

Inspection report format



Inspection Report of Project with ICS

Project Code

This report is confidential but can be released after approval of the licensee and certifier

Project Address: Tel: Fax: E-mail:	Inspector: Inspection date:
Licensee Name: Address: Tel: Fax: E-mail: Website:	Earlier inspections (<i>Last 3 inspections</i>) Inspector, Inspection date 1.
Project Manager: 	Member since (month-year):

<p>Tel:</p> <p>Contact person for organic certification:</p> <p>Tel:</p> <p>Fax:</p> <p>E-mail:</p>	<p>Certification body:</p>
--	---

1. Content

1. Content.....	Error! Bookmark not defined.
2. Inspection Details	3
3. Project Description	6
4. Risk Assessment.....	8
5. The Internal Control System.....	Error! Bookmark not defined.
6. Farm Production	Error! Bookmark not defined.
7. Buying, Processing and Handling	Error! Bookmark not defined.
8. Recommendation for Certification Programme	Error! Bookmark not defined.
9. Follow up after Inspection	Error! Bookmark not defined.
10. Appendixes	Error! Bookmark not defined.

2. Inspection Details

2.1 Scope of Inspection

Type of inspection <input type="checkbox"/> Initial inspection <input type="checkbox"/> Annual inspection <input type="checkbox"/> Extra inspection <input type="checkbox"/> Announced inspection. <input type="checkbox"/> Unannounced inspection <input type="checkbox"/> Other specify:	Applicable standards <input type="checkbox"/> OCN <input type="checkbox"/> EU 834/2007 and 889/2008 <input type="checkbox"/> NOP <input type="checkbox"/> JAS <input type="checkbox"/> COR <input type="checkbox"/> Other specify:
Activity for project inspection <input type="checkbox"/> The ICS manager/responsible person was present during inspection <input type="checkbox"/> Exit Discussion was concluded <input type="checkbox"/> Risk assessment was done <input type="checkbox"/> Visit with focus re-inspection	List and number of inspected farms/operators <input type="checkbox"/> Farms... <input type="checkbox"/> Farmer groups... <input type="checkbox"/> Storages... <input type="checkbox"/> Processing facilities... <input type="checkbox"/> Other, specify ...
Production to be certify:	Products requested for certification:

2.2 Inspection Schedule

D-M-Y	Time	Activity) Specify travel time, place visited and persons met

--	--	--

2.3 Details of Inspection

Summary of instruction for the visit:

In the course of the inspection, information was obtained from the following sources:

	Information Source	Details
<input type="checkbox"/>	Interview ICS Manager/Responsible person	
<input type="checkbox"/>	Re-inspection of farmers	
<input type="checkbox"/>	Witness internal inspections	
<input type="checkbox"/>	Interview other ICS staff	
<input type="checkbox"/>	Check of ICS records	
<input type="checkbox"/>	Visit to local pesticide stores	
<input type="checkbox"/>	Visit to farmers in neighbourhood	
<input type="checkbox"/>	Visit to authorities, NGO's, etc.	
<input type="checkbox"/>	Interview person responsible for purchasing	
<input type="checkbox"/>	Check residue analysis	

Language of inspection (if translation was used, give details)

2.4 Overview of Inspection

Project site	No. of Re-inspection	Comments
Total		

Witness inspection		
Internal inspector	Project site	Comments

Inspected Purchase Centers	Comments

Inspected Processing Units <i>as part of ICS project</i>	Type		Processed Product : <i>reference to separate inspection report for processor (if available)</i>
	<input type="checkbox"/>	Contracted processor	
	<input type="checkbox"/>	Own processing	

	<input type="checkbox"/>	Contracted processor	
	<input type="checkbox"/>	Own processing	

Additional Comments:

3. Project Description

3.1 Project Background

(Refer to ICS Manual, if available, and report any change found at the time of the inspection.)

3.2 Activities of the Project

Overview of project sites:

Description of all production & handling steps (until sales)

	Compliance Criteria	Cat.	OK	PF	NF
3.2.1	An overview on the organic operation sites is available, incl. a general overview of the farming system and agricultural practices of participating farmers.	B	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2.2	There is a description of all steps that take place from harvest to final sales, incl. Which entity and who is responsible for the product at each stage.	B	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments:

3.3 Basic information about production area

(SHORT introduction to geographical location, climatic characteristics of region, typical farming style (including typical products) in the area.)

3.4 The organic production method

(If necessary according to project site.)

3.5 Farmers in the project

<input type="checkbox"/>	In villages scattered over the project's area	<input type="checkbox"/>	Villages are closely located to each other/all in same area
<input type="checkbox"/>	Scattered individual smallholder farms	<input type="checkbox"/>	Clusters of neighbouring organic farms
<input type="checkbox"/>	A couple of farmers are registered per village	<input type="checkbox"/>	Basically all farmers in a village are registered

Total number of farmers at the time of inspection..... farmers	Organic	
	In-conversion	
	Postpone approval	
	Suspended	

Additional Comments:

3.6 Development plan

4. Risk Assessment

4.1 Risk Assessment by the ICS

Summary of most important risks identified by the ICS:

	Compliance Criteria	Cat.	OK	PF	NF
4.1.1	A detailed initial risk assessment has to be done at the beginning of certification (first year of certification or when informed about this requirement by certifier). This risk assessment has to identify risks at farm level as well as during buying, processing or (export) transport, while the product is under the responsibility of the ICS operator.	B	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1.2	The ICS takes all measures to minimise the identified relevant risks.	B	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments:

4.2 Risk Assessment by Certification Body for determination of Re-inspection Rate

(if project sites very different → different risk assessment for different project sites)

Potential risk area	Identified potential risk (yes/no)			Prevention of the risk by the project
	yes	no		
Organic Crop	<input type="checkbox"/>	<input type="checkbox"/>	Crop is typically grown with chemicals, difficult to grow organically	
	<input type="checkbox"/>	<input type="checkbox"/>	Not traditional product in the area, farmers not familiar with production	
Production Area	<input type="checkbox"/>	<input type="checkbox"/>	Easy access to not permitted inputs	
	<input type="checkbox"/>	<input type="checkbox"/>	Other farmers in the village/area grow the same crop with unallowed inputs	

Potential risk area	Identified potential risk (yes/no)			Prevention of the risk by the project
	yes	no		
Farmers	<input type="checkbox"/>	<input type="checkbox"/>	Farmers not well aware of organic production methods	
	<input type="checkbox"/>	<input type="checkbox"/>	(double weighing) farmers have been found to use unallowed inputs on organic plots.	
	<input type="checkbox"/>	<input type="checkbox"/>	Farmers not really convinced of organic farming	
	<input type="checkbox"/>	<input type="checkbox"/>	Farmers also grow non-organic crops.	
	<input type="checkbox"/>	<input type="checkbox"/>	Risk of parallel production in “extended family”	
	<input type="checkbox"/>	<input type="checkbox"/>	Low social control between members	
	<input type="checkbox"/>	<input type="checkbox"/>	Uncertain land rights or fields changing regularly	
	<input type="checkbox"/>	<input type="checkbox"/>	Low level of general compliance with rules/legislation, region where fraud is seen as achievement	
ICS & Project organisation	<input type="checkbox"/>	<input type="checkbox"/>	ICS staff not sufficiently qualified for efficient control	
	<input type="checkbox"/>	<input type="checkbox"/>	ICS does not have sufficient staff or lacks means for effective control	
	<input type="checkbox"/>	<input type="checkbox"/>	The smallholder group’s size or activities have changed considerably.	
	<input type="checkbox"/>	<input type="checkbox"/>	Responsible ICS staff has changed	
	<input type="checkbox"/>	<input type="checkbox"/>	Insufficient prevention of conflicts of interest	

Potential risk area	Identified potential risk (yes/no)			Prevention of the risk by the project
	yes	no		
	<input type="checkbox"/>	<input type="checkbox"/>	Yield estimate system and buying procedures in general do not necessarily prevent farmers from selling produce of their neighbours	
	<input type="checkbox"/>	<input type="checkbox"/>	Price difference organic - non-organic is very high	
ICS Quality and Efficiency	<input type="checkbox"/>	<input type="checkbox"/>	(double weighting) ICS still not very well developed, formal deficiencies regarding some requirements (but no major differences between findings internal-external control)	
	<input type="checkbox"/>	<input type="checkbox"/>	ICS has failed to detect minor non-compliances (not threatening the organic integrity of product)	
	<input type="checkbox"/>	<input type="checkbox"/>	(double weighting) ICS has failed to detect major non-compliances → <i>always highest risk category</i>	
Sum of identified risk points:				

Overall risk evaluation and risk categorization:

Risk Category	
Low risk (1-3 risk points)	<input type="checkbox"/>
Medium high risk (4-6 risk points)	<input type="checkbox"/>
High risk (> 6 points OR major non-compliances do not detected by the ICS)	<input type="checkbox"/>

Justification:

4.3 Determination of Inspection Procedures

Qualification of Smallholder Group/Project Certification

	Compliance Criteria	Cat.	OK	PF	NF	N/A
4.3.1	Producers in the project are small-scale producers whose farm activities are carried out mainly by the family labour. Producers may have on-farm processing and storage house.	A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3.2	The production units of producers in the project are situated in the same region or have similar geography and ecology. Producers in the project have similar production in crops, land-holding size and farming techniques.	A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3.3	The project have centralized marketing system which is able to verify the flow of products.	A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3.4	<p>If farms (bigger than “smallholders”) are certified as part of a Smallholder Group Certification Project, the following additional criteria apply:</p> <ul style="list-style-type: none"> • Every farm is inspected annually by both the ICS and the certification body. • Each farm has to keep the most relevant farm documentation itself • Common marketing under responsibility of ICS operator (no own marketing) 	A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Determination of external control rate based on risk assessment and overall results of inspection

Re-inspection rate assigned by OCN	
Square root N (N=number of farmers at the time of inspection)	
Risk factor (normal: 1, medium: 1.2, high: 1.4)	
Additional considerations regarding re-inspection rate (number of project sites, etc.):	
Resulting minimum re-inspection rate ($\sqrt{N} \times \text{risk factor} = \text{number of farmers to be re-inspected}$):	
Effective Re-Inspection Rate	

Additional Comments: