmental management plan for committed operators with a manufacturing process -Results, monitoring indicators and action plan -Providers contracts -Measures to minimize the impact of products' packaging and associated revisions, eventually carbon footprint
Check of the traceability and flow management	
<ul style="list-style-type: none"> -Check of the flow management (purchase, sales, stock, material movement...) since the last audit or since the start of the activity -Check of the formulas applied, and associated ingredients since the last audit or since the start of the activity 	<ul style="list-style-type: none"> -Stocks status (physical inventory) of the current year and the following year of finished products -Summary of the finished products sales/shipping -Suppliers' certificates and licenses for their organic ingredients, attestation of origin in the case of sale by a distributor -Summary of ingredients purchases/receptions -Purchase invoices and delivery notes of subcontracted/handled products, and associated summary -Manufacturing and/or packaging files -Traceability system (batch number, raw materials follow-up, finished product, etc.) -Products formulas and validations
Various documents	

	-Presence of various documents such as cosmetic file, if necessary physic-chemical microbiological analysis, various recordings
Possible sampling on raw materials or on finished products	
Contract review	
-Sales turnover	-Total sales turnover of the last closed financial year, cosmetics turnover, and if different, the certified products sales turnover
-Number of subcontractors/handlers	-Number of subcontractors/handlers

 **Important points to observe:**

- **TRACEABILITY :**
Make sure you keep all accounting documents received (invoices and delivery notes) as well as a copy of all accounting documents issued. Also, make sure that the traceability is maintained all along the process from the raw materials to the finished products.
- **MIXING/CONTAMINATION :**
Make sure that there is no risk of contamination or confusion on the different stages of the process (storage, manufacturing...)
- **ORGANIC GUARANTEES**
Guarantees allowing a clear identification of all certified products must appear on all your invoices, delivery notes, intermediary labels (bulk, re-packing...). Be careful that there is no possible mixture with conventional cosmetics or among different activities.

Examples of possible mentions on documents (clear and sufficient identification related to the activities):

<i>Purchased/sold product</i>	<i>Minimal guarantees on the invoices/delivery notes</i>
Organic certified ingredient	Organic ingredient Or Organic raw material Or organic
Finished product	Organic/Natural product (or for instance organic cosmetic) Or Organic/Natural
Service	Organic service (or for instance organic packing) Or Controlled Service (or for instance controlled packing)

Some examples in the case of finished products:

The identifications on transaction documents must include sufficient and clear mentions to avoid any possible confusion.

<i>Case met</i>	<i>Example</i>
According to 2 different seals (NAT and ORG, etc.)	ORG Shampoo / NAT Shampoo
According to 2 different Cosmetics standards (Cosmos and Ecocert)	ORG Cosmos Cream / ORG Ecocert Cream In the case of an Ecocert & Cosmos organic certified product (double certification for the same product), we can use: Ecocert & Cosmos Org cream for example
According to 2 different activities (Home Perfumes and Cosmetics, etc.)	Org Cosmetic Essential Oil / Org Home perfume Essential Oil In the case of a product certified ORG Cosmetic and Home perfume (double certification for the same product) we can use: Cosmetic & Home Perfume Org Essential Oil for example

- **DOCUMENTS**

The notification of visit that you will receive from the auditor lists all the documents that must be prepared and made available for the audit.

- **PARTICIPANTS**

Make sure that all persons involved in the audit's different stages are present and available.