

# GLOBAL G.A.P. + ADD-ON

## GENERAL RULES

ENGLISH VERSION 1.0

VALID FROM: JUNE 2014



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## 1. INTRODUCTION

Add-on rules build up a framework where a producer can comply with a set of requirements that is additional to the compliance of a GLOBALG.A.P. Standard. Based on the fact that these Control Points and Compliance Criteria are voluntary, verification against them, is not covered under the GLOBALG.A.P. accreditation.

The word “add-on” indicates that the Control Points and Compliance Criteria and rules are voluntary and customer-driven.

This document describes the basic and generic rules for any party seeking verification against an Add-on. Each Add-on may have its own specific criteria that makes it different and customized.

## 2. DOCUMENTS

### 2.1 Normative Documents

The following normative documents (and any other documents released as normative) are relevant:

- a) The Add-on Control Points and Compliance Criteria (CPCC): *Documents that set the compliance requirements for producers.*
- b) The Add-on Checklist: *This document is based on the CPCC and used for inspections and self-assessments.*
- c) If applicable: GLOBALG.A.P. Checklist – Producer Groups and Multisites with QMS: *Sets requirements for quality management systems.* Only applicable if the Add-on program allows multisite or group inspections.
- d) The Add-on General Rules (this document): *Defines the framework how the inspection process works as well as the requirements for quality management systems and other related issues.* The specifications for each available Add-on where, different from the GLOBALG.A.P. General Regulations will be described in the “Add-on” General Rules Specifications.

### 2.2 Document Control

- a) The latest version of the Add-on documents can be downloaded free of charge from the GLOBALG.A.P. website.
- b) Language: Original documents are in English. The Add-on documents may be translated into relevant languages. In case of discrepancy between translations, the English version shall prevail.
- c) Changes to documents.
  1. Normative documents are identified with a unique document code and a version number and date.
  2. The date in the version name indicates the date of publication of the document.
  3. Version number: A change in the first digit (e.g. change from 1.x to 2.0) indicates a version change. A change in the second digit indicates updates of the same version.
  4. Updates can be made independently in the General Rules and Control Points and Compliance Criteria documents, but a version change will affect all normative documents.
  5. The updates will be sent to all Add-on verifiers as official communications. It is the responsibility of the verifiers to inform their clients of such updates.

## 3. APPLICATION OPTIONS

Applicants can apply for an inspection under one of 2 options (individual or producer group), unless it has been defined differently in the Add-on General Rules Specifications. The options are based on the constitution of the applicant’s legal entity. The inspection process for each of these options is described below.

## 3.1 Option 1 – Individual Producer

- a) An individual producer applies for inspection.
- b) The individual producer receives a Letter of Conformance once assessed and approved.

### 3.1.1 Option 1 – Multisite without Implementation of a QMS

- a) Individual producer or one organization owns several production locations or production management units that **do not** function as separate legal entities and there is no implementation of a central Quality Management System (QMS).

### 3.1.2 Option 1 – Multisite with Implementation of a QMS

- a) Individual producer or one organization owns several production locations or production management units that do not function as separate legal entities, but where a QMS has been implemented.
- b) In this case similar rules set out in the “GLOBALG.A.P. General Regulations Part II – QMS Rules” must apply.

## 3.2 Option 2 – Producer Group

- a) A producer group applies for inspection.
- b) The group, as a legal entity, receives a Letter of Conformance once inspected and approved.
- c) A group must have a QMS implemented and comply with rules similar to the rules set out in the “GLOBALG.A.P. General Regulations Part II – QMS Rules”. Additional requirements are explained in the General Rules Specifications.

## 4. REGISTRATION PROCESS

### 4.1 Certification Bodies/ Farm Assurer

- a) The applicant shall register with a GLOBALG.A.P. approved Certification Body or GLOBALG.A.P. licensed Farm Assurer, specific to the relevant scope, e.g. crops, flowers, livestock, aquaculture, etc.
- b) GLOBALG.A.P. licensed Farm Assurers are organizations (e.g. producer group organizations, standard owners, consultants, etc.) that have signed a license agreement with GLOBALG.A.P and acquired the right from producers to upload and/or register these producer activities in the GLOBALG.A.P Database. The service includes the first registration and any subsequent modifications as well as settings of links in the database. The licensed Farm Assurer must be granted these rights in writing from the producer or other legal entity in the GLOBALG.A.P System.
- c) Information on approved CBs or licensed Farm Assurers are available for every Add-on and published on the GLOBALG.A.P. website if requested by the customer.

### 4.2 Registration

Registration for a GLOBALG.A.P., localg.a.p. or benchmarked scheme is a pre-requisite. The corresponding GGN or LGN must be shared with the CB or Farm Assurer during registration.

#### 4.2.1 General

- b) The application must cover at least the information detailed in Annex I.2 (GLOBALG.A.P. Registration Data Requirements).

By registering, the applicant commits to comply with the following:

- (i) Compliance with the requirements at all times.
- (ii) Payment of the applicable fees established.

- (iii) Communication of data updates to the CB or Farm Assurer.
- (iv) The terms and conditions of the Sub-License and Certification Agreement (with the CB) or Farm Assurer Registration Agreement (with the Farm Assurer).
- c) Confidentiality, data use and data release:
  - (i) During registration applicants give written access to GLOBALG.A.P. and the CB/Farm Assurer to use the registration data for internal processes and sanctioning procedures.
  - (ii) All data in the GLOBALG.A.P. Database is available to GLOBALG.A.P. and the Certification Body or Farm Assurer, which the producer or producer group is working with, and can be used for internal processes.
  - (iii) During registration the applicant may give written consent to GLOBALG.A.P. to release the registration data to the applicant's specific clients (retailers, food services, etc.). The following data will be available to the specific clients: Company name and address, GGN/LGN, registration no., Add-on name, version, option, CB/Farm Assurer, products and status, number of producers (in case of Option 2), country of production and destination, and inspection report. See: Annex III.
  - (iv) CBs and Farm Assurers may not release any data to any other third party without the written consent of the applicant.
- d) The duration of the service contract is set between the CB/Farm Assurer and the producer.
- e) An applicant:
  - (i) May not register the same product with different CBs/Farm Assurers.
  - (ii) May register different products with different CBs/Farm Assurers
  - (iii) May not register production management units (PMU) or group members in different countries with any CB / Farm Assurer.
  - (iv) May register for the assessment against the Add-on with another CB as the one who granted the Good Agricultural Practices certification.

## 4.2.2 Registration with a new CB

When a producer that has already been registered, changes CB/Farm Assurer or applies to a new CB/Farm Assurer for inspection of a different product, the producer must communicate any relevant LGN/GGN to the new CB/Farm Assurer. When the applicant fails to do so and the CB/Farm Assurer double-register the applicant, a EURO 100 administration fee for option 1 and EURO 500 administration fee for option 2 producer group applies.

## 4.3 Acceptance

- a) For the registration to be accepted, the applicant must satisfy **all** the following conditions:
  - a) Submit to the CB/Farm Assurer the relevant application that shall include all the necessary information. The applicant shall have formally committed to comply with the obligations indicated above.
  - b) Sign acceptance of the Sub-License and Certification Agreement with the CB or the Farm Assurer Registration Agreement with the Farm Assurer, OR the applicant shall explicitly acknowledge the receipt and the inclusion of these agreements with his/her signature on the service contract/agreement with the CB and the CB must hand over a copy to the producer.
- a) Pay the registration and the Add-on fee, as set out in the current GLOBALG.A.P. Fee Table. More specific fees for inspection licenses may apply for the different Add-on programs.
- b) The registration and acceptance process **must** be finalized **before** inspection can take place.
- c) For first registration: the CB/Farm Assurer shall confirm the acceptance of the application and provide the applicant with the GGN/LGN within 14 calendar days from receiving the completed application.

## 5. ASSESSMENT PROCESS

### 5.1 Self-assessments

- a) Self-assessments are required in case the specific Add-on includes this requirement in the Control Points and Compliance Criteria. If required, the producer shall complete this before the assessment by a 2<sup>nd</sup> or 3<sup>rd</sup> party.

### 5.2 Second or Third Party Inspections

- a) A second (an appointed organization) or 3rd party (an independent Certification Body) shall conduct the Add-on inspections and this shall be defined in the Add-on General Rules Specifications
- b) The inspections shall be done by one or more of the following parties as approved.:
  - i. CB inspectors or auditors that are already approved to conduct inspections for accredited standards such as GLOBALG.A.P. IFA or successfully benchmarked schemes,.
  - ii. Inspectors or auditors from GLOBALG.A.P. approved CBs conducting inspections against non-accredited standards; or
  - iii. Licensed Farm Assurers that have approval for assessing the specific Add-on
- c) The complete checklist of the specific Add-on program shall always be inspected.

#### 5.2.1 Option 1 – Individual Producer (without a QMS)

- a) Producer receives an annual inspection.
- b) The duration and timing of inspections will be clarified in the Add-on General Rules Specifications.

#### 5.2.2 Option 1 – Individual producer with a QMS and Option 2 – Group

- a) The QMS and the producers must be inspected
- b) The CB or Farm Assurer does not inspect all producers, but just a sample. It is not the responsibility of the CB or the Farm Assurer to determine the compliance of each producer (this responsibility rests with the applicant). The CB must assess whether the applicant's internal controls are appropriate.
- c) The duration of inspections will be clarified in the Add-on General Rules Specifications.
- d) The sampling method, frequency, timing will be clarified in the Add-on General Rules Specifications.

### 5.3 Unannounced Surveillance Inspections

- a) It is possible that a specific Add-on program requires that producers receive unannounced surveillance inspections.
- b) If it is a requirement, 10% of the Add-on producers or groups of a CB/Farm Assurer shall be assessed annually, unless stated otherwise in the Add-on General Rules Specifications.
- c) The inspection shall be announced no longer than 48 hours in advance.

## 6. APPROVAL PROCESS

### 6.1 Requirements to achieve and maintain Add-on conformance

- a) The CPCC of the Add-on program may consist of different compliance levels; e.g. Knock-out points, Major Musts, Minor Musts or Recommendations or may have a scoring system.
- b) For each Add-on program, the conformance rules based on the constitution of the CPCC and will be stipulated in the Add-on General Rules Specifications.



- c) The compliance percentage shall be calculated taking into account all the control points applicable to each site and product.
- d) In all cases, after an inspection, the calculation to show compliance (or non-compliance) must be available.

The CB or Farm Assurer shall decide on the applicant's approval within a maximum of 28 calendar days after closure of any outstanding non-conformances.

## 6.2 Sanctions

- a) When a non-conformance is detected, a producer will not receive the Letter of Conformance and the status in the GLOBALG.A.P. Database will indicate "Open Non-Conformance" until the non-conformance is closed. Once the non-conformance is cleared, the status of the GLOBALG.A.P. Database will change to "Assessed".
- b) If a non-conformance is detected where a producer already holds a Letter of Conformance, the Letter will be cancelled and the status will be "Suspended". A new Letter of Conformance can be issued when the non-conformance is closed and the status "Assessed" can be set again.
- c) Outstanding non-conformances identified during the first inspection shall be closed within the timeframe agreed with the customer, if set in the Add-on General Rules Specifications.

### 6.2.1 Product Suspension regarding the conformance with the applicable Add-on

- a) A suspension can be applied to one, several or all of the products covered by the Letter of Conformance.
- b) A product cannot be partially suspended for an individual producer (single or multisite); i.e. the entire product must be suspended.
- c) During the period of suspension, the producer will be prohibited from using the Add-on logo/trademark, Letter of Conformance or any other type of document that is in any way linked to Add-on in relation to the suspended product.
- d) If a producer notifies the CB/Farm Assurer that the non-conformance is resolved before the set period, the respective sanction will be lifted, subject to satisfactory evidence and closing out.
- e) If the suspension is not resolved within the set period, a product cancellation for the Add-on is imposed.
- f) In this case, the basic Good Agricultural Practices audit may also be affected, depending on the reason of the suspension. However, the status of the Good Agricultural Practices certificate is not affected by the outcome of the add-on inspection.

### 6.2.2 Cancellation regarding the conformance with the applicable Add-on

- a) A cancellation of the contract for the Add-on shall be issued where:
  - i. The CB/Farm Assurer finds evidence of fraud and/or lack of trust to comply with the Add-on requirements, or
  - ii. When there is a contractual non-conformance.
- b) A cancellation of the contract will result in the total prohibition (all products, all sites) of the use of the Add-on logo/trademark, Letter of Conformance, or any device or document may be linked to the specific Add-on program.
- c) A producer that has received a cancellation shall not be accepted for GLOBALG.A.P. Add-on inspections within 12 months after the date of cancellation.
- d) In this case, the basic Good Agricultural Practices audit may also be affected, depending on the reason of the suspension.

## 6.3 Notification and Appeals

The producer must either resolve the non-conformances communicated or appeal to the CB/Farm Assurer in writing against the non-conformances, explaining the reasons for the appeal.

## 6.4 Sanctioning of Certification Bodies

GLOBALG.A.P. reserves the right to sanction CBs/Farm Assurers based on evidence of not following procedures or clauses of the Certification and License Agreement/Farm Assurer Agreement signed between GLOBALG.A.P. and the CB/Farm Assurer.

## 6.5 Letter of Conformance and Inspection Cycle

- a) The Letter of Conformance may only be issued if the producer has a valid certificate for a GLOBALG.A.P., a localg.a.p. or for a benchmarked scheme.
- b) A Letter of Conformance is not transferable from one legal entity to another.
- c) The inspection approval cycle is 12 months subject to any sanctions and extensions in accordance with the scope described.

### 6.5.1 Letter of Conformance Information

- a) The Letter of Conformance issued by a CB/Farm Assurer must conform to the available template.
- b) Date of Approval: Date when the CB/Farm Assurer decides on the applicant's approval after all non-conformances are closed out.
- c) Valid from:
  - (i) Initial Inspection: The initial date of validity will be the date when the CB/Farm Assurer decides on the applicant's approval
  - (ii) Subsequent Inspections: The valid from date is linked to the GLOBALG.A.P. IFA or benchmarked standard certificate cycle.
- d) Valid to:
  - (i) This date is always linked to the GLOBALG.A.P. IFA or benchmarked standard certificate cycle.

### 6.5.2 Maintenance of Letter of Conformance

The registration of the producer and the proposed products must be re-confirmed with the CB/Farm Assurer annually **before** the expiry date.

## 6.6 Certification Integrity Program (CIPRO)

- a) The possibility of adding CIPRO to the Add-on program shall be clarified in the Add-on General Rules Specifications.

## 7. CERTIFICATION BODY AND FARM ASSURER REGISTRATION RULES FOR THE ADD-ON PROGRAM

### 7.1. GLOBALG.A.P. Approved CBs

i) In case where a GLOBALG.A.P. approved Certification Body uses inspectors / auditors that are **already qualified** for GLOBALG.A.P. IFA, those auditors/inspectors will be authorised to carry out Add-on inspections for the respective sub-scope. A list of approved assessors for the Add-on program shall be registered in the GLOBALG.A.P Database for the specific Add-on program. Additional training requirements will be clarified in the Add-on General Rules Specifications.

ii) In case the inspectors / auditors are not qualified for GLOBALG.A.P. IFA, the CB needs to assess the compliance of those inspector/auditors against the Add-on qualification requirements as specified in the Add-on Customization Checklist. Evidence that they comply first need to be evaluated and recorded internally by the CB before they will be allowed to carry out any Add-on inspections. GLOBALG.A.P. reserves the right to ask for those records.

iii) The GLOBALG.A.P. approved CB must:

- a) Register in the GLOBALG.A.P. CB Extranet (<http://cb.globalgap.org>) for the new Add-on.
- b) Submit a letter of intent in English to the GLOBALG.A.P. Secretariat.



- c) Pay an annual registration fee according to the GLOBALG.A.P. fee table that will allow the CB to assess against all scopes of the Add-on program.
- d) Follow the database training for producer registration and checklist uploading when applicable. Register all inspectors for the Add-on(s) in the GLOBALG.A.P. database.

## 7.2. Licensed Farm Assurers

i) When the customer agreed that the Add-on may be inspected by Farm Assurers, they must be licenced by GLOBALG.A.P. in order to be able to conduct Add-on inspections. New applicants for Farm Assurers need to follow the Farm Assurer Application process.

ii) The GLOBALG.A.P. Licensed Farm Assurer must:

- a) Submit an Add-on letter of intent in English to the GLOBALG.A.P. Secretariat.
- b) Pay an annual registration fee as defined in the GLOBALG.A.P. fee table that will allow the Farm Assurer to assess against all scopes of the Add-on program (Crops / Livestock / Aquaculture). (This is over and above the annual GLOBALG.A.P. Membership Fee (in the case of members) or Farm Assurer License Fee.
- c) Follow the database training for producer registration and checklist uploading.

## 8. ABBREVIATIONS

CB	Certification Body
CC	Compliance Criteria
CL	Checklist
CP	Control Point
CPCC	Control Points and Compliance Criteria
GR	General Regulations
IFA	Integrated Farm Assurance
QMS	Quality Management System