



Sampling Methodology & Group Certification

0.0 Introduction

The purpose of this document is to outline the requirements for sampling and group certification for the Regenerative Organic Certified™ (ROC™) program, which is administered by the Regenerative Organic Alliance (ROA).

ROC approved Certification Bodies (CBs) are responsible for adhering to the requirements within this document when providing ROC auditing services.

1.0 Sampling

Risk is evaluated during each audit cycle. The risk level is confirmed at the completion of each audit and determines the audit sampling methodology for the next audit cycle. For a Client's initial audit, the risk audit cycle shall be set at Medium Risk.

Risk Levels:

- **For "Low Risk" Operations:** Square root of the total number of sites (N) + 1, multiplied by .8, rounded up to the nearest whole number
- **For "Medium Risk" Operations:** Square root of the total number of sites (N) + 1, rounded up to the nearest whole number
- **For "High Risk" Operations:** Square root of the total number of sites (N) + 1, multiplied by 1.2, rounded up to the nearest whole number

Risk Evaluation:

Low Risk Audit Cycle

- No non-conformances, during onsite audit
- No changes to management or management systems

Medium Risk Audit Cycle

- 3 non-conformances on low risk criteria*, during onsite audit
- Corrective actions have been followed up on in a timely manner
- No changes to management or management systems

High Risk Audit Cycle

- 3 or more non-conformances on increased risk criteria** during onsite audit
- Repeat non-conformances
- If a trigger audit is needed and the Certification Body feels that placing the client into a high-risk category is necessary

*Low risk criteria includes Optional Practices (OP) as defined in the ROC Framework.

**Increased risk criteria includes any combination of Required Practices (R) and/or Critical Tolerances (CT) as defined in the ROC Framework.

In addition to the above requirements, a minimum of 5% of total operators (at least 1) shall be subject to random and targeted unannounced inspections and testing each year.

2.0 Group Certification

Farmers may be certified to the ROC as an individual producer or as part of a group.

Group Certification Requirements:

In order to qualify for group certification, the group of farmers shall:

- have similar farming practices,
- be located within the same geographical region, and
- be managed by an Internal Control System. (Farmer groups can be cooperatives, associations, or similar organizations.)
- Group certification shall be represented by a Group Leader and Group Members.
- Group Leaders shall be responsible for:
 - ensuring all members of the group certification have contractual relationships with the Group Leader;
 - documenting and implementing group member eligibility and participation in the certification;

Group Sampling:

- The group sampling shall be calculated using the square root of the total number of members (N) + 1, multiplied by the risk multiplier identified in the sampling methodology, rounded up to the nearest whole number, plus an audit of the Group Leader.
- A minimum of one site from each Group Member entity shall be included in the sample audit.

Group Certificates:

- A ROC certificate shall be issued with the name of the group entity and shall list all other Group Members.
- A ROC certificate may be suspended if one of the group members is found to have a non-conformance or the Group Leader may remove the group member from the group certificate.