

**Inspection Program according to Regulation (EU) 2018/848,
NOP -Final Rule, and Organic JAS for
Groups of operators (ICS)**



依照(EU) 2018/848, NOP-Final Rule, 日本 JAS
小农户团体检查方案

The certification procedure for organic production is regulated by the norms for the respective standard.

有机生产的认证程序由相应标准的法规进行规定。

For EU-certification in Third Countries: Reg. EU 2018/848 + delegated and implementing acts
对于第三国的欧盟认证：遵循法规 (EU) 2018/848 及其授权和实施法案

For the USA: the NOP Final Rule

对于美国：遵循NOP最终规则

For Japan: the organic JAS

对于日本：遵循有机JAS标准

For the certification of groups of operators, specifically, the following rules will be considered by Kiwa BCS, in line with the above-mentioned norms:

针对小农户团体的认证，Kiwa BCS将根据上述规范参考以下规则：

For EU-certification in Third Countries:

欧盟有机在第三国的认证：

- Reg. (EU) 2018/848, Art. 36; Reg. (EU) 2021/279 Art. 4, 5, 6, 7, 10; Reg. (EU) 2021/771 Art. 2; Reg. (EU) 2021/1698 Art. 9, 10
欧盟法规(EU) 2018/848第36条；欧盟法规(EU) 2021/279 第4, 5, 6, 7, 10条；欧盟法规 (EU) 2021/771第2条；欧盟法规(EU) 2021/1698第9, 10条。

For the US美国有机认证：

- NOP Policy memo 10-11,
NOP政策备忘录第10-11章节
- NOSB Recommendation, Adopted October 20, 2002, Criteria for Certification of Grower Groups,
NOSB建议，2002年10月20日通过，小农户团体认证标准
- Certifying Operations with Multiple Production Units, Sites, and Facilities under the National Organic Program, November 19, 2008
美国国家有机认证计划，2008年11月19日发布，对多个生产单元、场所和设施的认证操作

For Japan日本有机认证：

- IFOAM Smallholder Group Certification - Compilation of results – March 2003
IFOAM小农户团体认证-结果汇编-2003年3月
- IFOAM Norms for organic Production and Processing (8.3 – Group Certification)– Version 2012
IFOAM有机生产和加工规范（第8.3章节-团体认证）-2012版
- IFOAM Smallholder Group Certification - Guidance Manual for Producer Organizations – May 2004
IFOAM小农户团体认证-生产者组织指导手册-2004年5月

⇒ Please note: This inspection program for groups of operators applies in conjunction with the inspection programs according to the certified scopes, such as agricultural production, beekeeping etc.

请注意：此针对小农户团体的检查方案与认证范围检查方案结合使用，例如农业种植检查方案，养蜂检查方案等。

The inspection program is structured as follows:

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检查方案包括以下内容:

- a) Organic Systems Plan
有机体系规程
- b) Inspection
检查
- c) Certification
认证

1. Organic Systems Plan/ 有机体系规程

The Organic Systems Plan must be compiled and submitted to Kiwa BCS Öko-Garantie for verification before inspection. The Organic Systems Plan must be updated continuously to reflect the current state of the operation. Changes always must be communicated to the certification body, but no later than before the next inspection.

有机体系规程（OSP）必须在实地检查以前提交给Kiwa BCS 并且必须及时更新，以使其与实际相符。同时应在实地检查前与认证机构及时就OSP所作的任何更改进行沟通。

An Organic Systems Plan template is provided by Kiwa BCS. It consists of the following elements:

Kiwa BCS 提供OSP模版。该模版由下列部分组成:

- Conformity Declaration of the Operation Manager for the respective standard
遵守相关标准操作规程的声明
- Complete description of the operation and its facilities
相关操作及设备的完整描述
- Description of all production procedures and –means, so Kiwa BCS can verify their compliance with the respective standard
产品加工步骤和方法描述，以便 Kiwa BCS 能按相关标准对其进行核实
- The OSP ICS
小农户团体的 OSP
- The farmers list
农户清单
- Further annexes as listed in the OSP ICS
小农户团体 OSP 中列出的其他附件

In case the operator is interested in being certified under Reg. (EU) 2018/848, it is mandatory to provide a preventive measure plan mentioned in Reg. (EU) 2021/1698 Art. 10, 1. a) iii.

如果操作者希望根据欧盟法规 (EU) 2018/848 获得认证，则必须提供欧盟法规 (EU) 2021/1698 第 10 条第 1 款 a 项第 iii 点中提到的预防措施计划。

On the other side, under NOP a Fraud Prevention Plan is mandatory to be provided in this stage. 另外，根据 NOP（美国国家有机计划），在此阶段必须提供预防欺诈计划。

2. Inspection of Agricultural Operations/ 种植过程检查

During inspection the compliance of the operation/part of the operation with the requirements of the respective standard is verified. An announced inspection takes place at least once per year. 检查的过程中，应核实操作/部分操作是否符合相关标准的要求。通知的检查每年至少一次。

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Further announced and/or unannounced inspections can be part of the certification procedure. The inspector is obliged and authorized to request and verify all documents, records and information as deemed necessary for the inspection.

还可以视情况增加通知或未通知的检查。检查员有义务同时也授权对所有的文件，记录或相关附录进行核实和检查。

2.1. Organic Systems Plan / 有机体系规程

In general, the inspection is based on the verification of statements in the Organic Systems Plan, including its annexes, and on a comparison with the findings in the facility. If needed, adjustments must be made to the Organic Systems Plan.

一般来说，检查是基于对有机体系规程的内容进行核实，并与现场检查中的发现进行比对。如必要，应对有机体系规程进行调整。

2.2. On-Site Inspection/ 现场检查

The inspection visit aims to the evaluation and assessment of the set-up and functioning of the internal control system, of its effective application and to the compliance with the standards.

现场检查的目的是评估内部控制系统的设置、运作和其有效性是否符合相关标准。

The on-site inspection by Kiwa BCS (so called “external inspection” or “re-inspection”) will include on-site inspections at the premises of operators who are members of the group. The external re-inspection of a sample of group members must be undertaken to evaluate the effectiveness of the internal control system

Kiwa BCS 的现场检查（也可称为“外部检查”或“复检”）将包括对小农户团体中每个成员的生产场所的实地检查。外部例行检查时必须对小农户团体成员进行取样，以核查内部控制系统的有效性。

The minimum number of operators to be inspected by external inspectors depends on the quality and efficacy of the ICS. In any case, the number of farmers subject to annual external inspection shall not be lower than 10.

外部检查员检查的农户团体成员的最低数量取决于项目的风险系数以及ICS的质量和有效性。在任何情况下，每年接受外部检查的农户不得少于10人。

For EU certification, a minimum of 5 % of the operators will be subject to re-inspection every year. 对于欧盟认证，每年至少有5%的农户成员需要接受复检。

According to the NOP a minimum of 2% of members or the square root of the total number of members multiply by 1.4 whichever is bigger must be inspected.

根据NOP（国家有机计划）规定，至少2%的农户成员或农户成员总数的平方根乘以1.4（以较大者为准）的农户成员必须接受外部检查。

The on-site inspection at the individual operator’s farm will be carried out in line with the inspection program for the applicable scopes, such as agricultural production or beekeeping. The group members selected for external inspection must be present during the on-site inspection of their premises.

对单个农户成员的现场检查将按照适用范围的检查程序进行，如农业种植或养蜂。在对其生产场所现场检查时，外部检查选定的小农户团体成员必须在场。

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In addition, the Kiwa BCS inspector will visit and assess premises and activities that are centrally managed by the group.

此外，Kiwa BCS检查将访问并评估小农户团体集中管理的场所和活动。

During the inspection by Kiwa BCS, the Kiwa BCS inspectors must audit internal inspectors; in case of groups with several internal inspectors, the external inspector will audit at least one internal inspector.

在Kiwa BCS检查期间，Kiwa BCS检查员必须对内部检查员进行审核；如果小农户团体中有几个内部检查员，外部检查员将至少审核一名内部检查员。

The Kiwa BCS inspector will also verify whether new members, new production units or new activities have been accepted only after approval by the ICS manager based on the internal inspection report and according to the procedures of the group.

Kiwa BCS检查员还将核实，ICS经理对新成员、新生产单元或新生产活动的批准是否基于内部检查报告并符合小农户团体管理程序。

Moreover, the Kiwa BCS inspector will assess whether the ICS manager fulfils all defined tasks.

此外，Kiwa BCS检查员将评估ICS经理是否完成了所有规定的工作。

2.3. Verification of Documents / 文件的核实

In addition to the OSP including annexes, the following documents must be made available to the Kiwa BCS inspector by the ICS manager:

除了相关的OSP附件以外，ICS经理还须向Kiwa BCS检查员提供以下文件：

- written and signed membership agreement between each member and the group
- 农户团体成员和农户团体之间签订的书面协议
- internal inspection reports
- 内部检查报告
- training records of the ICS inspectors
- ICS检查员培训记录
- training records of members of the group of operators
- 农户团体成员培训记录
- the records of the measures taken in case of non-compliance by the ICS manager
- 出现不符合项时，ICS经理所采取措施的记录
- traceability records
- 可追溯记录
- sketch maps of each farm including production, processing, and storage
- 地块图，加工和仓储单元平面图

Additionally, farmers must have their own farm management records available.

另外，农户团体成员必须拥有自己的农事管理记录。

2.4. Inspection Report/ 检查报告

- The inspection report is the final document that describes the results of the inspection. It is compiled by the Kiwa BCS inspector and must be signed by the operation manager.
检查报告是最后的文件，说明检查的结果，由检查员整理填写，由项目操作者签名。
- It documents detected areas of concern / non-compliances with the respective standard.

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报告应记录按不同法规标准所发现的需要关注的问题或不符合项。

The results of the inspection report are basis for the certification.
检查报告的结果是认证的基础。

2.5. Possible other Procedures / 其他可能的步骤

- Sampling is always possible, but in moments of suspicion it is mandatory. Note that sampling will be mandatory for EU compliant certification of groups of operators (refer to reg. 2021/279 art. 7 (d))
可以抽样，特别在有怀疑时必须抽样。请注意，针对小农户团体的欧盟认证，抽样是强制性的（参见 2021/279第 7章第 (d)部分）
- Sampling of packaging and/or labeling materials
包装/标签样品提取
- Inspection of additional parts of the operation
操作者其他部分的检查
- Additional inspections
附加检查

3. Certification / 认证

- Certification is based on the inspection report and the Organic Systems Plan
认证是基于检查报告和有机体系规程。
- If needed, conditions are imposed and communicated in written form
如必要，会以书面的形式提附加条件并告知客户。
- If needed, notification is given with measures according to the catalogue of measures
如必要，会以书面的形式提相关整改措施并告知客户。
- Tracing of implementation of conditions by Kiwa BCS
Kiwa BCS 跟踪整改措施完成的情况
- Certification decision / issuance of certificate
认证决定/签发证书

The Inspection Program is a model and not conclusive. Specific situations in the operations can lead to variances from the described program. It serves for orientation during the execution of the certification procedure according to the respective standard by Kiwa BCS Öko-Garantie GmbH. 检查方案是一个模式，并非不可更改。实际操作中，特定情况可能导致与所述程序的差异。此方案作为Kiwa BCS有机认证有限公司根据不同的标准进行认证一个参照。

The Inspection Program is subject to modifications.

如有变动请以现场实际安排为准