

## CERTIFICATION PROCESS FOR OPERATORS IN THIRD COUNTRIES TO THE EU \*




**Official version (English)**



**02. version March 2, 2017**

*(In case of any doubt of this document translated into other languages, turn to the official Spanish version accessible on the web [www.caae.es](http://www.caae.es) )*

\* Based on the "equivalent standards of organic production and control measures for the European certification of operators in third countries" CAAE Certification Service.)

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# TABLE OF REVISION:

WHOSE NAME AND TITLE CHECK OUT	ADVISE MODIFICATIONS (IF ANY)	DATE
<p>Juan Carlos Perez Montero Technical director</p>	<p><b>Rev 00</b></p> <p>changes from the document PGT-01 in yellow to blue and general changes are indicated to indicate that the SC ASAC criteria assumes other competent authority for certification in third countries:</p> <ul style="list-style-type: none"> <li>- document fits the request for Accreditation for Third Countries into several sections: 1.2, 2, 3.11, 5.5.19, 6.2.7, 12.1 and 12.4.</li> <li>- documentation included in section 5.1.2 to make available to the operator requesting registration</li> <li>- They have changed all items to the equivalent standard SC CAAE</li> <li>- They removed all references to the competent authorities in the EU not to come.</li> <li>- In paragraph 5.7.2 references to the inclusion of the obligation to comply with the general labeling requirements are changed</li> <li>- In paragraph 5.7.9 meet the requirements for use of the Community logo are included.</li> <li>- references not included in the scope equivalent standard (farming, beekeeping, importers, etc.) are removed</li> <li>- It is indicated in each of the sub-sections where there are differences between individual certification, the specific procedure for management of the inspection in the case of groups (paras 5.5, 5.6, 6.2.5, 11.2.7, etc.)</li> <li>- rules change control body 5.2.16 and 5.2.17 point where the calculation method includes the initial risk level indicated.</li> <li>- They Fixed .9 paragraphs 5.7.1 to indicate to customers the rules on the use of the terms "EU Organic Farming / No EU" and 5.7.1.2 to indicate the need for compliance with the general labeling requirements in the countries of destination.</li> <li>- the form of communication to the European Commission explicit, competent authorities and supervisory bodies in section 16.3 and 16.4</li> <li>- Is unified with this document the "IT-PGT-01-PT PROCESSES RFI, RRPC, PPC and RPC" procedure so that document has been removed. The information has been integrated as follows: <ul style="list-style-type: none"> <li>* RFI in section 5.2.16</li> <li>* RRPC in paragraph 12.3.1</li> <li>* RPC in paragraph 12.3.2</li> <li>* PPC in paragraph 13</li> </ul> </li> </ul>	<p>27/12/16</p>
<p>Juan Carlos Perez Montero Technical director</p>	<p><b>Rev 01</b></p> <p>changes from the document PGT-01 are indicated in yellow:</p> <ul style="list-style-type: none"> <li>- They have restructured the various subsections of section 16 to include the requirements of Section 7.10 of the UNE-EN ISO / IEC 17065</li> </ul>	<p>03/02/17</p>

<p>Juan Carlos Perez Montero Technical director</p>	<p><b>Rev 02</b></p> <p>changes from the document PGT-01 are indicated in yellow:</p> <ul style="list-style-type: none"> <li>- It is indicated when section 5.4.14 mandatory inspection of industries in activity.</li> <li>- 5.7.1-2 paragraph is amended to include aspects that affect the labeling and advertising as stated in Article 1-4 of the CAAE equivalent standards for Third Countries which corresponds to paragraph 4 of Article 1 of Regulation 834 / 2007.</li> </ul>	<p>03/02/17</p>



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## 1. PURPOSE AND SCOPE

- 1.1. The object of this document is to describe the sequence of activities required in the entire process certification and establish requirements for the use of the mark of conformity and certificates, in order to be known and applied by all persons and / or organizations that is involved in this process in accordance with the "equivalent Standards organic production and control measures for the European certification of operators in third countries "CAAE certification Service (" **CAAE equivalent standard** "From now herein) ..
- 1.2. This document affects both operators who have been certified as the applicants the same for the certification scheme for organic production, according to the scope defined in reference documentation and provided their production areas and / or facilities are located in third countries to the EU where the Certification Service CAAE available authorization.

1.3. This procedure shall be applicable for the following services or scope:

Agriculture Organic production * Third Countries. Third Countries
organic production industry.

\* According to the conditions set out in Annex X of the Standard Equivalent CAAE, agriculture operators who meet the conditions may become Producer Groups can apply for certification Agrupada. Herein, the specific characteristics of the group certification between the different sections are set, so if no options are specified, it will act similarly to the individual certification.

## 2. REFERENCE DOCUMENTATION

The following documents are referenced in the preparation of this document:

- 2.1. UNE-EN-ISO / IEC 17065: 2002: Requirements for bodies operating product certification.
- 2.2. Regulation (EC) 834/2007 of 28 June 2007 on organic production and labeling of organic products, modifications (and related regulations).
- 2.3. Regulation (EC) 889/2008 of 5 September 2008 laying down provisions for implementing Regulation (EC) No 834/2007 on organic production and labeling of organic products with regard to organic production, labeling and control, as amended.
- 2.4. Regulation (EC) 1235/2008 of 8 December 2008 laying down the provisions for implementing Regulation (EC) No 834/2007 as regards imports of organic products from third countries, as amended.
- 2.5. GL 32-1999. GUIDELINES FOR THE PRODUCTION, PROCESSING, LABELING AND MARKETING Organically produced food. Codex Alimentarius. Joint FAO / WHO Food Standards Adopted 1999. Revisions 2001, 2003, 2004 and 2007. Amendments 2008, 2009, 2010, 2012 and 2013.
- 2.6. EA-3/12. EA Policy for the Accreditation of Organic Production Certification. European Accreditation. 1 June 2013\_rev00
- 2.7. Guidelines on imports of organic products into the European Union. European Commission. 15.12.2008. Rev.01
- 2.8. Working Paper of the Commission on official controls in the organic sector. European Commission. July 8, 2011
- 2.9. Certified organic production: Particular requirements for accreditation of entities operating within the framework of organic production. National Accreditation Body (ENAC). NT-61 Rev. 2 May 2014.



### 3. DOCUMENTATION APPLICABLE

This procedure manuals and the following procedures will apply jointly:

- 3.1. Quality Manual.
- 3.2. PGC-01: Document Control.
- 3.3. PGC-02: Subcontracting of tests.
- 3.4. PGC-03: Treatment of non-conformities.
- 3.5. PGC-04: Treatment of complaints, appeals and litigation.
- 3.6. PGC-05: Control of records.
- 3.7. PGC-06: Internal Audits.
- 3.8. PGC-08: recruitment, selection, training and qualification.
- 3.9. PGC-09. Standing Committee
- 3.10. PGT-04: audits and controls.
- 3.11. Equivalents ASAC organic production standards for certification of operators Countries Third ( "Equivalent Standards ASAC" herein)

### Four. DEFINITIONS

The definitions used will be the same as those used in the reference documentation.

### 5. REQUEST FOR CERTIFICATION:

#### 5.1. Request for information

- 5.1.1. The certification process begins with taking the data required for certification. He operator intends to enroll communicate by telephone, mail, email, fax or in person and staff Certification Service CAAE collect the necessary data.
- 5.1.2. The necessary documentation to access certification is:
  - 1. Application for Certification
  - 2. Indications for registration
  - 3. PGT-01-PT certification process for third countries.
  - Four. A guide to using organic production logos
  - 5. List of defaults
  - 6. The equivalent standard date (including interpretations).
- 5.1.3. This documentation will be available on the website of CAAE Certification Service [www.caae.es](http://www.caae.es) and therefore accessible to any applicant who needs it for, however, you may request shipment by the system (mail or email) is chosen.
- 5.1.4. Existing documentation on the web is updated regularly, depending on changes existing, so that in the case of having a long document, it is recommended that you see on the web if the version is available which is updated. If obsolete documentation is received you will be asked to fill out the updated version.
- 5.1.5. For operators belonging to the same zone with the same type of majority culture, which management of exploitation is carried out in a similar manner and belong to a cooperative or associative entity may request the Management Agrupada for a given and variable number of operators complying specified in Annex I: Grouped Management certification process.
- 5.1.6. For operators requesting Group Certification as indicated in Appendix X of the Standard CAAE equivalent, the group will submit a single application where information quality management system implemented and group members will cover their productions.

## **5.2. Application Review**

### **5.2.1. In general, all the documents sent by the operator CAAE Certification Service**

It must be readable and reproducible. written in pencil or color other than black or blue will not be accepted.

### **5.2.2. In general, copies of documents will be accepted except in the case of the application**

Registration must be original or unless specifically requested otherwise the original document. The linked contract must be signed by the owner or legal representative.

### **5.2.3. The requesting operator must carefully read all the documentation is sent to**

make sure you understand all requirements for product certification and scope of the commitments that will contract with the CAAE Certification Service.

### **5.2.4. The applicant operator must take into account that for obtaining certification should**

have obtained a favorable outcome of the inspection on both the part of the inspection of the production system, the system of self assessment and sampling and testing (if applicable).

### **5.2.5. The applicant operator will send the application along with supporting documentation to the**

address Certification Service CAAE (in any of its offices).

### **5.2.6. The applicant operator before submitting your application, you must have applied the cost of**

certification will be calculated based on the updated list of Certification Service CAAE rates, taking into account the type of production activity and characteristics of plots or facilities.

### **5.2.7. When the duly signed application is received, prior to their registration (indicating the**

date), will be checked whether it is appropriate or not, for which it must be minimally completed so that the applicant can identify the type of product to certify and location of the facilities or plots.

1. It will only be formally proceed to registration and review when it considers that all documentation is provided (including proof of payment) and the requirements of the preceding paragraph are met.
2. If the omission of any information or documentation required is detected it will contact the operator to solicitársela.
3. If within 1 year have not been completed, the file sending written notice shall be filed with the reasons.

### **5.2.8. The applicant operator must make the deposit the cost of certification or delivery order**

domiciliation with the application.

### **5.2.9. In the event that the scope of products and location of facilities or plots included**

in the application, are within the scope of the Certification Service CAAE, will inform the operator of the receipt of the request, accompanied by a card with data exploitation (only in the case of holdings), so that the operator verify that the applicant has requested data match those who have registered. If not matching, the applicant must contact us to modify them.

### **5.2.10. In case the ordered product is outside the scope of the relevant legislation or**

facilities or plots will be beyond the scope of authorizations Certification Service CAAE, a letter will be sent to the requesting operator informing him of why your application is rejected.

### **5.2.11. It shall review the application verifying that conforms to the requirements of the regulations.**

### **5.2.12. If any error or omission that prevents the completion of the review of the application is detected, you operator shall inform the applicant, through a letter Processing of documentation, information or documentation required for correction. When this operator requested documentation, the review will continue.**

### **5.2.13. The result of the review may be.**

1. **nonconforming** . When not provide the information or minimum acceptable documentation if the operator declares its intention not to continue, when a year has passed and has not provided the minimum documentation, or a default situation occurs.
2. **Pending** . When issues are detected in the application or in the documents that must be corrected or completed. In these cases the operator shall be informed of the obligation to complete and correct this information before the initial audit so that they can be verified in it. If these corrections can not be implemented immediately operator must warn the inspector at the time of the citation.
3. **According** . Where information is considered complete, conforms to the requirements of the regulations and the inspector only need to check their suitability for the inspection.

#### 5.2.14. All results will be communicated to the applicant by letter of Procedures

documentation. The contents of the letter is as follows:

1. Short description of the outcome of the review, indicating the sections that must be completed and corrected.
2. Information on the next visit to make including date or approximate date for completion of the visit and a referral to see the names of the technical inspection Certification Service CAAE, you can check on the website **www.caae.es** Because in case you want to challenge the inspector conflict of interest may be performed by a communication in writing, stating the reasons.
3. the need to correct and implement the changes immediately or otherwise communicate it to the inspector at the time of the summons shall also be indicated.

#### 5.2.15. All communications will be made to contact and media (mail,

fax, phone, email) that they were indicated in the application for certification or modifications documents. SC CAAE offers operators / as certified service Extranet through which can complete information, answer deviations, etc. (upload files), as well as access their updated certificate and communications from the SC CAAE will be forwarded. By email to inform us, you receive these timely notification of all communications we send you. Regarding the use of e-mail and fax, the Certification Service CAAE technical means available to ensure the integrity and security of information, but can not be responsible for problems unrelated to him, so the operator must ensure that the means used in receiving communications are free of problems and errors. If you detect or suspect unsafe operation of these means, the CAAE Certification Service and the operator shall report immediately to the other party to propose alternative means of communications shipments.

#### 5.2.16. Rules for operators that change a control body CAAE Certification Service :

1. SC CAAE before admitting an application should check the list of operators in the previous inspection body as indicated in Annex IV of Regulation 1235 to 1208 for the organism in question, the status of operator certification and keep evidence of this check
2. When an operator from another control body as documentation attached to the application, the operator will request the following documents:
  - Document "F-PGT-01/02 / PT" Request if operators plant production.
  - Last valid certificate of conformity
  - Unsubscribe request another watchdog deadline of validity of the current certificate in order to be taken up by the certification service having performed the certification process previously.



- Report of the previous inspection body where we are informed of what follows:
    - Copy of the latest decision of the Certification Commission where nonconformities are included
    - List of plots with their rating / members included in the previous certification in the case of groups.
    - Results of sampling conducted by the previous certification body where appropriate.
3. In order to establish a baseline risk level, the client will request the inspection body from which a report covering the following criteria:
- or Certification status.
    - Production and production areas certified to date including a member of the group to which it belongs to you.
    - certified industrial activities (storage, marketing, labeling, Development)
  - or Last inspection date
  - or Date of last certification decision
  - or It has outstanding payments (YES / NO). If yes indicate the amount.
  - or complaints received
    - Date
    - Description of the complaint
    - Results in the last year
  - or Nonconformity in the last year
    - Date
    - Description of nonconformity
    - Production affected (YES / NO)
  - or Samplings made in the last year including:
    - Date of sampling
    - sampled Material
    - Test Type
    - Result
- Four. To calculate the level of initial risk for operators coming from other watchdogs will take into account the information submitted with the application from which the following data are extracted:
- or Possibility of marketing the first year of certification
  - or Output
  - or Various productions which owns the operator
  - or Organic / Conventional Production
  - or Number of group members (for group certification)
5. With the information received, the technician certification that reviews the application will calculate the initial level of risk according to the internal procedure as Certification Service CAAE has to select additional visits in the Annual Plan of visits of the organization, and will include within instructions for the visit that level of risk with a more detailed assessment of the elements which have been reported initially more risks.

6. For operators industries coming from other control bodies, the initial inspection is required the operator being in activity in all cases except in that they present a level of initial risks low and possesses evidence of any sampling negative result the previous watchdog over the past year. In this case the inspection can be made to the facilities without having activity at the time of inspection for checking the identification checkpoints, physical separation, labeled models and records of the previous season. If appropriate issuing a certificate, this will be subject to further inspection campaign on up to 9 months.
7. With all the information including documentation of the inspection, proceed to recognize the category of plots operator / member of the group based on the start date by a decision of the Commission on Certification and Certificate conformity is issued to you.

#### **5.2.17. Changing rules for operators Certification Service CAAE to another agency**

##### **control :**

If an operator entered in SC CAAE requesting the change to another control body will act reciprocally making a report with the same parameters requested by the SC CAAE when an operator changes so contrary as noted above.

#### **5.2.18. For operators who enroll for the first time and not from another organism**

control technician certification calculate the level of risk based only on the information provided by the operator certification application, including instructions for the inspector risks have been notified by the operator to be verified during the visit .

### **5.3. Inspector Designation**

#### **5.3.1. CAAE Certification Service shall appoint a technical inspection list of technical**

qualified depending on the type of production, and taking into account conflicts of interest declared.

#### **5.3.2. All technical inspection have specific academic training for the position**

They occupy and have undergone training to ensure the performance of their work with maximum guarantees, achieving qualification for the inspection type assigned to them.

#### **5.3.3. Technical inspection, which the operator record is assigned to perform the initial visit**

inspection, contact it by telephone to arrange the day and time of the visit.

#### **5.3.4. The inspection technician will remind documents should prepare for the visit and the**

expected duration thereof.

### **5.4. initial visit**

#### **5.4.1. The inspection technician will meet with or responsible for the operation and inform industry**

this the following points:

1. Content of the application confirming the scope thereof.
2. Records and items to check, including sampling where appropriate.
3. Incidents detected in the review of the application.
- Four. The expected duration of each part of the visit.
5. The person or persons who will participate in the visit.

#### **5.4.2. It is necessary that the / s person / s accompanying the inspection technician know perfectly**

all the characteristics of the farm or industry and its recent order to be able to provide all requested information management.

#### **5.4.3. After the initial meeting the inspection technician will request the records generated by the**

operator in application of its system of self-control.

- 5.4.4. Then visual inspection of in situ forming elements be made of the exploitation or industry.
- 5.4.5. Will be required sampling (in the concession, maintenance or replacement of body of control):
1. when it detects the existence of levels of medium and high risk (identified in the technical review of the application or during the audit) without the operator has taken the necessary measures;
  2. where suspicions application of unauthorized products, mixing or replacing nonconforming products with organic products;
- 5.4.6. It may take more than one sample if the inspector deems it necessary for the existence of large diversity productions of risks identified or production techniques.
- 5.4.7. All analyzes of samples to accredited laboratories must be sent subcontracted the CAAE Certification Service.
- 5.4.8. All evidence obtained is recorded on Form verification and will be discussed and contrasted with the operator.
- 5.4.9. At the end of the visit, the inspection technician will discuss the operator the result including the non-conformities in order to offer the possibility to the operator clarify what it deems appropriate and avoid possible misunderstandings.
- 5.4.10. The result of the visit will be moved to an inspection report will include a Report sampling and non-conformities, to be read aloud to the operator to ensure understanding.
- 5.4.11. The inspection report shall be signed by the inspector and inspection assistant person. A copy of the report will be given to the person attending the visit. The person accompanying the inspector, other than the owner or legal representative, is obliged to deliver and communicate the content of this inspection.
- 5.4.12. If the owner or legal representative, not personally attend the inspection, you must ensure that receives, acknowledges and accepts the content of the inspection report.
- 5.4.13. For group certification inspection system initially will Quality Management Group as indicated in Annex X of equivalent standard, then proceeding to the inspection of a number of members according to the level of risks identified in the inspection itself.
- 5.4.14. In the case of industries, the inspection will be necessary facilities with activity being cases of initial visits, as well as in cases of change of control body the conditions in paragraph 5.2.16-6 mark.

## 5.5. Treatment of non-conformities.

- 5.5.1. When the technician detects a breach of the requirements of the regulations will open a part of Nonconformity.
- 5.5.2. The detected failures are considered as deviations for those defaults mild irregularities or for those who have important consequences for the operator certification and can lead to total or partial suspension. Depending on the process of resolution of previous breaches, for serious or very serious cases, the result can convert the deviation in a breach with the consequent withdrawal of certification.
- 5.5.3. repetition is considered when a breach is repeated two or more consecutive inspections twice in two calendar years. The reiteration of a slight breach, will make it serious.
- 5.5.4. A serious breach not satisfactorily corrected, will result in non-issuance of certification or, where appropriate, the suspension or removal thereof. In case of withdrawal or suspension

certification, will be communicated immediately to the European Commission within a maximum of 3 working days.

**5.5.5. The level of non-compliance also depend on its scope. If it affects the whole**  
production or records or activities are considered as widespread and if it affects only a small portion is considered as TIMELY.

**5.5.6. Nonconformity and penalties are classified according to their impact on:**

1. Production affected (PA). Those involving the use of unauthorized substances, product contamination, use of practices that distort completely organic product characteristics, use of animals, raw materials, .. unauthorized or improper labeling involving different product category the real.
2. Production system (SP): Those which represent a breach of production techniques but which do not affect the characteristics of the final product.
3. Control measures (MC). Those involving a breach of control measures (self-monitoring system operator) to be taken to ensure that the operator is able to produce according to organic production standards.

**5.5.7. The nonconformity report includes a description of the evidence found that**  
demonstrate the existence of the deviation, the requirement is not met (section of the standard), if this is repeated or not and a deadline for response

**5.5.8. The operator (or his delegate, including to attend the inspection visit) should**  
file a reply within the prescribed time (counted in calendar days and will depend on the seriousness of the breach and the marketability of production nonconforming). It will be 5 days if the ecological integrity of the products affected and 15 in the rest. If not answered or the answer is not correct proceed to communicate the sanction according to the List of non-conformities. This response will include:

1. Scope of the deviation. That part of their self-monitoring system of its production system or products have been affected.
2. Fate of the affected production. In the event that all or part of the production has been affected by the application, use or contamination of unauthorized indicate your destination, identifying and separating substances. If deemed necessary you must inform their clients to take appropriate action.
3. Analysis of causes. What is the cause that has led to the emergence of this deviation.
- Four. Corrective actions. What measures will be carried out to prevent this deviation from recurring.
5. Implementation deadlines. When they are to implement these measures and when will verify that they have been effective.

**5.5.9. When the response is received, will transfer to the inspector who will assess. You can evaluate up**  
two answers (in case the first is deemed inadequate or incomplete), then its assessment will move to the Certification Commission will decide on the operator certification. Inspector assessments can be:

1. Unsolved . When satisfied that the operator's response is not consistent, not complete or not respond within the deadline.
2. Resolved next visit . When satisfied that the operator's response is consistent and complete, whether mild and occasional deviations. the proposed measures to be verified at the next inspection visit will be accepted.
3. Resolved upon receipt of documentation . When satisfied that the operator's response is consistent and complete, whether mild and occasional deviations, but the presentation of documentary evidence necessary.

Four. **additional visit** . When satisfied that the operator's response is consistent and complete, in the case of serious deviations (or older) whose corrective action should be verified by the evidence to be collected on a return visit.

**5.5.10. When samples are taken, the inspector shall draw up an inspection report sampling**

where data of the same are collected. Once you know the result will be informed to the operator. In the event that unauthorized substances are detected it will open a nonconformity, in which the results of the analysis will be reflected. The part of nonconformity shall be forwarded to the operator along with the test result. In these cases the term is counted (counting from the date of notification) as follows:

1. In 5 days you must file a response to the nonconformity.
2. If the operator does not accept the results, you may request the completion of the second analysis, justifying the sample has been submitted to an accredited laboratory within 8 working days from the notification.
3. In 15 days he must submit the result of the analysis of the reference sample (if you choose).

Four. In case the reference sample confirmed the positive be notified again confirmation of default.

5. If the result of the reference sample detected no residues will immediately proceed to analyze the casting shows, the result shall be deemed final, confirming or negating the detected failure.

**5.5.11. When the CAAE Certification Service detects deficiencies affecting products**

certificates, it shall notify the European Commission within a maximum of 3 working days.

**5.5.12. If a communication is received (or detected) of a failure from a**

claim, of another control body or audit in another operator will proceed analogously to testing during an audit, unless there is no evidence or determining an additional audit deemed necessary to complement research.

**5.5.13. If a failure is detected (not closed) in an operator from its previous**

supervisory body should proceed to verify the implementation and effectiveness of corrective actions in the first audit is performed.

**5.5.14. Major nonconformance if not resolved satisfactorily within established,**

communicate the suspension of certification. This situation implies that the operation and parcels affected by the nonconformity begin the conversion period (if affected production).

**5.5.15. This period may be reduced by requesting conversion Certification Service CAAE**

report by justified response to Article 33 of the Rules Equivalents CAAE. If the suspension is due to a positive result in unauthorized, the new start date of the plots will start counting when the result is considered final substances.

**5.5.16. The lifting of these sanctions will be agreed by the CAAE Certification Service.**

**5.5.17. If the result is a marketing ban, the minimum sanction**

It will be 6 months.

**5.5.18. When an operator has received a sanction, the Agency wishes to change, the new**

agency may propose to the Certification Service CAAE review of the sanction although the final decision will be CAAE Certification Service. In any case, 6 months set out in the preceding paragraph may be modified.

**5.5.19. For group certification one inspection report will be made and included**

nonconformities indicating a pooled basis where members have been detected or parts of the quality management system affected comprehensively evaluated the robustness of the Group's quality system.

## 5.6. Certification decision

5.6.1. The inspector returned the file together with its evaluation and documentation generated in the inspection.

5.6.2. The decision will be made taking into account the information obtained through:

1. The inspection, verification form, the inspection report Sampling together with results of tests conducted.
2. If applicable, the Report Noncompliance with the corrective actions taken by the operator.
3. If necessary, the Application.
- Four. Any documentation deemed necessary to make the decision.
5. And if any, resolutions and requests for authorization CAAE Certification Service.

5.6.3. In view of this information, the Commission will decide whether to grant or not the certification requested.

5.6.4. The Commission will have to prove through evidence from the inspection that the operator has a self-monitoring system that allows you to ensure the maintenance of its production system, production system that conforms to the requirements of the regulations; and that production has not been sampled unauthorized waste products.

5.6.5. In all cases Act Certification Commission will be developed with agreements reached and assistant staff. The decision will be sent to the operator by a decision of the Certification Commission and will include the type of decision, scope, justification and consequences of the decision.

5.6.6. If a favorable decision is issued the corresponding Certificate of Conformity will be attached, except in cases of unqualified productions.

1. The validity date shall be 31 December of the following year or until the issuance of a new annulling the previous one. The certificate will be updated with follow-up inspections, provided that no decisions were issued against.
2. Notwithstanding paragraph 5.6.6.1 in case of trading companies, which have been demonstrated proper compliance with the certification criteria, certificates may be issued pursuant to validity period of 3 or 6 months in order to ensure and control the period of activity of these companies.
3. The validity of certificates is public information and may consult the CAAE Certification Service.

Four. In the case of issuance of new certificates on the same control (extensions or error correction) should be maintained expiry date of the previous certificate.

5.6.7. The decisions taken by the Commission may be:

Type of decision on <u>certificate issuance</u>	Description
Concession from the certification	When deviations have not been detected in the visit. When you have detected mild and minor noncompliance by adding an admonishing so that corrective actions are verified next visit. When after a postponement they have verified compliance of corrective actions.
Denial from the certification	When you have not responded to the open breaches within the period specified by the Commission.

Type of decision on certificate issuance	Description
	When after a postponement has been verified breach of corrective actions
Postponement. After the presentation of documentation	Subject to the presentation of the requested documentation. In the case of minor violations but whose generalized corrective action can be verified by documentary evidence
Postponement. Following the outcome of an additional visit	Conditional on the result of an additional visit. In the case of serious incumplimientos that require an additional visit for verification of proposed corrective actions
Postponement. After the result of a visit and takes additional sampler	Conditional on the outcome of a visit and take additional samples. In the case of serious breaches caused by product contamination or the use of unauthorized substances requiring an additional samples taken for verification of the proposed corrective actions.
Each of these decisions will affect the entire scope contained in the application or operator may affect parts.	

Decision on the type of industry concerned	Description
Denial from the certification from the production affected	In the case of a breach affecting a part of the production, the operator will have to commercialize UNRATED (as ecological)
Incidentally in cases of breaches affecting production may apply sanctions "ban on marketing" and "period start conversion" in the terms described by the list of non-conformities and reference standards.	

5.6.8. In the case of deferral decisions, the operator must file a response within settled down.

5.6.9. The certificate under the following categories of certification shall state:

Category	Description
Conversion to organic farming	Products from parcels in conversion (after the first 12 months). Products made with ingredients conversion.
Ecological agriculture	plant and animal products that have completed the conversion period. Processed products (including feed) with 100% organic ingredients of agricultural origin.
At least 95% of organic ingredients of agricultural origin	processed products (including feed) with at least 95% of the ingredients of organic agricultural origin.
Less than 95% of organic ingredients of agricultural origin	processed products (including feed) with less than 95% of the ingredients of organic agricultural origin.

Unrated	plant and animal products that have not met the conversion period (the months have not been established from registration). plant and animal products that have lost their certification, but still registered.
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5.6.10. Without qualifying category it is considered conventional products. When an operator has all qualified as unqualified products will not be issued certificate of conformity, only data sheet referred to in paragraph 5.2.9.

5.6.11. In the case of group certification decision will be made one and one certificate will be issued valid for the Group and its members as indicated in Annex X of the Standard Equivalent CAAE

## 5.7. Use criteria and marks certificate CAAE

### 5.7.1. General requirements:

1. Marks of conformity, regulatory guidelines and the mandatory particulars on the labeling of organic products may be used only on products covered by the certificate of conformity (by category) to indicate that conform to the requirements of the Certification Service CAAE and operators who have passed the certification process and are in possession of the authorization of use of the mark.
2. Marks of conformity, regulatory guidelines and the mandatory particulars on the labeling when used will do so without prejudice to the provisions of the various general provisions that apply to each product labeling and community or national advertising, accordance with Community legislation on the products covered by the scope of the Standard, such as provisions governing the production, preparation, marketing, labeling and control, including legislation on food.
3. SC marks the CAAE authorizes operators, for use in products conforming, they are your property and are registered trademarks.
- Four. Reproductions of the certificates must be faithful to the original partial reproductions or modifications on them not being permitted.
5. Reference may be made to the fact of having certified products provided that the scope of the certification specified. Company / Cooperative / Farmer with the following products certified by the Certification Service CAAE: (name of products) expressions as recommended.
6. Marks of conformity, regulatory guidelines and the mandatory particulars always have to be accompanied by the control body code. The name of the entity CAAE Certification Service may be optional, but in no case may replace the code. The codes to be used are those which have authorized the Certification Service CAAE by the European Commission in accordance with Annex IV of Regulation 1235/2008.
7. The use of marks of conformity, regulatory guidelines and the mandatory particulars described in the relevant legislation will be subject to the requirements referred to in this document as the type of product and type of certification.
8. Marks of conformity will be used with the graphical features described in graphic identity manual, which is available in [www.caae.es](http://www.caae.es) and it will be sent to anyone who requests it.
9. The use of the Community logo and the words "Organic farming EU / Non EU" will have to meet the requirements of the relevant legislation as indicated on the website of the European Commission <http://ec.europa.eu/agriculture/organic> and Document Certification Service CAAE "Guidelines for the use of logos Organic Production".



10. Each operator will have a single certificate in place that will always be the last issued certificate.

#### **5.7.2. restrictions**

The marks may not be used under the following conditions:

- 5.7.2.1. Products not listed in the certificate of conformity.
- 5.7.2.2. Products with different category than that indicated on the certificate.
- 5.7.2.3. Products whose category is indicated as unqualified.
- 5.7.2.4. Documents or digital media (eg website) that do not contain any information about the products or activities specified in the certificate of conformity.
- 5.7.2.5. Documents or media (eg website) where not identify the holder of the certificate as it appears in it.
- 5.7.2.6. When the operator is in the process of obtaining certification.
- 5.7.2.7. When the operator is temporarily suspended, he has withdrawn the certification or caused low.

### **6. MAINTENANCE OF CERTIFICATION**

#### **6.1. Annual renewal**

- 6.1.1. A process will be established annually for the maintenance of certification which is due renew commitments making the corresponding annual payment and submitting to the controls.
- 6.1.2. Before finalizing the renewal period, each year the operator will receive a communication where you will be informed of the amount of the renewal term to renew and also you will be reminded that over the next year will have to submit to controls established by the Certification Service CAAE.
- 6.1.3. The operator shall pay the costs of renewal in the period established.
- 6.1.4. Payment cycles renovations will adjust to periods from January to January in order to confirming the continuity of contracts coinciding with the audit planning and overall risk analysis.

#### **6.2. Annual visitation plan**

- 6.2.1. Before the end of each year the Annual Plan visits the following year will be drawn up consisting make planning visits and resources needed for implementation.
- 6.2.2. This planning includes an annual monitoring visits to all operators (scope) additional visits and sampling function assigned based on risk analysis of each operator or operator type criteria. In planning the initial slopes visits last year are also included.
- 6.2.3. The validity of the annual plan is 1 January to 31 December.
- 6.2.4. The process will take place as in the initial control visits.
- 6.2.5. 10% minimum of additional visits to individual operators and 50% will be established Groups operators.
- 6.2.6. Of all visits (monitoring and additional), at least 10% will be carried out in a non announced.
- 6.2.7. Regarding Tomas sample, it is set to 5% sampling of the total number individual operators. Regarding groups, at least 50% of the groups have at least one sampling annually.
- 6.2.8. A modification of the application for certification, a third party claim, a decision Certification Commission, the need to take urgent sample-taking or other

situation considered crucial to decide on the maintenance of certification of an operator, can cause an additional visit is made.

### 6.3. Up visit.

6.3.1. Conducting a follow-up visit, whether annual or additional monitoring follows the same initial visits scheme (paragraphs 5.4 and 5.5 Treatment Initial visit defaults).

### 6.4. Other controls.

6.4.1. market control (revision of labeling will also be conducted and sampling points sales), cross-checks (with information on purchases and sales or from) controls use of eco / bio indications (broadcast media), traceability controls (traceability exercises individual batches).

6.4.2. If defaults on products inspected were found, it operators will contact affected by a transmittal letter from documentation to which the corresponding non-conformity, which will have to respond following the treatment described for initial visits and accompany control.

### 6.5. Decision on Maintenance

6.5.1. The process decision on maintaining the certification is the same as described in paragraph 5.6 Decision on certification. With the following features.

6.5.2. The types of decisions in this process include:

Type of decision on the issuance of the certificate	Description
Maintenance from the certification	When they not detected breaches in the visit. When they detected mild and minor noncompliance that an admonishing be added so that corrective actions are verified next visit.  When after a postponement they have verified compliance of corrective actions.
Temporary suspension of certification	When you have not responded to the open breaches within the period specified by the Commission following a warning. When after a postponement has been verified breach of corrective actions  In the case of a serious breach. The suspension decision may be accompanied by a postponement additional visit and / or additional samples taken when the corrective actions proposed are accepted.
final withdrawal of certification	When you have not responded to the open breaches within the period specified by the Commission following a decision of temporary suspension with a warning  When after a temporary suspension has been verified breach of corrective actions  In the case of a very serious breach.
Postponement. After the presentation documentation	Subject to the presentation of the requested documentation. In the case of minor violations but whose generalized corrective action can be verified by documentary evidence

Postponement. After he	Conditional on the result of an additional visit the case of serious breaches that require an additional visit for verification of proposed corrective actions
Postponement. After to the result of a visit and take additional samples	Conditional on the outcome of a visit and take additional samples. In the case of serious breaches caused by the product contamination or use of unauthorized substances that need an additional protective samples for verification of the proposed corrective action.
Each of these decisions will affect the entire scope contained in the application or operator may affect parts.	
Temporary suspension decisions may not be taken without waiting for at least the time given by the inspector to respond to detected violations. The suspensions have a maximum duration of 6 months.	

Rate production decision affected	Description
Withdrawal of certification of production affected	In the case of a breach affecting a part of the production the operator will have to commercialize UNRATED (as ecological)
Incidentally in cases of breaches affecting production may apply sanctions "ban on marketing" and "period start conversion" in the terms described by the list of non-conformities and reference standards.	

6.5.3. Once informed of the final withdrawal, the operator must return the certificates please its power and can not refer to organic production in products, labeling or advertising for a period to be determined according to the European Commission.

6.5.4. Temporary suspension may also occur upon request of the operator in cases where that will make significant changes to your unit or your production system involving the implementation of new measures and therefore a new assessment of the situation of the operator.

## 7. CANCELLATION

### 7.1. Cancellation request

- 7.1.1. Cancellation is understood as a voluntary decision by the operator to cause drop in records CAAE Certification Service.
- 7.1.2. This low may be motivated by the cessation of the activity, by switching to another entity, inability to meet the requirements, by disagreements with the CAAE Certification Service for lack of profitability of the farm, etc ...
- 7.1.3. To proceed with the cancellation, the operator may ask the decline in records by a writing signed by the owner or legal representative or via e-mail or telephone.
- 7.1.4. In the event that the request is made by telephone or in writing by a person other than the owner or legal representative a decision of the Certification Commission previously issued asking the operator within 15 calendar days confirm or lower. If no response is received, will as valid the initial request for cancellation proceeding to it.
- 7.1.5. Cancellation is notified through a decision of the Certification Commission.
- 7.1.6. Once connected low, the operator must return the certificates in its possession.

### 7.2. Non-payment of expenses control.

7.2.1. In the event that the operator does not pay the expenses control, also they will be processed as evidence they want to cancel the certification.

7.2.2. The collection management staff will report attempts to proceed to collect the amounts due to proceed to notify through a decision of the Certification Commission a cancellation penalty of 30 calendar days to proceed to make the payment of the amount requested. If not received, it will be canceled, to be notified through a Commission decision to the operator.

## **8. CLAIMS CLAIM OR**

8.1. Operators to detect any deviation from specified herein on certification process or to detect that has not been acted properly, you may submit a claim or complaint by writing to Certification Service CAAE or through the web CAAE.

8.2. Complaints received will be studied to determine whether or not are coming and if so

They will take place the appropriate corrective actions. In all cases, the operator shall be informed of the actions taken in this regard. They will be managed from the Certification Directorate.

## **9. THIRD-PARTY CLAIMS**

9.1. those complaints made by other parties that have found are considered

conformities in products certified by the CAAE Certification Service or any wrongdoing of any operator registered. You may be submitted by mail or email.

## **10. MEANS**

10.1. Decisions on certification taken by the Certification Commission may be appealed in writing in the first instance to the Quality Manager, who once studied the case, decide in favor of the operator or on behalf of the Commission.

10.2. The content of the appeal, the arguments put forward by the documentation record, and study the resource, it will move the document Resources. If necessary, you may request information or documentation.

10.3. The deadlines for appeals will be 15 calendar days from sending the decision of the Certification Commission. Exceeded this period shall be accepted only if the elapsed time does not invalidate the decision or affect the work of checking arguments.

10.4. Resources in the first instance be resolved and communicated within a period not longer than one month, unless necessary to request additional documents or make additional visit. In any case, exceed two months.

10.5. If the outcome of the appeal is for the operator decision will be issued by modifying the initial decision. If the result is not in favor of the operator, the latter may bring on second and ultimately to the Advisory Committee.

## **eleven. MODIFICATIONS**

amendment is considered, any change in the information contained in the application for initial certification. Requests for amendment must be signed by the owner or legal representative. In the case of modifications made no written form (detection of errors / omissions in the review process, detected in follow-up visit or telephone communications) communication will be made to the operator with the result of the review, which was report these facts for confirmation, if decision against, by the owner or representative modification request will be canceled.

11.1. **Changes in operator data.**

11.1.1. Are changes in contact details or the person responsible or power representation before the CAAE Certification Service.

11.1.2. These changes must be notified by the owner or legal representative and resolved accusing receipt of the application by letter Abta documents with new data corrected.

**11.2. Changes affecting the production unit / products**

11.2.1. Changes in identifying parcels, livestock or facilities.

11.2.2. Expansion or low pitches, facilities, livestock, machinery changes location, changes in the environment, composition formulas, labeling, etc.

11.2.3. Communications under the regulations.

11.2.4. These changes are reported by the corresponding application and must undergo a process of review to verify that suit the requirements of the standard.

11.2.5. At the same time must assess whether such changes can cause a suspension of certificate or issuing a new one.

11.2.6. The products that are affected by changes or modifications may not be marketed under brands until it has been processed favorably modification, unless authorized by the Certification Service CAAE

11.2.7. In the case of producer groups, it may increase more than 10% of members group within the certification cycle without taken to conduct an inspection. In the event that exceeded this amount, you must perform a physical inspection of at least the square root of the number of new members.

**11.3. Changes affecting the certificate**

11.3.1. Amplifications or reductions in the scope (products included in the certificate).

11.3.2. Changes in annual crops (crop production programs).

11.3.3. Changes of ownership from one operator to another.

11.3.4. These changes are reported by the corresponding application and must undergo a process of review to verify that suit the requirements of the standard. After the review, if it is satisfied, a new certificate is issued (with or without visit), if it is not satisfied and is not resolved within the time limits, you can proceed to a decision of postponement or temporary suspension.

11.3.5. If making a visit is considered necessary, will follow the same scheme that visits control or initial visits (paragraphs 5.4 Initial visit, 5.5 Treatment of defaults and 5.6 Certification Decision / 6.3 6.5 Visit Control and Decision on maintenance).

**11.4. Changes that cause suspension in the certificate.**

11.4.1. These changes can cause it becomes necessary to make a new assessment record, so a precautionary measure at the request of the operator or Certification Service CAAE, you can proceed to suspend certification until the operator's ability is verified to meet the requirements with the new conditions.

**12. AUTHORIZATION APPLICATIONS**

12.1. The rules on organic production provides for certain exceptions to compliance with the requirements. The competence to grant these exceptions corresponds to the CAAE Certification Service. Applications must be sent to study the documents and a report, whether favorable or unfavorable be held. These requests must be sent with sufficient time (60 days) to avoid delays.

12.2. In the event that an operator wants to accommodate any of these authorizations, you should contact the Certification Service CAAE and will provide the specific procedure and will be informed of the steps.

12.3. Special cases

12.3.1. Retroactive recognition of the conversion period (RRPC)

1. Consider a pre-subjected to the control of the plots included in the request, as part of the conversion period to elapse in order to market products obtained from these plots period. This process is called Retroactive recognition of the conversion period (hereinafter RRPC).
2. the RRPC only be granted to an operator who has complied with the regulation on organic production indicating the equivalent standard by a corresponding time possible justification regarding the non-use of unauthorized respect to the equivalent standard input period.
3. This recognition may be applied together with the Application Form or at the latest at the time of the initial inspection.
- Four. document "F-PGT-01/02 / PT" for the embodiment of this application will be used.
5. The documentation shall provide the Certification Service CAAE for this procedure it is as follows:
  - Documents official certificates justifying that plots / parcels group members have been controlled through some official program, in which it is ensured that have not been used on those parcels not authorized under this Standard Equivalent Organic Production products .
  - Other documents proving the reality of the request
6. The deadline for submission after the initial inspection shall be a maximum of 7 calendar days.
7. In the event that this application for recognition materializes along with the application for certification, the SC CAAE conduct a review of the documentation and generate the initial inspection where specific instructions for control established by the inspector.
8. In the event that this application for recognition materializes at the time of the inspection, the operator must provide all documentation indicated in the previous section for this procedure and the inspector will leave concrete evidence corroborating documentation submitted. CAAE SC reserves the possibility of generating a new inspection for review of those sections that have not been sufficiently clear.
9. Sampling was performed to detect contaminants in the initial visit based on risk is detected C.2 and C.3 according sections of Form verification.
10. With all the information including documentation of the inspection, proceed to retroactively recognize the period conversion period of the parcels operator / of the group members as appropriate according to evidence provided through a Commission decision and Certification in the Certificate of Compliance is issued to you.

#### **12.3.2. REDUCING THE CONVERSION PERIOD (RPC)**

1. Derogate from plots and converted or in conversion to organic farming, which are being treated with unauthorized in organic conversion period reduction products (hereinafter PRC)
2. The PRC may request any operator who believes that the situation of their plots comply with one of the following circumstances:

- Plants and plant products
    - Plots treated with an unauthorized in organic production as part of a compulsory measure of pest or disease control imposed by the competent authority of the State product.
    - Plots treated with an unauthorized in organic production in the context of scientific tests approved by the competent authority of the State product.
  - Land associated with organic livestock production for non-herbivorous . In the case of pastures and outdoor spaces used by non-organic herbivorous species and lands have not been treated with unauthorized over the past year, the conversion period may be reduced in 6 months products.
3. the document "" F-PGT-01/02 / PT "for the embodiment of this application will be used.
- Four. The documentation shall provide the Certification Service CAAE for this procedure it is as follows:
- Documents of relevant institutions warranting compulsory realization of a given treatment in these plots / parcels member.
  - Other documents proving the reality of the request.
5. With the information provided by the operator the need to generate an inspection for verification of it will be evaluated.
6. Should be necessary inspection, sampling will be performed for the detection of contaminants based on the risk is detected C.2 and C.3 according sections of Form verification.
7. With all the information including documentation of inspection if any, will proceed to reduce the conversion period operator / affected members.

### 13. EXTENDING THE CONVERSION PERIOD (PPC)

- 13.1. Extend the conversion period beyond the deadlines set in plots in which, once completed the conversion period, the analytical results and the checks carried continue to yield positive results not authorized for organic production because it is contaminated before the start control land products, is what is called, extending the period of conversion (hereinafter PPC) in cases where it detects non-conformities during the period between the delivery of the application signed by the operator and the visit of initial control, in which case be considered the latter as the starting date and the beginning of the period conversion.
- 13.2. The procedure will be initiated as a result of analytical tests (land, water or samples vegetables) where contamination is detected presence, once completed the conversion period, provided that it has been able to confirm through contrasted evidence that unallowable products were applied before starting the conversion period.
- 13.3. In the event that at the time of the initial inspection, there has been an application substance Unauthorized according to subsequent equivalent standard notification of activity, we will proceed to extend the conversion period beginning the conversion period on the day following the date of this application if it is registered, or if the date of home inspection if no evidence of the date of application of these substances.

13.4. With the information gathered from inspections carried out by the SC CAAE or provided by the operator

Based on analytical results indicating the persistence of contaminants applied before the beginning of the conversion period, it will proceed to extend the period of time for conversion Certification Commission defined as persist risk of contaminants.

13.5. For this, a decision will be issued Certification Commission report on the reasons why the conversion period of a plot or plots operator or member / s of group extension.

#### 14. EXPENSE OF CONTROL

14.1. The following items shall be paid by the operator:

Concepts object of expenditure control
<b>Document delivery</b> ( when you have to send by mail or courier)
<b>Registration fee</b> ( specified in rates, including initial visit)
<b>Renewal fee</b> ( specified in rates, including annual follow-up visit)
<b>Unscheduled visits. Additional.</b> ( those caused by a modification, a complaint or a decision of the Certification Commission before a response to a part of nonconformity)
<b>Sampling and analysis</b> ( expenses incurred by sampling, sending to the laboratory and laboratory analysis fee)
<b>Issuance of Certificate of compliance</b>
<b>Authorization Application Processing Processing</b>
<b>of Amendments Other concepts</b>

#### fifteen. RIGHTS AND OBLIGATIONS OF OPERATORS

15.1. The rights and obligations of the operator should be included in the model contract to sign the SC operators and CAAE.

#### 16. CONFIDENTIALITY AND EXCHANGE OF INFORMATION

16.1. Regarding confidentiality of data provided by the operator and information exchange

with third parties shall be in accordance with the contract signed between the operator certification / ay CAAE.

16.2. Exchange confidential information with other regulatory agencies and the European Commission

It will occur under the conditions laid down in the certification contract signed between the operator and the CAAE.

16.3. When the SC CAAE finds irregularities or infringements affecting the organic status of

products, inform without delay the European Commission within a maximum 3 working days through the official communication that the Commission has the effect.

16.4. In case of irregularities or infringements regarding products subject to control

other authorities or bodies also promptly inform those authorities or bodies within a maximum 3 working days via email to the representative thereof where the general and possible case data, findings, lots will be detailed affected customers, measures taken by the SC CAAE, etc.

16.5. In compliance with the provisions of Law 15/1999 of December 13, Protection

Personal Data, the CAAE Certification Service reports that the personal data by filling in the application and others to be attached, will be included for processing in an automated file.



- 16.6. Cancellation notices, denial, suspension, prohibition of marketing, Start Conversion or withdrawal is sent by a system that ensures the acknowledgment to the address given in contact details declared by the operator. In cases of cancellation by death, it will be sent without acknowledgment by the impossibility for heirs to receive the notification. In cases of consignments with acknowledgment to be returned by not collecting the notification, unable to accept communication in this way, you will be resubmitted without acknowledgment received, by all means provided by the operator, it being aware the operator.
- 16.7. Operators / users as Extranet-CAAE not require notification in extraordinary session. The communications made through the Extranet will be considered sufficient to ensure the acknowledgment.
- 16.8. Once it is communicated by the European Commission of any change rules**  
Standard Reference Equivalent Certification Service CAAE evaluate the different sections of the Standard and other documents related quality system, implementing any changes in them.
- 16.9. The entity has an obligation to provide information and documents affecting operators in the various regulatory requirements (including changes in the Standard Equivalent) and instructions CAAE Certification Service. Communications operators can be made through the extranet, email or through the website of SC CAAE.
- 16.10. In the case of changes in the equivalent standard or any specific procedure Service**  
CAAE Certification related to this, communication will be established for the purpose, within the same adaptation generally be 30 days unless the official documents that create such modification include other higher or lower limits.
- 16.11. CAAE Certification Service will verify the implementation of changes by**  
operators in subsequent inspections when the period of adaptation above.
- 16.12. Data and documents available on the CAAE extranet are personal and nontransferable. Only**  
the certificate operator has access key. The use made of this information is the responsibility of operators / as. Any information received through this understanding shall be valid in all cases is the operator himself / who forwards.