

Organic Certification Procedures 有机认证程序

1 Purpose and Scope 目的和范围

This instruction outlining the steps in the organic certification process, serves as a guide for everyone interested in certification.

本文件是有机认证流程概述，为对认证感兴趣的相关方提供指南。

2 Responsibility 职责

The following roles are required to complete the certification process

认证程序需将由以下岗位参与：

a) The Evaluation Officer (EO) 评议员：

- 1) reviews the completeness and reasonability of application documents (application and OPDs) and the client's ability to comply with the standard. If applicable, informs the client of the result.

负责审核申请文件（申请和 OPD）的完整性和合理性以及客户遵守标准的能力。如果适用，将结果通知客户。

- 2) after inspection evaluates the inspection reports, and all related documents.

负责检查后复核检查报告和所有相关文件。

- 3) will also prepare a plan for surveillance of certification and an inspection assignment for the upcoming year, including the assessment of the operation's risk.

还将为下一年的认证监督和检查任务制定计划，包括对操作者风险的评估。

b) The Inspector 检查员：

- 1) receives and studies the inspection assignments, prepare for the visit and conducts the inspection.

接受和学习检查任务书，为访问做准备并实施检查。

- 2) determines and describes findings (EU and JAS: non-compliances) and communicates them to the operator and to SRS; gives feedback on the operator's risk.

确定并描述检查发现（对于 EU 和 JAS：不符合），并将其传达给操作者和 SRS；反馈操作者的风险信息。

- 3) communicate with Evaluation Officer and the client during the correction process.

在整改过程中与评议员和客户进行沟通。

c) The Certification Officer (CO) reviews the evaluation process and makes the final decision to grant, deny or maintain certification of an operation based on a review of the documents.

认证人员（CO）负责审查复核过程，并根据对文件的审查做出授予、拒绝或维持操作者认证的最终决定。

3 Organic Certification Process 有机认证程序

The organic certification process includes five steps:

有机认证流程包括五个步：

- 1) the operation completes an application and develops an Organic Project Description (OPD);
操作方完成申请和有机项目描述（OPD）；
- 2) SRS reviews the application documents and the OPD, communicates with the client until all questions and doubts are cleared and finally gives feedback to the client. If non-compliances appear, these must be corrected before further progress can be made;
SRS 评审申请文件和 OPD，与客户澄清任何问题并最终给客户关于符合性的反馈。如果出现不符合项，则必须在进行下一步前进行整改。
- 3) following successful review of the documents, the SRS inspector conducts an on-site inspection of the operation to evaluate the implementation and the completeness of the OPD and the operation's compliance with the organic regulation(s);
通过文件审核后，由 SRS 检查员对操作者进行现场检查，以评估 OPD 的实施和完整性以及操作是否符合有机法规
- 4) SRS reviews the inspection report and decides whether to grant certification to the operation;
SRS 复核检查报告，并决定是否对操作单元进行认证；
- 5) while SRS prepares the inspection plan for the upcoming year, the operator will report changes that affect compliance to SRS all through the year.
当 SRS 为来年的检查计划做准备时，操作者应在全年中向 SRS 报告可能影响合规性的变化情况。

To continue certification, at the time determined by SRS, the operation submits an annual update of its OPD and pays the annual certification fees to SRS then repeats steps 2 through 5 based on the updated information.

为了继续保持认证，操作者应提交其 OPD 的年度更新，并向 SRS 支付认证费用，然后根据更新的信息重复步骤 2 至 5。

3.1 Step 1 – Application Review, Fees, Contract Signing

第一步——申请评审、缴纳费用、签订合同

- 3.1.1 An operation which wants to become certified first contacts SRS. SRS provides information about its application process, about requirements of the organic standard they apply for, links to official websites, application forms and certification fee schedule. If the operator sends the completed application to SRS, he/she will be sent a cost estimation for certification. If the review of the application shows that SRS can accept the application, the applicant is informed, and if the operation decides to proceed with SRS, both parties sign the contract and the client makes the pre-payment.

认证操作方首先联系 SRS。SRS 提供有关申请流程、申请有机标准的要求、官方网站链接、申请表和认证收费的信息。操作方填写申请表后发给 SRS。如果申请评审表明 SRS 可以受理申请，则会通知申请方，他/她将收到一份认证费用报价，如果操作方决定继续认证，双方签署合同，由客户支付预付款。

3.1.2 We will at least collect the information below:

我们至少需要下列信息：

- 1) the name of the person completing the application;
填写申请人的姓名
- 2) the applicant's business name, address, responsible person and telephone number in a way that correctness can be confirmed;
申请方企业名称、地址、负责人和电话号码，以便确认其正确性；
- 3) the name(s) of any CB(s) to which application has previously been made; the year(s) of application; the outcome of the application(s) submission, including, when available, a copy of any notification of non-compliance or denial of certification issued to the applicant for certification; and a description of the actions taken by the applicant to correct the non-compliances noted in the notification of non-compliance, including evidence of such correction.
以往提出过认证申请的任何认证机构、申请年份、申请结果，包括向申请人发出的任何不遵守或拒绝认证的通知（如有）；以及申请人为纠正不符合通知中指出的不合规行为而采取的行动说明，包括这些纠正的证据。

3.1.3 SRS makes its application forms and fee schedules, readily available. Publishing this information on SRS website allows potential applicants to access it quickly and easily, but documents and information are also provided upon request to individuals without internet access.

SRS 随时提供申请表和费用表。SRS 的网站上将发布这些信息，以便于潜在的申请人快速方便地访问这些信息，但文件和信息也会应要求提供给无法上网的个人。

3.2 Step 2 – OPD Review and Feedback

第二步——OPD 审查和反馈

3.2.1 Next the client is provided the forms for submitting the operation description (OPD) to SRS. The document will be reviewed within a reasonable time and if the review shows that information is plausible, that the applicant appears to, or may be able to, comply with the regulations, then SRS schedules an on-site inspection. If the application does not include enough information for SRS to determine whether the operation may be able to comply with the regulations, then SRS is to request more information from the operation before scheduling the on-site inspection. The review of the application must cover at least the following:

接下来，SRS 向客户提供操作者描述（OPD）表格填写。该文件将在合理的时间内接受评审，如果评审后表明信息是可信的，申请人似乎或可能符合规定，则 SRS 将安排现场检查。如果申请表中没有包含足够信息供 SRS 确定操作方是否能够符合标准，则 SRS 将在安排现场检查之前向操作者请求更多信息。对申请文件的评审必须至少包含以下内容：

- a) all inputs and practices listed and described in the OPD comply with the regulations; preventive practices are in place and adequate;
OPD 中列出和描述的所有投入品和操作管理都符合规定；预防措施到位且充分；
- b) all locations are well described;
很好地描述了所有位置；
- c) practices for preventing comingling and contamination appear to be adequate;
预防混杂和污染的操作似乎是恰当的；
- d) all multi-ingredient of products that shall be sold, labeled, or represented as organic meets the requirements for the proposed labeling category and all ingredients listed as organic are certified;
所有应销售、标识或呈现为有机产品的多成分产品都符合拟定标签类别的要求，并且所有列为有机成分的配料都经过认证；
- e) verify the use of any non-organic ingredients or processing aids or ingredients to determine that they are allowed by the organic standard;
验证任何非有机成分或加工助剂或成分的使用情况，以确定其符合有机标准；
- f) monitoring practices are in place.
监控措施到位。

3.2.3 If the applicant fails to submit all required information or minor information is missing prior to the inspection, then SRS may instruct the inspector to collect this information on-site. If the operation fails to provide or willfully withholds significant information, then SRS shall take appropriate compliance actions.

如果申请方未能在检查前提交所有要求的信息或缺少次要信息，SRS 可指导检查员现场收集这些信息。如果操作方未能提供或故意隐瞒重要信息，SRS 应采取适当的合规措施。

3.2.4 If an applicant was previously certified by another certification body, then the applicant must provide the previous certification history, including documentation to support the correction of any previous non-compliances, and report possible adverse actions (e.g., Notices of Proposed or Final Suspension or Revocation). In addition, SRS is obliged to contact the previous certification body to receive certification documents directly from them.

如果申请方先前已获得另一认证机构的认证，则申请方必须提供其先前的认证历史，包括支持纠正任何以往存在的不符合的证明文件，并报告任何不利行动（例如，建议或最终暂停或撤销通知）。此外，SRS 有义务联系先前的认证机构并从他们处直接获取认证文件。

3.2.5 An applicant may withdraw its application any time. Payments may be due, respectively parts of the payments made may not be refunded. Information can be found in the fee schedule **ORG-Pol2**.

申请人可以随时撤回申请。付款可能到期，部分付款可能不予退还。可以在费用表 **ORG-Pol2** 中找到信息。

3.2.6 SRS will review the OPD and send feedback to the applicant, including detected non-compliances and ask for correction if this is possible. The feedback will inform the

applicant as to whether the application was accepted and the inspection can be scheduled.

SRS 向申请方发送反馈函，包括发现的不符合项，要求其在可能的时候进行纠正。反馈函将告知申请方申请是否被接受以及检查是否可以安排。

3.3 Step 3 – Assignment and Inspection

第三步——委派和检查

3.3.1 Once the OPD review shows positive, SRS schedules an on-site inspection. An assignment is issued to the tentative inspector. The inspection must be scheduled promptly after receiving of relevant application documents and payment, although it may be delayed for up to six months so that the inspector can observe decisive activities. For example, if SRS receives a crop production application during the winter, the inspection may be delayed until the spring or summer when the production season is underway. The inspection must be assigned to a qualified inspector, who is given an assignment along with the available documentation.

当 OPD 反馈良好时，SRS 将安排现场检查。向暂定的检查员发送任务书。检查通常应在收到相关申请文件和付款后立即安排，有时可能会推迟但不得超过六个月，以便检查员能够验证到关键性活动。例如，如果 SRS 在冬季收到作物生产的申请，检查可能会被推迟到春季或夏季等生产季节进行。应将检查委派给合格的检查员，并向其发放适用的文件。

3.3.2 Any announced on-site inspections must be conducted when an authorized representative of the operation who is knowledgeable about the operation is present and at a time when land, facilities, and activities that demonstrate the operation's compliance with or capability to comply with the applicable provisions of regulations can be observed, except that this requirement does not apply to unannounced on-site inspections or to processing operations which do organic processing only few times a season or upon demand. The purpose of the on-site inspection is to:

任何已通知的现场检查必须在熟悉该操作者运营情况的授权代表在场的情况下进行，并且在土地、设施和活动证明该操作方符合或有能力遵守适用的规定时进行。该要求不适用于非通知现场检查，或每年就进行几次或根据订单生产的有机加工项目。现场检查目的：

1) assess whether the operation complies or has the ability to comply with the regulations;

评估操作方是否符合规定或有能力遵守规定；

2) verify that the OPD accurately reflects the operation's activities;

验证 OPD 是否准确反映操作活动；

3) ensure that prohibited substances have not been applied.

确保未使用禁用物质。

3.3.3 The inspector shall conduct an opening meeting to introduce the inspection plan. This meeting defines the role of the inspector, communicates the confidentiality of all information, and outlines the planned inspection activities. This is the inspector's opportunity to set expectations and answer the applicant's questions.

检查员应当召开末次会议，介绍检查计划。该会议明确检查员的角色，传达所有信息的保密

性，并概述计划的检查活动。这是检查员设定期望并向申请方澄清问题的机会。

3.3.4 The inspector will visit each production unit, facility, and site where the operation produces, handles or trades/exports organic (including in-conversion), and where applicable non-organic products. The inspection includes, but is not limited to:

检查员将访问生产、加工或销售/出口有机（包括转换期）产品的每个生产单元、设施和场所，以及适用时的非有机产品。检查内容包括但不限于：

- 1) **evaluation of the OPD that the operator maintains on-site to ensure that the operator has an updated OPD, is implementing the OPD, and that the OPD complies with the regulations;**
现场评估操作者的 OPD，以确保其正实施更新的 OPD，并且符合规定；
- 2) **for crop producers: evaluation of soil and nutrient management, adjoining land use, buffer zones, land use history, production capacity of the land, seeds and planting stock used, crop rotation practices, environmental conversation practices, prevention and pest control activities harvest, labeling, and shipping;**
对于作物生产者：评估土壤和养分管理、邻近土地利用、缓冲带、土地利用历史、土地生产能力、使用的种子和繁殖材料、作物轮作管理、环境管理、预防和病虫害防治活动、收获、标签和运输；
- 3) **for wild crop (wild collection) producers: evaluation of designated harvest (collection) areas, sustainable harvest practices, and re-seeding or pruning activities;**
对于野生作物（野生采集）生产者：评估指定的收获（采集）区域、可持续收获管理以及补种或修剪活动；
- 4) **for processors/handlers/traders/exporters: evaluation of product composition, receipt, processing, pest control, storage, labeling and shipping, as well as practices to prevent commingling and contact with prohibited substances;**
对于加工商/处理商/贸易商/出口商：评估产品原料、接收、加工、有害生物防治、贮存、标签和运输，以及防止与禁用物质混合和接触的管理措施；
- 5) **verification of the operation's production or handling capacity;**
验证操作者的生产或加工/处理能力；
- 6) **evaluation of the recordkeeping system and verification of activities through appropriate records and bookkeeping documents;**
评估记录保持体系并通过适当的记录和账簿文件验证操作活动；
- 7) **reconciliation of the volume of organic products produced or received with the amount of organic products handled and/or sold or shipped, also known as mass balance;**
核对生产或接收的有机产品数量与处理和/或销售或运输的有机产品数量，也称为流量平衡验证。
- 8) **conduct exercises for tracing sold products back to suppliers through the chain of production;**

通过生产链将销售的产品追溯到供应商；

- 9) sampling of organic agricultural products for residue testing, if applicable. The inspector will provide a receipt for any samples taken.

有机农产品抽样进行残留检测（如适用）。检查员将对任何采集的样品提供凭证。

- 10) examination whether and to what extent complaints, pesticide findings, product rejections occurred and how the client handled any exclusion from organic sales or investigation conducted by SRS. In cases where the organic mark must be taken off a product, the inspector shall assist SRS to control the conventional marketing of batches.

检查是否发生了投诉、农药发现、产品拒收，以及客户如何处理有机销售或 SRS 调查之外的情况。如果必须从产品上移除有机标签，检查员应协助 SRS 控制常规销售的批次。

- 3.3.5 At the end of the inspection, the inspector conducts an exit interview with an authorized representative of the operation. During the exit interview, the inspector communicates findings and potential non-compliance observed, and requests additional information that may be missing from the OPD. If significant information is missing, the inspector should note this in the inspection report and discuss this as a concern during the exit interview.

检查结束时，检查员会与该操作方的授权代表进行末次会议。末次会议期间，检查员传达检查发现和潜在的不符合情况，并要求其提供 OPD 上可能缺少的任何其他信息。如果缺少重要信息，检查员应在检查报告中注明这一点，并在末次会议期间将其作为一个问题进行讨论。

- 3.3.6 Inspectors often discover new information or documentation during on-site inspections. The inspector may accept additional OPD updates during the inspection, up until the start of the exit interview, and should provide new information received on-site to SRS. If the inspector and the operator update the OPD during the inspection, then the inspector should provide a copy of the update to both the operator and SRS. Once the inspector finishes the inspection report, he or she sends the report to SRS for review. SRS will evaluate the inspector's findings when making a final certification decision.

在现场检查过程中，检查员经常会发现新的信息或文件。可以接受操作者在检查期间对 OPD 进行额外更新，直到末次会议开始，并应向 SRS 提供现场收到的任何新信息。如果检查员和操作者在检查期间更新 OPD，则检查员应向操作者和 SRS 提供更新的版本。检查员完成检查报告后，将报告发送给 SRS 进行复核。SRS 将在做出最终认证决定前评估检查员的检查结果。

- 3.3.7 Inspections are not consulting visits. Inspectors may ask questions, collect and provide information, and explain the regulations or SRS's requirements. Inspectors are prohibited, however, from advising the operator on how to overcome barriers to organic production or to certification.

检查不是咨询访问。检查员可以提出问题、收集和提供信息，并解释法规或 SRS 的要求。然而，检查员不得就如何克服对有机生产或对认证的障碍向操作者提供建议。

- 3.3.8 SRS conducts additional on-site inspections of applicants for certification and certified operations to determine compliance with the regulations. Additional inspections may

be announced or unannounced. Following risk assessment, SRS shall ensure that additional random inspections are carried out, according to risk classification, in at least 10% of the client companies. Furthermore, SRS shall perform at least 10% of the inspections unannounced.

SRS 将对认证申请方和认证操作者进行额外的现场检查，以确定其是否符合法规。额外的检查可能是通知或不通知的。SRS 应确保根据风险分类，对至少 10% 的客户公司进行额外的随机检查。此外，SRS 执行至少 10% 的不通知检查。

3.3.9 Inspection of sub-contractors are mandatory, as are sites of the operation itself. Such operations must sign an agreement and all activities must be part of the client's OPD (EU and JAS). In the case of NOP, a sub-contracted company must obtain its own certification. Only after application and OPD review may an inspection be conducted.
对分包商以及操作者本身的现场检查都是强制性的。此类的操作者必须签署协议，所有活动必须是客户 OPD（EU 和 JAS）的一部分。在 NOP 的情况下，分包公司必须获得自己的认证。只有在评审申请和 OPD 后，才能进行检查。

3.4 Step 4 – Evaluation of Inspection Report

第四步——复核检查报告

Within a reasonable time period, the evaluation of the inspection results will be performed by the Evaluation Officer (EO). Possible investigation, as the result of positive test results will be conducted as this stage as well. the EO will inform the operator of possible non-compliances and ask for corrections and contributions to an investigation.

对检查结果的评估将由评议员（EO）在合理的时间内进行。如果检测结果有检出，可能的调查也将在此阶段进行。EO 将通知操作者可能存在的违规行为，并要求其纠正并参与调查。

3.5 Step 5 – Certification Decision and Certification

第五步——认证决定和认证

3.5.1 When the evaluation process is closed the Certification Officer (CO) conducts a final review and makes the decision. SRS will provide the applicant with a copy of the on-site inspection report, as approved by SRS, for any on-site inspection performed; provide the applicant with a copy of the test results for any samples taken by an inspector and inform about the certification decision.

当复核结束后，认证决定人员（CO）进行最终审查并做出决定。SRS 将向申请方提供经 SRS 批准的现场检查报告副本，用于进行任何现场检查；向申请人提供检查员抽取的任何样品检测报告副本，并发送认证决定。

3.5.2 If the review finds confirmed, that the operation is in compliance with the standard, then SRS will grant the certification. This is also the case when only minor non-compliances are found and conditions are given to the operation to correct a minor non-compliance within a given time. The certificate which is issued to the operation will remain valid until surrendered, suspended or revoked by SRS.

如果审查确认操作符合标准，则 SRS 将授予认证。也适用于当操作只有轻微不符合项，并在给定时间内纠正轻微不符合项的情况。颁发给操作方的证书将一直有效，直到其被放弃（注销）、由 SRS 暂停或撤销。

3.5.3 If the operation does not comply with the regulations, and the client withdraws its application, no further actions are needed, no notice is sent to the client. If the application is not withdrawn, the EO makes one of the following possible certification decisions:

如果操作不符合规定，并且客户在得知不符合项前撤回了申请，则无需采取进一步行动，也不会向客户发送认证通知。如果申请未被撤回，CO 可能做出以下认证决定之一：

1) notice of Non-compliance for correctable violations. A Notice of Non-compliance allows the operation to submit a response with proposed corrective actions. Upon receipt, SRS reviews the corrective actions to determine whether the operation complies with the regulations. If the operation appears to comply, then SRS recommends certification or certification with conditions. If the operation does not appear to comply, then SRS proceeds to deny the certification;

可被纠正的不符合项通知。操作者可以回复和提交建议的纠正措施。SRS 将在收到后复核纠正措施，以确定操作是否符合规定。如果操作似乎符合要求，则 SRS 推荐认证或有条件认证。如果操作似乎不符合要求，则 SRS 将拒绝认证；

2) combined Notice of Non-compliance and Denial of Certification for non-correctable violations.

无法纠正的不符合项和拒绝认证的联合通知。

3) SRS may conduct additional on-site inspections to verify continued compliance with the regulations. These inspections may be announced or unannounced, as deemed appropriate by SRS.

SRS 可能会实施额外的现场检查，以验证是否持续符合法规。这些检查可以是通知的或不通知的，SRS 将视情况而定。

When a denial is issued, then SRS sends a notification of non-compliance to the applicant. When correction of a non-compliance is not possible, a notification of non-compliance and a notification of denial of certification will be issued. The notification of non-compliance shall provide:

当发出拒绝通知时，SRS 会向申请方发送不符合项通知。如果无法纠正不合规行为，我们将发出不符合项通知和拒绝认证通知。不符合项通知将包含：

(1) a description of each non-compliance;

每条不符合的详细描述；

(2) the facts upon which the notification of non-compliance is based;

不符合项通知基于的事实依据；

(3) the date by which the applicant must rebut or correct each non-compliance and submit supporting documentation of each such correction when correction is possible.

申请方必须反驳或纠正每条不符合项的最后期限，并在可能纠正的情况下提交每一项此类纠正措施的证明文件。

3.5.4 After receipt of such notification of non-compliance, the applicant may:

申请方在收到不符合项通知后，可以：

- (1) correct non-compliances and submit a description of the corrective actions taken with supporting documentation to SRS;

纠正不符合项，并向 SRS 提交所采取纠正措施的说明和支持文件；

- (2) submit written information to SRS to rebut the non-compliance described in the notification of non-compliance.

向 SRS 提交书面信息，以反驳不符合项通知中所述的不合规行为。

3.5.5 After issuance of a notification of non-compliance, SRS must:

在发出不符合项通知后，SRS 必须：

- (1) evaluate the applicant's corrective actions taken and supporting documentation submitted or the written rebuttal, conduct an on-site inspection if necessary;

评审申请人采取的纠正措施和提交的证明文件或书面反驳，必要时进行现场检查；

- (i) when the corrective action or rebuttal is sufficient for the applicant to qualify for certification, issue the applicant an approval of certification;

当纠正措施或反驳足以使申请方有资格获得认证时，向申请方颁发认证批准；

- (ii) when the corrective action or rebuttal is not sufficient for the applicant to qualify for certification, issue the applicant a written notice of denial of certification;

当纠正措施或反驳不足以使申请方有资格获得认证时，向申请方发送拒绝认证的书面通知

- (2) issue a written notice of denial of certification to an applicant who fails to respond to the notification of non-compliance;

向未对不符合项通知作出答复的申请方发送拒绝认证的书面通知；

- (3) provide notice of approval or denial to the Administrator (depends on specific regulation).

向管理方提供批准或拒绝通知（取决于具体规定）。

3.5.6 A notice of denial of certification must state the reason(s) for denial and the applicant's right to:

拒绝认证通知必须说明拒绝认证的原因，并且申请方有权：

- (1) reapply for certification;

重新申请认证；

- (2) request mediation;

要求调解；

- (3) file an appeal of the denial of certification or, if applicable, pursuant to a State Organic Program (applicable for NOP).

对拒绝认证提出申诉，或如适用，根据州组织有机计划提出上诉（适用于 NOP）

3.5.7 An applicant for certification who has received a written notification of non-compliance or a written notice of denial of certification may apply for certification again at any time.
收到不符合项书面通知或拒绝认证书面通知的认证申请方可随时重新申请认证。

3.5.8 When SRS receives a new application for certification, which includes a notification of non-compliance or a denial of certification, we will treat the application as a new application and begin a new application process.

当 SRS 收到新的认证，申请中包括不符合项或拒绝认证的通知时，我们将把该申请视为新的申请，并开始新的申请流程。

3.5.9 If SRS has reason to believe that an applicant for certification has willfully made a false statement or otherwise purposefully misrepresented the applicant's operation or its compliance with the certification requirements, SRS may deny certification without first issuing a notification of non-compliance.

如果 SRS 有理由相信认证申请方故意做出虚假陈述，或以其他方式故意歪曲申请方的操作或其对认证要求的遵守情况，SRS 可以拒绝认证，而无需事先发出不符合项通知。

4 Continuation of Certification – Surveillance

保持认证——监督

4.1 From the time an operation is certified, updates in the organic standard or changes in rules of SRS will be send to the operator whenever applicable. The operator on the other hand is obliged to inform SRS immediately, in case of suspected contamination or fraud, or in cases where non-compliance occurred in organic production.

自获得认证起，更新的有机标准或 SRS 的认证规则将在适用的情况下发送给操作者。另一方面，如果怀疑存在污染或欺诈行为，或有机生产中出现不合规情况，操作者有义务立即通知 SRS。

4.2 Any time during the year, may an operator notify SRS of plans to add new products, fields, operations, or labels to its organic certification. An update of the OPD will be needed, then SRS will decide whether an additional inspection would be required, e.g. adding of new fields, animal species, or facilities. In other cases an approval of changes may be possible by desk review Afterwards the certificate will be updated, if needed.

一年中的任何时候，运营者都可以通知 SRS 计划在其有机认证中增加新的产品、领域、操作或标签。需要更新 OPD，然后 SRS 将决定是否需要额外的检查，例如增加新的地块、动物品种或设施。在其他情况下，可以通过书面审查批准变更。之后，如果需要，将更新证书。

4.3 Annual inspections are mandatory according to all organic standards. An exception can be made in the case of EU certification, where during three consecutive inspections no non-compliances had been detected. SRS may decide to “skip” an annual inspection and visit again no later than 24 months following the previous inspection.

根据所有有机标准，年度检查是强制性的。欧盟认证可以例外，当连续三次检查中没有

发现不符合项，SRS 可决定“跳过”年度检查，并在上次检查后的 24 个月内再次访问。

Annual inspection is due at a time determined by SRS. This may be any time between 6 months and 12 or more months after the previous inspection. Whether inspection are conducted early in the year or later, in any case will there be one annual inspection. In time SRS sends the last submitted OPD to the client, who is asked to updated it. SRS sends an updated offer respectively an invoice for payment for the renewal fee. If the operation fails to submit its annual update and/or fees, SRS issues a Notice of Non-compliance. The annual update must include any changes to the OPD that were made during the last year, as well as any changes planned for the coming year. If SRS requires supporting documentation to verify these changes, then the operation should provide it.

年度检查应在 SRS 确定的时间内进行。这可能是在上一次检查之后 6 个月至 12 个月或更长时间之间的任何时间。无论是在年初还是晚些时候进行检查，在任何情况下都会进行一次年度检查。SRS 会及时将最后提交的 OPD 发送给客户，要求客户更新 OPD。SRS 分别发送更新后的报价和支付再认证费用的付款通知。如果操作者未提交年度更新和/或费用，SRS 将发布不符合通知。年度的更新必须包括上一年对 OPD 所做的任何更新，以及下一年计划的任何变化。如果 SRS 需要证明文件来验证这些变更，那么操作者应当提供这些文件。

The annual update does not need to reiterate information that was previously submitted.

年度更新不需要重申以前提交的信息。

- 4.4 If an operation fails to submit an annual update prior to the on-site inspection, SRS will issue a Notice of Non-compliance. However, the failure of an operation to submit an annual update does not relieve SRS of its obligation to conduct an annual inspection. The failure to submit the annual fee however, leads to a Notice of Non-compliance combined with a proposed suspension. SRS will not conduct the annual inspection. 如果运营者未能在现场检查之前提交年度更新，SRS 将发布不符合通知。但是，不提交年度更新的操作并不会免除 SRS 进行年度检查的义务。但是，如果未提交年费，将导致不符合和建议暂停的联合通知。SRS 不会进行年度检查。

- 4.5 After the annual inspection has taken place SRS will again review both the updated OPD and the inspection report, SRS then communicates the results and decision in writing to the operation. If SRS has reason to believe, based on the on-site inspection and a review of the information, that a certified operation is not complying with the requirements of the related regulations, SRS shall provide a written notification of non-compliance to the operation. As with the initial certification decision, the decision to continue certification may include new conditions for minor, non-violative issues. 在年度检查之后，SRS 将再次复核更新的 OPD 和检查报告，然后 SRS 将以书面形式将结果和决定传达给操作者。基于现场检查和复核相关信息，如果 SRS 有理由认为获得认证的运营者不符合相关法规要求，SRS 应提供不符合操作的书面通知。与最初的认证决定一样，保持认证的决策可能包括针对轻微、非违规问题的新条件。

4.6 Violations of the standards and regulations must, in the case of NOP, be reported to the NOP Administrator.

对于 NOP，必须向 NOP 管理员报告违反标准和法规的情况。

4.7 If SRS determines that the certified operation is complying with the regulations, an updated certificate should be issued.

如果 SRS 确定经获得认证的操作者符合法规要求，则应颁发更新的证书。

4.8 If it is found that the operation does not comply with the organic standard, non-compliances are found which cannot be corrected or willful violation occurred, adverse action will be imposed, these can be a (temporary) suspension, the cancellation of the certification contract, respectively a revocation of certification.

如果发现操作者不符合有机标准，发现不符合无法纠正或故意违规，则将采取不利行动，这可能是（临时）暂停，终止认证合同，或是撤销认证。

5 Extension and Reduction of Certification Scope

认证范围的扩大和缩小

5.1 Extension of Certification Scope 认证范围的扩大

5.1.1 Where an operation wants to include a new certification standard or scope, completed **ORG-F1 Application** must be submitted and the steps as detailed in chapter 3 above will be followed.

若操作者要新增认证标准或范围，须提交填写完整的 ORG-F1 申请表，并遵循上述第 3 章规定的流程。

5.1.2 Where an operation wants to include new sites, an additional inspection must be scheduled before this site can be included in the certification scope.

若操作者要新增场所，必须安排额外检查后方可将该场所纳入认证范围。

5.1.3 Where an operation wants new products to be added on the certificate, a case-by-case decision will be taken if these can be included based only on a document check or if an additional inspection is needed. In any case an updated OPD including attachment must be submitted. An additional inspection is required e.g. where the processing steps of new products do significantly differ from those ones already certified.

若操作者要增加证书中的产品，将根据对个案的文件审查结果来确定是否需进行额外检查。无论何种情况，均须提交更新的 OPD 文件（含 OPD 附件）。若新产品的加工流程与已认证产品存在显著差异，则必须进行额外检查。

5.2 Reduction of Certification Scope 认证范围的缩小

5.2.1 Where an operation wants to give up a certification standard a surrender must be submitted to SRS using document **S6-T6 Surrender of Certification**. Surrenders cannot be granted retroactively, but an operation can surrender only at a future date.

若操作者放弃某项认证标准，须通过 **S6-T6 认证放弃声明** 文件向 SRS 提交申请。放弃

声明不可追溯生效，操作者仅能申请在未来的某一日期生效。

5.2.2 Where an operation wants to give up/exclude certain sites from the scope of certification, an updated OPD including attachment must be submitted as well as a statement by when the amendment shall come into effect. Where fields are affected, SRS needs also information on what is going to happen with them in order to determine if parallel production may apply in the future.

若操作者要从认证范围中移除特定场所，须提交更新的 OPD 文件（含 OPD 附件），并声明变更的生效日期。若涉及农田，SRS 还需知悉其后续用途，以判定未来是否适用平行生产。

5.2.3 Where an operation wants products to be deleted from the certificate, an updated OPD including attachment must be submitted as well as a statement by when the amendment shall come into effect. As soon as the amendment will have come into effect, the operator is not allowed anymore to sell the affected products as organic.

若操作者要删除证书中的产品，须提交更新的 OPD 文件（含 OPD 附件），并声明变更的生效日期。变更生效后，操作者不得再将相关产品作为有机产品销售。

6 References 参考文件

NOP Program Handbook: The Organic Certification Process (NOP 2601)

NOP 操作手册：有机认证程序 NOP 2601

Requirements for certification bodies which certify organic products in third countries according to Reg. (EU) 2018/848 and its supplementing and implementing regulations.

根据 Reg. (EU) 2018/848 及其补充和实施条例，认证第三国有机产品的认证机构要求。