

SRS Rules of Certification Work for Organic JAS

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Chapter 1 General Provisions

(Scope) art 1

Article 1 This Regulation shall be governed by SRS Certification GmbH (hereinafter referred to as 'SRS') on the certification work under the Act on Standardization of Agricultural Products (hereinafter referred to as 'JAS Act'). It specifies the work related to certification based on the management policy, operation system, implementation method and other matters necessary for the implementation of business related to certification.

(Certification Policy) art 2

Article 2 The certification policy conducted by SRS is as follows and all activities are carried out based on this policy:

- (1) To provide competent, justice, strict and prompt certification service.
- (2) SRS will strive to maintain and improve necessary technical capacity to ensure the reliability of certification work.
- (3) Responsible for confidentiality about information obtained from certification work.
- (4) Responsible for impartiality, i.e. of influence from other business divisions concerning objectivity and fairness.
- (5) Contribute to the proper management of the JAS system.

(Legal Status and Responsibility) art 3

Article 3 SRS is registered as an overseas certification body based on the JAS Law and carries out certification duties

2. SRS appropriately exercises the authority of registering the institution and is responsible for all certification activities performed by SRS.

Chapter 2 The Place of Office and the Area where Certification Work is carried out

(Office of Certification Work) art 4

Article 4 Friedländer Weg 20, 37085 Göttingen, Germany, the office where SRS carries out certification work.

(Area of Certification Work) art 5

Article 5 The area where the SRS conducts certification work shall be other than Japan, i.e. foreign country.

Chapter 3 Categories and Types of Agricultural and Forestry Goods to be certified

(Categories and Types of Agricultural and Forestry Products to be certified) art 6

Article 6 The category (or classification) of agricultural and forestry goods to be certified by SRS shall be as defined in article 41.5 of JAS Enforcement Regulation which is applied mutatis mutandis as stated in article 65. The types shall be organic agricultural products,

organic processed foods, organic feed, and organic livestock. Certification of organic processed foods includes certification of alcoholic beverages.

(Certified Business Operator who performs Certification) art 7

Article 7 Business operators eligible for SRS certification shall be entitled to 'Overseas Organic Production Process Managers', and 'Overseas Country Repacker'.

Chapter 4 Time to conduct Certification Work and Holidays

(Business Hours) art 8

Article 8 The core working time to perform the certification work of the office is from 9:00 am to 3:00 pm (Central European Time) from Monday to Thursday and from 9:00 am to 1:00 pm on Fridays. The office is closed on Saturdays and Sundays.

Public holidays, on which SRS office is closed:

The holidays are New Year's Day (January 1st),
Good Friday (2 days before Easter Sunday),
Monday after Easter Sunday,
Labor Day (May 1),
Ascension Festival (Thursday, 39 days after Easter Sunday),
Pentecost (Monday, 50 days after Easter Sunday)
Reformation Day (October 31)
German Unification Day (October 3),
Christmas (December 24, 25, 26)
New Year's Eve (December 31).

Chapter 5 Fees for Certification

(Certification Fee) art 9

Article 9 When accepting a certification application under [Article 26](#), the SRS collects the certification fee specified document S6-Pol2 'Certification Fee Regulation' from the applicant.

(Survey Fee etc.) art 10

Article 10 When the production process manager and the subdivision company (hereinafter referred to as 'certified business operator') certified by SRS conduct a check survey of certification matters under [Article 40](#), SRS shall collect the survey fee specified in document S6-Pol-2 'Certification Fee Regulation' from certified business operators.

2. When SRS conducts a temporary confirmation survey of certification items under [Article 41](#) and [Article 42](#) to the certified business operator, it will collect an additional fee specified in document S6-Pol2 'Certification Fee Regulation' (fee for additional inspection, investigation, and/or certificate modification, depending on the specific case).

3. When conducting an additional inspection under [Article 34](#), paragraph 3 to the certification applicant and certified business operator, SRS collects the additional inspection fee specified in document S6 - Pol2 'Certification Fee Regulation'.

(Burden of other Expenses) art 11

Article 11 SRS collects the tuition fees stipulated in document S6-Pol2 'Certification Fee Regulation' from participants of the Organic JAS Seminar of SRS.

2. Pay jury travel fee, accommodation fee and actual amount.

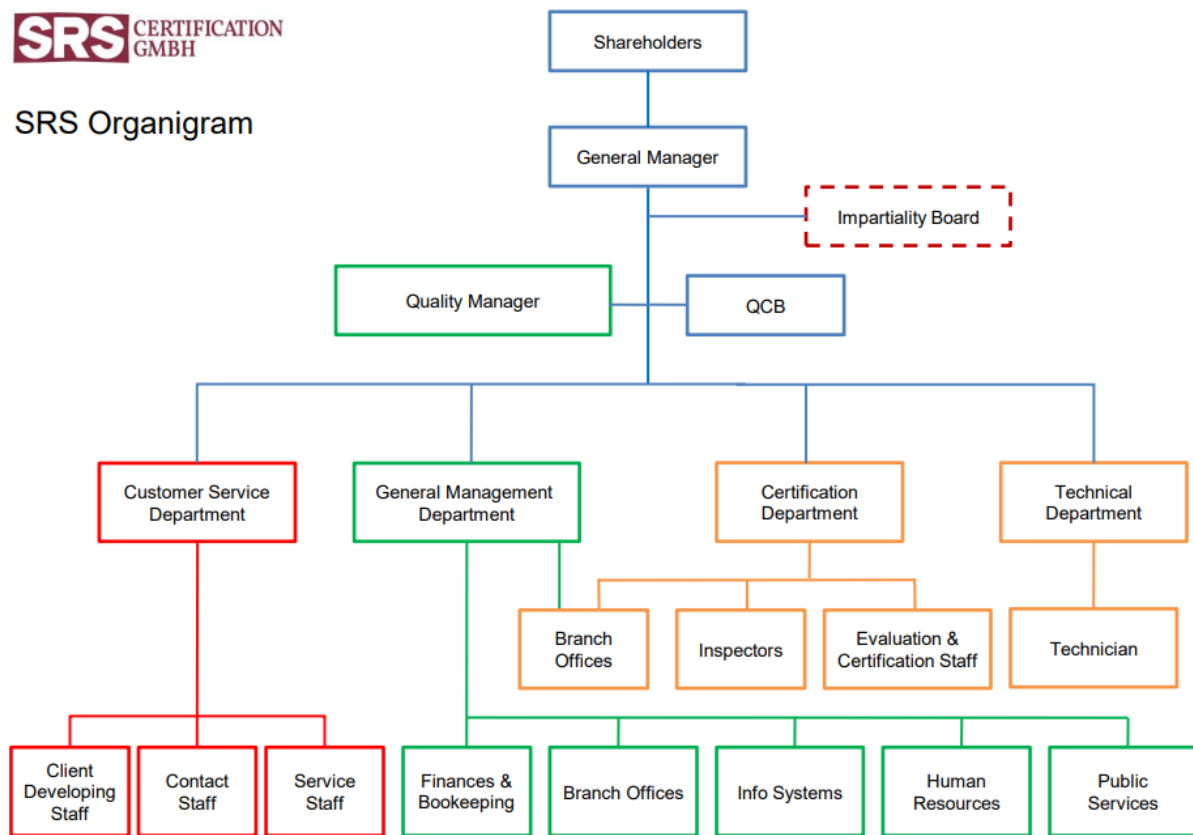
Chapter 6 Organizations engaged in Certification Work

(Organization) art 12

Article 12 Organization of SRS.



SRS Organigram



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(Responsibility and Authority of the General Manager) art 13 - 14

Article 13 The General Manager of the SRS is responsible for securing management resources related to certification work, formulating policies, conducting and overseeing certification work, and deciding on awarding, maintaining, expanding, reducing, pausing and revoking certifications.

Article 14 The General Manager could delegate the authority concerning the implementation and supervision of certification work to the Certification Manager and/or the Quality Manager.

Chapter 7 Duties of Persons engaged in Certification Work

(Duties of Persons engaged in Certification Work) art 15

Article 15 The duties of persons engaged in certification work (inspectors, evaluation officers, certification officers) shall be the work of review and approval of applications, management plan (OPD) review, field inspection, review of inspection results, work of certification decision making, dealing with transaction certificates, handling of complaints and other affairs.

2. The evaluation officers engage in the review certification work and the review work related to the surveillance on the certification matters regularly or as necessary after the certification, i.e. in unannounced inspections. The process of review and of certification decision making are separate, to ensure fair business during the evaluation of compliance with certification technical standards.
3. The evaluation officers review the results based on the review result of the former inspectors, making a decision for confirmation of certification and the certification items.
4. SRS has a Technical Department, where academic experts and others shall give advice to contribute to fair decision.
5. The staff members of the Certification Department conduct complaints, residue cases and appeals related to certification and also issue of certificates.
6. Inspectors, evaluation officers and certification officers are eligible for the duties to be carried out.

(Appointment of Persons engaged in Certification Work) art 16

Article 16 The General Manager shall appoint a person as Certification Manager who is responsible for certification work.

2. The inspectors, evaluation and certification officers must receive necessary education and training such as the JAS Law, the procedure of certification work, the technical standard of certification, the JAS standard and the corresponding production agriculture and forestry production process management method, and a sufficient number of qualified persons with the necessary technical knowledge and experience shall be appointed.
3. When appointing, the General Manager shall ask all persons conducting certification business (inspectors, evaluation officers, certification officers) to sign a contract that promises the following matters.
 - (1) Follow the rules stipulated by SRS.
 - (2) The inspectors, evaluation and certification officers assigned to inspect or evaluate or certify shall declare current and past relationships and update the declaration annually.
 - (3) If any event that conflicts with the interests of SRS occurs, promptly report to the Certification Manager and refuse to accept the assignment.
4. The Quality Manager or Certification Manager shall perform competency assessment

at least once every year based on 'SOP-3 Personnel Management' chapter 6 and respective forms for maintaining the competence of persons engaged in certification work.

5. The Quality Manager keeps the record of the qualifications of persons engaged in certification work, training and practical experience, and updates at least once each year.

(Authority of Inspector) art 17

Article 17 The inspector can enter the field or manufacturing place, business office, etc. with the consent of the certification applicant or certified business operator as necessary.

2. The inspector or other Certification Department staff (evaluation officer, certification officer) may ask the certification applicant or the certified business operator to submit a description of its organic operation, records, receipts, labels of purchased materials, and other necessary materials / documents necessary for the inspection.

3. When the Certification Department finds a deficiency in the application form at document inspection, he / she can instruct to correct the description in the application form or operation description form.

4. The inspector can provide necessary guidance to the certification applicant or certified business operator at the time of the inspection except for the coping method of the matter which becomes a matter of certification.

5. The inspector can fill in only the facts in the inspection result report and survey result report and cannot be involved in judging whether the content of the application complies to the certification criteria.

(Authority of Evaluation Officer) art 18

Article 18 The evaluation officer can ask the Certification Manager, the Technical Department, the inspector or the operator to submit additional documents or descriptions necessary for the review and evaluation of the inspection.

2. The evaluation officer can order the Technical Department to investigate ingredients and materials sending to the producers / distributors.

3. The evaluation officer can withhold such decision in the case where the contents or materials of the inspection result report and the survey result report are insufficient in reviewing and judging the inspection result.

4. The evaluation officer can attach necessary conditions to the decision for certification.

(Responsibility of Person conducting Certification Work) art 19

Article 19 Each staff involved specific tasks of the certification work assume the responsibility of his/her task. This includes all steps of the certification work as listed in article 15 above.

2. The inspectors assume the responsibility for the contents of the inspection result report and survey result report. If the inspector deliberately makes a false statement in the inspection result report or the survey result report, the inspector will bear the responsibility and will be deprived of the qualification as an SRS inspector. However, if it

becomes clear that the applicant for certification or the certified business operator made a false answer, the liability is attributed to the applicant or the operator.

3. SRS is responsible for the result of the review by the evaluation officer. However, if it becomes clear that the evaluation officer made a false decision based on the fact, the liability will be attributed to the evaluation.

4. If false decision, field investigations and decision are performed because of the intentions or malice of persons engaged in certification work, and as a result SRS suffers damage, SRS can seek compensation from such employees.

(Training) art 20

Article 20 Each staff member must regularly participate in internal and external training sessions. Every SRS employee must respect the provisions of the quality manual and the contents of procedures and documents. Every inspector, evaluation officer, certification officer, and administrative staff must participate in their respective training courses in order to reach the desired level of specialized skills and knowledge.

(Protection of Confidentiality and Personal Information) art 21

Article 21 SRS protects the confidentiality of information obtained in the process of certification at all levels of the organization including the entrusted individuals.

2. Information on applicant or certified business operator obtained from a third party shall be treated as confidential information.

3. SRS staff including inspectors shall not disclose to others any information that they knew about the certification work, or to use them for their own benefit.

4. SRS must comply with relevant laws and regulations and properly handle personal information so as not to infringe the right interests of individuals in conducting certification business.

5. When collecting personal information in order to conduct certification business, SRS shall be conducted in a fair and equitable manner within the range necessary for achieving the purpose.

6. SRS shall not reproduce any materials, etc., except for the purpose of conducting certification work without the consent of the individual.

7. Except for the JAS Law and other laws and regulations, the certification business, a specific product, specific certification applicant or certified business operator, the information of certification, these shall not be disclosed to a third party, unless it is agreed in writing by the applicant or certified business operator,

(Prohibited Business) art 22

Article 22 SRS does not provide advice or consultant services on how to deal with certification matters those who plan to apply for certification to SRS and certified business operators, except as explained in article 54.

2. SRS does not produce and sell agricultural and forestry products (hereinafter referred

to as 'certified target agricultural and forestry products') that SRS certifies.

3. SRS shall not sell products or provide services that will impair the confidentiality, objectivity or fairness of the certification work in any case.

(Finance and Obligations) art 23

Article 23 SRS shall retain appropriate reserves for the stable operation, have appropriate reserve to deal with the debt situation and professional handling of financial management of our business. The annual financial report shall be available for review by MAFF in the framework of their audits of SRS.

Chapter 8 Implementation Method of Certification and other Certification Work

(Maintenance and Management of Documents and Records) art 24

Article 24. SRS appropriately manages documents and records related to certification work based on SOP-8 'Control of Documents' and SOP-9 'Control of Records'.

2. SRS has prepared documents on the following. For (1) - (8), make it available upon request of the certified business operator and other interested persons.

- (1) Information on authority of SRS
- (2) Instructions for certification procedures including certification, maintenance, expansion, reduction, suspension and cancellation
- (3) Information on inspection and decision method in certification business
- (4) Means for securing the financial basis of SRS
- (5) Costs to be paid by certified applicant and certified business operator
- (6) Rights and obligations of certified applicants and certified business operators
- (7) Procedure for handling appeals and complaints
- (8) List of certified operators and their certified agricultural, forestry and food products
- (9) Financial statements etc. (property inventory, balance sheet, income statement and business report)

(Providing Information on Work) art 25

Article 25 SRS provides the certification applicant with detailed procedures for certification, JAS law (including government ordinance, ministerial ordinance, bulletin, notification), Japanese agricultural forestry standards for certified agricultural and forestry products, technical standards for certification, requirements of SRS Provide documents describing matters, necessary expenses and delivery method, rights and obligations of certification applicant.

2. SRS will provide additional information to the applicant if requested by the certification applicant.

(Acceptance of New Certification Application and Preparation for Inspection) art 26

Article 26 SRS accepts applications for certification when the form ORG-F1 'Application for Certification' and agreements S6-Con1 'Contract for Certification' and S6-Con1.1 'Certification Contract-JAS Addendum' are submitted from the certification applicant. The review of the application must be done by a person who has been authorized for this task by the certification manager. Authorizations are recorded in 'SRS-Personnel List'. When refusing to accept an application, notify the applicant for the reason:

- (1) In the case of the company violating the order of elimination or cancellation of the indication of gradings, submitting report or property, submitting false reports or false properties, refusing inspection, obstructing or repel inspections, not answering questions or making a false answer, the person who had been sentenced to a penalty, and one year has not passed since the day of ending the execution.
- (2) In the case of an application from a person whose certificate has been canceled by SRS or another registered certification body for one year not yet passed.
- (3) In the case of an application from a person who was an evaluation or certification officer who performs the business of a certified business operator pertaining to such cancellation within 30 days before the day of cancellation of the certification from a person whose year has not passed since the day of cancellation
- (4) In the case where there is a statement from the certification applicant that it does not comply with the provisions of SRS

2. SRS shall sufficiently confirm the contents of the certification application form and maintain a record of the confirmation work before beginning the inspection so that the following conditions are ensured in order to smoothly and appropriately conduct the review concerning the certification. Also, if the following conditions cannot be secured even if correction are carried out, an application cannot be accepted:

- (1) All certification applications and attached documents have been submitted.
- (2) Requirements for certification are clearly specified by the document and understood by the certification applicant.
- (3) Differences in understanding between SRS and the certified applicant have been resolved.
- (4) Applicants understand that SRS performs certification business within the jurisdictional area, agricultural forestry category and type of certification work of SRS, as well as certification applicants.

3. If the content of the application is within the scope of certification of certified businesses already certified by SRS, utilize the results of those surveys, and according to the results of the document inspection prescribed in Article 29, part or all of the inspection can be omitted. In case of omission, the reasons shall be specified in the record and inspection report of paragraph 2 to that effect. In addition, when the applicant for certification seeks the presentation of the basis for omission, it must explain. The optional period shall be 12 months.

4. SRS prepares the application review and approval document ORG-F2 'Application Review and Approval' so that preparation work required for inspection can be managed.
5. Where a JAS-certified operator wants to change from another certification body, SRS contacts the former certification body to ask for exchange of information on the operator's certification history including the most current certification file.

(Nomination by Inspectors and Evaluation Officers) art 27

Article 27 The Certification Manager or an evaluation officer shall designate the inspector who shall conduct the on-site or remote inspection of individual applicants. A sufficient number of people are appointed depending on the size of the applicant for certification.

2. The Manager shall also designate, the person (evaluation officer) who conducts the OPD (operation description) feedback before the inspection takes place as well as the evaluation, and the person who takes the certification decision (certification officer) based on the review results. For nominated as inspectors shall not be appointed certification officer. In exceptional circumstances OPD review and evaluation may be done by two different evaluation officers.
3. No inspector maybe assigned, after having inspected an operation for more than three times. No evaluation or certification officer maybe appointed when they have a conflict of interest or visited the operation as inspector for the past two years.
4. SRS will provide the inspectors, evaluation and certification officers with the necessary information and appropriate working documents to ensure comprehensive and accurate decision making.
5. Remote inspections shall be done only under circumstances that do not allow an on-site inspection (e.g. pandemic, natural disaster) and must allow a live two-way video communication between the inspector and the operator. Confidentiality and security must be assured. Where only part of the inspection is done remotely the inspection report must specify which parts.
6. Operators that are inspected by SRS for the first time and operators who add new locations/site (e.g. field or warehouse) cannot be inspected remotely.
7. Where the remote inspection of the previous year led to a classification of the operation as high-risk, the following inspection must be done on-site.
8. When after two years of remote inspection the document review reveals findings that require an on-site verification, the following inspection must be done on-site.
9. After three years of remote inspections, the following inspection must always be done on-site.

(Notification of the Field Survey Plan) art 28

Article 28 The appointed inspector receives an assignment and shall coordinate the schedule with the certification applicant (operator) and prepare an 'inspection plan' and notify the certification applicant in due time before the on-site or remote inspection.

(Implementation of Inspection) art 29

Article 29 According to the assignment and inspection plan, the inspector conducts, the inspection based on 'Organic JAS standard' and review whether the applicant complies with the technical standard of certification.

2. In case of producer groups the inspector must verify that all producer group members have been inspected internally by a qualified internal inspector appointed by the management of the producer group and that the internal control system (ICS) works properly.
3. The number of group members to be inspected shall be determined according to the risk. As a minimum the inspector inspects annually the square root of the number of producer group members (rounded up to the next whole number where applicable), but at least 10 group members.
4. Where a producer group asks for the first time for organic JAS certification (no former organic JAS certification by another certification body) or new members join the group and/or new fields or facilities are included in the certification all of them must be inspected.
5. Risk factors to be taken into account are for example: cultivated products, production environment, used inputs, production methods, NC detected in the past, changes, duration of certification of the member.
6. At the end of the inspection, the inspector holds a meeting with the responsible persons of the applicants during which is particularly important to verify all findings and non-compliance with certification technical standards and verbally indicate what the standard says.
7. For items to be corrected that are judged not to be expected to comply with certification technical standards among serious non-compliances, clearly state in that non-compliance list and let the operator sign the list.
8. The operator is asked to provide corrections or suggestions for corrections of the findings and non-compliances starting immediately after the on-site visit/remote inspection is finished.

(Report on the Results of the Inspection) art 30

Article 30 The inspectors will report to SRS Certification Department by email, together with the collected evidences.

2. If an operator does corrections quickly and supplies the inspector with evidences, then these corrections can be sent to SRS together with the inspection report. The inspector makes an assessment as to whether the correction adequately address the findings and/or shows a closing of the non-compliance.
3. Notwithstanding the preceding paragraph, in cases where it is decided that an urgent response is required, such as when confirming a serious non-compliance, the inspector will immediately send the final report without waiting for a corrective report and inform SRS Certification Department of the urgency to make a decision.

(Notice of Final Report and Corrective Action) art 31

Article 31 SRS Certification Department notifies the final report to the certification applicant.

2. If the final inspection report finds the content of report insufficient, the SRS Certification Department reports its feedback to the inspector in writing indicating what to do, or how to correct the inspection report.
3. After the corrected report is submitted, the evaluation officer shall begin the review.

(End of Inspection) art 32

Article 32 The SRS Certification Department accepts the report of inspection, even if it is determined that the noncomplying matters have not been corrected by the operator at that time.

(Review of Results) art 33

Article 33 The evaluation officer confirms the content of the inspection, the inspector's response to the assignment and the result thereof and report it to the operator. The evaluation result shall be summarized in a notice letter, where the scope of application, additional important information and possible additional non-compliances are listed and sent to the operator for confirmation of correctness of scope and additional information and correction of non-compliances. After the correction or proposals of corrections are all received by the Certification Department the finished review is forwarded for decision making.

(Decision on Certification or Denial) art 34

Article 34 A certification officer makes a decision on the certification or denial of certification based on the review of the inspection and evaluation process and the final report of correction of non-compliances and the inspection result and reports it to the applicant for certification and judges whether the certificate can be issued immediately or not and of the content of the certificate.

2. As a result of the certification decision, if the certification officer finds the operation is not in compliance with the technical standard of certification the file is returned back to the evaluation officer for handling of additional findings or non-compliances, as described in previous chapter.
3. In the case referred to in the preceding paragraph, if the certification officer determined, that an additional inspection is required to verify corrections, it will be carried out in accordance with Article 29.

(Certification Contract) art 35

Article 35 The certification contract is countersigned by SRS after positive application review (see art. 26) and sent back to the operator as pdf file. SRS provides the client with the SRS JAS seal and seal number after initial certification.

(Preparation and Record Keeping) art 36

Article 36 For each application, SRS records the name of the applicant, the type of agricultural and forestry goods, the name of the inspector / evaluation officer/certification

officer, the date of inspection, the date of decision making, whether certification is granted in its client database. This information is kept always and ongoing and saved for at least five years.

(Delivery of Certificate) art 37

Article 37 The responsible person will issue the certificate using template ORG-T3.3 'JAS Certificate', respectively a confirmation of conversion without delay.

(Appeal of Certification Decision) art 38

Article 38 The certification applicant who does not agree with the decision can submit an appeal and request for the re-examination to the SRS by giving the reason in writing.

2. There will be no charges for the re-examination. Only when an additional inspection must be conducted, these expenses shall be collected from the certification applicant by applying the provisions of Article 10.

(Re-Inspection and Evaluation following the appeal) art 39

Article 39 The SRS Certification Department shall have the evaluation officer make a re-decision upon submission of the corrections, respectively submission of the additional inspection's report.

2. As for the notification of the result of re-evaluation, the provision of Article 34 shall apply mutatis mutandis.
3. If, as a result of the re-evaluation, it is again decided that the applicant does not comply with technical standards, the certification is denied.
4. After the denial the applicant can be certified only after a re-application submitted no earlier than 12 months after denial date.

Chapter 9 Method of Confirmation of Certification Matters and Method of Implementing Operations Concerning Confirmation of Other Certification Matters**(Confirmation of Certification - Annual Surveillance Inspection) art 40**

Article 40 SRS shall conduct a surveillance inspection to confirm the certification document review and on-site or remote inspections are conducted in order to confirm that the certified operator continues to meet the technical standards of certification.

2. The surveillance inspection shall be conducted approximately once a year.
3. SRS contacts the operator and seeks information about continuous organic management and changes in the operation (OPD-update).
4. SRS prepares a feedback letter to the operator with confirmation of receipt or re-application, confirmation or questions about the compliance.
5. The surveillance inspection for concerning the compliance shall be conducted pursuant to Article 27 to Article 32.

(Temporary Confirmation Investigation of Change Notification and Certification) art 41

Article 41 When the change notification (OPD-update) concerning the certification items is submitted from the certified operator, etc., or when the certified operator confirms that the certification business has changed, etc., SRS promptly gives feedback of the part concerning the changes.

2. The method of temporary confirmation of certification matters is conducted in accordance with the method of confirming the certification items in the annual survey of Article 40, i.e. the certified operation must submit an updated OPD (operation description). If the result of the OPD feedback and reviews positive and the changed part is compliant with the technical standard of certification, it is possible to omit the inspection, and accept the change. The process of reviewing and accepting changes in the certified operation is recorded.

(Temporary Confirmation Investigation of Certification Items based on Information Provision etc.) art 42

Article 42 SRS conducts a temporary confirmation survey of certification matters when grasping facts that certified operators may not comply with certification requirements (technical standards) by information provision or other method from a third party.

2. The method of temporary confirmation of certification shall be conducted in accordance with the method of confirmation of certification in the annual survey of Article 40. However, confirmation of matters other than investigation of matters that are the purpose of temporary confirmation survey can be omitted.

3. When judging that it is urgent, without asking for submitting confirmation sheet and change notification.

(Request for Shipping Stop) art 42-2

Article 42-2 as a result of the investigation stipulated in Article 40 to Article 42, it is determined whether the certified operator complies to the technical standards of certification, or whether the product complies to the JAS standard of said agricultural and forestry goods. In there are doubts SRS will request that the certified operator does not ship products with the grading mark attached to the agricultural and forestry goods until SRS permits.

(Review of Survey Results) art 43

Article 43 When conducting the investigation prescribed in Article 40 to 42 or confirming noncompliance to the certification contract, make the evaluation officer check the validity of the survey content and its result.

2. The evaluation officer confirms the contents of the investigation and the validity of the result and reports it to a certification officer.

3. If the results of the previous section and the survey content are not satisfied, the necessary procedures to satisfy the validity shall be implemented in accordance with Article 40 to Article 42.

(Decision Based on Inspection Results) art 44

Article 44 The SRS Certification Department maintains certification, reduces or enlarges the

scope of certification, cancellation of certification, suspension of grading work or display of gradings on the basis of the survey result report (final report) and certification nomination form deliberates on the suspension of stoppage of the shipment of agricultural and forestry goods and cancellation or suspension. The evaluation officer nominated by the Certification Manager shall report the results of the evaluation including a proposal on the certification decision to an authorized certification officer (also nominated by the Certification Manager) for making the final certification decision.

2. The decision criteria of the evaluation officer shall be as follows:

- (1) Maintenance of certification or cancellation of request for suspension of grading, etc. Certified business operators continue to comply with certified technical standards.
- (2) Reducing or extending the scope of certification. Make it comply to the technical standard of certification by informing the operator of the non-compliances and request for correction.
- (3) Informing the certified operator of its violation and according to article 45 announcing a revocation of certification.
- (4) Shutdown of shipment of agricultural and forestry goods with suspension of grading work and grading indication.

3. When the certified operator gives up their grading operation and withdraws from the certification, the SRS Certification Department shall issue a suspension of the grading work and the grading of the affected shipment of agricultural and forestry goods with the indication of the grading and the reduction of the certification. SRS shall inform the operator to discontinue grading, revise their advertisements.

4. SRS shall document and save the results of the evaluation and decision making.

(Response to Certified Business Operator's Violation) art 45

Article 45 SRS responds to violations of certified operators as follows:

When non-compliances are detected (including misleading information on the certification) or SRS finds that it is likely that non-compliances occur, the operation is requested to correct these matters in a timely manner. Where the time limit has been exceeded without implementation of corrections SRS initiates the suspension of certification that results in a prohibition of shipping of graded goods. Depending on the severeness of the non-compliance a suspension may be initiated immediately without giving a deadline for implementation of corrections.

If the operator refuses to implement corrections, does not implement corrections without reasonable justification, or corrections are not implemented in the course of one year, the certification shall be cancelled.

In the case of intentional violations, falsification of documents, false information given or where the operator refuses the inspection as such or to grant access to relevant documentation and/or the location (e.g. fields, storage facilities, processing facilities) the certificate will be revoked (cancelled) immediately.

When SRS detects incorrect claims/grading (e.g. labelling of products with the JAS seal without

having done the grading, product has not successfully passed the grading but JAS seal has not been removed, grading done by staff that has not been approved to do the grading) the operators shall be required to take corrective actions immediately, i.e. the JAS seal shall be taken off the goods and they shall not be sold as certified organic (suspension of the affected lot(s)). If this is not being done, the certificate will be revoked (cancelled). No opportunity to take corrective actions will be given where illegitimate grading is done intentionally or by gross negligence, but the certificate will be revoked immediately.

When MAFF determines that an operation has violated the JAS law, the ministry may request SRS Certification GmbH to cancel the certification according to Regulation for Enforcement of the Act on Japanese Agricultural Standards, article 48[3](e)(6).

A suspension of certification or grading is followed by a withdrawal of certification (cancellation) when in the above-mentioned cases it can be concluded that the operator will not comply with the provisions.

The withdrawal of the certificate (cancellation) will be announced to the operator one week in advance to give him/her the opportunity to explain. If the explanation is not sufficient to drop the withdrawal, it will become effective. The operator cannot apply for certification again for the period of one year.

Requirements of ISO/IEC 17065 are taken into account.

(Re-Issue and Return of Certificate, Publication of Information) art 46

Article 46 If the results of the decisions in Articles 44 and 45 find that the reduction or extension of the scope of certification is appropriate, the SRS Certification Department will change the scope of certification and re-issue the certificate.

1a. The SRS Certification Department asks for return of the certificate by the certified business operator if it finds that revocation of certification is appropriate as a result of the decision described in Articles 44 and 45, or when it abolishes the performed grading.

1b. As a result of the decision described in Articles 44 and 45, if the SRS Certification Department finds that it is appropriate to request the suspension of the performed grading and requests for suspension of the shipment of JAS graded agricultural and forestry goods grading, SRS will temporarily suspend certificate of the client.

1c. As a result of the decision described in Articles 44 and 45, if the SRS Certification Department finds that it is appropriate to terminate the request to suspend the shipment of graded agricultural and forestry goods grading, SRS will lift the suspension and allow sales again.

2 SRS will publish information related to certification, to the removal of labels of grading and cancellation of certificates.

2a. When a JAS certificate is canceled or graded products are suspended from sales as organic and the operator does not discontinue efforts to sell the goods, remove JAS label for affected products or continuous to advertise this fact shall be published on SRS website.

2b. The information that will be published will be as required by Regulation for Enforcement of the Act on Japanese Agricultural Standards , article 48(1)(iv)(a)-(f)).

2c. Certifications are published for the time period they are valid until its cancelation. In the case of changes to certification these are published as long as they are valid. In the case of surrenders, expiration or cancellation these shall be published for the day on the request is made for a period of minimum one year but at least until all grading labels have been removed from the products. When certification is suspended or revoked, the duration of publication of this fact is one year.

3 Where an operator who was formerly certified by SRS changes to another certification body SRS will exchange information on the operator's certification history, but only upon written request of the operator's new certification body.

(Revision of JAS Standards and Technical Standards etc. of Certification) art 47

Article 47 If the technical standards of the JAS standards or SRS' rule on certification is amended, SRS shall notify the certified operator and the certification applicant accordingly in writing.

2. SRS confirms the action taken by the certified operator due to revision of the certified technical standards.

Chapter 10 Matters Necessary for Impartial Implementation of Certification Work

(Identification of Impartiality Risk) art 48

Article 48 The Quality Manager shall continuously identify risks pertaining to fairness and strive to eliminate or minimize the identified risks.

(Impartiality Board) art 49

2. In cases where a request is made by the impartiality committee set forth in the preceding paragraph, the General Manager shall make it possible to obtain and view what every member deems necessary for all information.

Article 49 SRS established an Impartiality Board for supervision of impartial operation of certification work, SOP-2 of SRS describes respective principles and rules.

3. In case SRS receives advice or guidance from the Impartiality Board of the preceding paragraph, it shall promptly follow this. In the case of advice or guidance inconsistent with the operation procedure or other procedures of the SRS, it is possible to make a decision not to comply with the advice or guidance after recording the reason.

4. Document the record of the review of the certification work of SRS out of the decision of the Impartiality Board and save it for 5 years.

(Internal Audit) art 50

Article 50 The Quality Manager conducts internal audits of accounting work at least once each year in order to verify whether the certification work is properly implemented, and the implementation system of the certification work is maintained. SOP-11 'Internal Audit' describes respective principles and rules.

2. Internal audits shall be conducted in accordance with the 'Internal Audit Regulations' specified separately.

3. Document the internal audit results and save.

(Management Review) art 51

Article 51 The General Manager shall conduct management review at least once each year as to whether the implementation of certification work is appropriate, reasonable and effective.

2. The method of management review can be found in SOP-10 'Management Review', describing respective principles and rules.
3. Record the record of the review of work related to certification, document it and save it.

(Corrective Measures and Preventive Measures for Nonconforming Work) art 52

Article 52 When the nonconformities occur, the Quality Manager shall take corrective action according to SOP-12 'Corrective and Preventive Actions':

- (1) To identify nonconformity, grasp the state of the nonconformity and confirm the requirements.
 - (2) In order to identify the cause of the nonconformity, confirm the record of the work related to the nonconformity and listen to concerned parties.
 - (3) To correct nonconformities, consider appropriate measures to fulfill these requirements.
 - (4) Concerning the necessity of measures to prevent recurrence, review and examine the procedure of the work related to the nonconformity.
 - (5) Perform the required treatment at the appropriate time.
 - (6) Save the documents of steps (1) to (5) in order to record the results of the treatment performed.
 - (7) The measures taken will be handled as part of the annual management review.
2. If there is a problem that it is anticipated that nonconforming work will occur in the future, the Quality Manager shall carry out preventive measures according to the following procedure.
- (1) To identify potential nonconformities, grasp the state of the problem and confirm the requirements. In order to identify the cause of the problem, confirm the record of the work related to the problem and listen to stakeholders.
 - (2) Concerning the necessity of preventive measures against occurrence of noncompliance, review and examine the procedure of the work related to the problem.
 - (3) Perform the required treatment.
 - (4) Save the documents of steps (1) to (3) in order to record the results of the treatment performed.
 - (5) The measures taken will be assessed at the time of the annual management review.

(Acceptance of External Audit) art 53

Article 53 SRS is audited by the Ministry of Agriculture, Forestry and Fisheries in Japan and the independent administrative agency of the National Agriculture, Forestry and Fisheries

Consumption Safety Technology Center regarding the organic JAS certification work. Provided that SRS has reported certification of alcoholic beverages also the Japanese National Tax Agency may audit SRS. SRS shall make necessary arrangements to prepare the audits well and support auditors' examination of SRS' certification work.

Chapter 11 Matters Necessary for Conducting Business Related to other Certification

(Lecture Meeting for Person in charge of Production Process Management, Repacking, Grading etc.) art 54

Article 54 SRS offers trainings to applicants for JAS certification. At least one day before start of the inspection, must PPM (director) and Grading Manager (director) participate in a training. Training maybe offered by office staff or JAS inspectors, online, as part of training seminars or on-site at the applicant operation. It must be given by staff which SRS qualified for this task (JAS inspector, EO, CO). In the case an applicant to SRS Certification has been JAS certified before and PPM and Grading Managers have already attended a JAS Seminar and submit proof of it and if the certification body which conducted the training is still JAS accredited, may SRS accept this training. When only the production process manager or re-packer attended the training, one person of a company may this person teach others and shall submit a training record. When the PPM or repacker change, the new staff must be trained by SRS.

(Appeal and Handling of Complaints) art 55

Article 55 SRS shall handle the complaints, objections or disputes raised by the applicant or any other person under the separate complaint / objection and dispute resolution rules according to SOP-7 'Handling Complaints and Appeals'.

2. Keep records of the date and time of complaints, content, circumstances, person in charge, etc.

(Management of Certificate and Grading) art 56

Article 56. The SRS properly manages the display of certificates and gradings on certified shipments.

2. When SRS staff finds an indication of inappropriate gradings by certified business operators, they immediately report to the Certification Manager and ask instructions on the action.
3. When SRS staff finds incorrect references to the certification system in the promotion, catalogs and other media by certified business operators, and indications of misleading gradings, report them to the Certification Manager and ask for directions.
4. If there is a report in the preceding paragraph, the Certification Manager shall take appropriate measures promptly.

(Reporting and Publication) art 57

Article 57 When the certification is carried out, SRS reports to that effect without delay to the Minister of Agriculture, Forestry and Fisheries of Japan, and at the office for public inspection, it provides information by using the Internet or other appropriate method.

2. When the SRS requests the certified business operator to suspend the shipment of agricultural and forestry goods with gradings and grading indications, SRS notifies the Minister of Agriculture, Forestry and Fisheries of Japan without delay, and at the office for public inspection, to provide information through the Internet or other appropriate methods. When the request is changed or canceled, it shall be reported to the Minister of Agriculture, Forestry and Fisheries of Japan in time.
3. When the certified business operator abolishes the grading operation, SRS notifies the fact to the Minister of Agriculture, Forestry and Fisheries without delay and at the office for public inspection, to provide information through the Internet or other appropriate methods.
4. When revoking the certification, SRS reports to that effect without delay to the Minister of Agriculture, Forestry and Fisheries of Japan, and at the office for public inspection, to provide information through the Internet or other appropriate methods.
5. The contents to provide information in paragraphs 1 to 4 are as follows.
 - (1) Name, address, and certification number of a person who has been certified (person requested to stop shipping, person who abolished the grading operation, person who canceled the certification)
 - (2) Production process administrator of agricultural and forestry commodities of persons concerned with certification (request for suspension of shipment, abolition of grading work, revocation of certification)
 - (3) Types of agricultural and forestry goods of persons concerned with certification (request for suspension of shipment, abolition of grading work, revocation of certification)
 - (4) Name and address of the scaffolding, factory or office relating to certification (request for suspension of shipment, abolition of grading work, revocation of certification)
 - (5) Date of certification (request for suspension of shipment, abolishment of grading work, cancellation of certification)
 - (6) The reason for request for suspension of shipment of agricultural and forestry goods and the reason for cancellation of certification should be stated.
6. SRS receives the report of the past year's performance from certified companies, compiles it according to the type of agricultural and forestry goods, and reports to the Minister of Agriculture, Forestry and Fisheries of Japan by the end of September every year. Similarly, compile and report the field area of the production process manager of organic agricultural products.

(Other) art 58

Article 58 In addition to what is provided for in these regulations, matters necessary for business related to certification are separately determined by the General Manager in order to satisfy the requirements of the JAS law regulations.