# 指南 A

## 如何使用管理能力评估工具

第1版





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### 如何使用管理能力评估工具

#### 1. 目的

农业活动不仅仅是一种生活方式,也是一种业务,成功的业务需要管理。雨林联盟希望帮助经 过认证的农场以高效、透明、包容和经济可行的方式进行管理。管理能力评估工具的目的,是 让团体管理者(能够)去评估在其数个关键管理领域的能力和(管理)系统,而不仅仅是评估 其内部管理系统(IMS)。因此,需要在团体管理的级别上进行评估,而不仅仅是内部管理系 统!

本项评估非审查性评估,而是作为查漏补缺寻求改进的起点,是一种"自我评估"。也就是说, 它是由组织进行的评估,通常是以与团体/组织的所有领导层和管理层举行联席会议的方式进 行。审核员不会检查给出的答案是否正确,而是主要关注评估是否以真实的方式进行,以及结 果是否已纳入团体管理计划中。(团体)没有义务向审核员出示"敏感"信息(如财务报表或审 计报告)。审核前无需向认证机构(CB)提交管理能力评估的支持文件。在任何情况下,审 核员必须始终将审核期间看到或收到的任何信息视为机密。

#### 2. 工具设计

该工具由 10 张 Excel 文档组成。第一张是封面页, 第二页用于输入进行评估的团体的一般信息, 第三张是(评估)结果综述。其余表格给出了该工具中涉及的七个主题的问题。

为了有效地使用该工具,您将需要一台计算机来输入结果并显示汇总结果。

#### Annex 2

20	Termination Dischargering					
June, 2020	Translation accuracy of an program document into la Any question related to the refer to the English official translation are not binding	Transition declaratery of any Rainforest Aliance sustainable agriculture certificatil program document into languages other than English is not guaranteed nor imp Any question resided to the accuracy of the information contained in the transla refer to the English official version. Any discrepancies or aliferences created in the transition are not binding and have no effect for auditing or certification purpo				
	More information® For more information about contact info@ra.org	t the Rainforest Alliar	ice, visit www.rainfor	est-allanc		
	Issue Date:	Binding da	ite: E	piration da		
	June 30, 2020 July 1, 2021		Until further notice			
	Developed	Developed by:				
	Rainforest Alliance Department	Rainforest Alliance Department Standards & Assurance Chief Supply Chain Officer				
	Linked to (code and name of documents, if applicable):					
	5A-5-5D-1-V1 Rainforest Alliano	5A-5-5D-1-V1 Rainforest Alliance 2020 Sustainable Agriculture Standard, Farm requirements				
	Replaces:	Replaces:				
	Not applicable	Not applicable				
	Clause or requirement numb	Clause or requirement number and text (if applicable):				
	1.1.1, 1.1.2, 1.3.2	111, 112, 132				
	Applicable to:	Applicable to:				
	Farm group certificate holders	Farm group certificate holders				
	Country/Regions:	Country/Regions:				
	All					
	Crops	Type of Organizations				
	Tree crops (such as coffee, cocoa), tea, fruits (such as Small and large farms					
	The crops poor as conce, cool	bananas, coconuts and pineapples), nuts (such as				
	bananas, coconuts and pineap	ples), nuts (such as	1.			
	bananas, coconuts and pineapp hazelnuts) and cut flowers. Veg	ples), nuts (such as etables and palm:				



ALLIANCE



#### 3. 使用说明

- a. 召集组成团体的领导层/管理层人员。建议会计师或财务经理也出席。领导层还可以决 定邀请一些(团体)成员的代表,例如主要农户。
- b. 理想情况下,从与会者中选择一个人作为讨论的引导者。最好可以要求团体领导层/管 理层以外的人员担任引导者。

	AB	С	D	E	F	G			
Assessment Topics and Questions		ment Topics and Questions	Option 1	Option 2	Option 3	Option 4			
ł	. Group organization and Management structure								
	A 01	Is there a mission or purpose	There is no specifically defined mission / purpose statement.	A mission / purpose statement exists, but management, staff and group members are not aware of it. It is not implemented.	The mission /purpose statement is known to management, staff and group members and is occasionally used as reference.	The mission / purpose statement is known, implemented and regularly reviewed.			
	statement of the group?	Option 1	Q Option 2	Option 3	Option 4				

- c. 从第一个主题开始,阅读第一个问题和所有答案。确保所有与会者理解问题和答案, 并且彼此之间达成类似的理解。然后查看四个选项,从0级移动到3级,逐一讨论— —我们属于这一级吗?(是/否)。如果团体认为处于两个级别之间,请选择最低级别。
- d. 在某些情况下,团体可能认为该问题涉及的主题不适用于自身情况。在这种情况下, 请勿选择任何答案选项。相反,在标题为"*支持性文件/证据*"的列中填写"不适用",并 在标题为"*备注/解释*"的列中给出解释。注意,在审核期间,外部审核员将使用给出的 解释来检查选择"*不适用*"是否合理。
- e. 如果团体的决定可以得到文件支持, 在"*支持性文件/证据*'列中添加相关文件的名称。 这将有助于团体在下一年审查相同的问题,并帮助审核员了解团体如何得出这个特定 的答案。可以在"*备注/解释*"列中添加任何备注/解释。

A	в	С	D	E	F	G	HI		к
Assessment Topics and Questions		sment Topics and ons	Option 1	Option 2	Option 3 Option 4			This page has: 5 questions	
A.	. Group organization and Management structure							Supporting documents Ł evidence:	Comments / explanations
A 01	01 <sup>k</sup>	Is there a mission or purpose statement of the group?	There is no specifically defined mission / A mission / purpose statement exi management, staff and group men are not avare of it. It is not implement	A mission / purpose statement exists, bul management, staff and group members are not aware of it. It is not implemented.	The mission /purpose statement is known to management, staff and group members and is occasionally used as reference.	The mission / purpose statement is known, implemented and regularly reviewed.	A 01		
			and a second group (	Option 1	Option 2	Option 3	O Option 4		

- f. 按照此流程继续进行第一个主题中的其他问题。然后继续下一个主题, 开始回答一系 列问题。
- g. 引导者应尽量让所有与会者参与讨论,不要让一个人主导讨论或决定答案。
- h. 回答完各主题涉及的所有问题后,对结果进行联合分析;然后询问团体是否对结果满意。可以有不同意见。这种分歧可以在工具中陈述,也可以记录在会议记录中。
- i. 最后一步是查看评估结果。七个主题的评分是否均高于 1.0?不同主题分析的平均评分 也总结在汇总表的蛛网图中。使用此图表确定得分最低的主题。对于这些主题,考虑 以下几点:团体可以采取什么行动来改进这些主题?其中一些行动是否已经得到解 决?然后将确定的措施纳入雨林联盟标准(要求 1.3.2)要求的管理计划中。





#### 示例:

本示例中, "成员参与和成员规划"、"销售和营销"和"内部管理系统"主题的得分最低 (1.0), 应优先改进。







#### 问题解答

如何将特定问题的所有选项设置为"未选中"?

如果一个团体选择了某一个特定的选项,但发现该问题不适用于自身情况,最后决定不回答,便可能发生取消选中这种情况。为此,请遵循以下建议:

- 右键单击准备取消选中的选项(单击文本,而不是按钮本身!)

Assessment Topics and Questions				Option 1			Option 2			
B. Strategic management										
в.	01	Does the group have a strategic plan with medium term (3-5 years) and annual plans? Is the actual performance of the plan monitored and results communicated to the members?			There is no strategic plan.				There is a strateg to-date and the b not communicate	
в.	02	Is the adeq achie (both term)	organisation uately staffed to ve its strategic plan short- and mediun ?	ns n-	No staff i responsi	s assigned sp bilities. re option Optio		<u>C</u> opy <u>Paste</u> <u>G</u> rouping O <u>r</u> der Assign Mac	۲0	bilities ; nt, rathe to mana C
в	03	Is there a process for quality management and continuous improvement in place? (Standard operating			There are no documented SOPs.			Eormat Cor	docum ntrol n of fees warenousing and not cover all area followed or they accessible by sta	
4	General info sur			ummary organisation strategic r			management			
dy		1								

#### - 选择"格式控制", 然后点击"控制"。

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1	lesess	ment Topics and Questions	Option 1	Option 2	Sharcked Mixed	
3	3. Stra	ategic management			Cell Jink: SLSS ±	
4	8. 01	Does the group have a strategic plan with medium term (3-5 years) and annual plans? Is the actual performance of the plan monitored and	There is no strategic plan.	There is a strategic plan, but it is not up- to-date and the baxics of the plan are not communicated to the members.	2-D shading	e plan s well ed to
5		results communicated to the members?	Select one opsign	C Option 2		
6	8. 02	Is the organisation adequately staffed to achieve its strategic plans (both short- and medium-	No staff is assigned specific responsibilities.	Responsibilities allocated in response to an event, rather than as a result of planning to manage certain processes.	OK Cancel	td as a ts, ievent
7		term)?	C Option 1	C Option 2	C Option 3 C Option 4	-
				These are documented SOPs (such as	I	

- 然后选择"取消选中"并点击"OK"。

