

CHTC 国际有机产品认证实施规则

CHTC International Organic Product Certification Implementation Rules

(版本 Version: V4.00)



文件编号 Document: CTS/CHTC 0005-2019

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2026年6月30日发布 Published

2026年8月1日实施 Implemented

北京五洲恒通认证有限公司

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前 言

Foreword

本实施规则根据《中华人民共和国认证认可条例》、《认证机构管理办法》，以及《国家认监委关于加强认证规则管理的公告》（2025 年第 9 号）制定。/ These Implementation Rules are formulated in accordance with the *Regulations of the People's Republic of China on Certification and Accreditation*, the *Administrative Measures for Certification Bodies*, and the *Announcement of the Certification and Accreditation Administration of the People's Republic of China on Strengthening the Management of Certification Rules* (No. 9 of 2025).

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本实施规则由北京五洲恒通认证有限公司 2017 年 9 月 1 日发布，于 2025 年 1 月 1 日第一次修订，2025 年 3 月 9 日第二次修订，2025 年 6 月 5 日进行第三次修订，2026 年 6 月 30 日进行第四次修订。/ These Implementation Rules were issued by CHTC on September 1, 2017, and was revised for the first time on January 1, 2025, for the second time on March 9, 2025, for the third

time on June 5, 2025, and for the fourth time on June 30, 2026.

本实施规则自 2026 年 8 月 1 日起实施。/ These Implementation Rules have been in effect since August 1, 2026.

本实施规则由北京五洲恒通认证有限公司解释。/ These Implementation Rules are interpreted by CHTC.

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1 目的和适用范围 Purpose and Scope

1.1 为规范 CHTC 国际有机产品认证活动，统一 CHTC 国际有机产品认证，根据《中华人民共和国认证认可条例》、《认证机构管理办法》和《国家认监委关于认证规则备案的公告》等有关法律法规，制定本规则。/ To standardize CHTC international organic product certification activities and unify CHTC international organic product certification, this rule is formulated in accordance with the "Regulations of the People's Republic of China on Certification and Accreditation," the "Administrative Measures for Certification Bodies," and the "Announcement of the Certification and Accreditation Administration of the People's Republic of China on the Filing of Certification Rules," and other relevant laws and regulations.

1.2 本规则宗旨本规则旨在阐述申请、实施和保持 CHTC 国际有机产品认证方面的要求，适用于所有申请 CHTC 国际有机产品认证的申请方、获证组织，也同时适用于 CHTC 开展 CHTC 国际有机产品认证。/ Purpose of this rule: This rule aims to explain the requirements for applying for, implementing, and maintaining CHTC international organic product certification. It applies to all applicants and certified organizations applying for CHTC international organic product certification, and also applies to CHTC's CHTC international organic product certification activities.

2 认证模式 Certification Mode

管理体系评价+现场检查+产品抽样检测+获证后监督+再认证

Management system evaluation + on-site inspection + product sampling and testing + post-certification supervision+ recertification

3 机构要求 Certification Body Requirements

3.1 应具备《中华人民共和国认证认可条例》规定的条件和从事有机产品认证的技术能力，并获得认监委的批准。/ Applicants should possess the

qualifications and technical capabilities required for organic product certification as stipulated in the "*Regulations of the People's Republic of China on Certification and Accreditation*," and obtain approval from the Certification and Accreditation Administration of the People's Republic of China (CNCA).

3.2 从事服务认证的认证机构，应具备相应认证领域批准的从事服务认证的资质或与具备相应认证领域批准的机构进行分包签约，应具有熟悉消费者权益保护、产品质量、合同法、等相关的专职的专业技术人员。/ Certification bodies engaged in service certification should possess the approved qualifications for service certification in the relevant certification field or have subcontracted agreements with approved bodies in the relevant certification field. They should have dedicated professional and technical personnel familiar with consumer rights protection, product quality, contract law, and other related matters.

4 认证单元划分 **Certification Unit Division**

依据认证机构相应的资质范围按照如下原则划分认证单元/ Certification units are divided according to the following principles based on the respective qualifications of the certification bodies::

a) 欧盟有机产品认证 EU Organic Product Certification:

区域范围 Geographic Scope: 中国 China、俄罗斯 Russia

未加工的植物和植物产品，包括种子和其他的植物繁殖材料/ Unprocessed plants and plant products, including seeds and other plant propagation materials

用作食品的加工农产品，包括用作食品的水产养殖产品/ Processed agricultural products used as food, including aquaculture products used as food

b) 日本有机产品认证 JAS Organic Product Certification:

区域范围 Geographic Scope: 除日本外 Outside of Japan

有机农产物（含设施栽培和芽苗菜、食用菌、野生采集）/ Organic agricultural

products (including greenhouse-grown and sprouts, edible fungi, and wild-harvested)

有机加工食品(含酒精)/ Organic processed foods (including alcohol)

有机饲料/ Organic feed

有机藻类/ Organic algae

5 认证的基本环节 Basic Certification Processes

认证的主要环节包括：认证申请及受理；文档审核；现场审核；现场抽样检测；复核、认证决定；获证后监督；再认证/ The main certification processes include: application and acceptance; document review; on-site inspection; on-site sampling and testing; review and certification decision; post-certification supervision; and recertification.

6 认证依据 Certification Basis

6.1 欧盟有机产品认证 EU Organic Product Certification: (EU)2018/848 及相关的二级法规/ (EU) 2018/848 and related secondary regulations

6.2 日本有机产品认证 Japanese Organic Product Certification: JAS 有机规格/ JAS Organic Specification

7 认证人员 Certification Personnel

7.1 从事认证活动的人员应具有相关专业教育和工作经历，接受过有机产品生产、加工、经营、食品安全和认证技术等方面的培训，具备相应的知识和技能。 / Personnel engaged in certification activities should possess relevant professional education and work experience, have received training in organic product production, processing, operation, food safety, and certification technology, and possess the corresponding knowledge and skills.

7.2 有机产品认证检查员应取得中国认证认可协会的执业注册资质。 / Organic product certification inspectors should obtain professional registration

qualifications from the China Certification and Accreditation Association.

7.3 从事 CHTC 国际有机产品认证的检查员（以下简称检查员）和认证决定/复核人员，应经过 CHTC 国际有机产品认证专业知识培训，具备实施 CHTC 国际有机产品认证检查的能力。/ Inspectors and certification decision/review personnel engaged in CHTC international organic product certification should have undergone CHTC international organic product certification professional knowledge training and possess the ability to conduct CHTC international organic product certification inspections.

7.4 CHTC 结合自身情况，制定 CHTC 国际有机产品认证人员能力评价准则，对从事认证的相关人员能力做出评价，以满足实施 CHTC 国际有机产品认证活动的需要。/ CHTC, based on its own circumstances, has formulated CHTC international organic product certification personnel competency evaluation criteria to evaluate the competence of relevant personnel engaged in certification, in order to meet the needs of implementing CHTC international organic product certification activities.

7.5 认证人员应当遵守与从业相关的法律法规，对认证检查活动及相关认证检查记录和认证检查报告的真实性承担相应的法律责任。/ Certification personnel shall comply with laws and regulations related to their profession and bear corresponding legal responsibility for the authenticity of certification inspection activities and related certification inspection records and reports.

7.6 认证人员不得是国家法律法规和国家政策禁止或者限制从事活动的人员。/ Certification personnel must not be persons prohibited or restricted from engaging in activities by national laws, regulations, and policies.

8 认证实施的基本要求 Basic Requirements for Certification Implementation

8.1 认证申请及受理 Certification Application and Acceptance

8.1.1 CHTC 应向申请组织至少公开以下信息 CHTC shall disclose at least the following information to the applicant organization:

- (1) 本规则的完整内容。 / The full content of these rules
- (2) 收费标准。 / Fee schedule
- (3) 对认证过程的申诉规定。 / Complaint and appeal provisions for the certification process
- (4) 证书样式和认证标志。 / Certificate template and certification mark
- (5) 认证证书有效、暂停、注销或者撤销的状态。 / The status of the certification certificate, whether valid, suspended, cancelled, or revoked.

8.1.2 申请人应具备服务认证的条件 / Applicants should meet the following conditions for service certification

- 1) 取得国家市场监督管理总局或有关机构注册登记的法人资格（或其组成部分）； / Obtain legal person status (or a component thereof) registered with the State Administration for Market Regulation or relevant agencies
- 2) 认证委托人及其相关方应取得相关法律法规规定的行政许可（适用时），如生产许可证、动物防疫合格证、保健食品批准书等； / The certification client and its related parties should obtain the administrative licenses stipulated by relevant laws and regulations (where applicable), such as production licenses, animal disease prevention certificates, health food approval certificates, etc.
- 3) 认证委托人未列入国家信用信息严重失信主体相关名录； / The certification client is not listed in the national credit information list of

seriously dishonest entities

- 4) 认证委托人及其相关方生产、经营的产品符合相关法律法规、标准及规范的基本要求； / The products produced and operated by the certification client and its related parties meet the basic requirements of relevant laws, regulations, standards, and norms
- 5) 生产、加工的产品或提供的服务符合当地相关法律、法规、安全卫生标准和有关规范的要求； / The products produced or processed or the services provided meet the requirements of local relevant laws, regulations, safety and hygiene standards, and relevant norms
- 6) 严格遵循企业自愿申请、无歧视、与申请方无利益冲突的原则，并说明认证费用构成与获得认证无关； / Strictly adhere to the principles of voluntary application by enterprises, non-discrimination, and no conflict of interest with the applicant, and explain that the certification fee structure is unrelated to obtaining certification
- 7) 认证委托人申请认证的产品种类应在相关有机法规规定的范围内； / The types of products for which the certification client applies for certification should be within the scope stipulated by relevant organic regulations
- 8) 在两年内未被认证机构撤销欧盟有机产品认证证书，除非该认证机构被欧盟委员会撤销了相关的批准第三国范围和产品范围[EU 2021/1698.10.4]。（欧盟 848 有机适用）； / The certification body has not revoked the EU organic product certification certificate within the past two years, unless the certification body has been revoked by the European Commission for the relevant approval of third-country scope and product scope [EU 2021/1698.10.4]. (Applicable to EU 848 Organic)
- 9) 一年内组织或组织内担任/申请担任代表或官员的个人未收到 JAS 法处罚。（日本 JAS 适用）； / The organization or individuals within it

who are acting as/applying to act as representatives or officials have not received penalties under the JAS law within the past year.
(Applicable to Japanese JAS)

- 10) 认证申请人相应领域认证证书处于暂停状态不能受理其认证申请；
/ The applicant's certification certificate in the relevant field is suspended and their certification application cannot be processed
- 11) 欧盟认证申请客户，同一国家同一专业类别产品未同时在其他机构认证[EU 2021/1698.10.1.b]。（欧盟 848 有机适用）； / For EU certification applicants, products of the same professional category from the same country have not been simultaneously certified by other institutions [EU 2021/1698.10.1.b]. (Applicable to EU 848 Organic)
- 12) 以农户组织申请认证的，农户组织成员同种产品相同的活动未单独进行认证[EU 2021/1698.10.1.c]。（欧盟 848 有机适用）； / For certification applications submitted by farmer organizations, the same activities of the same product by members of the farmer organization have not been separately certified [EU 2021/1698.10.1.c]. (Applicable to EU 848 Organic)

8.1.3 认证申请人应提交的文件和资料/ Documents and Materials to be Submitted by the Certification Applicant

8.1.3.1 客户申请认证时应提交正式书面申请，如实填写认证申请书，并同时提交以下材料/ When applying for certification, the client shall submit a formal written application, truthfully complete the certification application form, and submit the following materials simultaneously:

- 1) 由其授权代表签署的认证申请书； / A certification application form signed by its authorized representative
- 2) 法律法规证明文件（包括企业营业执照、事业单位法人证书、社会团体登记证书、非企业法人登记证书、党政机关设立文件等）的复

印件。若体系覆盖多场所活动，应附每个场所的法律地位证明文件的复印件（适用时）。/ Copies of legal and regulatory supporting documents (including business licenses, certificates of legal person status for public institutions, registration certificates for social organizations, registration certificates for non-enterprise legal persons, establishment documents of party and government organs, etc.). If the system covers multiple locations, copies of the legal status documents for each location should be attached (if applicable).

- 3) 有关法律规定的现在许可文件和备案证明复印件(适用时)。/ Copies of current permits and filing certificates as required by relevant laws (if applicable).
- 4) 多场所活动，分包活动情况。/ Information on multiple locations and subcontracted activities.
- 5) 土地使用权证明及合同等（适用时）。/ Land use right certificates and contracts, etc. (if applicable).
- 6) 有机转换计划（适用时）。/ Organic conversion plan (if applicable).
- 7) 有机轮作计划（适用时）。/ Organic crop rotation plan (if applicable);
- 8) 认证历史材料（适用时），包括但不限于：检查报告、检测报告、认证证书/认证决定、不符合项、纠正措施等。/ Certification history materials (if applicable), including but not limited to: inspection reports, test reports, certification certificates/certification decisions, non-conformities, corrective actions, etc.

8.1.3.2 欧盟有机产品认证申请材料 / EU Organic Product Certification Application Materials

- 1) 欧盟有机产品认证还需提供以下材料 / EU organic product certification also requires the following materials

由其授权代表签署的适时更新的声明文件（欧盟适用），包括/ A timely updated declaration document (applicable to the EU) signed by its

authorized representative, including:

- (a) 证书中提及的、依据欧盟法规 2018/848 第 35 条第 1 款所涵盖的哪些活动被分包; / Which activities mentioned in the certificate and covered by Article 35, paragraph 1 of EU Regulation 2018/848 are subcontracted
- (b) 有机生产单元、转化中生产单元及非有机生产单元的地址或地理位置, 野生植物或藻类采集区, 以及用于其业务活动的其他场所和单元的面积。 / The address or geographical location of the organic production unit, the production unit in conversion, and the non-organic production unit, the wild plant or algae collection area, and the area of other sites and units used for its business activities.
- (c) 若根据(EU)2018/848 号法规第 9 条第 7 款将资产拆分为不同生产单元时, 需提供非有机生产单元的描述及地址或地理位置信息。 / If the assets are divided into different production units pursuant to Article 9, paragraph 7 of Regulation (EU) 2018/848, a description and address or geographical location information of the non-organic production unit is required.
- (d) 计划产量./ Planned production output.
- (e) 按欧盟有机法规实施的有机和转换生产单元活动的详细描述/ Detailed description of organic and conversion production unit activities implemented in accordance with EU organic regulations.
- (f) 为确保符合有机生产标准拟采取的所有实际措施/ All practical measures to be taken to ensure compliance with organic production standards.
- (g) 操作者或农户组织承诺书/ Commitment from the operator or group of operators
 - i. 发生怀疑不符合产品被证实时、不符合怀疑无法消除或不符合影响产品的完整性时, 立即书面通知买方并告知五洲恒通, 提供信息; / Immediately notify the buyer in writing and inform CHTC, providing

information, should any suspected nonconformity be confirmed, the suspicion of nonconformity cannot be eliminated, or the nonconformity affects the integrity of the product;

ii. 转机构时，接受认证机构间交接控制文件；企业注销认证时，控制文件被最后一家认证机构保存 5 年； / Accept the transfer of control documents between certification bodies when transferring certifications; when the company withdraw certification, the control documents will be kept by the last certification body for 5 years;

iii. 企业退出有机生产时立即通知五洲恒通； / Immediately notify CHTC when the company withdraws from organic production;

iv. 分包方在其他主管部门或认证机构认证时，接受机构间信息交换。 / Accept information exchange between certification bodies when subcontractors are certified by other competent authorities or certification bodies.

v. 允许五洲恒通或主管部门访问所有生产单位的所有部分和所有场所，以及账户和相关支撑文件； / Allow CHTC or competent authorities access to all parts and locations of all production units, as well as accounts and related supporting documents;

vi. 向五洲恒通提供认证所需的任何信息； / Provide CHTC with any information required for certification;

vii. 应五洲恒通的要求，提交其自身质量保证计划的结果； / Submit the results of its own quality assurance plan upon CHTC's request;

viii. 按照有机生产规则开展活动； / Conduct activities in accordance with organic production rules

ix. 存在不符合时，接受 CHTC 制定的纠正措施的实施。 / Accept the implementation of corrective actions established by CHTC when nonconformities exist.

(h) 有机和/或转换生产单元的说明，以及相关的常规生产单元的说明

和根据 EU 2018/848 开展活动的说明。/ Description of the organic and/or conversion production unit, and description of the relevant conventional production unit and activities conducted in accordance with EU 2018/848.

(i) 在有机和/或转换单元和/或场所和/或活动采取的相关措施确保符合 EU 2018/848 。 / Relevant measures taken in the organic and/or conversion unit and/or site and/or activities to ensure compliance with EU 2018/848.

(j) 为降低禁用产品或物质的污染风险所采取的预防措施, 以及在生产、制备和分销的整个阶段采取的清洁措施。 / Preventive measures taken to reduce the risk of contamination from prohibited products or substances, and cleaning measures taken throughout the production, preparation and distribution phases.

2) 确认操作者或农户组织未在其他认证机构对同一第三国的同类产品进行认证, 包括操作者或农户组织不同的生产、制备或分销阶段。 / Confirmation that the operator or group of operators has not certified same category in the same third country by other certification bodies, including different production, preparation or distribution activities for the operator or group of operators.

3) 确认农户组织的成员未作为单独认证主体对与农户组织申请认证产品相同的活动进行认证。 / Confirmation that members of the group of operators have not certified, as separate certification entities, the same activities as the products for which the group of operators is applying for certification.

4) 放宽申请及附件 (欧盟适用时), 包括但不限于: 使用常规种子申请、追溯转换期申请、使用常规农业来源加工原料申请、使用常规蜂蜡申请、引入常规畜禽申请等。 / Derogation application and annexes (where applicable in the EU), including but not limited to: applications for the use of conventional seeds, applications for retroactive conversion

periods, applications for the use of processed raw materials from conventional agricultural sources, applications for the use of conventional beeswax, applications for the introduction of conventional livestock, etc.

8.1.3.3 JAS 有机产品认证申请材料 / JAS Organic Product Certification Application Materials

1) JAS 有机相关的规程，如手册和程序文件/操作规程，包括达标判定规程和生产过程管理规程。 / JAS organic-related regulations, such as manuals and procedure documents/operating procedures, including compliance determination procedures and production process management procedures.

2) 生产过程管理者/经理、达标判定者/经理的简历。 / Resumes of production process managers/managers and compliance determiners/managers.

8.1.3.4 再认证应提交资料/ Recertification Required Materials

如再认证无任何变化或缩小认证注册范围，可适当减少申请材料。申请认证组织应在每年提交《有机体系计划》OSP，并在必要时更新有机体系计划提交。 / If there are no changes during recertification or the scope of certification registration is reduction, the application materials may be appropriately reduced. The applicant organization should submit an *Organic System Plan (OSP)* annually and update it as necessary.

8.1.3.5 变更申请应提交材料/ Change Application Required Materials

对增加认证基地的申请，按照 3.5.1 的要求提供。如基地或加工场所未发生变更，只是增加产品范围，可仅提供对应的《申请表》、《地块清单》、《有机体系计划》和/或《多原料产品成分表》。 / For applications to add certification sites, provide the materials required in 3.5.1. If the site or processing location remains unchanged, but the product range is expanded, only the corresponding *Application Form, Plot List, Organic System Plan, and/or Multi-Raw Material Product Composition Form* are required.

缩小认证范围，可提供书面的《申请表》、《地块清单》、《有机体系

计划》。 / To reduce the certification scope, a written *Application Form*, *Plot List*, and *Organic System Plan* can be provided.

8.2 认证受理及评审 **Certification Acceptance and Review**

8.2.1 认证申请评审人员及时对申请人提交的申请文件和资料组织评审并保存评审记录。应至少从以下方面评审，确保公司具备能力从事该项目认证审核 / Certification application reviewers shall promptly review the application documents and materials submitted by the applicant and maintain review records. The review should cover at least the following aspects to ensure the CHTC has the capability to conduct the certification inspection:

- 1) 认证要求规定明确，并形成文件，得到理解； / The certification requirements are clearly defined, documented, and understood
- 2) 申请认证标准和要求、使用认证语言应明确，认证要求在理解上的差异应得到解决； / The certification standards and requirements, and the language used, should be clearly defined, and any differences in understanding of the requirements should be resolved
- 3) 对申请认证范围、场所、员工人数、对认证的公正性威胁、安全条件等评审。确定所需现场检查人日。审核人日，详见 IOP04 《检查实施控制程序》相关要求； / Review the scope of certification, location, number of employees, threats to the impartiality of certification, and security conditions. Determine the required on-site inspection man-days. For audit man-days, refer to the relevant requirements in IOP04 *Inspection Implementation Control Procedure*
- 4) 申请组织从事的活动符合相关法律法规的规定。申请人符合或可能符合有机条例的适用要求； / The activities of the applicant operator comply with relevant laws and regulations. The applicant meets or may meet the applicable requirements of the Organic Regulations
- 5) 申请者是否具有明确的法人地位，执法监管部门责令停业整顿或在

全国企业信用信息公示系统中列入“严重违法企业名单”，列入国家信用信息严重失信主体相关名录等，是否具备认证申请的条件；/ Whether the applicant has a clear legal person status, whether it has been ordered to suspend business for rectification by law enforcement and regulatory departments, or whether it is listed in the "*List of Seriously Illegal Enterprises*" in the *National Enterprise Credit Information Publicity System*, or included in the relevant *list of seriously dishonest entities* in the *National Credit Information System*, and whether it meets the conditions for certification application

6) 提供的材料齐全，其管理体系信息充分，是否可以进行审核。/ Whether the provided materials are complete, and whether its management system information is sufficient for inspection.

7) 申请认证范围及专业，认证申请方的工作场所和任何特殊要求，本公司是否有检查员具备能力以便组成检查组。/ Scope and category of certification application, applicant's workplace and any special requirements, and whether CHTC has inspectors with the capability to form an inspection team.

8) 拟进行认证决定的人员，具有实施认证决定的适宜能力。/ Personnel making the certification decision, possessing the appropriate competence to implement the certification decision.

9) 申请认证产品在欧盟/美国/日本 JAS 有机法规规定的产品范围内，且 CHTC 获得了相应范围的批准资质。确定产品专业分类，企业经营活动类型。/ The product for which certification is sought falls within the scope of products defined by EU/NOP/ JAS organic regulations, and CHTC has obtained the corresponding approval qualifications. Determine the product's category classification and the type of operation activity.

10) 申请组织建立了法规判定规程和生产过程管理规程(JAS 适用)。/ The applicant operator has established compliance determination procedures

and production process management procedures (applicable to JAS).

11) 希望现场审核的日期。 / Desired date for on-site inspection.

12) 认证历史情况/ Certification history

(a) 近 2 年内是否被认证机构撤销过认证证书，除非该机构相应地区或相应产品的批准资格被欧盟委员会撤销（欧盟适用）。 / Whether the certification certificate has been revoked by a certification body within the past 2 years, unless the body's approval qualification for the corresponding region or product has been revoked by the European Commission (applicable to the EU).

(b) 一年内组织或组织内担任/申请担任代表或官员的个人未受到 JAS 法处罚。（日本 JAS 适用）。 / No individual within the organization or applying to act as a representative or official has been penalized under JAS law within the past year. (Applicable to Japan JAS).

13) [EU 有机认证机构可处罚企业在一段时间内不得上市销售有机产品。] / 认证申请人相应领域认证证书是否处于暂停或处罚状态。 / [EU organic certification bodies may penalize operators by prohibiting them from selling organic products on the market for a period of time.] / Is the applicant's relevant certification certificate suspended or penalized?

14) 转机构的企业，是否有未关闭的不符合项。申请评审人员填写转机构评审表。欧盟转机构企业，应向上家认证机构发送书面邮件，确认上家认证机构已移交认证控制文件[EU 2021/1698: 10, 3]。 / For companies transferring certification bodies, are there any outstanding non-compliance items? The application reviewer completes the transfer review form. EU operators transferring certification bodies should send a written email to the previous certification body confirming that the previous certification body has transferred the certification control documents [EU 2021/1698: 10, 3].

15) 验证之前向其他 CB 申请并收到不符合或拒绝/撤销认证通知的申请

人是否已提交文件，以支持不符合通知或拒绝/撤销认证通知中确定的任何不符合项已得到纠正。/ 15) Verify whether applicants who previously applied to other CBs and received non-compliance or refusal/withdrawal notices have submitted documents to support that any non-compliance identified in the non-compliance or refusal/withdrawal notice has been rectified.

16) 同一国家同一专业类型的产品是否存在双重认证的情况（欧盟 848 适用）。/ Are there any cases of dual certification for products of the same category in the same country (applicable to EU 848).

17) 以农户组织申请认证的同种产品相同的活动，农户组织成员未单独进行认证（欧盟 848 适用）。/ For the same product and the same activity for which certification is applied for by group of operators, the group members have not been certified separately (applicable to EU 848).

18) 是否具有客户要求认证的先前经验，包括产品类型，规范性文件或认证方案。如果没有先例，CHTC 应确保其具备进行所有认证活动的的能力，应填写申请评审记录附件 1，并且应该保留进行认证决定的合理性记录。/ Does CHTC have prior experience with the certification requested by the client, including product type, regulatory documents, or certification scheme? If there is no precedent, CHTC should ensure it has the capability to conduct all certification activities, complete *Annex 1* of the *Application Review Record*, and retain records of the rationale for making the certification decision.

19) 依据 IMA15 《有机产品认证风险分析管理办法》对认证委托方进行风险评估，确定风险等级。/ Conduct a risk assessment of the certification client in accordance with IMA15 *Organic Product Certification Risk Analysis Management Measures* to determine the risk level.

20) 认证收费是否满足公开收费标准要求。/ Does the certification fee meet the requirements of the publicly disclosed fee standards?

8.2.2 申请评审/ Application Review

CHTC 对提交的申请文件和资料进行评审并做出是否受理的决定，保存评审记录。对于受理的申请，认证机构应与认证委托人签订认证协议，规定双方的权利和义务。/ CHTC reviews the submitted application documents and materials and makes a decision on whether to accept the application, maintaining a record of the review. For accepted applications, the certification body shall sign a certification agreement with the certification client, stipulating the rights and obligations of both parties.

如不受理申请人的认证申请，CHTC 应书面通知认证委托人，并说明不受理的理由。/ If the certification application is not accepted, CHTC shall notify the certification client in writing, stating the reasons for the rejection.

8.3 检查准备 Inspection Preparation

CHTC 应与申请方约定在认证检查实施各环节的相关责任和安排，并根据受检查方实际情况，按照本规则的要求，确定 CHTC 欧盟等效有机产品认证检查实施的具体方案。/ CHTC shall agree with the applicant on the relevant responsibilities and arrangements for each stage of the certification inspection, and determine the specific implementation plan for CHTC's EU equivalent organic product certification inspection based on the actual situation of the inspected party and in accordance with the requirements of these rules.

8.3.1 CHTC 根据检查需要，组成检查组，检查组要求如下/ CHTC will form inspection teams as needed, with the following requirements:

根据所申请认证范围，CHTC 委派具有相应能力的检查员组成检查组。/ Based on the scope of certification applied for, CHTC will assign inspectors with corresponding capabilities to form the inspection team.

8.3.1.1 检查组的选择除应满足实施不同产品认证的特定要求外，应保证检查组能满足以下每一方面的要求/ In addition to meeting the specific requirements for implementing different product certifications, the selection of

inspection team members should ensure that the inspection team meets each of the following requirements:

a)检查组长领导检查组，并管理检查过程； / The team leader leads the inspection team and manages the inspection process

b)了解申请认证组织的最新专业技术知识及相关作业程序； / They understand the latest professional technical knowledge and relevant operating procedures of the organization applying for certification

c)当申请认证组织规模较大或其为多场所组织时，应增加检查组中专业检查员的数量，以充分保证检查组的专业能力； / When the organization applying for certification is large or has multiple locations, the number of professional inspectors in the inspection team should be increased to fully guarantee the team's professional capabilities

d)有能力将申请认证产品追溯到相应的标准、法规要求。 / They have the ability to trace the products applying for certification back to the relevant standards and regulations.

8.3.1.2 选择检查组成员时，还应考虑和评价如下因素 / When selecting inspection team members, the following factors should also be considered and evaluated:

a)以往检查中的表现;/ Performance in previous inspections

b)对检查方法和 CHTC 文件的熟悉程度； / Familiarity with inspection methods and CHTC documents

c)检查经验和技能（包括口头和书面表达能力）。 / Inspection experience and skills (including oral and written communication skills)

8.3.1.3 当安排实习检查员进行检查实习时，实习检查员不能独立承担检查任务，其参与的检查活动不应计入检查人/天数。 / When trainee inspectors are assigned to conduct inspection internships, they cannot independently undertake inspection tasks, and their participation in inspection activities should not be counted towards the inspector/day count.

8.3.1.4 检查组成员或其所在组织与拟检查的申请认证组织不应有任何可能产生不公正行为或歧视的利益关系。/ Inspection team members or their organizations should not have any conflict of interest with the operator applying for certification that is to be inspected, which could lead to unfair conduct or discrimination.

8.3.1.5 应确保同一委托人不能连续 3 年以上（含 3 年）委派同一检查员实施检查任务。/ It should be ensured that the same client does not assign the same inspector to carry out inspection tasks for more than 3 consecutive years (including 3 years).

8.3.2 检查准备/ Inspection Preparation:

8.3.2.1 现场检查时间的安排/ Scheduling of On-site Inspection

8.3.2.1.1 现场检查时间应安排在申请认证产品的生产、加工过程或易发质量安全风险的阶段。/ On-site inspections should be scheduled during the production, processing, or stages of the product for which certification is sought, where quality and safety risks are likely to occur.

8.3.2.1.2 应根据认证委托人的生产规模、农业生产的复杂性和产品的安全风险程度等因素，策划现场检查时间，以确保检查的充分性和有效性。/ The timing of on-site inspections should be planned based on factors such as the scale of production of the certification applicant, the complexity of agricultural production, and the degree of safety risk of the product, to ensure the adequacy and effectiveness of the inspection.

8.3.2.1.3 所有现场检查必须在了解经营情况的授权代表在场的情况下进行，并在可以观察到土地、设施和活动的情况下进行，以证明经营符合或有能力符合相关有机法规的适用条款，但本要求不适用于不通知检查。/ All on-site inspections must be conducted in the presence of an authorized representative familiar with the operations and where the land, facilities, and activities can be observed to demonstrate that the operation complies with or is capable of complying with the applicable provisions of relevant organic

regulations. However, this requirement does not apply to unannounced inspections.

8.3.2.2 检查方案/ Inspection Plan

8.3.2.2.1 审核部与认证委托方协调一致确定检查安排后，根据《检查方案》的策划安排检查，审核部调度向认证委托方出具《检查通知》，向检查组发放《检查任务书》、《检查方案》，现场检查时间应安排在申请认证产品的生产、加工过程或易发质量安全风险的阶段。 / After the audit department and the certification client reach an agreement on the inspection arrangements, the inspection will be conducted according to the planned schedule outlined in the *Inspection Plan*. The audit department will issue an *Inspection Notice* to the certification client and distribute an *Inspection Task* and *Inspection Plan* to the inspection team. On-site inspections should be scheduled during the production, processing, or stages of the product for which certification is sought, or when there are potential quality and safety risks.

8.3.2.2.2 检查通知书应包括：认证委托人的联系方式、地址；检查依据；检查组成员；检查范围，包括检查产品种类、生产加工过程和基地等信息。 / The inspection notice should include: the certification client's contact information and address; the basis for the inspection; the inspection team members; and the scope of the inspection, including information on the product types, production and processing processes, and the inspection site.

不通知检查不应事先通知客户。 / Clients should not be notified in advance of unannounced inspections.

8.3.2.2.3 检查任务书应包括/ The inspection task sheet shall include:

- (1) 检查依据，包括认证标准、认证实施规则和其他规范性文件/ Inspection basis, including certification standards, certification implementation rules, and other normative documents;
- (2) 检查范围，包括检查的产品范围、场所范围和过程范围等； / Inspection scope, including the scope of products, locations, and processes to be

inspected;

(3) 检查组组长和成员；计划实施检查的时间； / Inspection team leader and members; planned inspection time;

(4) 检查要点，包括投入品的使用、产品包装标识、追溯体系、管理体系实施的有效性；/ Inspection focus, including the use of inputs, product packaging labeling, traceability system, and the effectiveness of management system implementation;

(5) 上年度认证机构提出的不符合项（适用时）。 / Nonconformities raised by the certification body in the previous year (where applicable).

8.3.2.2.4 审核部在安排检查任务的同时，应向检查组提供被检查企业的信息，至少包括：申请书、对活动/过程的描述、地图/设计、生产规范、使用的投入品、以往的检查报告[7 CFR 205.501(a)(18)]、不符合项和企业采取的纠正措施、上次认证决定、以前的情况和处罚（监督或者再认证企业适用）。 / When assigning inspection tasks, the Audit Department shall provide the inspection team with information about the inspected operator, including at least: application form, description of activities/processes, maps/designs, production specifications, inputs used, previous inspection reports [7 CFR 205.501(a)(18)], nonconformities and corrective actions taken by the operator, previous certification decision, past circumstances and penalties (applicable to surveillance or recertification operators).

8.3.2.3 检查计划/ Inspection Plan

8.3.2.3.1 检查组长接到《检查任务书》后，通知检查组相关成员，并在一周内编制检查计划，交公司检查方案管理人员进行检查计划评审，若检查方案管理人员对检查组长编制检查计划安排有异议，审核部应通过沟通、协调，进行调整。 / After receiving the *Inspection Task*, the inspection team leader shall notify relevant team members and prepare an inspection plan within one week. This plan shall be submitted to the company's inspection plan management personnel for review. If the inspection plan management

personnel have any objections to the inspection plan arrangements prepared by the inspection team leader, the audit department shall make adjustments through communication and coordination.

检查方案管理人员在接到检查组长的检查计划 2 日内完成评审并反馈回组长。 / The inspection plan management personnel shall complete the review of the inspection plan received from the inspection team leader within two days and provide feedback to the team leader.

8.3.2.3.2 检查计划编制时应注意 / Points to note when preparing the inspection plan

a)每天检查工作时间的安排不应少于 8 小时； / Daily inspection hours should not be less than 8 hours

b)确保安排专业检查员参与对关键过程的检查； / Ensure that professional inspectors are involved in the inspection of key processes

c)初次/再认证检查活动应覆盖申请认证组织认证范围涉及的所有部门和标准要求； / Initial/recertification inspections should cover all departments and standard requirements related to the certification scope of the applicant organization

d)应保证对生产单元的全部生产活动范围逐一进行现场检查； / On-site inspections should be conducted for all production activities of each production unit

e)对由多个农户、个体生产加工组织（如农业合作社，或“公司+农户”型组织）的检查要求详见《有机小农户组织的检查认证》； / For inspection requirements of multiple group of operators or individual production and processing operators (such as agricultural cooperatives or "company + farmer" organizations), please refer to *Inspection and Certification of Organic Smallholder Organizations*

f)对加工场所要逐一实施检查，需在非生产加工场所进行二次分装或分割的，应对二次分装或分割的场所进行现场检查，以保证认证产品生产、加工全

过程的完整性； / Processing sites should be inspected one by one. If secondary packaging or splitting is required outside of production and processing sites, on-site inspections should be conducted at the secondary packaging or splitting sites to ensure the integrity of the entire production and processing process of certified products

g)对存在进口有机产品认证的企业，还应包括进口产品的境内仓储、贴标等场所； / For operators that have imported organic product certifications, the domestic storage and labeling sites for imported products should also be included

h)制定检查计划还应考虑以下因素 / The following factors should also be considered when developing an inspection plan:

i.当地有机产品与非有机产品之间的价格差异； / Price differences between local organic and non-organic products

ii.申请认证组织内的生产体系和种植、养殖品种、规模、生产模式的差异； / Differences in the production system, planting and breeding varieties, scale, and production models within the applicant organization

iii.以往检查中发现的不符合项（再认证、监督、转机构等检查）； / Non-conformities identified in previous inspections (recertification, surveillance, transfer to other agencies, etc.)

iv.组织内部管理体系的有效性； / Effectiveness of the operator's internal management system

v.再次加工分装分割对认证产品完整性的影响（如存在二次分装或分割时） / Impact of reprocessing, repackaging, or splitting on the integrity of certified products (e.g., when secondary repackaging or splitting occurs)

vi.计划中应包括对农户、管理人员、内部检查员和操作者的访谈。 / The plan should include interviews with farmers, managers, internal inspectors, and operators.

8.3.2.3.3 检查计划发放/ Issuance of Inspection Plan

通常情况下，检查组长至少应在现场检查实施前五天前将检查计划交申请认证企业确认。申请组织接到检查计划后，如发现检查员有任何潜在利益冲突，可提出异议，必要时可更换检查员。但此项不适用于不通知检查。/ Generally, the inspection team leader should provide the inspection plan to the applicant company for confirmation at least five days before the on-site inspection. Upon receiving the inspection plan, the applicant operator may raise objections if any potential conflict of interest is found with the inspector, and may replace the inspector if necessary. However, this does not apply to inspections without prior notice.

8.3.3 检查实施/ Inspection Implementation

8.3.3.1 首次会/ Opening Meeting

检查组长主持召开首次会，双方人员在签到表上签字。会议内容：介绍检查组成员和分工；确认检查目的、范围和依据文件；简要说明检查的方式和程序；落实检查组需要的资源和设施；确认检查计划的各项安排；保密承诺和公正性声明；澄清可能存在的问题；落实培同人员等。/ The inspection team leader holds the opening meeting, and all participants sign the attendance sheet. Meeting content includes: introducing the inspection team members and their roles; confirming the inspection purpose, scope, and supporting documents; briefly explaining the inspection methods and procedures; securing the necessary resources and facilities for the inspection team; confirming all arrangements in the inspection plan; confidentiality commitments and impartiality statements; clarifying potential issues; and assigning training personnel.

8.3.3.2 现场检查/ On-site Inspection

8.3.3.2.1 初审和再认证/ Initial Inspection and Recertification

8.3.3.2.1.1 检查组按照检查计划的安排，并依据相关标准,根据认证依据要求对认证委托人建立的管理体系的符合性进行评审，核实生产、加工过程与认证委托人按照所提交文件的一致性，确认生产、加工过程与认证依据。

详见《有机产品现场检查作业指导书》，在现场系统地收集并记录有代表性的客观证据。在每天的现场检查结束后和现场检查结束前进行检查组内部沟通，交流检查信息，并视需要向认证委托方代表介绍当天检查进展情况及发现的问题，征求申请认证组织对检查发现及检查工作的意见。 / The inspection team, according to the inspection plan and relevant standards, reviews the compliance of the management system established by the certification client based on the certification requirements. This verifies the consistency of the production and processing processes with the documents submitted by the certification client, confirming the production and processing processes in accordance with the certification basis. See the *Organic Product Inspection Instructions* for details. Representative objective evidence is systematically collected and recorded on-site. After each day's on-site inspections and before their conclusion, the inspection team will conduct internal communication to exchange inspection information. As needed, the team will brief the certification client's representative on the day's inspection progress and any issues discovered, and solicit feedback from the applicant organization regarding the findings and work performed.

a)对小农户组织的检查方法详见 IMA07《有机小农户组的检查认证》并考虑组织农户间生产体系和种植、养殖品种的相似程度； / For inspection methods of group of operators, please refer to IMA07 *Inspection and Certification of Organic Group of Operators*, taking into account the similarity of production systems and crop/livestock varieties among the groups.

b)应对有机产品的生产、加工及包装/标识过程的各个环节进行检查。如果供方将部分生产或加工活动分包给其他供方来完成，若分包方未被认证，CHTC 还应对其分包的生产过程进行检查。 / All stages of the production, processing, and packaging/labeling process of organic products should be inspected. If a supplier subcontracts some production or processing activities to other suppliers, and if the subcontractor is not certified, CHTC should also

inspect the subcontracted production process.

c) 检查组应根据认证依据对认证委托人建立的管理体系进行评审，核实生产、加工、经营过程与认证委托人所提交的文件的一致性，确认生产、加工、经营过程与认证依据的符合性。 / The inspection team should review the management system established by the certification client based on the certification criteria, verifying the consistency between the production, processing, and sales processes and the documents submitted by the certification client, and confirming the compliance of the production, processing, and sales processes with the certification criteria.

8.3.3.2.1.2 欧盟有机产品认证现场检查应包括 / On-site inspections for EU organic product certification shall include:

(a) 验证企业在生产、准备和分销的每个阶段核查预防措施和防范措施的应用； / Verifying the application of preventative and safeguard measures by the enterprise at each stage of production, preparation, and distribution

(b) 如果农用地包括非有机或转换期生产单元，则核查记录以及确保有机、转换和非有机生产单元之间以及这些单元生产的各自产品之间明确有效分离的措施、程序或安排，以及用于有机、转换和非有机生产单元的物质和产品。此类核查应包括追溯转换期的检查，以及对非有机生产单元的检查； / If the agricultural land includes non-organic or conversion production units, verifying records and measures, procedures, or arrangements that ensure clear and effective separation between organic, conversion, and non-organic production units and between the respective products produced by these units, as well as the substances and products used in the organic, conversion, and non-organic production units. Such verification should include checks on the traceability of conversion periods and inspections of non-organic production units

(c) 如果企业同时收获有机、转换和非有机产品，在同一准备单元、区域或经营场所准备或储存，或运输至其他经营者或单元，则应核查记录和措施，

采取适当的程序或安排，以确保操作按地点或时间分开进行，实施适当的清洁措施和防止产品替代的措施，始终标识有机产品和转换期产品，储存有机产品、转换期产品 and 非有机产品，在准备作业之前和之后，按地点或时间彼此分开，并确保每个地块从各个地块到收集中心的可追溯性。/ If an operator harvests organic, conversion, and non-organic products simultaneously, prepares or stores them in the same preparation unit, area, or operating site, or transports them to other operators or units, records and measures should be verified to ensure that operations are conducted separately by location or time, appropriate cleaning measures and measures to prevent product substitution are implemented, organic and conversion products are always identified, organic, conversion, and non-organic products are stored separately by location or time before and after preparation operations, and traceability of each plot from plot to collection center is ensured.

(d) 核查农户组织内部控制系统的建立和运行情况；/ Verify the establishment and operation of the farmer organization's internal control system

(e) 如果经营者免除通知义务，或免除持有证书的义务，核查是否满足豁免要求，以及核查这些经营者销售的产品。/ If operators are exempt from notification obligations or certificate holding obligations, verify whether the exemption requirements are met, and verify the products sold by these operators.

8.3.3.2.1.3 现场检查关注要点/ Key Points for On-site Inspection

a)检查员应进行客观、公正和全面的检查，并对内部控制和持续改进进行评估。/ Inspectors should conduct objective, impartial, and comprehensive inspections and evaluate internal controls and continuous improvement.

b)抽样要求见 IMA11 有机现场检查抽样管理规定。/ Sampling requirements are detailed in IMA11 Sampling Management Regulation of On-site Inspection.

c)检查应按检查计划进行，必要时（欧盟 848 要求）应包括非有机部分，遇有重要信息偏离检查计划的，应征得检查组长的同意。检查过程中若发现足以影响推荐认证注册的不符合项，检查组长应及时与审核部和认证委托方沟通，必要时，可提前终止现场检查。 / Inspections should be conducted according to the inspection plan. Where necessary (as required by EU 848), non-organic components should be included. If significant information deviates from the inspection plan, the approval of the inspection team leader is required. If any non-conformities are found during the inspection that could affect the recommended certification registration, the inspection team leader should promptly communicate with the audit department and the certification client. If necessary, the on-site inspection may be terminated early.

d)检查员在收集证据过程中，应互相合作，互通信息，正确对待和妥善处理各种情况，保证检查工作顺利进行。检查中检查员为认证委托方所提供的建议应仅限于对标准或认证要求的理解，并不能要求对方支付额外费用； / During evidence collection, inspectors should cooperate, share information, and handle various situations appropriately to ensure the smooth progress of the inspection. During the inspection, the advice provided by the inspector to the certification client should be limited to understanding the standards or certification requirements and should not require additional payment from the client

e)检查员必须将检查情况记录在《检查报告》表中，并能提供对受检查组织产品符合性的客观证据； / The inspector must record the inspection findings in the *Inspection Report* and provide objective evidence of the inspected organization's product conformity

f)检查组应通过收集客观证据对双方在认证协议中确定的认证范围进行验证确认，对产地和生产加工环境质量状况的确认，评估对有机生产、加工的潜在污染风险，并进一步核实认证组织提交的相关认证信息的真实性和一致性如：申请书、调查表内容及提供附件信息等信息。确认生产、加工

过程与认证依据的符合性； / The inspection team should verify and confirm the certification scope determined by both parties in the certification agreement by collecting objective evidence, confirm the quality of the place of origin and production and processing environment, assess the potential pollution risks to organic production and processing, and further verify the authenticity and consistency of the relevant certification information submitted by the certification organization, such as the application form, questionnaire content, and provided attachments. Confirm the compliance of the production and processing procedures with the certification basis

g)检查时应查到所有与有机产品有关的分包经营者，并要求其能获得相关使用有效标准及认证要求、程序； / During the inspection, all subcontractors involved in organic products should be identified, and they should be required to obtain relevant and valid standards, certification requirements, and procedures

h)检查应覆盖所有认证产品、生产/加工基地范围，农户组织按 CHTC/IMA26 《小农户风险等级评估方法》确定检查的农户数量； / The inspection should cover all certified products and production/processing sites. Farmer organizations should determine the number of farmers to be inspected according to *CHTC/IMA26 Risk Rating Method of Small Farmer Group*

i)若检查现场出现检查组长授权范围之外而无法解决的问题，组长应立即报审核部； / If problems arise on-site that are beyond the scope of the inspection team leader's authorization and cannot be resolved, the team leader should immediately report to the audit department

j)在检查过程中应检查顾客对相关认证产品的投诉，如有投诉应追查其对投诉处理。并要求认证委托人 / During the inspection, customer complaints regarding the relevant certified products should be investigated, and any complaints should be traced back to their handling. The certification client should be required to:

-保存对供方有关产品符合相应标准要求的所有投诉记录； / Maintain records of all complaints regarding the supplier's products' compliance with the relevant standards

-对投诉以及在产品或服务中发现的对符合认证要求有影响的任何缺陷采取适当的措施并形成文件。 / Take appropriate action and document any complaints and any defects found in the product or service that affect compliance with certification requirements.

k)在现场检查时检查员应识别和检查有风险的区域或产品； / During on-site inspections, inspectors should identify and inspect areas or products at risk

l)对产品、投入物或土壤中的残留物或污染有限制时，检查员应对其进行分析，并记录分析结果；现场检查如怀疑使用禁用物质或残留物超标时依据CHTC/IMA11《有机现场检查抽样管理规定》进行抽样； / When there are restrictions on residues or contamination in products, inputs, or soil, inspectors should analyze them and record the results; if on-site inspections suspect the use of prohibited substances or excessive residues, sampling should be conducted in accordance with *CHTC/IMA11 Sampling Management Regulation of On-site Inspection*

m)对生产、加工、储存和二次分装/分割过程和场所的检查，比如生产单元存在非有机生产或加工时，也应对其非有机部分进行检查； / Inspections of production, processing, storage, and secondary packaging/splitting processes and sites should also include inspections of non-organic parts of production units where non-organic production or processing is involved

n)对非初次检查的企业，不论上次检查认证机构是哪个，检查员必须验证上次检查的不符合整改措施的有效性； / For companies not undergoing their first inspection, regardless of the certification body used in the previous inspection, inspectors must verify the effectiveness of corrective actions taken for non-compliance identified in the previous inspection

o)对于同一认证范围获得双重或者多重认证的情况，检查组应在现场要求供

方提供加施不同认证标志产品的销售记录及各认证标志使用记录，适用时还包括有机产品销售证，并对供方提供的记录进行审核，以防止非有机产品作为有机产品销售；注：欧盟 848 不允许双重认证。/ In cases where the same certification scope has been granted dual or multiple certifications, the inspection team should request on-site sales records of products bearing different certification marks and records of the use of each certification mark, including, where applicable, organic product sales certificates, and review the records provided by the supplier to prevent non-organic products from being sold as organic products; Note: EU 848 does not allow dual certification.

p)为防止有机产品被污染或混淆，检查组应验证是否在生产/加工、贮藏和销售各环节有明确的文件规定来区别认证的产品和非认证产品。如果产品种类上没有明显区别，则应在收获时或收获后的处理过程中采取必要的措施来防止污染或混淆；/ To prevent contamination or confusion of organic products, the inspection team should verify whether there are clear documented provisions at each stage of production/processing, storage, and sale to differentiate certified and non-certified products. If there is no clear distinction in product type, necessary measures should be taken during harvest or post-harvest handling to prevent contamination or confusion

q)如果生产链中的某产品已获得其他机构的有机认证，则可以按照该程序的要求接受其认证结果，前提是两机构的认证程序和要求是等效的。/ If a product in the production chain has already obtained organic certification from another organization, its certification result can be accepted according to the requirements of that procedure, provided that the certification procedures and requirements of the two organizations are equivalent.

8.3.3.2.1.4 收集客观证据工作结束后，检查组长组织内部沟通，讨论检查员提出的不符合项，并取得一致，由检查组长审定，并对检查进行总结，告知认证委托人代表，确认存在的不符合项，对存在的问题进行说明。/ After the collection of objective evidence is completed, the inspection team leader

organizes internal communication to discuss and reach a consensus on the nonconformities raised by the inspectors. The team leader then reviews and approves the findings, summarizes the inspection, informs the certification client's representative, confirms the existing nonconformities, and explains the problems.

8.3.3.3 文件检查/ Documentation Inspection

为了可追溯性检查和质量平衡检查的目的，应在风险基础上选择产品、产品组和被核查的时期。 / For traceability and quality balance checks, the product, product group, and period to be checked should be selected on a risk-based basis.

8.3.3.3.1 可追溯检查/ Traceability Inspection

可追溯性检查应包括通过适当文件证明的以下要素，包括库存和财务记录 / Traceability checks should include the following elements, supported by appropriate documentation, including inventory and financial records:

- (a) 供应商的名称和地址，以及产品的所有者或卖方或出口商的名称和地址（如不同）； / The name and address of the supplier, and the name and address of the owner, seller, or exporter of the product (if different)
- (b) 收货人的名称和地址，以及产品的买方或进口商（如不同）的名称和地址； / The name and address of the consignee, and the name and address of the buyer or importer of the product (if different)
- (c) 供应商的有机证书； / The supplier's organic certificate
- (d) 运输时随附的信息； / Information accompanying the shipment
- (e) 适当的批次标识； / Appropriate batch identification
- (f) 对于加工商，必要的信息，以允许内部可追溯性并保证成分的有机状态。 / For processors, the necessary information to allow internal traceability and ensure the organic status of the ingredients.

8.3.3.3.2 产量平衡检查/ Mass-Balance Check

在相关情况下，产量平衡检查应至少包括以下内容，并有适当的文件证

明，包括库存和财务记录。 / Where applicable, mass-balance checks should include at least the following, supported by appropriate documentation, including inventory and financial records.

(a) 交付至单元的产品的性质和数量，以及（如相关）购买的材料和此类材料的使用，以及（如相关）产品的组成； / The nature and quantity of products delivered to the unit, and (if relevant) the materials purchased and the use of such materials, and (if relevant) the composition of the products

(b) 在经营场所储存的产品的性质和数量，包括在现场检查时的产品的性质和数量； / The nature and quantity of products stored at the place of business, including the nature and quantity of products at the time of on-site inspection

(c) 从企业或农户组织的单元运往收货人经营场所或储存设施的产品的性质和数量； / The nature and quantity of products transported from the unit of the enterprise or farmer organization to the consignee's place of business or storage facility

(d) 如果企业或农户组织购买或销售产品而未储存或实际加工产品，则已购买和销售的产品性质和数量； / If the operator or group of operators purchases or sells products without storing or actually processing them, the nature and quantity of products purchased and sold

(e) 上一年获得、收集或收获的产品产量； / The yield of products obtained, collected, or harvested in the previous year

(f) 当年获得、收集或收获的产品估计或实际产量； / The estimated or actual yield of products obtained, collected, or harvested in the current year

(g) 当前和上一年管理的牲畜数量和/或重量； / The number and/or weight of livestock managed in the current and previous years

(h) 在生产、准备和分销的任何阶段，产品数量的任何损失、增加或减少； / Any loss, increase, or decrease in the quantity of products at any stage of production, preparation, and distribution

(i) 作为常规产品销售的有机或转换产品量； / The quantity of organic or

converted products sold as regular products

(j) 有机和非有机产品的总产量。 / The total yield of organic and non-organic products.

8.3.3.3.3 收集客观证据工作结束后，检查组长组织内部沟通，讨论检查员提出的不符合项，并取得一致，由检查组长审定，并对检查进行总结，告知认证委托人代表，确认存在的不符合项，对存在的问题进行说明。 / After the collection of objective evidence is completed, the inspection team leader organizes internal communication to discuss and reach a consensus on the nonconformities raised by the inspectors. The team leader then reviews and approves the findings, summarizes the inspection, informs the certification client's representative, confirms the existing nonconformities, and explains the problems.

8.3.3.4 末次会 Exit Meeting

现场检查结束，经过检查组内部沟通后，由检查组长主持召开末次会。双方参加会议的人员在签到表上签到。被检查方中了解业务的授权代表应出席，以确认检查意见和现场检查期间收集的信息的准确性和完整性。 / After the on-site inspection concludes and internal communication within the inspection team, the team leader chairs the exit meeting. All attendees from both parties sign the attendance sheet. An authorized representative from the inspected party with business knowledge should attend to confirm the accuracy and completeness of the inspection findings and information collected during the on-site inspection.

会议内容：重申检查的目的、范围和依据;检查情况说明；检查发现的不符合项；说明检查风险；认证后监管的要求；重申保密性承诺和公正性声明；报告方式及收到认证决定后如何采取措施。 / Meeting Agenda: Reiterate the purpose, scope, and basis of the inspection; explain the inspection findings; identify nonconformities; explain the inspection risks; post-certification monitoring requirements; reiterate the confidentiality commitment and

impartiality statement; reporting methods and procedures to be taken upon receiving the certification decision.

8.3.3.5 对不符合项的跟踪检查的方式由检查组长依据下述准则做出决定/
The method of follow-up inspection for nonconformities shall be determined by the inspection team leader based on the following criteria:

a)书面检查：可通过提交书面证据或通过声明来验证，受检查方在自我声明中应确认已落实了必要的纠正措施。/ Written inspection: Verification can be achieved through the submission of written evidence or a declaration. The inspected party should confirm in its self-declaration that the necessary corrective actions have been implemented.

b)现场检查：有需到现场才能验证其纠正措施效果的改进建议。/ On-site inspection: Improvement suggestions requiring on-site verification of the effectiveness of corrective actions.

8.3.3.6 对于多场所的申请认证组织，检查组长应明确其不符合项是否是适用于全部场所。如果是，应在每个场所采取纠正措施；如果不是，申请认证组织应能向 CHTC 表明其有限度地采取后续措施的正当理由。/ For operators applying for certification with multiple locations, the inspection team leader should clarify whether the nonconformity applies to all locations. If so, corrective actions should be taken at each location; if not, the applicant organization should be able to provide CHTC with a justifiable reason for taking limited follow-up actions.

8.3.3.7 在现场检查结束后，检查组应对申请组织的内部管理、组织状态、产品及环境质量、风险地域的识别、投入/产出衡算作出风险评价，根据风险评价结果由检查组作出是否进行非例行/不通知检查的建议，作为审核部安排非例行/不通知检查的依据之一。/ After the on-site inspection, the inspection team should conduct a risk assessment of the applicant organization's internal management, organizational status, product and environmental quality, identification of risk areas, and input/output balance.

Based on the risk assessment results, the inspection team shall make a recommendation on whether to conduct an additional/unannounced inspection, which will serve as one of the bases for the audit department to arrange additional/unannounced inspections.

8.3.4 跟踪评价/ Follow-up Evaluation

对检查组检查所提出的不符合/检查发现发放到受检查方, 认证委托人如果想继续认证过程, CHTC 应提供为验证不符合得到纠正所需的附加评价任务的有关信息, 附加评价方式包括书面评价和现场评价等形式。认证委托人须采取相应的措施, 并完成 CHTC 的纠正措施表。 / For nonconformities/inspection findings raised by the inspection team and distributed to the inspected party, if the certification client wishes to continue the certification process, CHTC should provide information on additional evaluation tasks required to verify the corrective action of the nonconformities. Additional evaluation methods may include written evaluation and on-site evaluation. The certification client must take appropriate measures and complete the CHTC's corrective action form.

8.3.4.1 采取书面评价时, 检查组应指派原检查组的检查员负责收集必要的见证材料, 验证不符合项纠正措施实施的有效性。 / When conducting written evaluation, the inspection team should assign an inspector from the original inspection team to collect necessary supporting documentation and verify the effectiveness of the corrective actions implemented for the nonconformities.

8.3.4.2 采取现场跟踪评价时, 检查组长应根据与认证委托人商定的现场跟踪检查日期, 指派原检查组中的检查员进行现场跟踪评价, 现场跟踪评价应将检查情况完整地记录在检查报告中, 并收集必要的见证材料。必要时, 跟踪评价完成后应出具跟踪评价报告。 / When conducting on-site follow-up evaluation, the inspection team leader should assign an inspector from the original inspection team to conduct the on-site follow-up evaluation according to the agreed-upon on-site follow-up inspection date with the certification

client. The on-site follow-up evaluation should fully record the inspection situation in the inspection report and collect necessary supporting documentation. If necessary, a follow-up evaluation report should be issued upon completion of the follow-up evaluation.

8.3.4.3 不符合项纠正措施实施的见证材料必须充分证实已将产生不符合的原因有效消除。 / The supporting documentation for the implementation of corrective actions for nonconformities must fully demonstrate that the cause of the nonconformity has been effectively eliminated.

现场检查结束后，检查组负责编制并向 CHTC 提交检查报告，检查组长对检查报告的准确性和完整性负责，检查报告的要求如下 / Following the on-site inspection, the inspection team is responsible for preparing and submitting an inspection report to CHTC. The team leader is responsible for the accuracy and completeness of the report. The requirements for the inspection report are as follows:

a)检查目的描述； / Description of the inspection purpose

b)检查方法； / Inspection methods

c)检查结论； / Inspection conclusions

d)检查报告应叙述 8.3.3.2/8.3.3.3 列明的各项要求的检查情况，就检查证据、检查发现和检查结论逐一进行描述。具体编写依据见 IMA04 《检查报告编制作业指导书》。 / The inspection report should describe the inspection results for each requirement listed in 8.3.3.2/8.3.3.3, providing a detailed description of the inspection evidence, findings, and conclusions. Specific guidelines are provided in *IMA04 Instructions for Inspection Report Preparation*.

e)识别出的不符合项，及要求企业或农户组织采取的措施，截止期限。 / Identified nonconformities and the required actions to be taken by the enterprise or farmer organization, with deadlines.

f)检查报告可以随附必要的证据。 / The inspection report may be

accompanied by necessary supporting evidence.

g)检查组应通过检查记录等书面文件提供充分信息对认证委托人执行标准的总体情况作评价，对是否通过认证提出意见建议，但不应对认证委托人是否通过认证做出最终结论。 / The inspection team should provide sufficient information through written documents such as inspection records to evaluate the overall performance of the certification client in fulfilling the standards, offering recommendations on whether certification should be granted, but should not draw a final conclusion regarding the certification client's approval.

h)检查报告应由受审核方签字以确认收到。 / The inspection report should be signed by the auditee to confirm receipt.

i)检查报告应包括按 EU 2018/848 第 38(6)条要求的追溯和产量平衡（仅限欧盟） / The inspection report should include traceability and production balance as required by Article 38(6) of EU 2018/848 (EU only).

8.3.5 检查材料的提交/ Submission of Inspection Materials

8.3.5.1 经对申请认证组织不符合项纠正措施实施情况跟踪评价符合后，检查组长应在规定的时限内按照要求整理检查材料提交至公司技术委员会。 / After the follow-up evaluation of the corrective actions implemented by the applicant organization for non-conformities, and upon confirmation of compliance, the inspection team leader shall compile the inspection materials as required and submit them to the company's Technical Committee within the stipulated time limit.

8.3.5.2 技术委员会对检查组提交的检查材料的完整性和准确性进行审查，并组织开展复核和认证决定。 / The Technical Committee shall review the completeness and accuracy of the inspection materials submitted by the inspection team and organize a review and certification decision.

8.3.5.3 认证决定详见 IMA19《认证决定管理办法》进行控制，对形成的认证决定结果 CHTC 应形成记录，必要时与检查组和认证委托人进行沟通。 /

The certification decision shall be controlled in accordance with *IMA19 review and certification decision*. The resulting certification decision (CHTC) shall be recorded, and communication shall be conducted with the inspection team and the certification client as necessary.

8.3.6 预检查/ Pre-inspection

预检查的工作目的是根据申请认证组织的要求，为其提供进一步改进、完善产品符合性的服务。因此，预检查最多只能进行一次，且不能因进行了预检查而减少认证检查的时间，在实施预检查中应注意/ The purpose of the pre-inspection is to provide services to the applicant organization for further improvement and enhancement of product conformity, based on their requirements. Therefore, a pre-inspection can only be conducted once at most, and the time allotted for the certification inspection should not be reduced due to the pre-inspection. During the pre-inspection, the following should be observed:

- a)遵守 CHTC 有关公正性与保密性的规定； / Comply with CHTC's regulations on impartiality and confidentiality
- b)不为申请认证组织的产品提出具体的建议 / Do not make specific recommendations regarding the products of the applicant organization
- c)不参与申请认证组织有关产品的决策过程； / Do not participate in the applicant organization's decision-making process regarding the products
- d)对发现的不符合项种类不作规定，也不要求申请认证组织提交纠正措施； / Do not specify the types of nonconformities found, nor require the applicant organization to submit corrective actions
- e)不应对申请认证产品的符合程度作评价； / Do not evaluate the degree of conformity of the applicant product
- f)参加预检查的人员不能参与初次的认证检查。 / Personnel participating in the pre-inspection cannot participate in the initial certification inspection.

8.3.7 产品认证符合性判定主要由生产过程符合性判定和产品安全质量符

合性判定组成，检查报告应包括上两部分的评价内容，有机产品安全质量检测要求见 IOP05 《检验控制程序》。 / Product certification conformity assessment mainly consists of production process conformity assessment and product safety and quality conformity assessment. The inspection report should include the evaluation content of both parts. For organic product safety and quality testing requirements, see *IOP05 Testing Control Procedures*.

8.4 认证决定 **Certification Decision**

8.4.1 便于进行认证评定，检查组长负责提交完整的检查资料为认证评定提供信息，检查资料包括/ To facilitate certification assessment, the inspection team leader is responsible for submitting complete inspection materials to provide information for the certification assessment. Inspection materials include:

- 1) 认证申请及评审资料； / Certification application and review materials
- 2) 检查通知任务书； / Inspection notice/task sheet
- 3) 检查计划； / Inspection plan
- 4) 首末次会议记录； / Records of the opening and exit meetings
- 5) 现场检查记录或证据； / On-site inspection records or evidence
- 6) 不符合报告单及不符合纠正、纠正措施； / Non-conformity report and corrective actions
- 7) 抽样单（适用时）； / Sampling sheet (where applicable)
- 8) 检查报告。 / Inspection report.

8.4.2 技术委员会组织认证决定人员对检查组提交的检查材料进行综合评定，检查材料符合要求后，做出认证决定。评定结论如下 / The Technical Committee organizes certification decision-makers to conduct a comprehensive assessment of the inspection materials submitted by the inspection team. If the inspection materials meet the requirements, a certification decision is made. The assessment conclusions are as follows:

- 1) 对经评定合格的认证申请组织，颁发认证证书； / For certification applicants who pass the assessment, a certification certificate will be issued
- 2) 需提供补充证据后确定是否颁发认证证书； / Supplementary evidence is required to determine whether a certification certificate will be issued
- 3) 对经评定不合格的认证申请组织，应做出不予以认证注册的决定，并将不能注册的原因书面通知认证申请组织。 / For certification applicants who fail the assessment, a decision not to grant certification registration should be made, and the reasons for non-registration should be notified to the certification applicant in writing.

8.4.3 对认证决定的申诉/ Appeals against Certification Decisions

申请人如对认证决定结果有异议，可在 10 个工作日内向 CHTC 客户部（kf@bjchtc.com）提出申诉，CHTC 应在 1 个月内进行处理，并将处理结果通知申请人。 / If an applicant disagrees with the certification decision, they may file an appeal with CHTC's Customer Service Department (kf@bjchtc.com) within 10 working days. CHTC shall process the appeal within one month and notify the applicant of the result.

8.5 复核和认证决定/ Review and Certification Decision

8.5.1 复核/ Technical Review

复核及认证决定是由认证技术委员会执行。 / The review and certification decision are carried out by the Certification Technical Committee.

8.5.2 复核/ Review

复核人员依据《CHTC 国际有机产品认证实施规则》及相关标准，结合检查过程中收集的信息（对于存在不符合项的情况，必须通过整改并由检查组验证通过），对检查结果进行综合评价，做出“通过认证”或“不通过认证”的决定。必要时，认证机构应对申请方满足认证依据的情况进行风险评

估，以做出是否授予认证的決定。/ The reviewers, based on the *CHTC International Organic Product Certification Implementation Rules* and related standards, and in conjunction with information collected during the inspection process (for non-conformities, rectification must be completed and verified by the inspection team), comprehensively evaluate the inspection results and make a decision of "certification passed" or "certification not passed." If necessary, the certification body should conduct a risk assessment of the applicant's compliance with the certification criteria to determine whether to grant certification.

8.5.3 认证决定/ Certification Decision

8.5.3.1 对符合以下要求的申请方，应颁发认证证书/ A certification certificate shall be issued to applicants who meet the following requirements

(1) 生产、加工活动、管理体系及其他检查证据符合本规则和认证标准的要求。/ The production and processing activities, management system, and other inspection evidence comply with the requirements of this rule and certification standards.

(2) 生产、加工活动、管理体系及其他检查证据虽不完全符合本规则和认证依据标准的要求，但认证委托人已经在规定的期限内完成了不符合项纠正和（或）纠正措施，并通过了认证机构的验证。/ Although the production and processing activities, management system, and other inspection evidence do not fully comply with the requirements of this rule and the certification basis standards, the applicant has completed the rectification of non-conformities and/or corrective actions within the prescribed period and has passed the verification by the certification body.

对于符合认证要求的申请方，认证机构应颁发认证证书或授牌并在相关媒体上予以公告。/ For applicants who meet the certification requirements, the certification body shall issue a certification certificate or award a plaque and announce it in relevant media.

8.5.3.2 申请方的生产、加工活动存在以下情况之一，不批准认证 / Certification shall not be approved if the applicant's production and processing activities fall under any of the following circumstances:

（1）提供虚假信息，不诚信的。 / Providing false information or acting dishonestly.

（2）列入国家信用信息严重失信主体相关名录的。 / Being listed in the relevant directory of seriously dishonest entities in the national credit information system.

（3）产品检测发现任何禁用物质的。 / Any prohibited substances are found in the product testing.

（4）申请认证的产品质量不符合国家相关法规和（或）标准强制要求的。 / The quality of the product for which certification is sought does not meet the mandatory requirements of relevant national laws and/or standards.

（5）一年内出现重大产品质量安全问题或重大动物疾病的。 / Major product quality and safety problems or major animal diseases have occurred within one year.

（6）未在规定的期限完成不符合项纠正或者（或）纠正措施，或者提交的纠正或者（和）纠正措施未满足认证要求的。 / Failure to complete the rectification of nonconformities or/or corrective actions within the prescribed time limit, or submission of rectification or/or corrective actions that do not meet the certification requirements.

（7）其他不符合本实施规则和（或）相关标准要求，且无法纠正的。 / Other nonconformities to these Implementing Rules and/or relevant standards that cannot be rectified.

对于不符合认证要求的申请方，认证机构应以书面的形式明示其不能获得认证的原因。 / For applicants who do not meet the certification requirements, the certification body shall state in writing the reasons why they cannot obtain certification.

8.5.4 对认证决定的申诉/ Appeals against Certification Decisions

申请人如对认证决定结果有异议，可在 10 个工作日内向认证机构申诉，认证机构自收到申诉之日起，应在一个月内进行处理，并将处理结果书面通知申请方。 / If an applicant disagrees with the certification decision, they may appeal to the certification body within 10 working days. The certification body shall process the appeal within one month of receiving it and notify the applicant of the result in writing.

8.5.5 信息通报制度/ Information Notification System

对获证组织有效管理，保证其持续符合认证要求。应在有机产品认证合同中约定获证组织应建立信息通报制度，及时向认证机构通报以下信息/ Effective management of certified organizations to ensure their continued compliance with certification requirements. Organic product certification contracts should stipulate that certified organizations should establish an information notification system to promptly notify certification bodies of the following information:

(1) 法律地位、经营状况、组织状态或所有权变更的信息； / Information regarding changes in legal status, business operations, organizational structure, or ownership

(2) 组织和管理层变更的信息； / Information regarding changes in organization and management

(3) 联系地址和场所变更的信息； / Information regarding changes in contact address and location

(4) 有机产品管理体系、生产、加工、经营状况或过程变更的信息； / Information regarding changes in the organic product management system, production, processing, business operations, or processes

(5) 认证产品的生产、加工、经营场所周围发生重大动、植物疫情的信息； / Information regarding major animal or plant epidemics occurring around the production, processing, or business locations of certified products

(6) 生产、加工、经营的有机产品质量安全重要信息，如相关部门抽查发现存在严重质量问题或消费者重大投诉等；/ Important information regarding the quality and safety of organic products produced, processed, or sold, such as serious quality and safety issues discovered during random inspections by relevant departments or major consumer complaints

(7) 获证组织因违反国家农产品、食品安全管理相关法律法规而受到处罚；/ Penalties imposed on certified organizations for violating national laws and regulations related to agricultural product and food safety management

(8) 采购的原料或产品存在不符合认证依据要求的情况；/ Information regarding purchased raw materials or products that do not meet the certification requirements

(9) 不合格品撤回及处理的信息；/ Information regarding the withdrawal and handling of non-conforming products

(10) 发生怀疑不符合产品被证实时、不符合怀疑无法消除或不符合影响产品的完整性时，提供信息；/ Provide information when suspected non-compliance is confirmed, when the suspicion of non-compliance cannot be eliminated, or when non-compliance affects the integrity of the product

(11) 退出有机生产时；/ When withdrawing from organic production

(12) 其他重要信息。/ Other important information.

以上变更信息，公司各相关部门及人员均有责任和义务接收并登记形成《获证组织证后情况登记表》，将相关信息记录转交技术委员会，技术委员会负责处理，并保存处理记录《获证组织证后变更情况评审表》。CHTC应对上诉信息进行评价，视情况采取相应措施，比如：换发证书、现场检查、增加检查频次等在内的措施和暂停或撤销认证资格的措施。/ All relevant departments and personnel of the company are responsible for receiving and registering the above change information in the *Certified Organization Post-Certification Status Registration Form*, and transferring the relevant information to the Technical Committee. The Technical Committee is

responsible for processing and maintaining the processing record in the *Certified Organization Post-Certification Change Status Review Form*. CHTC shall evaluate the above information and take appropriate measures as appropriate, such as: issuing new certificates, on-site inspections, increasing the frequency of inspections, and suspending or revoking certification qualifications.

8.6 再认证 Recertification

获证组织应在认证证书有效期结束前三个月向 CHTC 提出再认证申请，再认证程序与初次认证相同，当获证组织的产品范围和过程范围未发生变更时，可适当减少评审程序，CHTC 应根据再认证检查结果，做出再认证决定。/ Certified organizations should submit a recertification application to CHTC three months before the expiration of the certification certificate. The recertification procedure is the same as the initial certification. When the product scope and process scope of the certified organization have not changed, the review procedure may be appropriately reduced. CHTC shall make a recertification decision based on the recertification inspection results.

9 认证证书 Certificate

9.1 认证证书要求 Certification Requirements

9.1.1 认证证书的有效期为 1 年。认证证书内容至少应标明/ The validity period of the certification certificate is one year. The certification certificate should at least indicate the following:

- 1) 客户/经营场所名称/ Name of the client/business premises
- 2) 地址/ Address
- 3) 认证范围/ Scope of certification
- 4) 认证依据的标准/ Standards on which the certification is based

- 5) 证书编号/ Certificate number
- 6) 发证机构名称/ Name of the issuing body
- 7) 发证日期/ Date of issuance
- 8) 证书有效期/ Certificate validity
- 9) 认证标志等内容。/ Certification mark, etc.

9.2 认证证书的管理 **Certificate Management**

9.2.1 证书变更/ Certificate Amendment

获证后，当涉及认证证书内容或认证依据发生变化时，客户应向 CHTC 提出变更申请，经 CHTC 评定通过后换发证书。换发证书应注明发证日期和换证日期。/ After certification, if any changes occur to the content or basis of the certification, the client should submit an amendment application to CHTC. Upon approval by CHTC, a new certificate will be issued. The new certificate should specify both the issuance date and the renewal date.

当客户提出不再保留某个获证场所时，应提出书面委托，CHTC 确认后注销原认证证书换发新证书，原证书收回，并进行公告。/ When a client requests to relinquish a certified location, they should submit a written authorization. Upon confirmation by CHTC, the original certification will be cancelled and a new certificate issued. The original certificate will be retrieved, and a public announcement will be made.

扩大服务范围 and 场所时，应安排现场检查，有关要求同初次认证；符合要求的，换发证书。/ When expanding the scope of services and locations, on-site inspections should be arranged, with the same requirements as the initial certification. If the requirements are met, a new certificate will be issued.

9.2.2 认证证书的暂停、注销和撤销/ Suspension, Cancellation, and Revocation of Certification Certificates

当客户发生违反本规则以及其它有关认证要求时，按规定暂停、注销和撤销认证证书。/ When a customer violates these rules and other relevant

certification requirements, the certification certificate will be suspended, cancelled, or revoked as stipulated.

9.2.2.1 暂停认证证书/uspension of Certification Certificates

客户有下列情况之一的，将暂停其认证资格，暂停期最长不超过 6 个月，并以适当的方式进行公布/ A customer's certification qualification will be suspended for a maximum period of 6 months under any of the following circumstances, and will be announced in an appropriate manner:

- 1) 客户不按期接受认证检查的，或客户联系方式变更未及时通知 CHTC，导致无法联系不能实施检查时； / The customer fails to accept certification inspections on schedule, or fails to notify CHTC of changes in contact information in a timely manner, making it impossible to contact them and conduct inspections
- 2) 检查发现客户达不到认证要求的； / Inspections reveal that the customer does not meet certification requirements
- 3) 认证证书和认证标志使用不当的； / Improper use of certification certificates and certification marks
- 4) 顾客对客户的获证产品有严重投诉，经查属实的； / Serious complaints from customers regarding the customer's certified products, which are verified upon investigation
- 5) 未按时交纳认证费用的。 / Failure to pay certification fees on time.
- 6) CHTC 应根据上述不符合产生的原因，对客户的证书进行部分暂停或全部暂停的处置，必要时应缩小证书范围。 / CHTC shall, based on the reasons for the above non-compliance, partially or completely suspend the customer's certificate, and, if necessary, narrow the scope of the certificate.

9.2.2.2 撤销认证证书/Revocation of Certification Certificate

客户有下列情况之一的，将撤销其认证资格/ A customer's certification will be revoked under any of the following circumstances:

- 1) 整改期满未能达到整改目标的； / Failure to meet rectification objectives by the end of the rectification period
- 2) 客户服务质量严重下降出现重大质量事故，给顾客造成损害的； / Serious decline in customer service quality resulting in a major quality incident causing damage to customers
- 3) 采取不正当手段骗取认证证书的； / Obtaining the certification certificate through improper means
- 4) 转让认证证书、认证标志的； / Transferring the certification certificate or certification mark
- 5) 拒不交纳认证费用的。 / Refusal to pay certification fees.

9.2.2.3 注销认证证书/ Cancellation of Certification Certificate

客户有下列情况之一的，将注销其认证注册资格 / A customer's certification registration will be cancelled under any of the following circumstances:

- 1) 由于认证依据和技术条件的变更，客户达不到新要求的； / Failure to meet the new requirements due to changes in certification basis and technical conditions
- 2) 认证有效期届满，客户不再提出再次认证申请的； / Expiration of the certification validity period without subsequent recertification application
- 3) 客户由于经营等原因自动提出放弃认证资格的。 / Voluntary abandonment of certification due to business or other reasons.

9.2.2.4 恢复认证证书/ Reinstatement of Certification Certificate

当暂停原因得到消除后，CHTC对暂停认证证书予以恢复。 / CHTC will reinstate the suspended certification certificate once the reason for suspension is eliminated.

9.3 认证证书及认证标志 Certificate and remarks

9.3.1 认证证书/ Certification Certificate

9.3.1.1 颁证/ Certificate Issuance

依据《检查实施控制程序》，受检查方现场检查通过，经技术委员会评定，总经理批准，由综合办注册后颁发认证证书。/ In accordance with the *Inspection Implementation Control Procedures*, after the inspected party passes the on-site inspection, is evaluated by the Technical Committee, approved by the General Manager, and registered by the General Office, a certification certificate is issued.

9.3.1.1.1 欧盟有机产品认证证书/ EU Organic Product Certification Certificate
欧盟有机证书应按如下要求签发/ EU organic certificates should be issued according to the following requirements:

- 1)根据 EU 2018/848 附录 VI 的模板;/ Based on the template in Annex VI of EU 2018/848
- 2)使用 EU 2019/17151 第 2 章 TRACES 系统电子模式; / Using the electronic template of the TRACES system under Chapter 2 of EU 2019/17151
- 3)至少允许识别企业或农户组织, 包括成员名单、证书所涵盖的产品类别及其有效期; / At least allowing identification of the enterprise or farmer organization, including a list of members, the product categories covered by the certificate, and its validity period
- 4)证明被通知的活动符合本条例的规定; / Demonstrating that the notified activity complies with the provisions of this Regulation
- 5)欧盟有机证书有效期 1 年。/ EU organic certificates are valid for one year.

9.3.1.2 证书编号/ Certificate Number

9.3.1.2.1 欧盟有机认证证书编号 / EU Organic Certification Certificate Number

EU 848 认证证书的编号应当从欧盟证书系统中获取, 认证机构不得自行编制认证证书编号发放认证证书。/ The certificate number for EU 848

certification must be obtained from the EU certification system. Certification bodies may not create their own certificate numbers and issue certificates.

9.3.1.2.2 日本有机认证证书编号规则如下 / The rules for Japanese organic certification certificate numbering are as follows:

CHTC-JPXX000, CHTC 代表五洲恒通, JP 代表日本有机, XX 代表年份, 000 代表当年颁发的证书编号。 / CHTC-JPXX000, where CHTC represents Wuzhou Hengtong, JP represents Japanese organic, XX represents the year, and 000 represents the certificate number issued in that year.

9.3.2 认证证书及标志的使用 / Use of Certification Certificates and Marks

9.3.2.1 欧盟有机产品标志 / EU Organic Product Mark

获证企业仅可在 CHTC 评审, 且获得 CHTC 《有机标志使用批准书》后使用认证标识和机构编号。由于机构编号只有 CHTC 在欧盟有机认证机构清单上才会授予, 因此所颁发的证书暂不能含有欧盟有机叶子标识或机构编号等。 / Certified companies may only use the certification mark and organization number after being assessed by CHTC and obtaining a CHTC *Approval Certificate for the Use of the Organic Mark*. Since organization numbers are only granted by CHTC to companies listed in the EU organic certification body list, the issued certificates cannot currently contain the EU organic leaf mark or organization number.

欧盟有机产品认证标志应包括以下信息 / The EU organic product certification mark should include the following information:



(1) 欧盟有机标识的格式可以根据（欧盟）2018/848 号条例的附件五进行调整。 / The format of the EU organic label may be adjusted according to Annex V of Regulation (EU) 2018/848.

(2) 欧盟的有机生产标志的高度至少为 9 毫米，宽度至少为 13.5 毫米；高度/宽度的比例应始终为 1:1.5。在特殊情况下，对于非常小的包装，最小尺寸可以减少到 6 毫米的高度。 / The EU organic production label shall be at least 9 mm high and at least 13.5 mm wide; the height/width ratio shall always be 1:1.5. In exceptional cases, for very small packages, the minimum size may be reduced to 6 mm in height.

(3) 欧洲联盟的有机生产标识可以与提及有机生产的图形或文字元素相联系，条件是它们不修改或改变欧洲联盟有机生产标识的性质，也不修改或改变根据（欧盟）2018/848 号条例第 32 条规定的任何指示。当与使用不同于第 1.2 点规定的参考色的绿色的国家或私人标识相关联时，欧洲联盟的有机生产标识可以使用该非参考色。 / The EU organic production label may be associated with graphic or textual elements that refer to organic production, provided that they do not modify or alter the nature of the EU organic production label, nor modify or alter any indications provided for under Article 32 of Regulation (EU) 2018/848. The EU organic production label may use the

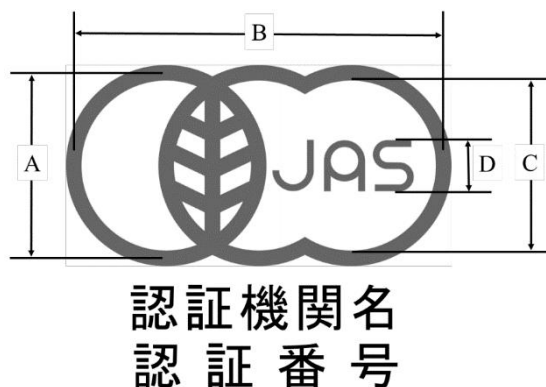
non-reference color when associated with a national or private label using a green color different from the reference color specified in point 1.2.

(4) 编号/ Numbering

编码的一般格式应如下。AB-CDE-999/ The general format of the code shall be as follows: AB-CDE-999

9.3.3.2 日本有机产品标志/ JAS Organic Product Labels

(1) JAS 有机植物、加工食品和畜禽产品标志/ JAS Organic Plant, Processed



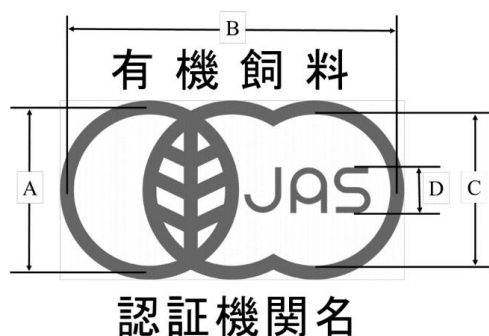
Food and Livestock Product Labels

- a) A 至少应为 5 毫米。 / A should be at least 5 mm high.
- b) B 应是 A 的两倍, 而 D 应是 C 的 3/10。 / B should be twice the size of A, and D should be 3/10 the size of C.
- c) 认证机构的字符的高度应等于 D。 / The height of the characters in the certification body's name should be equal to that of D.
- d) 认证机构的名称可使用缩写。 / Abbreviations may be used for the

certification body's name.

e) 如果此类植物源性有机产品、有机加工食品或有机畜产品的生产过程管理者、再包装者、海外生产过程管理者、海外再包装者或进口商可以根据相关法律法规的规定，通过此类食品和饮料或油脂的包装、容器或发票上的描述来识别，则可以省略认证号。/ If the producers, repackagers, overseas producers, overseas repackagers, or importers of such plant-derived organic products, organic processed foods, or organic livestock products can identify them by the description on the packaging, container, or invoice of such food and beverages or oils in accordance with the provisions of relevant laws and regulations, the certification number may be omitted.

在容器或包装的每一个容易看到的地方，或者附在送货单上使用 JAS 有机标志。/ Use the JAS Organic logo in every easily visible place on the container or packaging, or on the delivery note.



(2) JAS 有机饲料标志 / JAS Organic Feed Label

a) A 应长于或等于 5 毫米。/ A should be 5 mm or longer.

b) B 应是 A 的两倍。 D 应是 C 的十分之三。/ B should be twice the length of

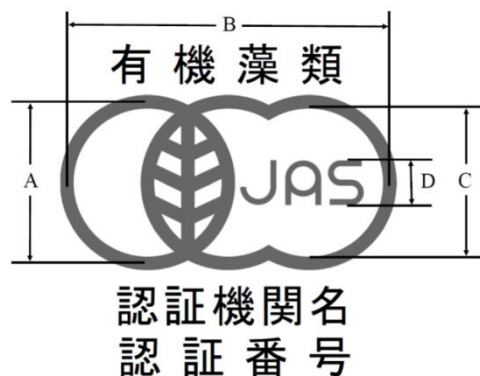
A. D should be three-tenths the length of C.

c) “有機飼料”字的高度应与 D 相同。 / The height of the words "Organic Feed" should be the same as D.

d) 注册核证机构名称的高度应与 D 相同。 / The height of the registration and certification body's name should be the same as D.

e) 注册认证机构的名称可以是缩写的名称。 / The registration and certification body's name can be an abbreviation.

在容器或包装的每一个容易看到的地方，或者附在送货单上使用 JAS 有机饲料标志。 / Use the JAS Organic Feed logo in every easily visible place on the container or packaging, or attached to the delivery note.



(3) JAS 有机藻类标志 / JAS Organic Algae Label

a) A 必须在 5mm 以上。 / A must be at least 5mm thick.

b) B 必须是 A 的 2 倍, D 必须是 C 的 3/10。 / B must be twice the size of A, and D must be 3/10 the size of C.

c) “有机藻类”的文字高度应与 D 相同。 / The text height for "Organic Algae"

should be the same as D.

d) “有机藻类”的文字也可以是“Organic algae”。另外，海水生产的有机藻类中，有“有机藻类”的文字也可以是“有机海藻”或“Organic seaweed”。/ The text for "Organic Algae" can also be "Organic algae". Additionally, for organic algae produced in seawater, the text for "Organic Algae" can also be "Organic Seaweed" or "Organic Seaweed".

e) 认证机构名称的文字高度必须与 D 相同。/ The text height for the certification body's name must be the same as D.

f) 认证机构名称也可以记载简称。/ The certification body's name can also be abbreviated.

g) 认证编号根据有关法令的规定，根据有机藻类的包装、容器或送货单上所标注的事项，在能够确定有机藻类的生产过程管理者、分装业者、外国生产过程管理者或外国分装业者的情况下，也可以不记载。/ The certification number may be omitted, depending on relevant regulations and the information indicated on the packaging, container, or delivery note of the organic algae, provided that the production process manager, repackaging operator, foreign production process manager, or foreign repackaging operator can be identified.

在容器或包装的每一个容易看到的地方，或者附在送货单上使用 JAS 有机藻类标志。/ The JAS Organic Algae mark should be used in every easily visible place on the container or packaging, or attached to the delivery note.

9.3.3.3 对误用证书、标志情况的处理/ Handling of Misuse of Certificates and Marks

对认证证书、认证标志存在误导性使用行为的证书持有人，CHTC 应视情况要求其采取纠正措施或做出撤销认证证书和认证标志、公布违规行为以及进一步采取法律措施的决定。/ For certificate holders whose certification certificates or certification marks are used in a misleading manner, CHTC shall, as appropriate, require them to take corrective measures or make a decision to revoke the certification certificate and certification mark, publicize the violation, and take further legal action.

10 信息公告 Information Announcements

对认证注册、暂停、恢复、撤销的组织，CHTC 应 3 日内在 CHTC 网站上予以公布。/ CHTC shall publish the information on the CHTC website within 3 days regarding any organization whose certification registration is suspended, reinstated, or revoked.

11 认证收费 Certification Fees

按 CHTC 官网公布的 CHTC 欧盟有机认证收费标准执行。/ Fee fees shall be charged according to the CHTC EU organic certification fee standards published on the CHTC official website.

文件修订一览表

Document Revision Summary

[illegible]