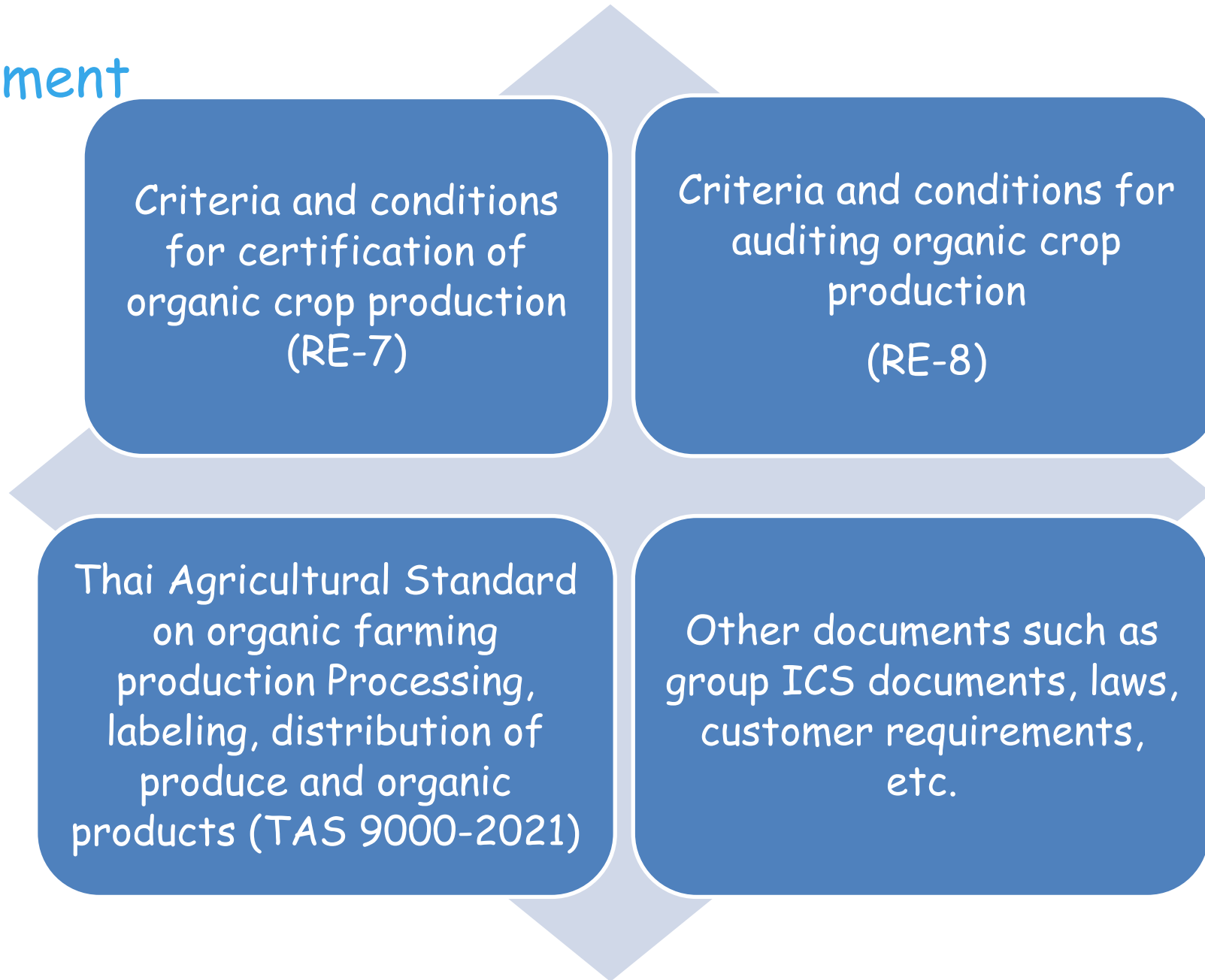


ARISE Plus Thailand

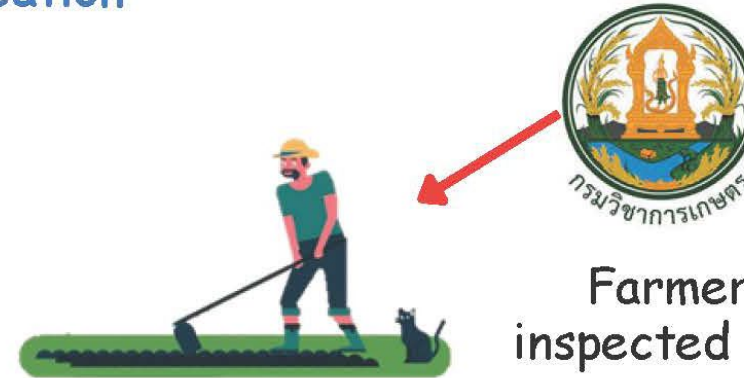
Applying for Certification



Related document



Single Certification



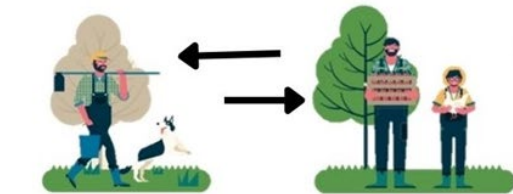
Farmers are directly inspected by the inspector.

Group Certification

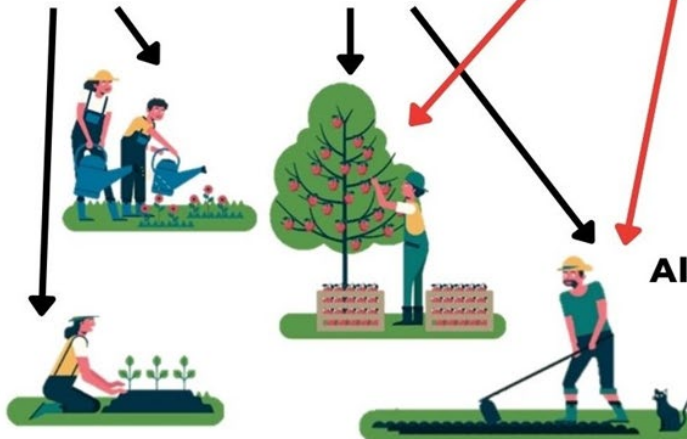
Internal control system



The internal control system and some farmers were randomly inspected by the inspector



Group internal inspector

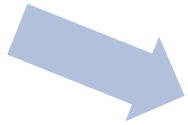


All farmers are inspected by internal inspector

Individual and group certification differences

Why request group certification?

Smallholder farmers are numerous and produce a wide variety of crops or varieties of rice.



Save time and budget



Strengthen the group, increase trade bargaining power.



Sustainability in production



<https://www.istockphoto.com/th>

Internal control system

Quality assurance system
for farmers groups with
supporting documents

Each member must
be examined
annually.

An external certification
body assesses the
internal control system.

Randomly inspect
farmers to certify
standards for farmers
groups.

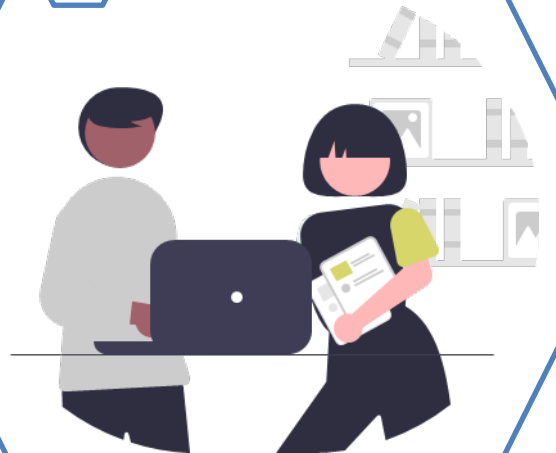


The type of group to be certified.



A group of farmers with members grouped together to produce organic crops/organic rice according to specified conditions.

Juristic persons which are companies, co-operatives, community enterprises, foundations, exporters or NGOs who are responsible for managing the group as a buyer, distributor or exporter of agricultural products from the group.

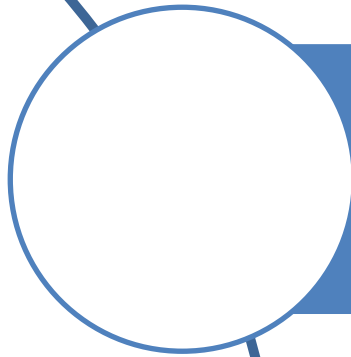


Definition of Farmer Group

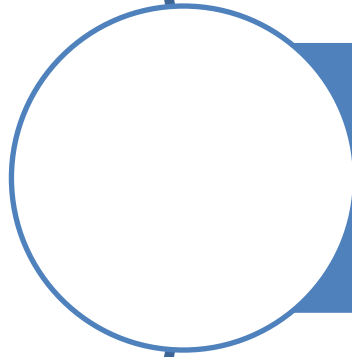


A group of farmers with at least 5 members and grouping together to produce organic plant products in the same area conditions. The group, organization or company is responsible for the **Internal control system**, including being the person who requests for certification of organic crop production standards on behalf of that group, organization or company.

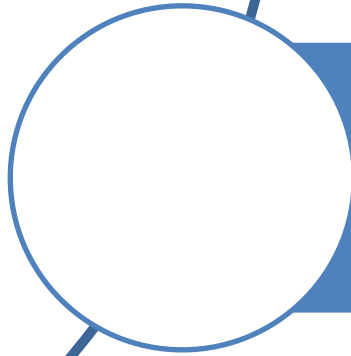
Qualifications of Applicants for Group Certification⁸



The members of the farmer group are the owners or have the right to utilize the production area.



A group of farmers who have producers and gather together to produce with 5 or more members.



There is a production system and control system within the group to ensure that the production activities in the group meet the required standards and are reliable.

Qualifications of Applicants for Group Certification⁹

A group may be run by members who form a group for cultivation or by an independent entity or entity.

Groups that voluntarily apply for certification and agree to comply with the rules and conditions for certifying organic crop production set by the Department of Agriculture.

Not being a group whose certification has been revoked from the Department of Agriculture or any certification body with equivalent standards of the Department of Agriculture, except for a period of 1 year from the date of revocation of certification.

Rules and conditions involved in the preparation of the ICS

Preparation before setting up the system

- 1.1 The Department of Agriculture assesses and certifies the group organic production standard system to a qualified group of group certification applicants.
- 1.2 Group certification is a certification of **all activities in the group**, from production on the plots of producer members, packaging, collection, processing, and distribution of produce or products in similar areas.
- 1.3 This organic group can be managed by a group of farmers or a juristic person. The group responsible for the group will be certified and certified by the Department of Agriculture certification body. **The farmers who are members of the group will not get a certificate**



Rules and conditions involved in the preparation of the ICS

Preparation before setting up the system

1.4 The type of production in within the scope of the requested certification may include the production of more than one product. Group leader must ensure that member farmers have the same production and management style.

1.5 In the event that any inconsistencies are found during the group inspection, it is considered as the group evaluation result. The group will not be certified until the non - compliances found by group's member are corrected.

1.6 In case of duplicate group producer names, the inspection department will grants title rights to the group producer that is properly registered with government agencies.



Rules and conditions involved in the preparation of the ICS

Preparation before setting up the system

- 1.7 The group leader must be responsible for the production of member farmers to meet organic crop production standards. The group must have an appropriate mechanism for inspecting the production of members to meet standards.
- 1.8 Individual certified farms, cannot be repeated apply for group certification.
- 1.9 Group and individual certification cannot be used simultaneously on the same crop in the same plot.
- 1.10 If you have an individual certificate and would like to request a group certification, the original certificate must be revoked after group certification is obtained.



Rules and conditions involved in the preparation of the ICS

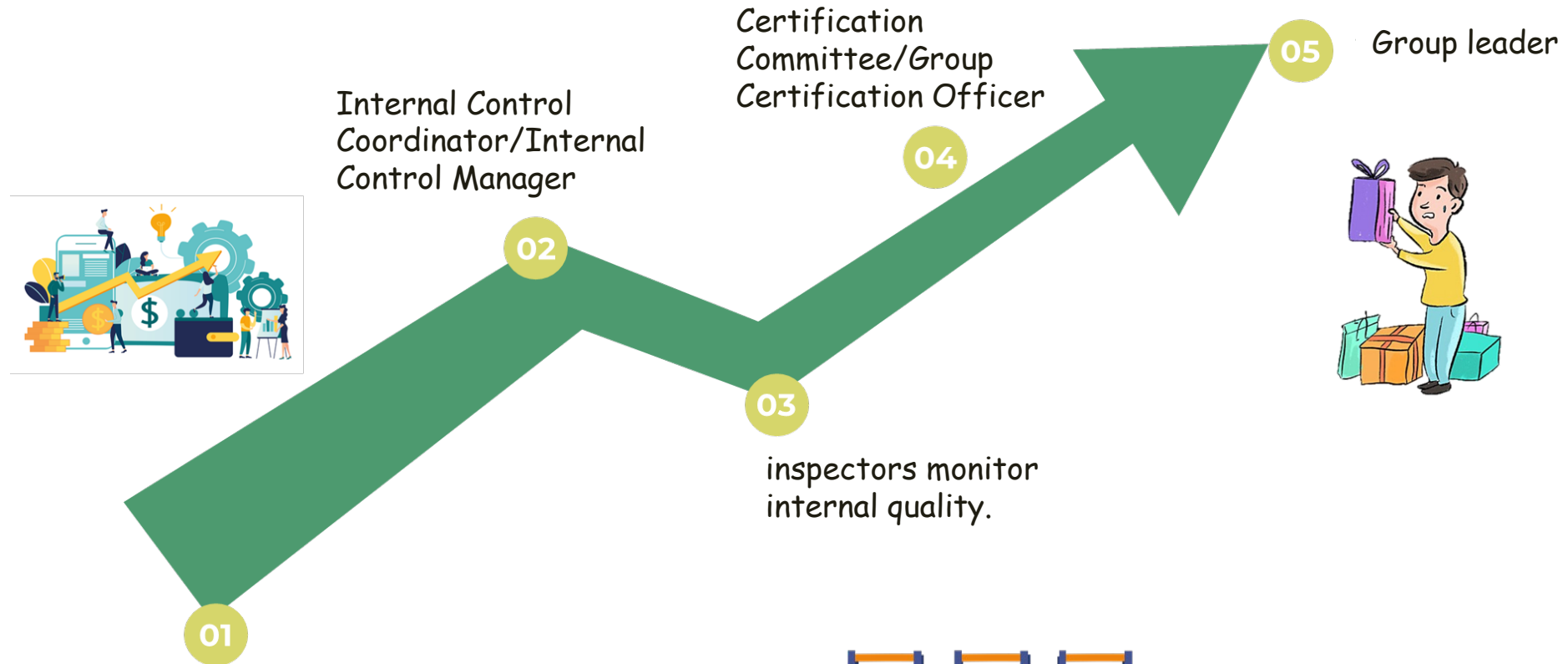
Preparation before setting up the system

1.11 The group applying for certification must be a group that has established and implemented an internal control system in the group to guarantee the quality of the group's organic plant production and products



2. Implementation of the internal control system

2.1 Administration and management of the organization



Group structure shall be drawn up to provide an overview of the divisions of positions under the group structure, which shall consist of the following positions:



2. The responsibilities of various positions are defined under the structure.



01

The Internal Control Coordinator/Internal Control Manager is responsible for coordinating the internal control system and is responsible for organizing internal quality audits, also responsible for liaising with certification bodies.

02

The internal quality inspector is responsible for inspecting the group's internal control system and inspecting members' plots. Notify the members of the results of the inspection, follow up on correcting any non - compliances found and must not have a conflict of interest with the inspector.

03

Certification Board/Certification Officer is responsible for certifying farmers' plots based on the results of the audit and must not have a conflict of interest/no stake with the judging member.

3. The internal control system is reviewed by the group leader at least once a year by analyzing the results of the internal audit and field audits at member's organic farms. Problems, obstacles and non - compliances found in the preparation of internal control systems should be in compliance with the Group's working procedures and standards set by the certification body. There is a process for punishing members who do not comply with the standards and conditions of the group.



4. Evaluate risks that may adversely affect the quality of the product at every step. By assigning responsible persons to carry out the work and must have measures to reduce risk. An initial risk assessment must be completed before the group begins production for sale. However, the risk assessment depends on the scope used for certification.



2.2 Contract/Application/Warranty

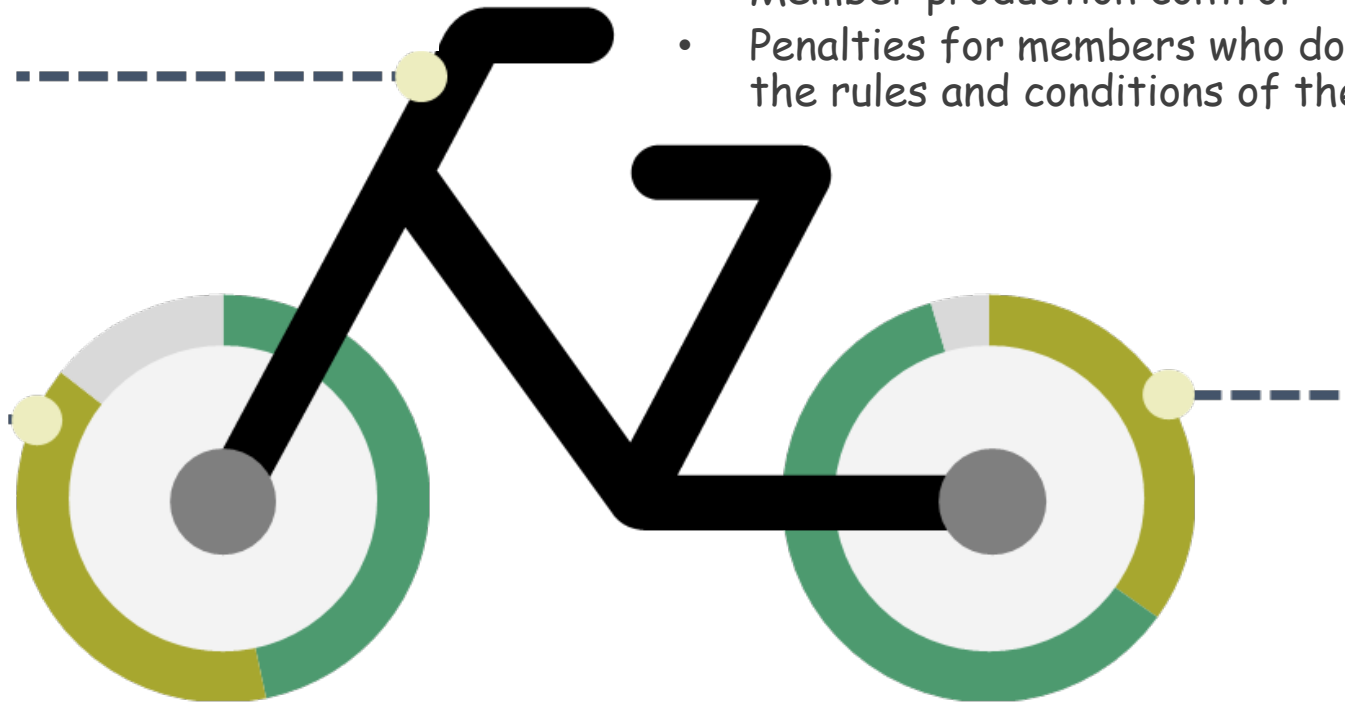
Group criteria and conditions

1) A contract/application/certification for joining the group between the farmer and the group where such documents state that the farmer/producer agrees to comply with organic production standards. Criteria and conditions set by the group and certification body of the Department of Agriculture.

2) Group criteria and conditions must include:

- Member qualifications
- It is the duty of the members, including group members, to allow group internal inspectors and audit teams of DOA certification bodies to inspect production areas.
- Member production control
- Penalties for members who do not comply with the rules and conditions of the group

3) In the event that the group employs an organization/third party for internal control systems, there must be a contract or agreement between such organization/third party and the group.



2.3 Training

- 1) Members must be trained in knowledge of organic crop production standards.
- 2) Need to get a manual on
 - Organic Crop Production Standards
 - Criteria and conditions for certification from the Department of Agriculture
 - Group Terms and Conditions

The Group may prepare up-to-date abbreviated standards covering all issues related to production for its members.



2.4 Document and Record Control

- 1) The Group's document control guidelines include:
 1. All documents controlled must be reviewed and approved by the authorized signatories. The issue and effective date must be specified before publication.
 2. Outdated or canceled documents must be removed from the workspace or if they need to be kept for reference. The document must be specified as a revoked document.



2) Guidelines for controlling the record of the group includes:

1. Keeping records related to production and quality control of the group for at least 1 certification cycle so that it can be verified.
2. Record information about members who joined the group, including:

- Member List
- Citizen ID number or government-issued ID number
- Member Address
- Plot Location, Map of Plot Location and Size of Production Area
- Crop seeking certification
- Group production plan
- Estimate member productivity
- List of inputs (e.g. plant varieties, fertilizers, etc.) of the group
- Name of Internal Quality Inspector, Date of Audit, and Audit Results
- Certification status, or status where non - compliances are still found



2.5 Handling complaints



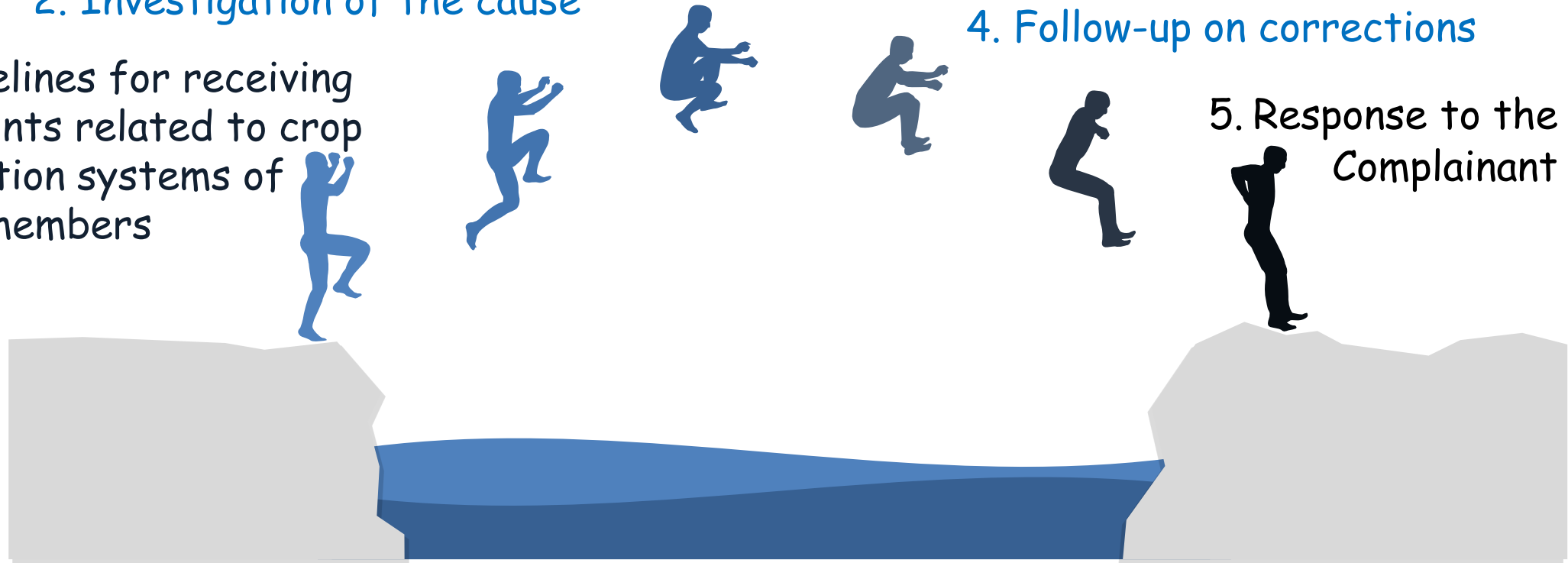
3. Determination of solutions

2. Investigation of the cause

1. Guidelines for receiving complaints related to crop production systems of group members

4. Follow-up on corrections

5. Response to the Complainant



2.6 Preparation of the Group's Internal Quality Audit or documents that specify the internal audit process.

1. An internal inspection is conducted at least once a year to cover the inspection of the control system within the central office/location of the group and all certified plots.
2. The Group's internal control checklist and the member's organic crop assessment standard are examined and prepared as evidence.
3. The qualifications of the Group's internal quality inspectors are determined, which may be personnel from organizations hired by the Group to perform internal control systems, or farmers who are members of the Group. However, Internal quality inspectors must have knowledge of organic production standards and audit techniques. Including having no conflict of interest with the auditee.
4. Internal quality monitoring methods must ensure that group members comply with organic crop production standards according to specified criteria and conditions.
5. There is a systematic follow-up and correction of the found non - compliances, If the results of the monitoring reveal non - compliances at the central office/location or any farmer, the Group leaders must investigate the problem and solve it to cover other farmers who are also affected.

3.Preparation for the Audits and Practices When Certified

3.1 Group certification audits include a pre-visit.

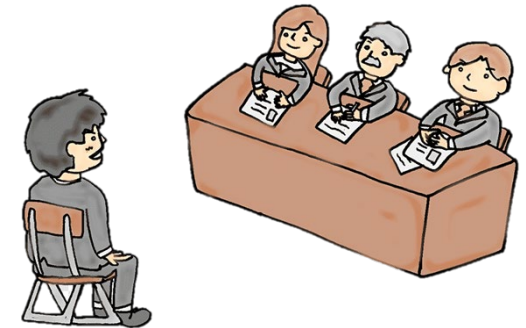
This will be done **at least 1 time before the audit at the group central office** and/or the applicant shall submit the information to the Audit Division prior to every audit. To collect preliminary data from the group, to assess the effectiveness of the internal control system, assess risks, and determine the number of samples of farmers to be randomly tested.

Criteria for selecting sample plots during pre-visit

formula $Y = \sqrt{N}$

Y = Number of sample plots evaluated

N = Total number of group plots requesting certification



In case of audit for certification $Y = \sqrt{N}$

In case of audit for renewal $Y = 0.8\sqrt{N}$

If the result of calculation contains fractions, round up the fractions up to a whole number.

3.Preparation for the Audits and Practices When Certified

If any of the issues listed in the Organic Plant Risk Assessment Table is found during the pre-visit, the number of sample plots shall be increased to 1.5 times the original calculated amount, or more, at the discretion of the Chief Inspector

$$Z = 1.5Y$$

Or
$$Z = 1.5Y + X$$



Where

Z = Number of plots to be randomly audited

Y = Number of sample plots evaluated

X = Positive integer is at the discretion of the Chief

Inspector. If the result of the calculation has a fraction, round up the fraction to a whole number.



The Group's risk assessment

Risk Assessment	Considerations
High risk	<ul style="list-style-type: none">• Planting area near conventional farmland.• The planting area is produced in parallel.• Historically, the area does not have continuous organic farming.• Production areas with infestations of weeds, diseases and pests in the past season• The water sources used in the production come from sources that are in an environment that is vulnerable to chemical contamination, microorganisms and heavy metals that are harmful to humans animals & environment• Storage, sorting, and transportation systems are not clear.• There is no history of growing crops in past seasons.• There is no method of maintenance, cleaning, production lines, machinery or agricultural equipment that is used in conjunction with conventional production.

The Group's risk assessment

Risk Assessment	Considerations
High risk	<ul style="list-style-type: none"> • The internal control system is not reliable , such as: <ol style="list-style-type: none"> 1. There is no audit plan within the group. 2. There are no results of internal audits in all plots. 3. There is no production cycle reference code and farmers directing on products and various documents in every stages such as purchase/sales receipts, farm records, purchase records, etc., making it irrespective of traceability. 4. The qualifications of internal inspectors are not in line with the Group's requirements. 5. There is no process to correct and prevent non - compliances, or repeated non - compliances are found in the same issue. 6. Failure to clearly define the group's rules and conditions, including fines for members who do not comply. 7. There is a discrepancy between the results of the internal group audit and the actual results of the audit conducted by the Department of Agriculture. 8. The group's record of compliance with the group's organic production system is incomplete. 9. There is document and record control system. 10. There is no system review by group leader.

3.2 Selection of sample plots will be determined as follows:

1. 75% of sample plots (Y) are selected from high-risk plots. Based on the following information:
 - The results of the group internal control system or the results of the group sample analysis (if any) for that plot many non - compliances have been found and they have not been successfully corrected, or the solutions have not been effective.
 - Plots with complaints in the year
 - Assessment results or results of analyzing samples from agencies outside the group in that year. Found non - compliances were found in the assessment.
 - New plots or plots that have not been randomly assessed
2. 25% of sample plots were sampled independently.

Certification bodies may change the sampling rate and random number as appropriate. This must not be less than the specified number of sampling.

3.3 If there are changes within the group, such as:

- Changes in the type of cultivated plants Increase/decrease plant type, and size of the growing area.
- Product changes, Changes in processing methods, and product management.
- Renovation of the establishment
- Change in group members
- Change in the control system within the group.
- Change in the administrator or operator
- Change in the area or place of production, transfer of business, relocation of production site, or place of operation
- Machinery and Tool Replacement.
- In case of using production aids for processing, or use of cleaning agents.
- Inputs used to improve soil nourishment and control pests that do not come from organic production systems.

Group leaders must submit the changed documents to the Department of Agriculture certification body for further consideration on a case-by-case basis.

3.4 In case the group finds that the farmers/producers of the group do not comply with the standards or criteria and conditions for certification specified by the Department of Agriculture. The group leader shall inform the Department of Agriculture in writing of such details and corrective measures.



<https://www.alamy.es/>

3.5 During the process of conducting audits for certification.

The Applicant cannot request to recertify/cancel the certification for any member who finds the non - compliance.

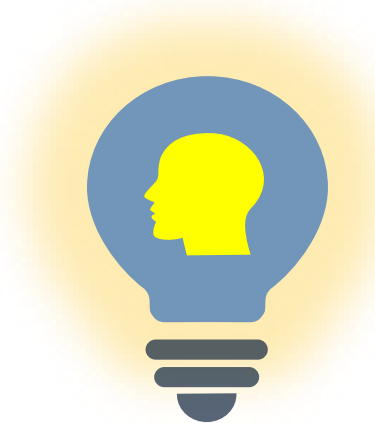
In the event that any member who finds a non - compliance or others does not wish to continue joining the group.

The Department of Agriculture certification body will conduct all new sampling and assessments.

The group must submit information about changes in group members.

Efficient Inspection Technique

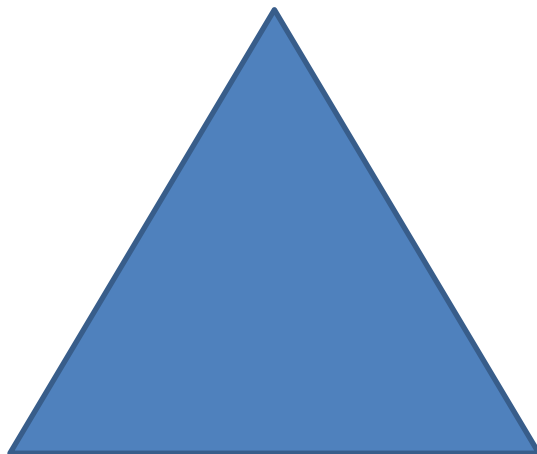
Information Triangle



Notes and related document

(farm records, production contract application, internal audit report for the current year and the previous year, list of approved farmer members, receipts, purchases, inputs, outputs)

Interviews during
the audit



Real conditions in the
area, storage facilities.

Fact - finding based on triangulation

Interview	Document inspection	Observation/evidence collection
<ul style="list-style-type: none"> • Non-suggestive open-ended questions: Who, what, where, when, how much? How? Why? <p>Avoid questions "yes" or "no"</p> <ul style="list-style-type: none"> • Start with a simple question and then give them a chance to answer fully. • The question is clear enough 	<ul style="list-style-type: none"> • Inspection report for previous Year • Farm records • Plot registration / production contract • Plot map /farm map • Receipts for inputs such as fertilizers, seeds, etc. • Produce sales receipts 	<ul style="list-style-type: none"> • House • Storage room • Yield Storage • Garden • Neighboring farm <p>**Go by appointment + go without notice**</p>

**Summary of 15 steps
under internal control
system and documentation**

1. Organize training to educate farmers =>

Evidence of farmer training

2. Members fill out the application form and register their paddy field =>

Application form and registration of members of the group.

3. Determine the organic production criteria of the group =>

Standard requirements

4. Make an Internal Audit Manual => **Group Internal Audit Guide**

5. Farmers sign contracts => **Contracts that farmers sign**

Summary of **15** steps
under internal control
system and documentation

6. Prepare the Group's Organic Management Plan => **Group Management Plan**
7. Farmers prepare records and store documents => **Farm activity records and farmers' receipts**
8. Selection and training of internal inspectors => **Group internal inspector register and evidence of internal inspector training**
9. Prepare location map and farm plan => **Farm map and farm plan of each plot of the group member.**
10. Internal audit and report preparation => **Member conversion report**

Summary of **15** steps
under internal control
system and documentation

11. Evaluate the internal audit report and approve it.
12. Prepare a list of farmers who have received certification status and sanction status => **Summary report of group plot audit results**
13. Harvesting and post-harvest management of group.
14. Issue receipts for purchase/sale of produce, record of purchases and codes of produce purchased from member farmers in each cycle => **Group receipts and records of purchases.**
15. Prepare labels according to the standards received => **Group labels**

Reference

- Criteria and Conditions for Certification of Organic Crop Production (RE-7) Department of Agriculture, announced on 28 June 2021
- Criteria and Conditions for Organic Crop Production Assessment (RE-8) Department of Agriculture, announced on 31 January 2019
- Criteria and Conditions for Assessment of Organic Rice (R-DRIC-04) Department of Rice, announced on 10 April 2020.
- Supporting documents for training courses for internal control system trainer development for group organic crop/rice production system certification ISO Certification Institute



MASCI
สถาบันรับรองมาตรฐานไอเอสโอ
Management System Certification Institute (Thailand)

Link : Video on Internal Control System in accordance with Organic Standards

- 1) Internal Control System Step 1: Assessment of the potential and readiness of the group
<https://www.youtube.com/watch?v=ZuSZxgUVtiE>
- 2) Internal Control System Step 2: Documentation of Group Internal Control System
<https://www.youtube.com/watch?v=8YnSVHqx6Ho>
- 3) Internal Control System Step 3: Experimenting with the Group's Internal Control Handbook
<https://www.youtube.com/watch?v=pgrrVfas4eU&t=27s>
- 4) Internal Control System Step 4: Assessment of Internal Control System
<https://www.youtube.com/watch?v=92GLxJAzhzU>
- 5) Internal Control System Step 5: Preliminary Audit
<https://www.youtube.com/watch?v=2FK-B3QzNoc>

Activities to review understanding

Role-play activities as internal inspectors of the group

The activities are as follows:

1. Divide farmers into groups of 4 - 5 people
2. Walk to inspect organic rice plots, samples and interview farmers.
3. Fill in the transformation information and present at the training.
4. Jointly analyze the answers and make recommendations



For more information



Criteria and Conditions for Certification of Organic Crop Production (RE-7)
Department of Agriculture

Criteria and Conditions for Organic Crop Production Assessment (RE-8)
Department of Agriculture

Instructor's Guide to Organic Rice Production and Processing in Thailand
Chapter 3 Application for Standard Certification

