CERTIFICATE OF ACCREDITATION

United States Department of Agriculture

Agricultural Marketing Service
National Organic Program

IBD CERTIFICATIONS

Dr. Costa Leite Street, 1050 - City Centre, Botucatu, Sao Paulo, 18.602-110, BRAZIL

meets all the requirements prescribed in the USDA National Organic Program Regulations

7 CFR Part 205

as an Accredited Certifying Agent

for the scope of

Crops, Handling, Livestock (Apiculture only), Wild Crops Operations

This certificate is receivable by all officers of all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with any of the regulatory laws enforced by the U.S. Department of Agriculture .

Status of this accreditation may be verified at **http://www.ams.usda.gov**

Certificate No: USDA-25-24
Effective Date: 07/11/2022
Expiration Date: 07/11/2027
Issue Date: 07/29/2024

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National Organic Program
1400 Independence Avenue,
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20250-0268

NATIONAL ORGANIC PROGRAM: AUDIT & CORRECTIVE ACTION REPORT

GENERAL INFORMATION

- **Certifier Name** IBD Certifications (IBD)
- **Physical Address** Dr. Costa Leite Street, 1050 - City Centre, Botucatu, Brazil 18602-11
- **Audit Type** Compliance Audit
- **Auditors & Audit Dates** Alicia Hudson, Kendra Volk, 11/04/2024 to 11/14/2024
- **Audit Identifier** NOP-43-24

CERTIFIER OVERVIEW

The National Organic Program (NOP) conducted an onsite Compliance Audit of IBD Certifications (IBD)'s USDA organic certification program covering the period January 1, 2023 to November 14, 2024. The purpose of the audit was to verify compliance with the Organic Foods Production Act of 1990 (OFPA), the USDA organic regulations (7 CFR Part 205), and the NOP Handbook. Audit activities included a review of certification activities, interviews with IBD personnel, a records audit, and three witness audits. Witness audits consisted of an annual onsite inspections of a certified handling operation in New Jersey, an initial inspection of a crop applicant in Wisconsin, and an additional onsite inspections of certified crop producer group located in Brazil.

IBD is a for-profit company initially accredited on July 11, 2002. IBD's main office is in Botucatu, Brazil with five certification offices outside of Brazil. IBD is accredited to the crops, wild crops, livestock (apiary only), and handling scopes. IBD certifies 1,295 operations in 10 countries.

NOP DETERMINATION:

NOP reviewed the audit results to determine whether IBD's corrective actions adequately addressed previous noncompliances. The NOP also reviewed any corrective actions submitted as a result of the noncompliances issued from findings identified during the audit.

Any noncompliance labeled as "**Cleared**" indicates that the corrective actions for the noncompliance are determined to be implemented and working effectively. Any noncompliance labeled as "**Accepted**" indicates acceptance of the corrective actions and verification of corrective action implementation will be conducted during the next audit.

Noncompliances from Prior Assessments

AIA-2488-22 - Cleared.
AIA-2490-22 - Cleared.
AIA-2491-22 - Cleared.
AIA-2494-22 - Cleared.
AIA-2497-22 - Cleared.
AIA-2498-22 - Cleared.
AIA-2506-22 - Cleared.
AIA-2507-22 - Cleared.
AIA-3923-23 - Cleared.
AIA-3924-23 - Cleared.
AIA-3925-23 - Cleared.
AIA-5980-23 - Cleared.
AIA-6166-23 - Cleared.
AIA-6259-23 - Cleared.
AIA-6468-23 - Cleared.

AIA-2489-22 – Accepted. 7 C.F.R. §205.501(a)(5) states "A private or governmental entity accredited as a certifying agent under this subpart must: Ensure that its responsibly connected persons, employees, and contractors with inspection, analysis, and decision-making responsibilities have sufficient expertise in organic production or handling techniques to successfully perform the duties assigned."

Comments: *IBD does not ensure that its inspectors have sufficient expertise in organic production or handling techniques prior to performing the duties assigned. The auditors' review of certification files and observations during witness audits found the following issues:*

1. During a witness audit, the auditor observed an IBD inspector provide an operation with incorrect information regarding composting practices.

2. During another witness audit, the auditor observed a different IBD inspector only address the wild harvesting requirements of the Brazilian organic regulations.

3. The auditors identified multiple instances where IBD inspectors wrote a finding against another organic standard but did not identify that the issue was also a violation of the USDA organic regulations.

Corrective Action: For one operation, IBD conducted an additional inspection to verify the missed points noted in the noncompliance. The other operation identified in the noncompliance surrendered its certification. IBD trained each inspector involved in the inspections on the content of the noncompliance and conducted a follow up field evaluation of each inspector. IBD created a training matrix that lists minimum training requirements, updated its training procedure to

reference the training matrix, and updated its performance evaluation procedure to establish minimum training requirements. On July 24, 2023, IBD provided training on the matrix and procedure updates to staff responsible for selecting, training, and evaluating inspectors. In August 2023, IBD trained inspectors on the content of the noncompliance and informed them of the training matrix and updated procedures.

Verification of Corrective Action: The auditors reviewed certification files and conducted witness audits and found IBD inspectors did not have sufficient expertise to consistently identify organic system plans (OSP) with missing, inaccurate or noncompliant information as issues of concern. The following are examples:

1. Crops operation OSPs did not include a crop rotation plan or all inputs verified to be in use.
2. A crops and wild crops applicant's OSP did not include field history documentation to demonstrate no prohibited inputs had been applied in the past 36 months.
3. A crops operation's OSP did not describe pest, weed, or disease prevention practices although the inspector identified the operation planned to use pest control products.
4. In multiple files, the inspectors did not identify that non-retail labels in use had not been submitted to IBD for review.

2025 Corrective Action: IBD will train all inspectors on verifying OSP information against on-site practices and inputs by June 20, 2025. Additionally, IBD has updated the History Validation Procedure to ensure verification of previous land use. IBD will train all inspectors on this topic by mid-July, 2025.

Noncompliances Identified during the Current Assessment

AIA-425-25 - Accepted. 7 CFR § 205.402(a)(2) states, "Upon acceptance of an application for certification, a certifying agent must: Determine by a review of the application materials whether the applicant appears to comply or may be able to comply with the applicable requirements of subpart C of this part."

Comments: *IBD did not fully review applications for compliance with the USDA organic regulations. The auditors reviewed certification files and found IBD scheduled and conducted onsite inspections before reviews of the applications verified the operations' ability to comply with all applicable requirements, specifically § 205.202 land requirements. IBD requested the operations provide missing information, however, when the operations failed to respond, IBD scheduled the inspections and instructed the inspector to verify compliance.*

Corrective Actions: IBD will update its certification procedure to include provisions for issuing notices of noncompliance during the Organic System Plan (OSP) review and is also implementing a monitoring project to track this process. IBD trained staff in May 2025 and implemented the new procedure on June 2, 2025.

AIA-426-25 - Accepted. 7 CFR § 205.406(b) states, "The certifying agent must arrange and conduct an on-site inspection, pursuant to § 205.403, of the certified operation at least once per calendar year."

Comments: *IBD did not arrange and conduct an on-site inspection of its certified operations at least once per calendar year. The auditors reviewed certification files and found two IBD certified operations did not receive annual inspections in 2023.*

Corrective Action: To prevent recurrence in 2025, IBD will adjust late-year anniversary dates to August 30, 2025, resulting in an earlier inspection process and reducing the likelihood of inspections being incomplete at the end of the calendar year. IBD will train personnel involved by June 30, 2025, and hold biweekly meetings until the end of the year to ensure compliance with the inspection schedule. To prevent recurrence in 2026 and onward, IBD will develop an implementation plan for changing the anniversary dates as operations renew their certification, with full implementation of the new procedure in 2026. IBD will train relevant personnel by July 31, 2025 regarding the plan and how to implement the adjustments to the anniversary dates as the certificates are renewed.

AIA-427-25 - Accepted. 7 CFR § 205.501(a)(3) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Carry out the provisions of the Act and the regulations in this part, including the provisions of §§ 205.402 through 205.406 and § 205.670;"

Comments: *IBD does not carry out the provisions of the Act and regulations. The auditors reviewed certification files and found IBD incorrectly determined input material compliance in a livestock feed produced by a certified handler. IBD approved a livestock mineral that contained prohibited substances not included in § 205.603.*

Corrective Actions: IBD conducted an analysis to determine whether additional similar mistakes had been made and concluded that this was an isolated case. IBD re-reviewed the material and finished product and updated the affected operator's organic certificate to remove the animal feed containing minerals with prohibited substances. IBD updated the operation's list of certified organic products in the Organic Integrity Database and sent the operator a new certificate on May 13, 2025. IBD will train all relevant personnel on the topic by June 15, 2025.

AIA-428-25 - Accepted. 7 CFR § 205.501(a)(5) states "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate that all persons with inspection or certification review responsibilities have sufficient expertise in organic production or handling techniques to successfully perform the duties assigned. Sufficient expertise must include knowledge of certification to USDA organic standards and evidence of education, training, or professional experience in the fields of agriculture, science, or organic production and handling that relates to assigned duties.

Comments: *IBD does not ensure that its staff have sufficient expertise in organic production or handling techniques prior to performing the duties assigned. The auditors reviewed certification files and found IBD does not consistently issue a notification of noncompliance to certification applicants when the applicant is found to be noncompliant. IBD did not issue notifications of noncompliance after applicants failed to respond to requests for information to provide critical organic system plan components, including maps, noncompliance reports issued by a producer group ICS, and field history documentation. Auditors interviewed IBD certification staff and found that IBD did not know noncompliances could be issued to applicants.*

Corrective Actions: IBD updated the Certification Procedure (P-Cert) to include provisions for issuing Notices of Noncompliance during the Organic System Plan (OSP) review since this option was missing previously. IBD will also outline the steps involved in issuing Notices of Noncompliance during the OSP Review. IBD trained relevant personnel and will implement the new procedure on June 30, 2025.

AIA-429-25 - Accepted. 7 CFR § 205.663(b)(1) states, "A certified operation or applicant for certification must submit any request for mediation in writing to the applicable certifying agent or

State organic program within 30 calendar days of receipt of the notice of proposed suspension or proposed revocation of certification or denial of certification."

Comments: *IBD does not consistently require its operations to request mediation within 30 days of issuing the notice of proposed suspension. The auditors reviewed certification files and found IBD did not receive a request for mediation until several months after the notice of proposed suspension was issued. IBD did not proceed with the adverse action process once the 30-day deadline had passed.*

Corrective Actions: IBD updated its certification procedure to include the provision for a 30-day deadline from the receipt of the proposed adverse action for operations to request mediation. The procedure also outlines the actions to be taken if QIMA IBD does not receive the mediation request. IBD has also implemented a monitoring project to track these deadlines. IBD trained personnel on the new procedure, monitoring system, and the Noncompliance and Adverse Actions Flow chart on May 13, 2025. Staff also completed the OILC course NOP-040 Compliance and Enforcement by June 11, 2025.

AIA-430-25 - Accepted. 7 CFR § 205.501(a)(3) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Carry out the provisions of the Act and the regulations in this part, including the provisions of §§ 205.402 through 205.406 and § 205.670;"

Comments: *IBD does not carry out the provisions of the Act and regulations. The auditors reviewed certification files and interviewed staff and found IBD's review and inspection process is not sufficient to fully verify an operation's compliance with the USDA organic regulations. The auditors found IBD review staff are not verifying the operation's ability to comply and instead sending incomplete organic system plans (OSP) to inspection. IBD inspectors are not providing responses or obtaining information as instructed, nor are they identifying incomplete OSPs and issues of concern. During final review, incomplete OSPs, missing inspector responses, and noncompliant information are not always identified, resulting in certification of operations where IBD lacks sufficient information from the operation to demonstrate compliance.*

Corrective Actions: IBD updated their certification procedure to include provisions for issuing Notices of Noncompliance during the OSP review and outline the steps involved in issuing Notices of Noncompliance during the pre-inspection OSP Review. This will ensure IBD has sufficient information to verify compliance and simplify the inspection and final review. IBD trained all relevant personnel on the new processes and procedures by the end of May 2025 and implemented the new procedure on June 2, 2025.

USDA Agricultural Marketing Service

National Organic Program
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NATIONAL ORGANIC PROGRAM: AUDIT & CORRECTIVE ACTION REPORT

GENERAL INFORMATION

- **Certifier Name** IBD Certifications (IBD)
- **Physical Address** Rua Amando de Barros, 2275 - Centro, Botucatu, Sao Paulo, 18602-150, BRAZIL
- **Audit Type** Compliance Audit
- **Auditor(s) & Audit Dates** Lars Crail, Alicia Hudson, Jonathan Surrency, Joshua Lindau, 10/16/2023 to 11/08/2023
- **Audit Identifier** NOP-442-23

CERTIFIER OVERVIEW

The National Organic Program (NOP) conducted surveillance activities in India October 16 – November 8, 2023, to verify IBD Certification's (IBD) compliance with the Organic Foods Production Act of 1990 (OFPA), the USDA organic regulations (7 CFR Part 205), and the NOP Handbook, with a focus on organic export supply chains. Audit activities included a review of certification files, onsite audit activities at certified operations, and product sampling and analysis for pesticide residue.

IBD is a for-profit company initially accredited on July 11, 2002. IBD's primary office is in Botucatu, Brazil. IBD is accredited to the crops, wild crops, livestock, and handling categories. IBD currently certifies 43 operations including producer groups in India.

NOP DETERMINATION:

NOP reviewed the corrective actions submitted as a result of noncompliances issued from findings identified during the audit.

Any noncompliance labeled as "**Accepted**" indicates acceptance of the corrective actions and verification of corrective action implementation will be conducted during the next onsite audit.

Noncompliances from Prior Assessments

None

Noncompliances Identified during the Current Assessment

AIA-1114-24 – Accepted. 7 C.F.R. §205.403(c)(2) states, "The on-site inspection of an operation must verify: That the information, including the organic production or handling system plan, provided in accordance with §§205.401, 205.406, and 205.200, accurately reflects the practices used or to be used by the applicant for certification or by the certified operation;"

Comments: *During the review audit of a producer group, the auditor observed that IBD's inspection did not fully verify the accuracy of the operation's organic system plan (OSP). The auditor's review of a producer group's OSP and observations made during a review audit of the producer group found that a producer group member's practice of storing and cleaning harvested commodities at a location other than the producer's home or production site was not included in the producer group's OSP. The IBD inspector did not verify the accuracy of the producer group's OSP. As a result, the IBD inspector failed to identify that the producer group's OSP did not accurately reflect the practices of its members.*

Corrective Action: In June 2024, the producer group identified in the noncompliance surrendered its IBD USDA organic certificate. IBD conducted in-person training and field evaluations for all inspectors in India and determined they are able to verify the consistency between the OSP and implemented practices. IBD emailed all inspectors in India with the content of the noncompliance and a reminder to fully verify the accuracy of an operation's OSP. IBD required inspectors to complete the Inspection Fundamentals and Organic System Plans courses in the Organic Integrity Learning Center by June 9, 2024, to maintain their qualifications.

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NATIONAL ORGANIC PROGRAM: AUDIT & CORRECTIVE ACTION REPORT

GENERAL INFORMATION

- **Certifier Name** IBD Certifications, (IBD)
- **Physical Address** Rua Amando de Barros, 2275 - Centro, Botucatu, Sao Paulo 18602-150, BRAZIL
- **Audit Type** Renewal Audit
- **Auditors & Audit Dates** Alison Howard, Colleen O'Brien, Samuel Schaefer-Joel, 10/12/2022 to 10/21/2022
- **Audit Identifier** NOP-16-22

CERTIFIER OVERVIEW

The National Organic Program (NOP) conducted an on-site renewal audit of IBD Certifications, LTD's (IBD) certification activities during the period of May 02, 2020 to October 21, 2022. The purpose of the audit was to verify IBD's conformance to the USDA organic regulations. Audit activities included an on-site renewal assessment and four witness audits. The NOP conducted four witness audits of IBD's inspection activities during the period of October 13, 2022 to October 19, 2022. Witness audits consisted of annual inspections of one livestock grower group, one wild crop, one crop, and one handling operation.

IBD is a for-profit company that was initially accredited on July 11, 2002. IBD was acquired by QIMA in August 2021, but IBD remains the accredited legal entity and all certification decisions are made at its main office in Botucatu, Brazil. IBD is accredited to the following scopes: Crops, Wild Crops, Livestock and Handling. In addition to its main office, IBD contracts with inspectors and review staff to conduct the following certification activities in China: application review, inspection planning and assignment, inspection report review and liaison with IBD operators in China. IBD reports the inspectors, reviewers, and liaisons have direct contracts and supervision from the Botcatu, Brazil office.

IBD certifies 694 operations to the following scopes: 322 crops (21 grower groups), 30 wild crop (4 grower groups), 27 livestock (14 grower groups) and 315 handlers. IBD conducts certification activities in Brazil, China, India, the Russian Federation, and the United States (only California).

IBD has 120 full time staff consisting of a director, 17 managers, 35 administrative staff, 22 certification reviewers, 81 inspectors and two Impartiality Committee members.

NOP DETERMINATION:

NOP reviewed the audit results to determine whether IBD's corrective actions adequately addressed previous noncompliances. NOP also reviewed any corrective actions submitted as a result of the noncompliances issued from findings identified during the audit.

Any noncompliance labeled as "**Cleared**" indicates that the corrective actions for the noncompliance are determined to be implemented and working effectively. Any noncompliances labeled as **"Accepted"** indicates acceptance of the corrective actions and verification of corrective action implementation will be conducted during the next onsite audit.

Noncompliances from Prior Assessments

AIA-1104-20 - Cleared.
AIA-1775-20 - Cleared.
AIA-1777-20 - Cleared.
AIA-1778-20 - Cleared.
AIA-1791-20 - Cleared.
AIA-5701-21 - Cleared.
AIA-7124-21 - Cleared.

Noncompliances Identified during the Current Assessment and Corrective Actions

AIA-2481-22 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."

Comments: *IBD does not consistently demonstrate the ability to fully comply with the requirements for accreditation, including* ***NOP 3012 Interim Instruction Material Review****. The auditors' review of certification files and interviews with staff found the following:*

1. IBD's material review policy does not include a description of the depth of review required for diluted products such as homeopathic preparations. In one case, IBD approved a homeopathic livestock healthcare product without reviewing the compliance of the active ingredients. IBD staff stated that they do not review homeopathic ingredients as they are diluted such that they are not present in the final product.
2. IBD's material review policy does not include a description of the frequency of material review. IBD staff stated that material documentation must be no more than five years old for the materials to remain approved in producer organic system plans.
3. IBD's material review policy does not require IBD to evaluate all ingredients of pesticide materials for compliance. IBD's policy allows IBD to accept a declaration stating inert ingredients are indicated in EPA list 4 without conducting its own review of each inert ingredient for compliance.

Corrective Action: IBD conducted a new document review of homeopathic medicines approved for use under NOP, taking into consideration composition including inert ingredients. On May 4, 2023, IBD published an updated material review work instruction that describes the depth of review for homeopathic products (8.2.3.2), requires review and approval for new inputs listed on an operation's input list at least once a year and the re-review of inputs at certain frequencies based on risk, and requires the NOP review to include the inert ingredients of pesticides (including homeopathic remedies) and for it to be done according to the Program Handbook. IBD trained OSP and inspection report reviewers and certification managers on the updates on April 27, 2023.

AIA-2488-22 - Accepted. 7 C.F.R. §205.403(c)(1) states, "The onsite inspection of an operation must verify: The operation's compliance or capability to comply with the Act and the regulations in this part;"

Comments: *During witness audits of a crops/wild crops/handling operation, the auditors observed that the inspector did not fully verify the accuracy of the operation's organic system plan (OSP). For example:*

1. *The auditors did not observe the inspector reviewing the operation's OSP or referring specifically to the OSP during the inspection. This is not compliant with §205.103.*
2. *The inspector did not verify that all buffers and borders comply with the requirements of §205.202(c).*
3. *The inspector did not verify that a wild crops operation provided training to its collectors on harvesting crops in accordance with the OSP and in a manner that does not damage the environment, as required by* ***NOP 5022 Guidance Wild Crops Harvesting****.*
4. *The operation's OSP indicates the operation is exclusively organic, but the measures to prevent contamination and commingling include the use of green boxes for organic production and red boxes for conventional. The inspector did not question the operation about the discrepancy.*
5. *The inspector did not verify the crop operation's use of sodium hypochlorite complies with the restrictions outlined in §205.605(b).*

Corrective Action: For one operation, IBD conducted an additional inspection to verify the missed points noted in the noncompliance. The other operation identified in the noncompliance surrendered its certification. IBD trained each inspector involved in the inspections on the content of the noncompliance and conducted a follow up field evaluation of each inspector. In August 2023, IBD trained all inspectors on the content of the noncompliance.

AIA-2489-22 - Accepted. 7 C.F.R. §205.501(a)(5) states "A private or governmental entity accredited as a certifying agent under this subpart must: Ensure that its responsibly connected persons, employees, and contractors with inspection, analysis, and decision-making responsibilities have sufficient expertise in organic production or handling techniques to successfully perform the duties assigned."

Comments: *IBD does not ensure that its inspectors have sufficient expertise in organic production or handling techniques prior to performing the duties assigned. The auditors' review of certification files and observations during witness audits found the following issues:*

1. *During a witness audit, the auditor observed an IBD inspector provide an operation with incorrect information regarding composting practices.*
2. *During another witness audit, the auditor observed a different IBD inspector only address the wild harvesting requirements of the Brazilian organic regulations.*
3. *The auditors identified multiple instances where IBD inspectors wrote a finding against another organic standard but did not identify that the issue was also a violation of the USDA organic regulations.*

Corrective Action: For one operation, IBD conducted an additional inspection to verify the missed points noted in the noncompliance. The other operation identified in the noncompliance surrendered its certification. IBD trained each inspector involved in the inspections on the content of the noncompliance and conducted a follow up field evaluation of each inspector. IBD created a training matrix that lists minimum training requirements, updated its training procedure to reference the training matrix, and updated its performance evaluation procedure to establish minimum training requirements. On July 24, 2023, IBD provided training on the matrix and procedure updates to staff responsible for selecting, training, and evaluating inspectors. In August 2023, IBD trained inspectors on the content of the noncompliance and informed them of the training matrix and updated procedures.

AIA-2490-22 - Accepted. 7 C.F.R. §205.404(b)(1) – (4) states, "The certifying agent must issue a certificate of organic operation which specifies the: Name and address of the certified operation; Effective date of certification; Categories of organic operation, including crops, wild crops, livestock, or processed products produced by the certified operation; and Name, address, and telephone number of the certifying agent.;"
Comments: *IBD's organic certificates do not fully comply with the requirements of the USDA organic regulations. The auditors' review of certification files found that IBD issued organic certificates to livestock operations that did not include the correct categories of organic operation. The certificates listed the livestock scope, but not the crops scope covering the livestock grazing area.*
Corrective Action: IBD analyzed all ruminant livestock certificates, determined which certificates needed to include the crops scope, and issued updated certificates when applicable. IBD updated its certificate issuance work instruction to state, "all certified scopes (and products) shall be listed on the certificate, including the crops scope covering the livestock grazing or forage area (even though the operator does not intend to sell its organic grass, grains or fodder production)." On July 12, 2023, IBD trained relevant staff on the updated work instruction.

AIA-2491-22 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."
Comments: *IBD's wild crops organic system plan (OSP) form and inspection report template do not demonstrate that IBD fully complies with the requirements of §205.201(a)(1)-(6), §205.207, and* ***NOP 5022 Guidance Wild Crop Harvesting****. The auditors' review of wild crops certification files found the following:*

1. IBD's wild crops OSP does not require the operation to provide maps describing contamination points and harvest areas; documentation of land history; a description of the natural environment; a list of any rare/endangered/threatened species and how they'll be protected; procedures to prevent contamination; or training procedures for collectors.
2. IBD's wild crops inspection report template does not ask the inspector to verify the requirements of ***NOP 5022 Guidance Wild Crop Harvesting****; it only covers the wild extraction requirements of the Brazilian organic regulations.*

Corrective Action: IBD determined its OSP and inspection report templates were created based on the Brazilian organic standards and did not take into consideration NOP 5022. To address this, IBD took the following actions:

1. On August 21, 2023, IBD implemented the use of an updated wild crop OSP that requires operations to provide the information outlined in the noncompliance.
2. On August 31, 2023, IBD implemented the use of an updated wild crop inspection report template that more specifically prompts inspectors to verify the requirements of NOP 5022.

IBD trained OSP and inspection report reviewers and certification managers on §205.207, NOP 5022, and the OSP and inspection report template updates.

AIA-3923-23 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."
Comments: *IBD's inspection report templates do not fully verify an operation's compliance with the USDA organic regulations. The auditors' review of templates found that IBD's inspection report templates do not instruct inspectors to verify the following:*

1. That ruminant animals for organic slaughter have been under continuous organic management since last third of gestation.

2. *That dairy animals are only transitioned as allowed under §205.236.*
3. *The total number of days grazed for each class of animal.*
4. *If alterations are performed with the application of pain minimization.*
5. *If medical treatments are withheld from sick animals.*
6. *Temporary confinement and the amount of time that livestock are confined during grazing and nongrazing seasons.*
7. *Compliance with all elements of §205.205.*

Corrective Action: IBD updated its livestock inspection report templates to instruct the inspector to perform the following actions:

1. Document details on whether animals have been under continuous organic management during the minimum period established by the certification requirement before slaughter or sale.
2. Note whether dairy animals are transitioned as allowed under §205.236(a)(2).
3. Document the total number of days grazed for each class of animals.
4. Document whether alterations are performed with the application of pain minimization.
5. Report whether medical treatments are withheld from sick animals.
6. Report on temporary confinement practices and the amount of time that livestock are confined during the grazing and nongrazing seasons.

IBD also updated its crop and livestock inspection report templates to instruct the inspector to describe how the crop rotation meets the certification requirements. On July 14, 2023, IBD trained staff reviewers and certification managers on the updates. In August 2023, IBD trained inspectors and implemented the use of the revised template. On April 4, 2024, IBD discontinued offering certification services to ruminant livestock operations.

AIA-3924-23 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."

Comments: *IBD's organic system plan (OSP) templates do not demonstrate that IBD fully complies with the requirements of the USDA organic regulations in the following manner:*

1. *The crops OSP template does not ask operations to describe their preventative practices for pests and diseases as required by §205.206.*
2. *The processing OSP template does not ask operations to describe their preventative practices for facility pest management as required by §205.271.*
3. *The livestock OSP template does not ask operations to describe the entire grazing season for the geographical region as required by 205.237(c)(1).*

Corrective Action: On August 21, 2023, IBD implemented the use of OSP templates that contained the following changes:

1. The crops OSP template asks the operation to describe their pest and disease prevention practices.
2. The processing OSP template asks the operation to describe pest prevention practices.
3. The livestock OSP template asks the operation to describe the entire grazing season for the geographical region. Additionally, on April 4, 2024, IBD discontinued offering certification services to ruminant livestock operations.

In July and August 2023, IBD trained staff reviewers, certification managers, and inspectors on the updated OSP templates.

AIA-3925-23 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."

Comments: *IBD does not fully implement the NOP's international organic trade arrangement policies and procedures, which are outlined in the NOP's International Trade Policies resources. The auditors' review of certification files found that IBD's organic system plan (OSP) templates do not ask operations to describe their import and export activities. Additionally, the IBD inspection report templates do not require inspectors to verify import and export activities associated with international trade arrangements.*
Corrective Action: IBD added a question about import and export activities to its OSP templates and added a prompt about verifying import and export activities to its inspection report templates. In August 2023, IBD trained inspectors on the template updates and expectations on verifying import and export activities associated with international trade arrangements. In late August 2023, IBD began using the revised OSP and inspection report templates after training reviewers, certification managers, and inspectors on the updates.

AIA-2494-22 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."
Comments: *IBD does not fully implement the criteria for grower group certification, as required by* ***NOP Policy Memo 11-10 Grower Group Certification****. The auditors' review of IBD's work instruction "IBD criteria for evaluation of growers group Internal Control System (ICS)" found that IBD's policy does not require the ICS to do the following:*

1. *Create and maintain an organic system plan (OSP) for the entire group in full compliance with the USDA organic regulations.*
2. *Review and update each producer's production plans and inputs prior to the beginning of production each year.*
3. *Maintain maps of each individual production unit.*
4. *Maintain sufficient oversight to ensure that all members are consistently following the approved OSP.*
5. *Use internal reviewers to conduct an onsite review of each member's crop that includes mass balance and traceback activities using primary harvest records.*
6. *Provide IBD with an annual report of any irregularities or noncompliances issued to members. The annual report needs to include information on the source of the noncompliance, the corrective actions required, and the timeframe for completing the corrective actions.*
7. *Create a functional system for annually training managers, internal reviewers, and members to the relevant sections of the USDA organic regulations.*
8. *Have policies and verification systems in place to ensure that the grower group's products produced under the group certification are only sold as organic through the group.*
9. *Have policies and verification systems in place to prevent commingling or mislabeling of organic and non-organic products for members with parallel production.*

Corrective Action: IBD updated its "IBD criteria for evaluation of grower group Internal Control System (ICS)" work instruction to include the nine points in the noncompliance**.** IBD also updated its ICS OSP accordingly. In late August 2023, IBD began using the revised documents after training staff reviewers, certification managers, and inspectors on the revisions.

AIA-2497-22 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."
Comments: *IBD does not consistently demonstrate the ability to fully comply with the*

requirements for accreditation. The auditors interviewed staff and reviewed IBD's policies and procedures and found that IBD allows an operation to request mediation or file an appeal to IBD in response to a notice of noncompliance. IBD also allows an operation to submit corrective actions to resolve a notice of proposed suspension.
Corrective Action: IBD updated its certification procedure and notice of noncompliance and adverse action templates to describe a compliant process. On June 1, 2023, IBD trained its reviewers and certification managers on the noncompliance and adverse action flowchart, updated noncompliance and adverse action templates, and the meaning of rebuttal and appeal as it relates to the USDA organic regulations.

AIA-2498-22 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."
Comments: *IBD does not consistently demonstrate the ability to fully comply with the requirements for accreditation. The auditors' review of IBD's policies and procedures found that IBD does not have procedures for conducting mediation with its operations or for establishing and monitoring settlement agreements.*
Corrective Action: IBD implemented a mediation workflow in its electronic system to track the mediation process and settlement agreement outcomes. IBD reviewed settlement agreements from the past six months and determined that all terms were implemented. On June 29, 2023, IBD updated its Certification Procedure to include an explanation of when mediation can be requested, when IBD would accept/reject mediation, and an instruction on the mediation workflow. On June 1, 2023, IBD trained its Brazilian reviewers and certification managers on the NOP mediation process and its procedure updates.

AIA-2501-22 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."
Comments: *IBD does not consistently demonstrate the ability to fully comply with the requirements for accreditation. The auditor reviewed IBD's commercial availability policy and found that IBD allows its operations to use a search of the Organic Integrity Database (OID) alone to demonstrate that an ingredient is not commercially available.*
Corrective Action: IBD updated its work instruction titled, IBD technical criteria for evaluation of compliance of organic certification schemes, to include the use of the Organic Integrity Database *and* any available search platform to prove commercial unavailability of organic ingredients. On July 20, 2023, IBD trained reviewers and certification managers on the updated work instruction.

AIA-2502-22 - Accepted. 7 C.F.R. §205.670(g) states, "If test results indicate a specific agricultural product contains pesticide residues or environmental contaminants that exceed the Food and Drug Administration's or the Environmental Protection Agency's regulatory tolerances, the certifying agent must promptly report such data to the Federal health agency whose regulatory tolerance or action level has been exceeded. Test results that exceed federal regulatory tolerances must also be reported to the appropriate State health agency or foreign equivalent."
Comments: *IBD does not fully carry out the procedures of* ***NOP 2613 Instruction Responding to Results from Pesticide Residue Testing****. The auditors' review of pesticide residue analysis reports found that for a positive pesticide residue detection under 5% of the EPA tolerance level,*

IBD notified the operation that they could not sell the product as organic without assessing why the residue was present.
Corrective Action: The operation identified in the noncompliance surrendered its IBD organic certificate in 2022. IBD implemented an investigation workflow in their electronic system to track residue detection investigations and prompt staff to follow NOP 2613. At least every three months, the Quality Manager monitors investigations and the NOP Program Manager reviews residue detection investigations to ensure they adhere to NOP 2613. IBD updated its investigation procedure, complaint procedure, and sample collection and analysis procedure to reflect this new workflow and responsibilities. On June 22, 2023, IBD trained reviewers and certification managers on the updated workflow, how to search EPA tolerance levels, and how to apply NOP 2613 to test results.

AIA-2503-22 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."
Comments: *IBD does not consistently demonstrate the ability to fully comply with the requirements for accreditation. The auditors' review of certification files found that when IBD received a positive residue detection in organic honey, IBD allowed a second sample with a non-detect result presented by the producer to "cancel out" the positive detection. This does not comply with* ***NOP 2610 Instruction Sampling Procedures for Residue Testing****, section 4.5 Maintaining Chain of Custody and Sample Integrity.*
Corrective Action: IBD issued the operation identified in the noncompliance a noncompliance and the honey was sold as conventional. On June 30, 2023, IBD updated its sample collection and analysis and investigation procedures to state that IBD will not consider test results where an operation has a counter-sample tested as part of their investigation. On June 20, 2023, IBD trained reviewers and certification managers on the updated procedures and application of NOP 2610.

AIA-2504-22 - Accepted. 7 C.F.R. §205.501(a)(3) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Carry out the provisions of the Act and the regulations in this part, including the provisions of §§205.402 through 205.406 and §205.670;"
Comments: *IBD is not consistently reviewing input materials for compliance with 205.201(a)(2) and* ***NOP 3012 Interim Instruction Material Review.*** *The auditors' interviews with staff and review of certification files found that IBD staff did not fully verify the compliance of input materials before approving them for use by their certified operations. The following are examples:*

1. *IBD staff approved two synthetic materials not listed on the National List.*
2. *IBD approved one material with a synthetic inert not found on the EPA List 3.*
3. *IBD approved a livestock feed supplement containing molasses without documenting the organic status of the molasses ingredient.*
4. *IBD approved a homeopathic livestock healthcare product without reviewing the full composition of the excipient ingredients.*

Corrective Action: On May 4, 2023, IBD published an updated material review work instruction to increase the consistency and robustness of input reviews and trained staff on the updated procedures. Additionally, IBD took specific actions to correct noncompliant input materials. The updates and specific actions address each point of the noncompliance as follows:

1. IBD updated the work instruction to include more specific instructions for the review of food additives and ingredients. IBD confirmed the operation's recipe referenced in the

noncompliance no longer includes synthetic ingredients. IBD verified that remaining inventory was not represented as USDA organic. IBD analyzed other certified products to ensure no other synthetic substances had been approved as ingredients in processed products.
2. IBD removed its approval of the pesticide product in question, updated its material review work instruction to ensure all inerts are listed on EPA list 4, and reviewed other approved pesticide products to ensure inert ingredients are listed on EPA list 4.
3. IBD identified that the livestock feed supplement in question had been approved to the Brazilian regulation only and had not been fed to NOP certified livestock. IBD updated its OSP form so that it distinguishes when inputs are approved or prohibited for specific certification schemes. IBD reviewed other livestock operations to ensure no approved feeds contained nonorganic agricultural ingredients.
4. IBD identified two livestock operations using livestock healthcare products whose full composition had not been reviewed. As of September 2023, these operations are no longer certified organic by IBD, one surrendered their certification, and the other was suspended due to failure to submit an updated OSP.

AIA-2505-22 - Accepted. 7 C.F.R. §205.501(a)(3) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Carry out the provisions of the Act and the regulations in this part, including the provisions of §§205.402 through 205.406 and §205.670;"
Comments: *IBD does not carry out the provisions of the Act and regulations. The auditors' review of labels approved by IBD found that IBD approved four labels with a noncompliant USDA seal and ingredient statement.*
Corrective Action: IBD informed the operation that the labels were noncompliant. On August 21, 2023, IBD implemented the use of an updated processing OSP template. The updated template asks operations about labels they use or intend to use that have not been submitted to IBD. IBD also updated its certification procedure to require issuance of a notice of noncompliance when labels with noncompliant USDA seals are identified at any stage of the certification process and updated its database system to include the step of issuing a notice of noncompliance. IBD trained its Brazilian office, including the label review department, on the updated documents and database flow and issued a circular letter to its inspectors to notify them of the updates.

AIA-2506-22 - Accepted. 7 C.F.R. §205.501(a)(6) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Conduct an annual performance evaluation of all persons who review applications for certification, perform on-site inspections, review certification documents, evaluate qualifications for certification, make recommendations concerning certification, or make certification decisions and implement measures to correct any deficiencies in certification services."
Comments: *IBD is not conducting field evaluations in accordance with the requirements of* ***NOP 2027 Personnel Performance Evaluations****. The auditors found that IBD is conducting NOP field evaluations during inspections for non-NOP certification schemes.*
Corrective Action: On July 25, 2023, IBD updated its performance evaluation procedure to explain that IBD will conduct field evaluations at inspections of the appropriate certification scheme. IBD trained staff responsible for the field evaluation program on the updated procedure and informed them of the need to schedule new field evaluations. IBD assessed recent field evaluations and determined they needed to complete 43 NOP field evaluations. By December 2023, IBD either completed NOP field evaluations or removed inspectors that did not receive one from its NOP inspector list.

AIA-2507-22 - Accepted. 7 C.F.R. §205.406(c) states, "If the certifying agent has reason to believe, based on the on-site inspection and a review of the information specified in §205.404, that a certified operation is not complying with the requirements of the Act and the regulations in this part, the certifying agent shall provide a written notification of noncompliance to the operation in accordance with §205.662."

Comments: *During the witness audits of a crops/wild crops/handling operation, IBD's inspectors provided the operation with a list of noncompliances at the end of the inspection, rather than the certifier issuing a notification of noncompliance. The inspector also informed the operator that they must submit corrective actions to each noncompliance within 30 days of the inspection.*

Corrective Action: On August 31, 2023, IBD implemented the use of an updated inspection closing meeting script and updated inspection report templates. The updated script explains the report includes findings and does not represent the certifier's final decision. The updated inspection report templates remove a sentence prompting operations to submit corrective actions in response to the inspection findings within 30 days. On July 12, 2023, IBD trained reviewers and certification managers on the updates and reviewed NOP 2601, NOP 2006, and §205.403. IBD trained inspectors on the update and issued a circular letter to inspectors to remind them of the changes.

National Organic Program
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Room 2642-South, STOP 0268
Washington, DC 20250-0268

NATIONAL ORGANIC PROGRAM: AUDIT & CORRECTIVE ACTION REPORT

GENERAL INFORMATION

- **Certifier Name** IBD Certifications, IBD
- **Physical Address** Rua Amando de Barros, 2275 - Centro, Botucatu, Sao Paulo 18602-150, BRAZIL
- **Audit Type** Mid-term Audit
- **Auditor(s) & Audit Dates** Joshua Lindau, Penny Zuck, 04/27/2020 to 05/01/2020
- **Audit Identifier** NOP-14-20

CERTIFIER OVERVIEW

A mid-term audit was conducted of IBD Certificações Ltda. (IBD). Audit activities included a remote desk audit. The USDA National Organic Program (NOP) assessed the certifier's conformance to the USDA organic regulations, during the period April 07, 2017 to April 27, 2020.

IBD was first accredited on July 11, 2002, and is accredited for Crops, Wild Crops, Livestock, and Handling. IBD is a limited liability company located in Botucatu, Sao Paulo, Brazil, with a satellite office in China.

IBD certifies 455 operations to the following certification scopes: Crops (254), Wild Crops (22) Livestock (22), and Handling (242). IBD provides certification services in Brazil, China, Russian Federation, and the United States of America. Certification services are performed by three program directors, ten managers, nine certification reviewer/officers, forty-five inspectors (Brazil and USA), twenty inspectors (China), and twenty-eight administrative personnel.

NOP DETERMINATION:

NOP reviewed the audit results to determine whether IBD's corrective actions adequately addressed previous noncompliances. NOP also reviewed any corrective actions submitted as a result of noncompliances issued from Findings identified during the audit.

Any noncompliance labeled as "**Cleared**," indicates that the corrective actions for the noncompliance are determined to be implemented and working effectively. Any noncompliance labeled as "**Accepted**" indicates acceptance of the corrective actions and verification of corrective action implementation will be conducted during the next audit.

Non-compliances from Prior Assessments

AIA-1779-20 - Cleared
AIA-1780-20 - Cleared
AIA-1781-20 - Cleared
AIA-1783-20 - Cleared

AIA-1104-20 - Accepted. (NP7093MMA.NC1) 7 CFR §205.660(d) states, "Each notification of noncompliance, rejection of mediation, noncompliance resolution, proposed suspension or revocation, and suspension or revocation issued pursuant to §205.662, §205.663, and §205.665 and each response to such notification must be sent to the recipient's place of business via a delivery service which provides dated return receipts."

Comments: *Notifications are being sent to operations via email but do not include return receipt for confirmation of delivery.*

2017 Corrective Action: IBD has implemented an email delivery receipt confirmation system. IBD has revised and submitted their Certification Procedure to require staff so use the new system and save the delivery receipt confirmation with the email. In July of 2017, IBD conducted staff training regarding the procedure update and an activity on IBD's electronic system workflow to ensure that the confirmation of delivery is saved in IBD electronic database together with the corresponding notice. IBD submitted evidence that their staff has implemented the delivery confirmation system and that delivery confirmation receipts are being saved in IBD electronic system together with the corresponding notice.

2020 Verification of Corrective Action: IBD does not use a delivery service that provides dated return receipts when issuing the notifications listed in §205.660(d). The auditor's review of certification files found that IBD sends notification to operations via email but does not include return receipt for confirmation of delivery. IBD implemented the new system as outlined in the corrective action on July 25, 2017, but discontinued its use on January 31, 2018.

2022 Corrective Action: IBD changed registered e-mail services on November 18, 2021. IBD updated the "Certification Procedure (Revisão 18.11.2021)" to include an explicit reference to the NOP requirements and "Work Instruction Confirmation of Delivery of NOP Notice (Data 16.12.2021)" to reflect changes in staff responsibilities. IBD IT staff are responsible for creating an e-mail monitoring report weekly to be saved in IBD's electronic system. IBD trained staff on the updated work procedure and use of registered email in December 2021. IBD submitted the certification procedure, work instruction, and training minutes, including a list of attendees, to the NOP. IBD submitted confirmation of delivery receipt examples for each type of notice issued since April 2020, as well as an example of how delivery receipts are recorded in their database, as evidence of implementation of the corrective action.

AIA-1778-20 - Accepted. (NP7093MMA.NC2) 7 CFR §205.403(a)(2)(ii) states, "The Administrator…may require that additional inspections be performed by the certifying agent for the purpose of determining compliance with the Act and the regulations in this part." NOP 2609 section 4.1.9 states, "An unannounced inspection should not include prior notification of the inspector's arrival. However, there may be special cases where extenuating circumstances make it impossible to conduct an unannounced inspection of the operation without prior notification (e.g. biosecurity issues). In such cases, the certifying agent may notify the operation up to four (4) hours prior to the inspector arriving on-site to ensure that appropriate representatives are present.

Comments: *IBD's unannounced inspection procedure indicates the inspector can notify the operation 48 hours in advance.*

2017 Corrective Action: IBD revised and submitted their certification procedure to clarify that unannounced inspections cannot be announced to the client in any way, specifically excluding the possibility to inform the client until 48 hours before the inspection. IBD communicated the change in their certification procedure to the inspector's team, through a circulated letter (July

2017), and by online training. IBD plans to reiterate NOP requirements for unannounced inspections during their next annual training for their inspection staff (October 2017).

2020 Verification of Corrective Action: IBD staff in China are notifying operations of unannounced inspections more than four hours in advance. Although IBD's certification procedure states that unannounced inspections shall not be previously announced to the client, in any manner, during staff interviews two IBD inspectors in China stated that it is standard practice to give up to a 12-hour notice prior to an unannounced inspection.

2022 Corrective Action: In September 2020, IBD trained inspectors in China to provide no more than four hours-notice for unannounced inspections. In December 2021, IBD trained staff in Brazil on providing no more than four hours-notice for unannounced inspections. IBD re-emphasized the unannounced inspection notice requirements during their January 2022 annual inspector trainings. IBD provided training materials, minutes and attendee lists to the NOP.

Non-compliances Identified during the Current Assessment

AIA-1775-20 - Accepted. 7 C.F.R. §205.402(a)(1) states, "Upon acceptance of an application for certification, a certifying agent must: Review the application to ensure completeness pursuant to §205.401."

Comments: *IBD does not consistently review certification applications for completeness. The auditor's review of certification files found the following incomplete organic system plans (OSPs):*

- *The OSPs of two grower group operations in China did not include the farm locations and crop rotation practice. The section "crop harvest information" was not completed.*
- *The OSP for a processing facility had multiple blank or incomplete sections, including the sections for Equipment; Reception, Checking, Unloading of Ingredients and Food Additives; Stock of Food Ingredients and Additives; Sanitation of the Equipment and the Utensils of the Production Line; Ingredients Sanitation; Production Process; Packaging; and Pest Control System.*

Corrective Action: IBD determined this noncompliance was the result of incorrect execution of their current procedures. In August 2021, IBD trained inspectors in Brazil and China on requiring a complete organic system plan (OSP) from operators before inspection, verifying the accuracy of OSPs during inspection, and recording incomplete or inaccurate OSPs as inspection findings. In June and December 2021, IBD trained reviewers in Brazil on the importance of reviewing OSPs for completeness. In May and June 2021, IBD trained three Chinese inspectors on the importance of reviewing OSPs for completeness as part of their training to become qualified reviewers. In January 2022, IBD held follow-up training for inspectors. IBD provided training materials and attendee lists to the NOP.

AIA-1777-20 - Accepted. 7 C.F.R. §205.670(e) states, "Sample collection pursuant to paragraphs (b) and (c) of this section must be performed by an inspector representing the Administrator, applicable State organic program's governing State official, or certifying agent. Sample integrity must be maintained throughout the chain of custody, and residue testing must be performed in an accredited laboratory. Chemical analysis must be made in accordance with the methods described in the most current edition of the Official Methods of Analysis of the AOAC International or other current applicable validated methodology for determining the presence of contaminants in agricultural products."

Comments: *IBD's sample collection records do not meet the requirements of NOP 2610 Instruction Sampling Procedures for Residue Testing. IBD's records do not document the chain of custody information needed to link the sample taken to the lab analysis report. The auditor's review of residue sampling files identified the following issues:*

- *The lab's test analysis report did not include the sample's unique identification number.*
- *Residue collection sample forms were incomplete. For example, the following fields were blank: IBD Sample code, the testing laboratory information, the identifying code on sample sent to the laboratory, the report identifying code.*

Corrective Action: IBD updated the "Sample Collection and Analysis Procedure" (P_Am) to require laboratories to use the unique bag identification number on the lab test report. IBD determined the sample form section was incomplete because IBD staff were using the electronic database to record information rather than the physical sample forms. IBD removed the obsolete section from their sample collection forms (4-1-1 and 4-1-2) and translated the documents into English and Chinese. In March 2020, IBD sent the updated forms to staff and inspectors for immediate use. In June 2020, IBD sent instruction to Chinese laboratories to use the unique identification number in test results. In December 2021, IBD trained staff on the updated procedure. In January 2022, IBD trained inspectors on the corrective actions, including the updated procedure and form. IBD submitted the updated procedure and forms, staff and lab notifications, training materials, minutes, and attendee lists to the NOP. IBD also submitted completed sample collection forms and lab test reports from China and Brazil, which contained the unique identification number, as evidence of corrective action implementation.

AIA-1791-20 - Accepted. 7 C.F.R. §205.501(a)(8) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Provide sufficient information to persons seeking certification to enable them to comply with the applicable requirements of the Act and the regulations in this part."

Comments: *IBD does not provide sufficient information to applicants to enable them to comply with the regulations. The auditor's review of grower group files found that IBD does not provide a copy of the requirements of the internal control system, which is signed by members of the grower group, in a language that the members can understand.*

Corrective Action: IBD translated all NOP certification documents for use in China into English and Chinese, including the grower group inspection report that contains the requirements of the internal control system. IBD published the updated documents to their Management System and notified staff of the updated documents in September 2020. IBD held a staff training in Brazil that reviewed the corrective actions in December 2021, and a follow-up training for inspectors in January 2022. IBD provided the staff notification, training materials, and attendee lists to the NOP.

AIA-5701-21 - Accepted. 7 C.F.R. §205.501(a)(2) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart."

Comments: *IBD does not demonstrate the ability to fully comply with the requirements for accreditation. The auditor's review of certification files and interviews with staff found that IBDcertification staff in Brazil, who are responsible for making certification decisions for operations in China, do not have sufficient knowledge and understanding of the operations to make compliance determinations. Specifically, IBD certification staff in Brazil have IBD inspectors in China translate limited sections of an operation's documents when the documents are in Chinese. As a result, IBD certification staff in Brazil are making certification decisions without full knowledge and understanding of the operation's documented policies and procedures for complying with the USDA organic regulations.*

Corrective Action: Since September 2020, IBD has used bilingual English/Chinese versions of their templates. In December 2020, IBD updated their certification procedure to require a reviewer fluent in the local language or a reviewer assisted by a translator review inspection reports. IBD trained and promoted three Chinese inspectors to reviewer positions in June 2021. IBD hired a Chinese/English/Portuguese translator to provide all necessary translations to Brazilian reviewers, including the full translation of inspection reports. IBD hosted trainings for staff in Brazil that included information on the updated procedure in December 2021 and provided training for Chinese inspectors on the updated procedure in January 2022. IBD provided training materials and attendee lists to the NOP.

USDA Agricultural Marketing Service

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NATIONAL ORGANIC PROGRAM: CORRECTIVE ACTION REPORT

AUDIT AND REVIEW PROCESS

The National Organic Program (NOP) conducted a renewal assessment of IBD Certification's (IBD). An onsite audit was conducted, and the audit report reviewed to determine IBD's capability to continue operating as a USDA accredited certifier.

GENERAL INFORMATION

Applicant Name	IBD Certifications, Ltd.
Physical Address	Rua Amando de Barros 2275 – Centro, Botucatu, Sao Paulo, Brazil
Mailing Address	Rua Amando de Barros 2275 – Centro, Botucatu, Sao Paulo, Brazil
Contact & Title	Gwendal Bellocq, General Manager
E-mail Address	gwendal@ibd.com.br
Phone Number	55 (14) 3811-9800
Reviewer(s) & Auditor(s)	Graham Davis, NOP Reviewer; Penny Zuck and Miguel Caeres, Onsite Auditor(s).
Program	USDA National Organic Program (NOP)
Review & Audit Date(s)	Corrective actions review: July 31, 2017 NOP assessment review: June 13, 2017 Onsite audit: April 4-12, 2017
Audit Identifier	NP7093MMA
Action Required	None
Audit & Review Type	Renewal Assessment
Audit Objective	To evaluate the conformance to the audit criteria; and to verify the implementation and effectiveness of [ACA acronym]'s certification system.
Audit & Determination Criteria	*7 CFR Part 205, National Organic Program as amended*
Audit & Review Scope	IBD's certification services in carrying out the audit criteria during the period:

NOP conducted an accreditation renewal onsite audit April 4-12, 2017.

IBD Certifications Ltd (IBD) is a limited liability company that was accredited on July 11, 2002, to the following scopes: crops, wild crops, livestock, and handling/processing. IBD certifies 243 operations: 116 crops, 17 wild crops, 22 livestock (only apiculture), and 143 handling. There are 17 grower groups. The majority of the USDA organic certified operations are located in Brazil, but there are certified operations in China. IBD certifies 21 trader/export operations.

IBD is accredited to provide certification to multiple organic certification schemes.

The IBD certification program is staff includes an Executive Director, a Quality Manager, five Certification Managers, an Input Approval Program Manager, six Technical Reviewers, and two administrative staff. There are 41 subcontracted inspectors (21 in Brazil and 20 in China).

The onsite audit included one witness audit of a processor/handler located in Cordeiropolis, Sao Paulo, Brazil, and one witness audit of a grower group located in Parnaiba, Piaui, Brazil.

NOP DETERMINATION:

NOP reviewed the onsite audit results to determine whether IBD's corrective actions adequately addressed previous noncompliances. NOP also reviewed any corrective actions submitted as a result of noncompliances issued from Findings identified during the onsite audit.

Noncompliances from Prior Assessments

Any noncompliance labeled as "**Cleared**," indicates that the corrective actions for the noncompliance are determined to be implemented and working effectively. Any noncompliance labeled as "**Accepted**," indicates that the corrective actions for the noncompliance are accepted by the NOP and will be verified for implementation and effectiveness during the next onsite audit.

NP6308RKA.NC1 – Cleared.
NP5053RKA.NC1 – Cleared.
NP5053RKA.NC2 – Cleared.
NP5053RKA.NC3 – Cleared.
NP5053RKA.NC4 – Cleared.
NP5053RKA.NC5 – Cleared.

NP5053RKA.NC6 – Accepted. 7 CFR § 205.501(a)(21) states, "Comply with, implement, and carry out any other terms and conditions determined by the Administrator to be necessary."

Comments: *IBD did not conduct field evaluations for all inspectors in 2014.*

Corrective Action: IBD's previous guidance on field evaluations was realigned to understand annual field evaluations are to be completed for all inspectors. The IBD Quality Manager, is responsible for completing annual field evaluations and scheduled the evaluations in the Quality Department annual calendar. IBD has completed 13 annual field evaluations (60%) and scheduling the remaining 9 field evaluations of remote inspectors prior to December 31, 2015. This policy is supported by IBD's current Performance Evaluation Procedure, which correctly outlines the frequency, proper evaluation documentation, responsible persons.

2017 Verification of Corrective Action: Auditor reviewed documentation of field evaluations of inspectors during 2015. A field assessment of one inspector in northern Brazil was scheduled, but did not occur and the majority of inspectors in China were not evaluated. Field evaluations were

scheduled for all inspectors in 2016; however, one inspector was not evaluated. The evaluation is scheduled for next week.

2017 Corrective Action: IBD submitted alternative procedure to conduct NOP field evaluations for each inspector. Inspector's performance is evaluated for each audit by filling in the applicable fields of the audit performance evaluation in IBD's electronic system. Inspectors of the USDA NOP certification scheme who had a general performance (audit performance evaluation) below 70% must be evaluated at least once annually. Those who had a performance between 70% and 90% must be evaluated at least once every two years. IBD will implement a routine procedure (by July 2017) to monitor the shadow audit schedule at least every two months to ensure that field evaluations are being conducted on schedule. IBD has created a calendar reminder (two months prior to the field evaluation) that will appear in the Service Manager' Outlook calendar.

Non-compliances Identified during the Current Assessment

Any noncompliance labeled as "**Accepted**," indicates that the corrective actions for the noncompliance are accepted by the NOP and will be verified for implementation and effectiveness during the next onsite audit.

NP7093MMA.NC1 – **Accepted.** 7 CFR §205.660(d) states, "Each notification of noncompliance, rejection of mediation, noncompliance resolution, proposed suspension or revocation, and suspension or revocation issued pursuant to §205.662, §205.663, and §205.665 and each response to such notification must be sent to the recipient's place of business via a delivery service which provides dated return receipts."

Comments: *Notifications are being sent to operations via email but do not include return receipt for confirmation of delivery.*

2017 Corrective Action: IBD has implemented an email delivery receipt confirmation system. IBD has revised and submitted their Certification Procedure to require staff so use the new system and save the delivery receipt confirmation with the email. In July of 2017, IBD conducted staff training regarding the procedure update and an activity on IBD's electronic system workflow to ensure that the confirmation of delivery is saved in IBD electronic database together with the corresponding notice. IBD submitted evidence that their staff has implemented the delivery confirmation system and that delivery confirmation receipts are being saved in IBD electronic system together with the corresponding notice.

NP7093MMA.NC2 – **Accepted.** 7 CFR §205.403(a)(2)(ii) states, "The Administrator…may require that additional inspections be performed by the certifying agent for the purpose of determining compliance with the Act and the regulations in this part." NOP 2609 section 4.1.9 states, "An unannounced inspection should not include prior notification of the inspector's arrival. However, there may be special cases where extenuating circumstances make it impossible to conduct an unannounced inspection of the operation without prior notification (e.g. biosecurity issues). In such cases, the certifying agent may notify the operation up to four (4) hours prior to the inspector arriving on-site to ensure that appropriate representatives are present.

Comments: *IBD's unannounced inspection procedure indicates the inspector can notify the operation 48 hours in advance.*

2017 Corrective Action: IBD revised and submitted their certification procedure to clarify that unannounced inspections cannot be announced to the client in any way, specifically excluding the possibility to inform the client until 48 hours before the inspection. IBD communicated the change in their certification procedure to the inspector's team, through a circulated letter (July 2017), and by online training. IBD plans reiterate NOP requirements for unannounced inspections during their next annual training for their inspection staff (October 2017).

NP7093MMA.NC3 – **Accepted.** 7 CFR § 205.501(a)(21) states, "A private or governmental entity accredited as a certifying agent under this subpart must: Demonstrate the ability to fully comply with the requirements for accreditation set forth in this subpart; Comply with, implement, and carry out any other terms and conditions determined by the Administrator to be necessary." The NOP website provides instructions and the terms of international trade arrangements.
US – Canada Equivalency Arrangement: Labeling requirements. For retail products, labels or stickers must state the name of the U.S. or Canadian certifying agent and may use the USDA Organic seal or the Canada Organic Biologique logo. All product labels must be in English and French. Wholesale products only require lot numbers.

Comments: *IBD is not reviewing labels for products being exported to Canada under the US-Canada Equivalency Arrangement.*

2017 Corrective Action: IBD submitted a list of clients who exports to Canada and the results of their label reviews. IBD verified that the labels of the operations listed are compliant with the requirements of US-Canada Equivalence. IBD revised and submitted their transaction certificates issuance procedure to include the verification of exported products to Canada and that the products meet the labeling requirements of the equivalence agreement. In April and July of 2017, IBD provided training to their staff involved in the review of labels and transaction certificates procedure in order to review the requirements of product labels exported to Canada under the US-Canada Equivalency Arrangement.

NP7093MMA.NC4 – Accepted. 7 C.F.R. §205. 402(a)(2) states, "Determine by a review of the application materials whether the applicant appears to comply or may be able to comply with the applicable requirements of subpart C of this part;..." §205.206(e) states that an Organic System Plan must include, "Additional information deemed necessary by the certifying agent to evaluate compliance with the regulations."

Comments: *IBD did not assess the input material restriction (i.e. annotations) for compliance (when applicable) during a material input review of a nonagricultural (nonorganic) substance allowed as an ingredient in or on processed products labeled as "organic" or "made with organic (specified ingredients or food group(s))."*

2017 Corrective Action: IBD obtained confirmation from the operation regarding the compliance of the material in question (citric acid). The operation confirmed that the citric acid in question is produced according to the restriction (produced by microbial fermentation of carbohydrate substances) required in NOP 205.605(a). In July of 2017, IBD provided training to their staff regarding this NOP 205.605(a). In July of 2017, IBD also provided training that included instruction regarding NOP requirements for input material restrictions. IBD circulated a letter (July 2017) to inform their staff that they need to check all restrictions applicable to inputs.

IBD plans to reinforce the NOP requirements regarding restrictions for input materials during their next annual training (October 2017) of their certification staff.

NP7093MMA.NC5 – Accepted. 7 CFR §205.402(a)(2) states, "Determine by a review of the application materials whether the applicant appears to comply or may be able to comply with the applicable requirements of subpart C of this part;..." §205.201(a)(2) states that an Organic System Plan must include, "A list of each substance to be used as a production or handling input, indicating its composition, source, location(s) where it will be used."

Comments: *The Organic System Plan for a grower group operation did not include a list of all inputs and materials allowed for use by the members. One member producer asked the IBD inspector during the inspection how to obtain an input approved. The IBD manager confirmed that IBD does not require the grower group to maintain a list of inputs.*

2017 Corrective Action: IBD revised and submitted their grower group report template to include the verification of all approved inputs and materials used by group members. In July of 2017, IBD provided training to their staff regarding this requirement of grower groups. A staff training was held on July 13, 2017 that included instructions regarding NOP grower group requirements. A letter (July 2017) was sent to all of IBD's inspectors about update of the group inspection reports templates. IBD will provide additional training to reinforcement NOP requirements during the inspector's annual training (October 2017).

USDA Agricultural Marketing Service

1400 Independence Avenue, SW.
Room 2646-S, STOP 0268
Washington, DC 20250-0201

NATIONAL ORGANIC PROGRAM: CORRECTIVE ACTION REPORT

AUDIT AND REVIEW PROCESS

The National Organic Program (NOP) conducted a mid-term assessment of IBD Certifications. An onsite audit was conducted, and the audit report reviewed determined IBD Certifications' capability to continue operating as a USDA accredited certifier.

GENERAL INFORMATION

Applicant Name	IBD Certifications (IBD)
Physical Address	Rua Amando de Barros, 2275 – Centro, Botucatu, Sao Paolo, Brazil
Mailing Address	Same
Contact & Title	Gwendal Bellocq, General Manager
E-mail Address	gwendal@ibd.com.br
Phone Number	55 (14) 3811-9800
Reviewer(s) & Auditor(s)	Jason Lopez, NOP Reviewer; Renee Gebault King and Lars Crail, Onsite Auditors.
Program	USDA National Organic Program (NOP)
Review & Audit Date(s)	NOP Corrective action review: September 4, 2015 NOP assessment review: July 17, 2015 Onsite audit: February 23-March 1, 2015
Audit Identifier	NP5053RKA
Action Required	None
Audit & Review Type	Mid-Term Accreditation Assessment
Audit Objective	To evaluate the conformance to the audit criteria; and to verify the implementation and effectiveness of IBD's certification system.
Audit & Determination Criteria	*7 CFR Part 205, National Organic Program as amended*
Audit & Review Scope	IBD's certification services in carrying out the audit criteria during the period: March 2012 through February 2014.

IBD Certifications Ltd (IBD) is a limited liability company that was accredited as a certifying agent on July 11, 2002, to the USDA National Organic Program (NOP) for crops, wild crops, livestock, and handling operations. The 2014 IBD client list included approximately 188 USDA organic certified clients with 108 crop, 12 wild crop, 13 livestock (apiculture only), and 117 handling operations. Some of these operations contain dual certifications; there are also 29 grower groups. The majority of the USDA organic certified clients are currently located in Brazil, but there are two certified clients in China, one in Mexico, and one in Canada. IBD also has 11 trading operations certified to purchase/sell certified organic commodities.

IBD is accredited to multiple programs, including the following: Akkreditierungs Rat (DAP) for ISO Guide 65 to apply EN 45011; CE Regulation 834/2007; Brazilian Law 10.831; and Demeter International for biodynamic products. IBD applies additional industry and agricultural

certifications and has agreements with companies to provide certification services for the Japan Agriculture Standard (JAS), BIOSUISSE, and Canada Organic Regime (COR).

NOP DETERMINATION:

NOP reviewed the onsite audit results to determine whether IBD's corrective actions adequately addressed previous noncompliances. NOP also reviewed any corrective actions submitted as a result of noncompliances issued from Findings identified during the onsite audit.

Noncompliances from Prior Assessments

Any noncompliance labeled as "**Cleared**," indicates that the corrective actions for the noncompliance are determined to be implemented and working effectively. Any noncompliance labeled as "**Outstanding**" indicates that either the auditor could not verify implementation of the corrective actions or that records reviewed and audit observations did not demonstrate compliance.

NP0102OOA.NC3 – Cleared. 7 CFR §205.403(c) states, "The on-site inspection of an operation must verify: (1) The operation's compliance or capability to comply with the Act and the regulations in this part; (2) That the information, including the organic production or handling system plan, provided in accordance with §§205.401, 205.406, and 205.200, accurately reflects the practices used or to be used by the applicant for certification or by the certified operation; (3) That prohibited substances have not been and are not being applied to the operation through means which, at the discretion of the certifying agent, may include the collection and testing of soil; water; waste; seeds; plant tissue; and plant, animal, and processed products samples."

Comments: *In two of the client files reviewed, the inspectors did not include enough objective evidence to enable the final reviewer to make an adequate decision on certification.*

2010 Corrective Action: Inspectors have been informed, via email and written instruction, that they need to be including more objective evidence in their reports and reviewers have been informed that if there are any doubts that arise when reviewing the reports that they are to return the report to the inspector and request sufficient information/evidence.

2012 Onsite Review of Corrective Action: The inspection reports for the files reviewed indicated that the activities either meet the requirements or not, but they still do not contain sufficient documentation to allow the person making the certification decision to make an informed decision.

2012 Corrective Action: IBD has modified their Organic System Plan (OSP) templates to require more narrative details, in addition to the standard checklist, under Section 3, Management Plan. The template requires operators to describe their plans for management practices related to specific regulatory requirements for the upcoming production year. IBD also reported on these changes to internal staff, inspectors, and reviewers, who will now be required to request more detailed information regarding operational practices prior to inspection. IBD addressed this topic at its November 2012 inspector training, submitting an agenda and a sign-in sheet as proof of completion.

2015 Verification of Corrective Action: The auditors reviewed eight OSPs of various scopes during the assessment: two review audits (sugar cane production and processing), one witness audit (coffee roasting), and additional file reviews (an açai grower group with wild crop harvesting and handling, sugar cane production and processing). The OSP templates updated by IBD were reviewed by the auditors and were determined to contain sufficient information to allow IBD reviewers to make informed decisions regarding certification of new applicants or currently certified operations.

NP2077OOA.NC1 – Cleared. 7 CFR §205.405 (a) states, "When the certifying agent has reason to believe, based on a review of the information specified in §205.402 or §205.404, that an applicant for certification is not able to comply or is not in compliance with the requirements of this part, the certifying agent must provide a written notification of noncompliance to the applicant. When correction of a noncompliance is not possible, a notification of noncompliance and a notification of denial of certification may be combined in one notification. The notification of noncompliance shall provide: … the date by which the applicant must rebut or correct each noncompliance and submit supporting documentation of each such correction when correction is possible."

Comments: *The review of previous inspection reports and the observations made during the witness inspection of one of the certified beekeeping operations revealed major reoccurring noncompliances in previous years, such as poor recordkeeping and noncompliant forage zones. These major noncompliances should have precluded certification for this operation until the issues had been corrected. The corrective actions submitted did not adequately address the noncompliances, and the inspection revealed that the noncompliances had not been corrected. However, IBD granted certification in spite of the major recurring noncompliances.*

2013 Corrective Action: IBD modified section 3.1.1.1 of the inspector checklist to state that recurring minor noncompliances will automatically be converted to major noncompliances. IBD also revised its policies to state all noncompliances must be resolved within 30 days of the issuance of the written notice. IBD will require all noncompliances to be resolved prior to issuing a Notice of Noncompliance Resolution, and IBD will not grant initial or continuing certification until it has received such a resolution. In its instructions regarding follow-up to noncompliances, IBD further stated that all noncompliances must be resolved in order to issue a Notice of Noncompliance Resolution. As required by the NOP's settlement agreement, IBD submitted revised procedures as supporting evidence of these changes and conducted training in December 2012 to review the NOP's adverse action training module, as well as IBD's new adverse action procedures. IBD's next internal audit will evaluate the implementation of these actions.

2015 Verification of Corrective Action: The auditors reviewed the documents associated with the clients, which included a chocolate processor, honey processor, and a crop producer. The OSP templates, inspection reports and notice of denial letters illustrate that IBD did not grant certification when noncompliances resulted from the initial or follow-up inspections. Furthermore, records reviewed in reference to the crop producer confirmed that IBD required that noncompliances be corrected before certification was granted.

NP2077OOA.NC2 – Cleared. 7 CFR §205.404(a) states, "Within a reasonable time after completion of the initial on-site inspection, a certifying agent must review the on-site inspection

report, the results of any analyses for substances conducted, and any additional information requested from or supplied by the applicant. If the certifying agent determines that the organic system plan and all procedures and activities of the applicant's operation are in compliance with the requirements of this part and that the applicant is able to conduct operations in accordance with the plan, the agent shall grant certification. The certification may include requirements for the correction of minor noncompliances within a specified time period as a condition of continued certification."

Comments: *A review of the certification files revealed that corrective actions for all minor noncompliances were not being resolved until the next annual inspection. Some of the minor noncompliances had to do with incomplete organic system plans, buffer zones, field history for current certification season, incomplete ICS, and the use of inputs without prior approval. These minor noncompliances need to be corrected, and the certifier needs to review these corrective actions, prior to the next inspection.*

2013 Corrective Action: IBD will now use the same adverse action procedure for both major and minor noncompliances. IBD will now issue all Notices of Noncompliance in writing as a part of the certification decision. IBD will only issue a certificate after all noncompliances have been resolved and a Notice of Noncompliance has been issued.

If the final review identifies a non-correctable violation, then IBD will combine the Notice of Noncompliance and Notice of Proposed Suspension into one. If the operation's corrective actions show continued evidence of major noncompliances, or if the violations are not corrected within the specified time period, then IBD will proceed to issue a Notice of Proposed Suspension. All Notices of Proposed Suspension shall discuss the operator's rights to appeal to the NOP. IBD submitted revised procedures and a revised quality manual as supporting evidence of these changes. Per the requirements of the NOP settlement agreement, IBD also conducted trainings on the NOP Penalty Matrix, utilizing the training module the NOP presented at the ACA annual training in Orlando, FL.

As required by the NOP settlement agreement, IBD also clarified the role of inspectors regarding issues of concern in exit interviews. The inspector's observations will no longer be classified as noncompliances, and IBD revised its exit interview forms to remove the requirement that operators enter proposed corrective actions at the time of the exit interview. Instead, inspectors are instructed to justify their observations and to base them on objective evidence. IBD provided a sample of their modified exit interview form as objective evidence.

2015 Verification of Corrective Action: The auditors reviewed IBD procedures, OSP templates and inspection reports. IBD confirmed it does not cite minor issues to clients, just noncompliances and major noncompliances. Furthermore, the auditors reviewed and discussed IBD's procedures for issuing separate or combined Notices of Noncompliance/Notices of Proposed Suspension. The auditor confirmed that the Notice of Proposed Suspension (separate or combined) letter templates explain the producer's options to seek mediation or an appeal. Interviews with the quality manager confirmed that the scenarios to issue a combined Notice of Noncompliance/Notice of Proposed Suspension are understood. IBD procedures grant inspectors the responsibility for reviewing the OSP and gathering any additional information from the operation prior to conducting the inspection. During the witness audit of an organic coffee roaster, the auditors noted that the IBD inspector properly cited findings, not noncompliances, on the inspection report and during the exit interview with the client.

NP2077OOA.NC5 – **Cleared.** 7 CFR §205.501(a) states, "A private or governmental entity accredited as a certifying agent under this subpart must: (21) Comply with, implement, and carry out any other terms and conditions determined by the Administrator to be necessary." NOP Policy Memo 11-10 states, "Accredited certifying agents should use the National Organic Standards Board (NOSB) recommendations of October 2002 and November 2008 as the current policies." The NOSB's November 2008 recommendation section III.A states, "The producer group operation must establish and implement an Internal Control System (ICS), with supervision and documentation of production practices and inputs used at each sub-unit, and collected at each production unit, site, or facility to insure compliance with the USDA's National Organic Program."

Comments: *Two witness audits and interviews with the inspector indicated that grower groups that do not have an ICS are certified by IBD, so long as IBD conducts 100% inspections of all grower members and their facilities.*

2013 Corrective Action: As required by the NOP settlement agreement, IBD modified its quality manual to state that, "if a group has no functioning [internal control system], it is not eligible for grower group certification under the NOP." The new policy incorporated NOP Policy Memo 11-10. IBD clarified that its previous policy for sub-licensees would now apply only to grower groups certified under the European Union organic standards. The revised inspection policy requires that IBD evaluate the internal control system annually.

2015 Verification of Corrective Action: The auditors reviewed two grower group files and the OSPs contained internal control system (ICS) documents.

Noncompliances Identified during the Current Assessment

NP5053RKA.NC1 – Accepted - 7 CFR § 205.404(b) states, "The certifying agent must issue a certificate of organic operation" and NOP 2603 further describes the elements of the organic certificate such as the anniversary date.

Comments: *Certificates reviewed during the assessment currently indicate the effective date (date of initial certification) and the date of last update (date last issued from the certifier). The anniversary date (when the OSP is due) is missing from the certificates.*

Corrective Action: On March 9, 2015, IBD corrected the "NOP certificate template" to include an anniversary date. IBD identified and reissued 74 certified operations a corrected NOP Organic Certificate. IBD conducted and documented the staff training on March 11, 2015, covering the new NOP certificate template.

NP5053RKA.NC2 – **Accepted -** 7 CFR § 205.501(a)(3) states, "A private or governmental entity accredited as a certifying agent under this subpart must: carry out the provisions of the Act and the regulations in this part, including the provisions of §§205.402 through 205.406 and §205.670;" Furthermore, NOP 4009 describes the types of operations that need to be certified.

Comments: *Based upon interviews with IBD staff and the review of a coffee roaster, considered by IBD to be a "service provider," the certifier is allowing the distributor's certification to include the organic coffee processing/packaging performed by the uncertified service provider*

or co-packer. IBD conducts a full annual inspection at the service provider's facilities but it is not independently certified.

Corrective Action: IBD has identified 22 subcontracting operations in need of individual certification. IBD is receiving and reviewing all certification documents from the subcontractors prior to inspection and NOP certification. Currently, IBD has not completed certification of all identified operations and estimates completing the remaining certifications in 60 days. IBD reviewed this noncompliance and policy corrections with staff in a training conducted and documented on March 11, 2015.

NP5053RKA.NC3 – **Accepted -** 7 CFR § 205.670(d) states, "A certifying agent must, on an annual basis, sample and test from a minimum of five percent of the operations it certifies, rounded to the nearest whole number. A certifying agent that certifies fewer than thirty operations on an annual basis must sample and test from at least one operation annually. Tests conducted under paragraphs (b) and (c) of this section will apply to the minimum percentage of operations.

Comments: *When samples are collected for routine analysis as part of the 5% requirement, the clients are charged for the testing of the sample. Clients are not charged for samples collected for an investigation conducted by IBD or during an unannounced inspection.*

Corrective Action: IBD amended its certification proposal template to state operations certified exclusively to the NOP standard will not be charged laboratory analysis fees. The staff training of the template changes occurred on August 26, 2015. Template changes were also distributed via email on August 26, 2015.

NP5053RKA.NC4 – **Accepted** - 7 CFR § 205.501(a)(3) states, "A private or governmental entity accredited as a certifying agent under this subpart must: carry out the provisions of the Act and the regulations in this part, including the provisions of §§205.402 through 205.406 and §205.670."

Comments: *Below are two examples identified during the onsite audit that demonstrates errors in the application of USDA organic regulations and policy to the requirements of Organic System Plans (OSPs):*

- *A review of the certifier's OSP template identified that the OSP does not address the self-monitoring compliance activities described in 205.201(a)(3), "A description of the monitoring practices and procedures to be performed and maintained, including the frequency with which they will be performed, to verify that the plan is effectively implemented." The current IBD OSP template does not include the requirement that the operation conducts and documents an internal review of its own organic program.*
- *A review of the certifier's grower group OSP templates (other than for beekeeping operations) identified that it does not contain the requirement to provide sufficient maps of the collective group locations. 205.201(a) states "The producer or handler of a production or handling operation… must develop an organic production or handling system plan that is agreed to by the producer or handler and an accredited certifying agent. An organic system plan must meet the requirements set forth in this section for organic production or handling." NOSB 2002 recommendation requires that "a list of*

information that the certifying agent must provide to the inspector prior to the inspection" include a, "General map of indicating the general region of each production zone," and, "A more detailed map indicating the location of each of the communities to be inspected." The current IBD OSP template does not require grower groups to submit general maps that identify all grower group sub-unit locations.

Corrective Actions: IBD submitted seven amended OSP templates for review. The submitted templates ask the applicant to describe the operation's internal audit procedures and provide a map/sketch of the operation. On August 26, 2015, IBD documented staff training on the descriptions of audit procedures and site maps included in the new versions of the OSP templates. IBD also distributed the new OSP templates to inspectors via email on August 26, 2015.

NP5053RKA.NC5 – Accepted - 7 CFR 205.403(e)(2) states, "A copy of the on-site inspection report and any test results will be sent to the inspected operation by the certifying agent."

Comments: *According to IBD Quality Manual 12.6 Certification Decision, the inspection report is to be sent to the operation once the certification staff reviews the report. The inspection report from a December 2014 sugar mill unannounced inspection was not provided to the operation.*

Corrective Action: IBD sent a copy of the missing inspection report to the operation on March 6, 2015. IBD changed the certification procedure to make the IBD staff (inspection report reviewer) responsible for providing the inspection report to the applicant after reviewing the report. IBD has included an additional page to the inspection report template where the reviewer is to record the certification decision. On August 22, 2015, IBD emailed the new certification procedure to auditors and templates to auditors. On August 26, 2015, IBD trained staff on the new certification procedures and the new templates used to capture certification decision information.

NP5053RKA.NC6 – Accepted - 7 CFR § 205.501(a)(21) states, "Comply with, implement, and carry out any other terms and conditions determined by the Administrator to be necessary."

Comments: *IBD did not conduct field evaluations for all inspectors in 2014.*

Corrective Action: IBD's previous guidance on field evaluations was realigned to understand annual field evaluations are to be completed for all inspectors. The IBD Quality Manager, is responsible for completing annual field evaluations and scheduled the evaluations in the Quality Department annual calendar. IBD has completed 13 annual field evaluations (60%) and scheduling the remaining 9 field evaluations of remote inspectors prior to December 31, 2015. This policy is supported by IBD's current Performance Evaluation Procedure, which correctly outlines the frequency, proper evaluation documentation, responsible persons.

USDA Agricultural Marketing Service

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AUDIT INFORMATION

Applicant Name:	IBD Certifications, Ltd.
Est. Number:	N/A
Physical Address:	Rua Amando de Barros, 2275 - Centro, 18602-150, Botucatu, Sao Paulo, Brazil
Mailing Address:	Rua Amando de Barros, 2275 - Centro, 18602-150, Botucatu, Sao Paulo, Brazil
Contact & Title:	Paul Espanion, Program Manager
E-mail Address:	paul@ibd.com.br
Phone Number:	55 14 38119800
Auditor(s):	Betsy Rakola, Accreditation Manager
Program:	USDA National Organic Program (NOP)
Audit Date(s):	June 11, 2012 – March 27, 2013 (Corrective Action Assessment)
Audit Identifier:	NP2077OOA
Action Required:	No
Audit Type:	Corrective Action Audit (Renewal Assessment)
Audit Objective:	To verify continuing compliance to the audit criteria.
Audit Criteria:	*7 CFR Part 205, National Organic Program (NOP), Final Rule*, dated December 21, 2000; as amended August 3, 2011.
Audit Scope:	IBD's corrective actions.
Location(s) Audited:	Desk

GENERAL INFORMATION

IBD Certifications Ltd (IBD) is a limited liability company which was accredited as a certifying agent on July 11, 2002, to the USDA National Organic Program (NOP) for crops, wild crops, livestock, and handling operations. The IBD client list included approximately 220 NOP certified clients with 129 crop, 13 wild crop, 11 livestock (only apiculture), and 136 handling operations certified to the NOP. Some of these operations contain dual certifications and there are also 51 grower groups. The majority of the NOP certified clients are currently located in Brazil and there are two NOP certified clients in China, one in Mexico, and one in Canada. IBD also has 11 trading operations certified to purchase certified organic commodities and sell to export customers.

IBD is also accredited by the International Organic Accreditation Service (IOAS) for IFOAM and for ISO Guide 65 to apply EN 45011, CE Regulation 834/2007, Brazilian Law 10.831 and Demeter International for

biodynamic products. IBD applies additional industry and agricultural certifications and has agreements with companies to provide certification services for the Japan Agriculture Standard (JAS) and BIOSUISSE.

The NOP conducted a 5-year accreditation renewal assessment of IBD Certifications, Ltd. (IBD) from March 18-23, 2012. This assessment, NP2077OOA, resulted in six noncompliances. The NOP issued a Notice of Noncompliance to IBD on May 7, 2012. IBD responded with corrective actions on June 6, June 21, and August 10, 2012.

On September 6, 2012, the NOP Accreditation Committee found that noncompliances NP2077OOA.NC1, NP2077OOA.NC2, and NP2077OOA.NC5 were not adequately addressed and therefore recommended a proposed suspension of IBD's accreditation. The NOP issued a Notice of Proposed Suspension to IBD on September 28, 2012, and IBD subsequently filed an appeal on October 4, 2012. The NOP issued IBD a settlement agreement to resolve the appeal, in exchange for sufficient corrective actions, on November 20, 2012. IBD signed the agreement on January 23, 2013 and submitted additional corrective actions on March 4, 2013. The NOP Accreditation Committee considered this new evidence on March 27, 2013 and recommended that the NOP renew IBD's accreditation.

FINDINGS

Observations made, interviews conducted, and procedures and records reviewed verified that IBD is currently operating in compliance to the requirements of the audit criteria. The corrective actions for three of the non-compliances identified during the mid-term assessment were verified and found to be implemented and effective and the non-compliances were cleared. One noncompliance identified during the mid-term assessment remains outstanding. Five new non-compliances were identified during the assessment.

NP0102OOA.NC1 – Cleared
NP0102OOA.NC2 – Cleared
NP0102OOA.NC4 – Cleared

NP0102OOA.NC3 – Accepted. NOP §205.403(c) states, "The on-site inspection of an operation must verify: (1) The operation's compliance or capability to comply with the Act and the regulations in this part; (2) That the information, including the organic production or handling system plan, provided in accordance with §§205.401, 205.406, and 205.200, accurately reflects the practices used or to be used by the applicant for certification or by the certified operation; (3) That prohibited substances have not been and are not being applied to the operation through means which, at the discretion of the certifying agent, may include the collection and testing of soil; water; waste; seeds; plant tissue; and plant, animal, and processed products samples." *In two of the client files reviewed, the inspectors did not include enough objective evidence to enable the final reviewer to make an adequate decision on certification.*
Corrective Action (2010): Inspectors have been informed, via email and written instruction, that they need to be including more objective evidence in their reports and reviewers have been informed that if there are any doubts that arise when reviewing the reports that they are to return the report to the inspector and request sufficient information/evidence. **Onsite review of corrective action (March 2012):** *The inspection reports for the files reviewed indicated that the activities either meet the requirements or not, but they still do not contain sufficient documentation to allow the person making the*

certification decision to make an informed decision. **Corrective Action:** IBD has modified their Organic System Plan (OSP) templates to require more narrative details, in addition to the standard checklist, under Section 3, Management Plan. The template requires operators to describe their plans for management practices related to specific regulatory requirements for the upcoming production year. IBD also reported on these changes to internal staff, inspectors, and reviewers, who will now be required to request more detailed information regarding operational practices prior to inspection. IBD addressed this topic at its November 2012 inspector training, submitting an agenda and a sign-in sheet as proof of completion.

NP2077OOA.NC1 – Accepted. NOP §205.405 (a) states, "When the certifying agent has reason to believe, based on a review of the information specified in §205.402 or §205.404, that an applicant for certification is not able to comply or is not in compliance with the requirements of this part, the certifying agent must provide a written notification of noncompliance to the applicant. When correction of a noncompliance is not possible, a notification of noncompliance and a notification of denial of certification may be combined in one notification. The notification of noncompliance shall provide: … the date by which the applicant must rebut or correct each noncompliance and submit supporting documentation of each such correction when correction is possible." *The review of previous inspection reports and the observations made during the witness inspection of one of the certified beekeeping operations revealed major reoccurring noncompliances in previous years, such as poor recordkeeping and noncompliant forage zones. These major noncompliances should have precluded certification for this operation until the issues had been corrected. The corrective actions submitted did not adequately address the noncompliances, and the inspection revealed that the noncompliances had not been corrected. However, IBD granted certification in spite of the major recurring noncompliances.* **Corrective Action**: IBD modified section 3.1.1.1 of the inspector checklist to state that recurring minor noncompliances will automatically be converted to major noncompliances. IBD also revised its policies to state all noncompliances must be resolved within 30 days of the issuance of the written notice. IBD will require all noncompliances to be resolved prior to issuing a Notice of Noncompliance Resolution, and IBD will not grant initial or continuing certification until it has received such a resolution. In its instructions regarding follow-up to noncompliances, IBD further stated that all noncompliances must be resolved in order to issue a Notice of Noncompliance Resolution. As required by the NOP's settlement agreement, IBD submitted revised procedures as supporting evidence of these changes and conducted training in December 2012 to review the NOP's adverse action training module, as well as IBD's new adverse action procedures. IBD's next internal audit will evaluate the implementation of these actions.

NP2077OOA.NC2 – **Accepted.** NOP §205.404(a) states, "Within a reasonable time after completion of the initial on-site inspection, a certifying agent must review the on-site inspection report, the results of any analyses for substances conducted, and any additional information requested from or supplied by the applicant. If the certifying agent determines that the organic system plan and all procedures and activities of the applicant's operation are in compliance with the requirements of this part and that the applicant is able to conduct operations in accordance with the plan, the agent shall grant certification. The certification may include requirements for the correction of minor noncompliances within a specified time period as a condition of continued certification." *A review of the certification files revealed that corrective actions for all minor noncompliances were not being resolved until the next annual inspection. Some of the minor noncompliances had to do with incomplete organic system plans, buffer zones, field history for current certification season, incomplete ICS, and the use of inputs without prior approval. These minor noncompliances need to be corrected, and the certifier needs to review these corrective actions, prior to the*

next inspection. **Corrective Action**: IBD will now use the same adverse action procedure for both major and minor noncompliances. IBD will now issue all Notices of Noncompliance in writing as a part of the certification decision. IBD will only issue a certificate after all noncompliances have been resolved and a Notice of Noncompliance has been issued.

If the final review identifies a non-correctable violation, then IBD will combine the Notice of Noncompliance and Notice of Proposed Suspension into one. If the operation's corrective actions show continued evidence of major noncompliances, or if the violations are not corrected within the specified time period, then IBD will proceed to issue a Notice of Proposed Suspension. All Notices of Proposed Suspension shall discuss the operator's rights to appeal to the NOP. IBD submitted revised procedures and a revised quality manual as supporting evidence of these changes. Per the requirements of the NOP settlement agreement, IBD also conducted trainings on the NOP Penalty Matrix, utilizing the training module the NOP presented at the ACA annual training in Orlando, FL.

As required by the NOP settlement agreement, IBD also clarified the role of inspectors regarding issues of concern in exit interviews. The inspector's observations will no longer be classified as noncompliances, and IBD revised its exit interview forms to remove the requirement that operators enter proposed corrective actions at the time of the exit interview. Instead, inspectors are instructed to justify their observations and to base them on objective evidence. IBD provided a sample of their modified exit interview form as objective evidence.

NP2077OOA.NC3 – **Accepted.** NOP §205.406(c) states, "If the certifying agent has reason to believe, based on the on-site inspection and a review of the information specified in §205.404, that a certified operation is not complying with the requirements of the Act and the regulations in this part, the certifying agent shall provide a written notification of noncompliance to the operation in accordance with §205.662." *A review of one certification file indicated that the scope of certification included wild crop. The organic system plan for the file stated that there was no interest for wild crop. A noncompliance was not issued to have the client update the organic system plan.* **Corrective Action:** IBD reviewed the files and determined that there was a misunderstanding about the file reviews. The certificate in question was for a grower group in China with several subunits. The file for the subunit with wild crop production (pine nuts) was not provided to the NOP auditor at the time of the audit. IBD has reviewed the files and determined that wild crop harvesting for pine nuts was listed both on the second subunit OSP for the grower group (see the Zhuluke OSP, section 8: wild harvesting), as well as the certificate.

NP2077OOA.NC4 – **Accepted.** NOP §205.504 states, "A private or governmental entity seeking accreditation as a certifying agent must submit the following documents and information to demonstrate its expertise in organic production or handling techniques;… (b) Administrative policies and procedures. (5) A copy of the procedures to be used, including any fees to be assessed, for making the following information available to any member of the public upon request: (iii) The results of laboratory analyses for residues of pesticides and other prohibited substances conducted during the current and 3 preceding calendar years." *Interviews with the program manager and executive director and the absence of information in the quality manual indicated that results of laboratory analysis are considered confidential and are not being made available to any member of the public upon request.* **Corrective Action:** IBD has updated section 3.5 of its quality manual to state, "IBD also provides to any interested party … the results of analyses of residues, pesticides or any other prohibited substance related to NOP certified operators." IBD also modified its contract with clients in section 11.2.V to note that reports of analyses may be made

available to the public when they relate to NOP clients. On June 5, 2012, IBD notified its employees of these changes via email.

NP2077OOA.NC5 – **Accepted.** NOP §205.501(a) states, "A private or governmental entity accredited as a certifying agent under this subpart must: (21) Comply with, implement, and carry out any other terms and conditions determined by the Administrator to be necessary." NOP Policy Memo 11-10 states, "Accredited certifying agents should use the National Organic Standards Board (NOSB) recommendations of October 2002 and November 2008 as the current policies." The NOSB's November 2008 recommendation section III.A. states, "The producer group operation must establish and implement an Internal Control System (ICS), with supervision and documentation of production practices and inputs used at each sub-unit, and collected at each production unit, site, or facility to insure compliance with the USDA's National Organic Program." *Two witness audits and interviews with the inspector indicated that grower groups that do not have an ICS are certified by IBD, so long as IBD conducts 100% inspections of all grower members and their facilities.* **Corrective Action:** As required by the NOP settlement agreement, IBD modified its quality manual to state that, "if a group has no functioning [internal control system], it is not eligible for grower group certification under the NOP." The new policy incorporated NOP Policy Memo 11-10. IBD clarified that its previous policy for sub-licensees would now apply only to grower groups certified under the European Union organic standards. The revised inspection policy requires that IBD evaluate the internal control system annually.

Livestock and Seed Program Audit, Review, and Compliance Branch
Quality System Audit Report

Applicant Name:	IBD Certifications Ltd
Est. Number:	N/A
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Contact & Title:	Paul Espanion, Program Manager
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Phone Number:	55-14-3882-5066
Auditor(s):	Darrell Wilson
Program:	USDA National Organic Program (NOP)
Audit Date(s):	June 25 & 28, 2010
Audit Identifier:	NP0102OOA
Action Required:	No
Audit Type:	Corrective Action Report
Audit Objective:	To verify that corrective actions adequately address the non-compliances identified during the Mid-Term Audit.
Audit Criteria:	*7 CFR Part 205, National Organic Program (NOP), Final Rule,* dated December 21, 2000; revised February 17, 2010.
Audit Scope:	Submitted corrective actions
Location(s) Audited:	Desk

AUDIT INFORMATION

IBD Certifications Ltd (IBD) submitted corrective actions and supporting documentation to the National Organic Program for the non-compliances identified during the mid-term audit conducted April 12-15, 2010. The corrective actions were forwarded to the auditor on June 23, 2010.

FINDINGS

The corrective actions submitted by IBD adequately addressed the non-compliances identified during the mid-term audit.

NP0102OOA.NC1 – Adequately Addressed – NOP §205.204(a)(2) states, "The producer must use organically grown seeds, annual seedlings, and planting stock: *Except,* That, Nonorganically produced seeds and planting stock that have been treated with a substance included on the National List of synthetic substances allowed for use in organic crop production may be used to produce an organic crop when an equivalent organically produced or untreated variety is not commercially available." *One crop file reviewed indicated the use of seed stock treated with Thiram, which is not included on the National List.*

The treated seeds were allowed for use after they were washed to remove the Thiram. **Corrective Action:** IBD has proposed suspension of the fields where the seeds in question were applied and informed the operation that the areas affected will need to be transitioned for 36 months. IBD also informed all staff, evaluators, and inspectors that seeds that have been treated with a prohibited substance cannot be used for organic production even if the treatment has been washed off.

NP0102OOA.NC2 – Adequately Addressed – NOP §205.302(a) states, "The percentage of all organically produced ingredients in an agricultural product sold, labeled, or represented as "100 percent organic," "organic," or "made with organic (specified ingredients or foodgroup(s))," or that include organic ingredients must be calculated by: (1) Dividing the total net weight (excluding water and salt) of combined organic ingredients at formulation by the total weight (excluding water and salt) of the finished product. (2) Dividing the fluid volume of all organic ingredients (excluding water and salt) by the fluid volume of the finished product (excluding water and salt) if the product and ingredients are liquid. If the liquid product is identified on the principal display panel or information panel as being reconstituted from concentrates, the calculation should be made on the basis of single-strength concentrations of the ingredients and finished product. (3) For products containing organically produced ingredients in both solid and liquid form, dividing the combined weight of the solid ingredients and the weight of the liquid ingredients (excluding water and salt) by the total weight (excluding water and salt) of the finished product." *The review of processing files and interviews with the Program Manager and Quality Manager indicated that the percentages of organic multi ingredient products were being calculated by dividing the total gross weight of the combined organic ingredients by the total weight of the of the finished product instead of using the total net weight of the combined organic products.* **Corrective Action:** The old method of calculating percentages of organic has been replaced with an excel version which automatically calculates the percentages. Staff, evaluators, and inspectors have been given new instructions regarding the calculation method. IBD's technical staff has reviewed all currently certified operations with multi-ingredients to verify that percentages are correct and that there was no incorrect labeling of products.

NP0102OOA.NC3 – Adequately Addressed – NOP §205.403(c) states, "The on-site inspection of an operation must verify: (1) The operation's compliance or capability to comply with the Act and the regulations in this part; (2) That the information, including the organic production or handling system plan, provided in accordance with §§205.401, 205.406, and 205.200, accurately reflects the practices used or to be used by the applicant for certification or by the certified operation; (3) That prohibited substances have not been and are not being applied to the operation through means which, at the discretion of the certifying agent, may include the collection and testing of soil; water; waste; seeds; plant tissue; and plant, animal, and processed products samples." *In two of the client files reviewed, the inspectors did not include enough objective evidence to enable the final reviewer to make an adequate decision on certification.* **Corrective Action:** Inspectors have been informed, via email and written instruction, that they need to be including more objective evidence in their reports and reviewers have been informed that if there is any doubts that arise when reviewing the reports that they are to return the report to the inspector and request sufficient information/evidence.

NP0102OOA.NC4 – Adequately Addressed – NOP §205.662(c) states, "When rebuttal is unsuccessful or correction of the noncompliance is not completed within the prescribed time period, the certifying agent or State organic program's governing State official shall send the certified operation a written

notification of proposed suspension or revocation of certification of the entire operation or a portion of the operation, as applicable to the noncompliance. When correction of a noncompliance is not possible, the notification of noncompliance and the proposed suspension or revocation of certification may be combined in one notification. The notification of proposed suspension or revocation of certification shall state: (3) The impact of a suspension or revocation on future eligibility for certification." *Notices of Proposed Suspensions do not include the impact on future eligibility for certification.* **Corrective Action:** IBD has made changes in the letters of notification to include statements notifying the operations of the impact of suspensions and revocations.