



GLOBALG.A.P.



GLOBALG.A.P. **Crops for Processing**



General Rules

Part I - General Requirements

ENGLISH VERSION 1.0

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1. INTRODUCTION

This document describes the certification rules for any party seeking certification under the GLOBALG.A.P. Crops for Processing (CfP) standard.

Rules for benchmarked schemes are explained in the GLOBALG.A.P. Benchmarking Regulations.

The term “shall” is used throughout the GLOBALG.A.P. IFA Standard documents to indicate those provisions which, reflecting the requirements of GLOBALG.A.P., are mandatory.

2. NORMATIVE DOCUMENTS

The following normative documents (and any other documents released as normative) are relevant to all applicants and GLOBALG.A.P. certificate holders seeking certification:

- a) GLOBALG.A.P. Certification and Sublicense Agreement: Contract between the Certification Body (CB/VB) and the producer. Sets legal framework in order to be granted the GLOBALG.A.P. Certification.
- b) GLOBALG.A.P. Certification and License Agreement: Contract between the CB/VB and GLOBALG.A.P. c/o FoodPLUS GmbH.
- c) GLOBALG.A.P. Control Points and Compliance Criteria (CPCC): Document that sets the compliance requirements for producers.
NOTE: Annexes referenced in the CPCC are guidelines, unless a CPCC states that the annex or part of the annex is mandatory. In the title of those annexes it is stated that they are mandatory. Guidelines referenced in the CPCC document to guide producers to comply with the requirements are *not* normative documents.
- d) GLOBALG.A.P. checklists:
 - For control points and compliance criteria
 - For Quality Management System (QMS) requirements (producer groups and multisites with QMS)
 These documents or customized ones with verbatim content are used for all audits, inspections and self-assessments.
- e) National Interpretation Guidelines (NIG). Provides clarification and adaptation of the CPCC to the relevant country. Only available for countries where approved by the respective Technical Committees. These become obligatory for use as soon as they are approved and published.
- f) GLOBALG.A.P. Crops for Processing General Regulations (GR; this document): Defines how the certification process works as well as the requirements for quality management systems and related issues.
- g) Technical news and normative updates issued by the GLOBALG.A.P. Secretariat and published on the GLOBALG.A.P. website.

2.1 Document Control

- a) The latest versions of all normative documents can be downloaded free of charge from the GLOBALG.A.P. website.
- b) Language: Original documents are in English. GLOBALG.A.P. documents are translated into other languages and published on the GLOBALG.A.P. website. Once published, these official GLOBALG.A.P. documents are the only ones that may be used for certification in that language. 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. The date in the “Edition Update Register” indicates the date when the document comes into effect.
 3. Version number: A change in the first or second digit (e.g. change from 1.1 to 2.0; or 1.0 to 1.1) indicates changes in the requirements and thus a version change. A change in other digits (e.g. change from 1.0 to 1.0-1) indicates updates that do not introduce changes to the requirements.

4. Updates can be made independently in the GR and CPCC documents, but a version change affects all normative documents.
5. The updates are sent to all GLOBALG.A.P. approved CB/VB as official communications. It is the responsibility of the CB/VB to inform their clients of such updates.
6. A summary of changes is indicated in the “Version/Edition Update Register” section. This section is published separately for a version update or at the end of a document for new editions.

3. OPTIONS

Any producer of plants that will be further processed and not consumed fresh (e.g. canned, cooked, frozen, juice, feed, green coffee for roasting) may apply for assessments.

The term “producer(s)” refers to persons (individuals) or businesses (company, individual producer or producer group) that are legally responsible for the production processes and the products of the respective scope, sold by those persons or businesses.

Producers can apply for certification using any of 2 options (individual or group). The certification process for each of these options is described in Section 4.

3.1 Option 1 – Individual Certification

- a) Individual producer applies.
- b) The individual producer is the certificate holder once certified.

3.1.1 Option 1 – Multisite without Implementation of a QMS

- a) Individual producer or one organization owns several production sites that do not function as separate legal entities.

3.1.2 Option 1 – Multisite with Implementation of a QMS

- a) Individual producer or one organization owns several production sites that *do not* function as separate legal entities, but where a QMS has been implemented.
- b) In this case the rules of the GLOBALG.A.P. General Regulations Part II – Quality Management System Rules (QMS Rules) shall apply.

3.2 Option 2 – Group Certification

- a) A producer group applies for group certification
- b) The group, as a legal entity, is the certificate holder once certified.
A group shall have a QMS implemented and comply with rules set out in the GLOBALG.A.P. General Regulations Part II – QMS Rules.

4. REGISTRATION PROCESS

4.1 Certification Bodies

- a) Applicants shall, as a first step, choose a GLOBALG.A.P. approved Certification Body (CB).
- b) Contact information on approved and provisionally approved CBs is available on the GLOBALG.A.P. website.
- c) The chosen CB is responsible for the registration of the applying producer in the GLOBALG.A.P. Database, data updates, and collection of fees.

4.2 Registration

4.2.1 General

- a) The application shall 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

- certification requirements at all times, the communication of data updates to the CB and the payment of the applicable fees established by GLOBALG.A.P. and by the CB.
- b) This information is used by GLOBALG.A.P. to supply the applicant with a unique GLOBALG.A.P. Number (GGN), which is used as a unique identifier for all GLOBALG.A.P. activities.
 - c) Any objective evidence found that indicates that the applicant has been misusing the GLOBALG.A.P. claim shall lead to the exclusion of the applicant from certification for 12 months after evidence of misuse. In addition, the applicant will be listed and the list shall be checked before registration in the database. Any case of misuse shall be communicated to the GLOBALG.A.P. members.
 - d) Confidentiality, data use and data release:
 - (i) During registration applicants give written permission to GLOBALG.A.P. and the certification bodies 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 CB, which the producer or producer group is working with, and can be used for internal processes and sanctioning procedures.
 - (iii) The minimum and obligatory data release level, as well as additional information on confidentiality and data use, is defined by the Data Access Rules and available at www.globalgap.org/documents.
 - (iv) If an applicant (company, individual producer or member of a group) does not agree to the minimum release, the applicant is not in agreement with the Sub-License and Certification Agreement and cannot be certified, nor belong to a producer group seeking certification.
 - (v) No data other than that stated in point (iii) can be released by GLOBALG.A.P. or CBs to any other party without written consent of the applicant.
 - (vi) The certification history of producers (data showed previously to the public as certificate validation tool) will be displayed to the market participants.
 - e) The service contract between the CB and producer may be valid for up to 4 years, with subsequent renewal for periods of up to 4 years.
 - f) An applicant:
 - (i) May not register the same product more than once with different CBs or under different certification options.
 - (ii) May register different products with different CBs and/or under different certification options (e.g.: It is possible to register oranges for juicing under Option 1 and peas for frozen market under Option 2, oranges with one CB and peas with another CB or both crops with the same CB.)
 - (iii) May not register production sites or group members in different countries with any CB. The GLOBALG.A.P. Secretariat may grant exceptions on a case-by-case basis or within national interpretation guidelines.
 - (iv) May not register the same product for certification under the GLOBALG.A.P. Crops for Processing and Integrated Farm Assurance. If a producer seeks Integrated Farm Assurance certification for a product already certified under Crops for Processing, an IFA audit needs to be completed and the Crops for Processing certificate will be replaced.
 - (v) May register different products under different standards (e.g. oranges for juicing under Crops for Processing and fresh peas under Integrated Farm Assurance).
 - g) For the registration to be completed, the applicant shall satisfy *all* the following conditions:
 - (i) Submit to the CB the relevant application that shall include all the necessary information.
 - (ii) Sign acceptance of the GLOBALG.A.P. Sublicense and Certification Agreement in its latest version (available on the GLOBALG.A.P. website) with the CB, or the applicant shall explicitly acknowledge the receipt and the inclusion of the GLOBALG.A.P. Sublicense and Certification Agreement with signature on the service contract/agreement with the CB and the CB shall hand over a copy of the Sublicense and Certification Agreement to the producer.

- (iii) Be assigned a GLOBALG.A.P. Number, if they don't already have a GGN or a Global Location Number (GLN).
 - (iv) Agree in writing to pay the GLOBALG.A.P. registration fee, as explained in the current GLOBALG.A.P. fee table (available on the GLOBALG.A.P. website).
- h) The registration process, in case of initial certification and transfers, shall be finalized before inspection can take place.
- i) In the case of first registration the CB shall confirm the application and provide the applicant with the GGN within 28 calendar days of receiving the complete application.
- j) A *production site* is defined as a production area (e.g. fields, plots, ponds, ranches) that is owned or rented and ultimately managed by one legal entity, and where the same input factors (e.g. water supply, workers, equipment, stores, etc.) are used. One site may contain several non-touching areas (areas that do not share a common border, are non-contiguous) and production of more than one product on the same site is possible. All production sites where the product(s) that are included in the GLOBALG.A.P. Certification Scope are produced, shall be identified and registered.
- Requirements for production sites:
- (i) All production sites shall be owned or rented and under the direct control of the legal entity.
 - (ii) For production sites that are not owned by the legal entity, there shall be a signed document, which includes a clear indication that the site owner does not have any responsibility or input or decision capacity regarding the production operations over the rented-out site. There shall also be written contracts in force between each production site owner and the legal entity that include the following elements:
 - Certificate holder/producer member name and legal identification.
 - Name and/or legal identification of the site owner.
 - Site owner contact address.
 - Details of the individual production sites.
 - Signature of both parties' representatives.
 - (iii) The certificate holder is legally responsible for all the registered production, including placing the product on the market.
- k) A *Product Handling Unit (PHU)* is defined as facilities where products are handled. If a producer handles products included in the GLOBALG.A.P. Certification Scope in more than one PHU, all these shall be identified and registered.

4.2.2 Registration with a new CB

- a) If a producer who has already been registered changes CB or applies to a new CB for certification of a different product, the producer shall communicate the GGN assigned by GLOBALG.A.P. to the new CB. Failure to do so will result in a surcharge of the registration fee of EURO 100 to an Option 1 producer and EURO 500 to an Option 2 producer group.
- b) Certificate holders who are sanctioned cannot change CB until the outgoing CB closes the corresponding non-conformance.
- c) Individual producer members of a producer group are not allowed to leave the group and register with another group (for the products registered) if there is any pending sanction on the producer issued by the group, or there are any issues relevant to the producer raised by the CB that have not been closed.

4.3 Application Scope

4.3.1 Scope:

The scope of certification covers the following:

- a) The controlled production process of plants intended for processing and not consumed fresh (i.e. fruit and vegetables for juicing, canning, freezing, etc., or combinable crops for feed, or green coffee for roasting). It does not cover crops harvested in the wild.
- b) Only products intended for processing (included in the GLOBALG.A.P. product list, published on the GLOBALG.A.P. website) can be registered for certification. The GLOBALG.A.P. product list is not limited and can be extended based on demand.

- c) The processor shall take the necessary steps to mitigate the food safety risks. Mitigation shall be via a “kill step” or other activities such as residue testing, chlorination of water, etc. The steps taken will depend on the processing methods.
- d) Producers cannot receive certification for the production of products that are not produced by themselves.
- e) *No processing* is covered by this certification.

4.3.2 Parallel Production (PP) or Parallel Ownership (PO)

4.3.2.1 Definitions

Parallel Production:

Parallel production is a situation where producers produce the same product partly as certified and partly as non-certified under Crops for Processing. It is also considered PP if not all the members of a producer group producing a product that is registered for certification are included in the scope of the certificate.

Example: oranges for juicing as certified under Crops for Processing and oranges for the fresh market without certification.

A situation in which a farmer produces one product as certified and another product as non-certified is not Parallel Production (e.g. oranges for juicing certified and peas for frozen market non-certified).

Parallel Ownership:

Parallel Ownership is a situation where individual producers, producer members or producer groups buy non-certified products of the same products they grow under certified production.

Example: A producer grows certified oranges for juicing and buys non-certified oranges for juicing from other producer(s).

It is not considered Parallel Ownership if:

- A producer/producer group buys additional GLOBALG.A.P. Integrated Farm Assurance or Crops for Processing certified products from another producer(s).
- A certified producer handles products for non-certified producers as a subcontractor, i.e. the certified producer does not buy the non-certified products.

4.3.2.2 Registration

Any applicant/certificate holder (individual producer, multisite or producer group) who produces or owns GLOBALG.A.P. and produces or sources non-GLOBALG.A.P. products (of the same product) needs to register for Parallel Production or Parallel Ownership.

4.3.2.2.1 Registration steps

- (i) The producer shall inform the respective CB of the application for Parallel Production/Parallel Ownership during the registration process. Producer groups shall also include clear identification of their producer members who buy/sell non-certified products of the same products included in the scope of certification (and, therefore, also the products that have to be registered as “with Parallel Ownership” for each producer member).
- (ii) The CB shall register the producer (per product) in the GLOBALG.A.P. Database for PP and/or PO.
- (iii) Producers can register for PP/PO at any time if they start carrying out PP/PO activities, but cannot use the registration as immediate corrective action to avoid sanctions in the case of a non-conformance.

If a non-conformance is detected, the producer shall be sanctioned accordingly until effective implementation of the corrective actions for the entire production process has taken place.

Example 1. During an inspection of a producer who has not registered for Parallel Ownership, the CB/VB detects the sale of non-GLOBALG.A.P. products of the same type the producer has certified. In this case, the CB shall immediately suspend the producer. Suspension can only be lifted after

registration under Parallel Ownership and compliance with all traceability and segregation requirements is verified.

Example 2. A certain part of the production has been found to be non-compliant and the producer wants to segregate it and maintain the certification for the rest of the production during the audit. This is not possible and the normal sanction and certification procedures shall be followed.

In case producers want to register for Parallel Ownership during the validity of their certificates (e.g. because they need to purchase non-GLOBALG.A.P. products, which they did not expect at the time of their registration), CB will have to carry out an extraordinary inspection/audit to check the applicable control points and update the information in the GLOBALG.A.P. Database and the paper certificate.

In case producers want to register for Parallel Ownership at the beginning of the season, when they are not sure whether they will buy non-certified products, CB shall evaluate that the traceability and segregation procedures are available and ready for implementation. When the purchase of products from non-certified sources begins, CB shall require evidences of implementation (documentation or on-site assessment).

4.3.2.3 Additional Requirements for producers with Parallel Ownership

All products shall be traceable to the respective production site/PHU, and certified and non-certified products shall be fully segregated at all times. Producers shall be able to demonstrate that their traceability and recording system guarantees full traceability and segregation (See Control Points AF 13 Traceability and Segregation).

The handling of certified and non-certified products is possible within the same product handling facility.

4.3.3 Burden of Proof

- a) In the case of information (e.g. MRL exceedance, microbial contamination, etc.) about a GLOBALG.A.P. certificate holder, which could have a potential impact on the certified status/claim being transmitted to the GLOBALG.A.P. Secretariat, it is the responsibility of the certificate holders and the corresponding CB to refute the claim by verifying and providing evidence of compliance with the GLOBALG.A.P. Standards.
- b) The findings and actions taken shall be reported to the GLOBALG.A.P. Secretariat within the defined period of time by the CB
- c) If the certificate holders and the corresponding CB do not provide the requested evidence of compliance within the period of time defined by the GLOBALG.A.P. Secretariat, they will be sanctioned according to the sanctioning procedures described in the GLOBALG.A.P. General Regulations.
- d) In case the evidence includes laboratory analyses, accredited laboratories (ISO 17025) and independent sampling (according to the rules as set out in the relevant CPCC) shall be included.

5. ASSESSMENT PROCESS

5.1 Assessment Levels

In order to achieve certification, a registered party shall perform either a self-assessment (Option 1) or internal inspections/audits (Option 1 Multisite with QMS and Option 2) and receive inspections/audits by the chosen certification body.

5.1.1 Certification (See 6. Certification Process)

- a) Producers and producer groups may apply for a **non-accredited** certificate. This will be conducted by the assigned GLOBALG.A.P. CB.

The assessment process will be the same as for GLOBALG.A.P. Integrated Farm Assurance certification.

5.2 Self-assessments and Internal Assessments and Audits

5.2.1 Option 1 Self-Assessments

- a) Self-assessments shall:
 - (i) Cover all registered production sites, products and processes under the certification scope to verify compliance with the requirements defined in the applicable control points.
 - (ii) Be carried out by or under the responsibility of the producer.
 - (iii) Be carried out before the first 3rd party assessment and thereafter at least annually against the complete checklist (Major and Minor Musts and Recommendations) of all relevant products and registered areas. The completed checklist shall be uploaded and available on-site for review at all times.
 - (iv) The self-assessment checklist shall contain comments of the evidences observed for all control points (compliant, non-compliant and not-applicable).

5.2.2 Option 2 and Option 1 (with multisite and QMS) Internal Assessments and Audits

- a) The applicant shall undertake internal assessments of all producers and/or production sites, covering all products to verify and ensure compliance with the requirements.
- b) The internal assessments shall comply with requirements determined in the GLOBALG.A.P. General Regulations Part II under sections 1.5 and 1.6 and include the following:
 - (i) A minimum of one internal audit of the QMS to be carried out by the internal auditor before the first 3rd party assessment and thereafter once per annum.
 - (ii) A minimum of one internal inspection of each registered producer, production site and product handling facility, if applicable, to be carried out by the internal inspector before the first 3rd party assessment and thereafter once per annum.

5.2.3 Certification Body Inspections

- a) These inspections (announced and unannounced) shall be carried out by a CB inspector or auditor (see CB inspector and auditor requirements in Part III)
 - (i) The CB shall inspect the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s) in the first year by on-site visit and at least every third year thereafter (e.g. year 1, year 4, year 7, etc.).
 - (ii) The on-site inspection shall cover:
 - a) All accepted products and production processes;
 - b) All registered production sites;
 - c) Each registered product handling unit;
 - d) Where relevant, the administrative sites.
 - (iii) In the year without an on-site assessment, CB shall at least evaluate the self-assessment of the producer/producer group. Additional evidences may be requested and in case of doubt, the CB may decide to carry out an onsite assessment.

5.2.3.1 Announced Inspections

Each producer shall undergo one announced CB inspection at the initial assessment and thereafter once every three years.

The CB may divide announced inspections (both initial and subsequent) into 2 modules, which shall be verified by the same auditor/inspector:

- (i) Off-site module: This consists of a desk review of documentation sent by the producer to the CB before the inspection, including the self-assessment, risk assessments, procedures required in several CPCCs, analysis program (frequency, parameters, locations), analysis reports, licenses, list of medicines used, list of plant protection products used, proof of lab accreditation, certificates or inspection reports of subcontracted activities, plant protection products/fertilizers/medicines application records, etc. The off-site module review has to be conducted no more than 2 weeks before the on-site module inspection.

- (ii) On-site module: This consists of an on-site inspection of the remaining content of the checklist, the production process on-site, and verification of the information assessed off-site.

The reason why two modules are used is to reduce the time spent on-site, although the overall duration of the inspection is not reduced.

The CB decides if it will offer the off-site module to its clients. In case the CB offers the off-site module to its clients, the use is to be mutually agreed with each producer.

The producer has the right not to send certain requested documents to the CB if they are considered to be confidential. In this case the information will have to be present during the on-site inspection.

(See also off-site module description in General Regulations Part III).

5.2.3.2 Unannounced Inspections

- (i) The CB shall carry out unannounced inspections annually of a minimum of 10% of all certified producers the CB has certified per scope under Option 1 without QMS, during the 12 months of validity of the certificates.
- (ii) The CB may inform the producer in advance of the intended visit. This notification will normally not exceed 48 hours (2 working days). In the exceptional case where it is impossible for the producer to accept the proposed date (due to medical or other justifiable reasons), the producer will receive one more chance to be informed of an unannounced inspection. The producer shall receive a written warning if the first proposed date has not been accepted. The producer will receive another 48-hour notification of a visit. If the visit cannot take place because of non-justifiable reasons, a suspension of all products will be issued.

5.2.4 Certification Body Quality Management System (QMS) Audit

- a) The audit (announced and unannounced) shall be carried out by a CB auditor (see CB auditor requirements in Part III).
- b) The audit (announced and unannounced) shall be based on the QMS checklist that is available on the GLOBALG.A.P. website.

5.2.4.1 QMS Announced Audits

The CB shall carry out one announced audit of the QMS at the initial assessment and thereafter once every three years.

The CB may divide the announced audits into two modules, which shall be verified by the same auditor:

- (i) Off-site module: This consists of a desk review of documentation sent by the QMS to the CB before the audit, including internal audit, internal register of approved producer members/production sites, Food Safety Policy Declaration, risk assessments, procedures required in General Regulations Part II, Residue Monitoring System (frequency, parameters, sampling program), residue analysis reports, licenses, list of medicines used, list of plant protection products used, proof of lab accreditation and certificates or inspection reports of subcontracted activities, etc.
- (ii) On-site module: This consists of an on-site audit of the remaining content of the QMS checklist, plus the verification of the information assessed off-site and the way the management system works on-site (e.g. internal inspections, traceability, segregation and mass balance, central product handling units, etc.).

The aim of the use of both modules is to reduce the time spent on-site, although the overall duration of the audit will not be reduced.

The CB decides if it will offer the off-site module to its clients. In case the CB offers the off-site module to its clients, the use has to be mutually agreed with each producer group/company.

The producer group/company has the right not to send certain requested documents to the CB if they are considered to be confidential. In this case the information will have to be present during the on-site audit.

(See also off-site module description in General Regulations Part III).

5.2.4.2 QMS Unannounced Audits

- (i) The CB shall carry out additional QMS unannounced audits for a minimum of 10% of the certified producer groups and multisites with QMS annually.
- (ii) Any non-conformances detected will be handled as in an announced audit.
- (iii) The CB may inform the certificate holder. This notification will normally not exceed 48 hours (2 working days) in advance of the intended visit. In the exceptional case where it is impossible for the certificate holder to accept the proposed date (due to medical or other justifiable reasons), the certificate holder will receive one more chance to be informed of an unannounced surveillance inspection. The certificate holder shall receive a written warning if the first date has not been accepted. The certificate holder will receive another 48-hour notification of a visit. If the visit cannot take place because of non-justifiable reasons, a complete suspension will be issued.

5.2.5 Certification Body Producer/Production Site Inspections

- a) A CB inspector or auditor shall carry out the inspections.
- b) The CB shall inspect the complete checklist (Major Musts, Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s) during ALL inspections.
- c) The inspection per selected producer member or production site shall cover all accepted products, production processes and where relevant the product handling units and administrative sites.
- d) **Initial inspection or first inspection by a new CB:** As a minimum the square root (or next whole number rounded upwards if there are any decimals) of the total number of the producers/production sites in the certification scope shall be inspected before a certificate can be issued. During the validity period of the certificate, the surveillance inspection of (minimum) 50% square root of certified producers/production sites shall be carried out.
- e) **Subsequent inspections:**
 - (i) The CB shall carry out announced external inspections of each producer group and multi-site before the initial certification and then at least every three years.
 - (ii) The inspections shall be split into two separate visits during the certification cycle, with the aim of increasing the reliability of the system:
 - Re-certification audit; and
 - Surveillance producer inspections.

This does not reduce the minimum number of inspections necessary during the certification cycle.
 - (iii) The number of producers/sites to be inspected during a certification cycle shall be equivalent to the square root of the current number of producers/production sites (grouped by the same production type). Half (50%) of the square root of the producers/production sites shall be inspected during the surveillance inspections.
 - (iv) The sample size of the following regular announced audit by the CB may be reduced to the square root of the *current* number of the producers/production sites minus the number of producers/production sites inspected during the previous surveillance inspections as long as the following prerequisites are met:
 - There is no non-conformances detected on the day of the producer/production site surveillance inspections; and
 - The result of the QMS audit does not raise doubts about the robustness of the system.

Example 1: In a producer group with 50 members the CB shall inspect 8 members (square root of 50) during the initial audit. During the following surveillance inspection 4 (0.5 x 8) members shall be inspected. The total number of producers inspected in the first year is 12. In the next year, where no non-conformances are detected during the previous 4 surveillance inspections, the CB shall inspect 4 producers during the re-certification audit and then another 4 during the surveillance inspections.

Example 2: In a producer group with 5 members during the initial audit, 3 members (square root of 5) and during the following surveillance inspections 2 (0.5 x 3) members shall be inspected. If in the next year the total number of group members'

decreases to 4, and no non-conformances were detected during the surveillance producer inspection, 1 producer shall still be inspected.

- (v) Before a certification decision can be made, at least the square root of the total number of current producers/production sites shall have been inspected during the last 12 months.
- (vi) CBs may take the decision to increase the sample during surveillance inspections if there is a need to investigate whether a non-compliance is structural or not.

5.3 Inspection Timing

5.3.1 Initial (First) Inspections

- a) This section is applicable to producers seeking GLOBALG.A.P. Certification for the first time, and to producers who want to add a new product to an already existing GLOBALG.A.P. Certificate. When a producer changes from one CB to another, or from GLOBALG.A.P. IFA Standard to an equivalent Approved Modified Checklist or scheme (or the other way around), it is not considered a first inspection, but subsequent inspection.
- b) No inspection can take place until the CB has accepted the applicant's registration.
- c) *Each* production process for products registered and accepted for certification for the first time *shall be completely assessed* (all applicable control points shall be verified), *prior to issuing the certificate.*
- d) A product that has not yet been harvested shall not be included in the certificate (i.e. it is not possible to certify a product in the future).
- e) It is possible to add a new product to an already existing certificate during an unannounced inspection (Option 1 without QMS) or during a surveillance inspection (Option 2/Option 1 with QMS), provided all applicable control points for this product are verified.
- f) The applicant shall have records from the registration date onwards or for at least 3 months before the first inspection takes place, whichever is longer and the CB shall inspect them
- g) Products that are harvested/slaughtered/processed before registration with GLOBALG.A.P. cannot be certified.
- h) Records that relate to harvest or product handling (if any) before the producer has registered with GLOBALG.A.P. are not valid.

5.3.2 Subsequent Inspections

- a) Each production process for products registered and accepted for certification shall be completely assessed (all applicable control points shall be verified) through site visit or by evaluation of the self-assessment annually prior to issuing the certificate. This also applies if the producers change CBs.
- b) The subsequent inspection can be carried out at any time during an "inspection window" that extends over a period of 8 months: from 4 months before the original expiry date of the certificate, and (only if the CB extends the certificate validity in the GLOBALG.A.P. Database) up to 4 months after the original expiry date of the certificate.
Example: 1st certification date: 14 February 2015 (expiry date: 13 February 2016). 2nd inspection can be at any time from 14 October 2015 to 13 June 2016, if the certificate validity is extended.
- c) There shall be a minimum period of 6 months between 2 inspections for recertification.

6. CERTIFICATION PROCESS

6.1 Non-Compliance and Non-Conformance

- a) **Non-compliance (with a control point):** A Minor Must or recommendation in the GLOBALG.A.P. checklist is not fulfilled according to the Compliance Criteria.

- b) **Non-conformance (with the GLOBALG.A.P. Certification Rules):** A GLOBALG.A.P. rule that is necessary for obtaining the certificate (see 6.2) is infringed (e.g. non-compliance with one or more Major Musts, or more than 5% of applicable Minor Musts).
- c) **Contractual Non-Conformances:** Breach of any of the agreements signed in the contract between the CB and the producer related to GLOBALG.A.P. issues.
Case examples: trading with a product that does not comply with legal requirements; false communication by the producer regarding GLOBALG.A.P. Certification; GLOBALG.A.P. trademark misuse; or payments are not made in accordance with contractual conditions; etc.

6.2 Requirements to Achieve and Maintain GLOBALG.A.P. Certification

Control Points and Compliance Criteria consist of three types of control points: Major Musts, Minor Musts and Recommendations. To obtain GLOBALG.A.P. Certification the following are required:

Major Musts: 100% compliance with all applicable Major Must and QMS control points is compulsory.

Minor Musts: 95% compliance with all applicable Minor Must control points is compulsory.

Recommendations: No minimum percentage of compliance required.

The producer shall comply with the agreements signed (GLOBALG.A.P. Sublicense agreement and CB service agreement in their current version) and with the requirements defined in the General Regulations in their current version.

6.2.1. Minor Must Compliance Calculation

- a) For the sake of calculation, the following formula shall apply:

$$\left\{ \begin{array}{c} \text{(Total number} \\ \text{of} \\ \text{Minor Must} \\ \text{control points)} \end{array} - \begin{array}{c} \text{(Not applicable} \\ \text{Minor Must control} \\ \text{points scored)} \end{array} \right\} \times \frac{5}{\%} = \begin{array}{c} \text{(Total Minor} \\ \text{Must control} \\ \text{point non-} \\ \text{compliance} \\ \text{allowed)} \end{array}$$

e.g. 123 Minor Musts – 55 Not Applicable Minor Musts x 0.05 = 70 x 0.05 = 3.5.

In this example the total number of Minor Must control point non-compliance allowed is 3.5, which shall be rounded down. Therefore this producer may only have 3 Minor Must control points that are non-compliant.

70 applicable Minor Must control points – 3 non-compliant Minor Must control points = 67. This gives a compliance level of 95.7%, whereas if 3.5 were rounded up to 4 it would give a compliance level of 94.2%, which would be *non-compliant with the certification rule*.

NOTE: A score for example of 94.8% *cannot* be rounded up to 95% (the pass percentage)

- b) In all cases, the calculation to show compliance (or non-compliance) shall be available after the inspection.

6.2.2. Applicable Control Points

- a) The control points to be taken into consideration to calculate the percentage of compliance for Major and Minor Musts depend on the product and certification scope. The applicant shall ensure that each individual site and product complies with the certification requirements. Thus the compliance percentage shall be calculated taking into account all the control points applicable to each site and product.
- b) In a multisite operation without QMS, the compliance level is calculated for the entire operation in one checklist. Any applicable control point common to all sites needs to be taken into account for all sites.
- c) In a multisite operation *with* QMS, the compliance level is calculated per sampled production site. Each production site shall comply with the certification requirements. Any applicable control point common to all sites (e.g. central chemical storage) needs to be taken into account for all sites.
- d) In a producer group, the compliance level is calculated per sampled producer. Each producer member shall comply with the certification requirements. Any applicable control point common to all producers (e.g. central chemical storage) needs to be taken into account for all producers.

6.3 Inspection Timing for Certification Level – Initial and re-certification

- a) This section is applicable to producers seeking GLOBALG.A.P. Certification for the first time, and to producers who want to add a new product to an already existing GLOBALG.A.P. Certificate, producers who change certification scheme.
- b) No inspection can take place until the CB has accepted the applicant's registration.
- c) *Each* production process for products registered and accepted for certification for the first time *shall be completely assessed* (all applicable control points shall be verified), *prior to issuing the certificate*.
- d) A product that has not yet been harvested shall not be included in the certificate (i.e. it is not possible to certify a product in the future).
- e) It is possible to add a new product to an already existing certificate during an unannounced inspection (Option 1 without QMS) or during a surveillance inspection (Option 2/Option 1 with QMS), provided all applicable control points for this product are verified.
- f) The applicant shall have records from the registration date onwards or for at least 3 months before the first inspection takes place, whichever is longer and the CB shall inspect them
- g) Products that are harvested before registration with GLOBALG.A.P. cannot be certified.
- h) Records that relate to harvest or product handling before the producer has registered with GLOBALG.A.P. are not valid.

6.4 Certification Decision

- a) The CB shall make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances. In case no non-conformances are detected during the inspection/audit, it means that the CB shall make the decision no later than 28 days after the end of the inspection/audit.
- b) Any complaints or appeals against CB follow the CB's own complaints and appeals procedure, which each CB shall have and communicate to its clients. In case the CB does not respond adequately, the complaint can be addressed to the GLOBALG.A.P. Secretariat using the GLOBALG.A.P. Incident/Complaint Form, available on the GLOBALG.A.P. website (www.globalgap.org).

6.5 Sanctions

- a) If non-conformance is detected, the CB shall apply a sanction (warning, suspension or cancellation) as indicated in this section.
- b) Producers cannot change CB until the non-conformance that led to the respective sanction is satisfactorily closed.
- c) ONLY the CB or the producer group that has issued the sanction is entitled to lift it, provided there is sufficient and timely evidence of corrective action (either through a follow-up visit or other written or visual evidence).
- d) In the event that a producer is certified against any other GLOBALG.A.P. standard, sanctions will apply simultaneously to all standards if the reason for the sanction is a non-conformity against common control points or rules.

6.5.1. Warning

- a) A warning is issued for all types of non-conformance detected (i.e. non-conformance with CPCC, GR or contractual requirements).
- b) If a non-conformance is detected during the inspection, the producer shall be served a warning when the inspection is finalized. This is a provisional report that could be overridden by the CB/VB certification authority.
- c) Initial inspection:
 - (i) If an individual producer or producer group does not comply with 100% of Major Must and 95% Minor Must control points within 28 days after an *initial* inspection, the status "open non-conformance" is set in the GLOBALG.A.P. Database.
 - (ii) If the cause of the warning is not resolved within three (3) months, a complete inspection shall be performed before a certificate can be issued.
- d) Subsequent inspection:
 - (i) Non-conformances shall be closed within 28 calendar days.

- (ii) In the event of non-conformances with contracts, the General Requirements or a Major Must, the CB shall decide what period is given to the producer for closing the non-conformance before suspending the certificate. This period shall never exceed 28 days and may be shortened according to the criticality of the non-conformance in terms of safety of workers, environment and consumers. An immediate suspension shall be issued where a serious threat to food safety, the safety of workers, the environment, consumers and/or product integrity (i.e. sale of non-certified products as certified) is present. This will be communicated via an official warning letter.

6.5.2. Product Suspension

- a) If the cause of the warning is not resolved within the defined period (maximum of 28 days), a suspension shall be imposed by the certification body or the producer group on its members immediately.
- b) CB/VB can lift product suspensions imposed on producers and producer groups issued by them.
- c) Producer groups can lift product suspension on their accepted producer members issued by them.
- d) A suspension can be applied to one, several or all of the products covered by the certificate.
- e) A product cannot be partially suspended for an individual producer (single or multisite), i.e. the entire product shall be suspended
- f) When the suspension is applied, the CB/producer group shall set the period allowed for correction (not longer than 12 months).
- g) During the period of suspension, the producer is prohibited from using the GLOBALG.A.P. logo/trademark, license/certificate or any other type of document that is in any way linked to GLOBALG.A.P. in relation to the suspended product.
- h) If a producer notifies the CB that the non-conformance is resolved before the defined period, the respective sanction can be lifted, subject to satisfactory evidence and closing off.
- i) If the cause of the suspension is not resolved within the defined period, a cancellation is imposed.
- j) The suspension remains as long as the CB or producer group does not lift it or impose a cancellation.

6.5.2.1. Self-declared Product Suspension

- (i) A producer or producer group may voluntarily ask the respective CB(s) for a suspension of one, several or all of the products covered by the certificate (unless a CB has already imposed a sanction). This can occur if the producer experiences difficulty with compliance to the standard and needs time to close any non-conformance.
- (ii) This suspension will not delay the renewal date, nor will it allow the producer to avoid paying registration and other applicable fees.
- (iii) The deadline for closing non-conformance is set by the declaring producer/producer group, which shall be agreed upon with the respective CB(s).
- (iv) The same applies for members of a producer group who may voluntarily ask the respective group to temporarily suspend their product(s). Here too, the deadline for rectifying non-conformance is set by the declaring producer, which shall be agreed upon with the respective producer group QMS.
- (v) In the GLOBALG.A.P. Database the product status "self-declared suspension" shall be set for the respective products.

6.5.3. Cancellation

- a) A cancellation of the contract shall be issued where:
 - (i) The CB finds evidence of fraud and/or lack of trust to comply with GLOBALG.A.P. requirements, or
 - (ii) A producer/producer group cannot show evidence of implementation of effective corrective action before the suspension period set by the CB/producer group has elapsed.

- b) A cancellation of the contract results in the total prohibition (all products, all sites) of the use of the GLOBALG.A.P. logo/trademark, license/certificate, or any device or document that may be linked to GLOBALG.A.P.
- c) Producers that have received a cancellation shall not be accepted for GLOBALG.A.P. Certification within 12 months of the date of cancellation.

6.6 Notification and Appeals

- a) The producer shall either resolve the non-conformances communicated or appeal to the CB in writing against the non-conformances, explaining the reasons for the appeal.
- b) If the non-conformances are not resolved within the permitted period, the sanction will be escalated.

6.7 Sanctioning of Certification Bodies

- a) GLOBALG.A.P. reserves the right to sanction CB based on evidence of not following procedures or clauses of the Certification and License Agreement signed between GLOBALG.A.P. and the CB (refer to General Regulations Part III for more information).

6.8 GLOBALG.A.P. Certificate and Certification Cycle

- a) The GLOBALG.A.P. Certificate can only be issued to the applicant legal entity.
- b) The name of the processor could optionally be mentioned on the certificate.
- c) A certificate is not transferable from one legal entity to another when production sites change legal entity. In this case a complete inspection, following the rules for subsequent inspections, is required. The new legal entity shall receive a new GGN.
- d) The certification cycle is 12 months subject to any sanctions and extensions.

6.8.1. Certificate Information

- a) The paper certificate issued by a CB shall conform to the available templates included in Annex I.3. The format may be different but it shall include the same information.
- b) The paper certificate shall match the information available in the GLOBALG.A.P. Database for that unique GGN at the time of issuing.
- c) The scope of certification shall be clearly defined in the certificate.
- d) Date of certification decision: Date when the CB makes the certification decision after all non-conformances are closed (e.g. 28 October 2016).
- e) Valid from:
 - (i) Initial certification: The initial date of validity is the date on which the CB makes the certification decision (e.g. 28 October 2016).
 - (ii) Subsequent certifications: The "valid from" date for subsequent certificates issued shall always revert to the "valid from" date in the original certificate (e.g. 27 October 2017, 27 October 2018, etc.).
 - (iii) If a new product is added during the validity of a certificate, the certification cycle (valid from-valid to) is kept as it was. If the CB wants to indicate that the newly added products are certified and added later than the original "valid from", there is a possibility to add the individual "valid from" of each product on the paper certificate.

- f) Valid to:
 - (i) Initial certification: Date valid from plus 1 years minus 1 day. The CB may shorten the certification cycle and the validity, but cannot prolong it.
 - (ii) Subsequent certifications: The validity date for subsequent certificates issued shall always revert to the “valid to” date on the original certificate.
- g) If a producer is certified for different products by different CBs, certificates may have different certification cycles (valid from – valid to).

6.8.2. Extension of Certificate Validity

- a) The validity may be extended beyond the 12 months (for a maximum period of 4 months) only if there is a valid reason, which has to be recorded in the audit/inspection report. Here are the only reasons that are considered to be valid:
 - (i) The CB wants to schedule the on-site inspection/audit after the certificate has expired in order to observe a certain part of the production process, because it has not been seen in the previous inspection/audit, because it is considered to be a high-risk process in terms of product safety or to be able to see a newly added product, process or a new or particular member of a producer group.
 - (ii) The CB needs to be able to extend some certificates because of resource restraints.
 - (iii) The CB was not able to conduct the on-site inspection/audit and/or the producer was not able to receive the CB inspection audit due to circumstances beyond its control (force majeure) e.g.: natural disaster, political instability in the region, epidemic or unavailability of the producer due to medical reasons.
- b) Upon the producer’s request, the CB (which issued the extended certificate) re-accepts the product in the GLOBALG.A.P. Database for a full next cycle within the original validity period of the certificate.
- c) The full annual registration fee shall be paid .
- d) The producer shall be re-inspected during that extension period.
- e) The producer cannot change the CB in a cycle subsequent to the one for which the extension was granted.

6.8.3. Maintenance of Certification

- a) The registration of the producer and the proposed products shall be confirmed with the CB *annually before* the expiry date, following all conditions already explained in sections 4 and 5.
- b) The CB inspector shall complete the entire checklist and the verification process every year.
- c) It is recommended that the processor and any intermediate supply chain participant have a GLOBALG.A.P. Chain of Custody certificate.

7. ACRONYMS AND REFERENCES

7.1 Acronyms and Abbreviations

| | | | |
|------|----------------------------------|-------|---|
| AB | Accreditation Body | CB | Certification Body / Crops Base in IFA |
| CC | Compliance Criteria | CoC | Chain of Custody |
| CP | Control Point | CPCC | Control Points and Compliance Criteria |
| IFA | Integrated Farm Assurance | HACCP | Hazard Analysis Critical Control Points |
| NTWG | National Technical Working Group | TC | Technical Committee |
| CBC | Certification Body Committee | IAF | International Accreditation Forum |
| MLA | Multilateral Agreement | EA | European co-operation for Accreditation |

| | | | |
|------|-----------------------------|-------|-----------------------------------|
| CL | Checklist | QMS | Quality Management System |
| BMCL | Benchmarking Checklist | GFSI | Global Food Safety Initiative |
| IPRO | Integrity Program | CIPRO | Certification Integrity Program |
| CFM | Compound Feed Manufacturing | PHU | Product Handling Unit |
| FSS | Food Safety Standard | VB | Verification Body |
| CfP | Crops for Processing | NIG | National Interpretation Guideline |

7.2 Reference Documents

- a) ISO/IEC 17020:2004: General criteria for the operation of various types of bodies performing inspections.
- b) ISO/IEC 17025:2005: General Requirements for the competence of testing and calibration laboratories.
- c) ISO/IEC 17011: General Requirements for accreditation bodies accrediting conformity assessment bodies.
- d) ISO 19011: Guidelines for quality and/or environmental management systems auditing.

ANNEX I.1 RULES FOR USE OF GLOBALG.A.P. TRADEMARK AND LOGO

GLOBALG.A.P. is the owner of the “GLOBALG.A.P.” trademark, i.e. the word “GLOBALG.A.P.”, the GLOBALG.A.P. logo and its “G”-shape logo, collectively the “GLOBALG.A.P. Trademark”.

The “QR code logo” refers to the design quick response logos owned by GLOBALG.A.P. shown in this Annex I.1, Point 2.iii.

The certification body is expected to verify the correct use of the GLOBALG.A.P. trademark and the QR code logo by the producers at all times. Infringement of these rules could lead to sanctions.

1. GLOBALG.A.P. Trademark and QR Code Logo

- (i) The certification granted entitles the producer/company to distribute and market their products under the trademark and, if applicable, under the QR code logo only to the extent that these products have been registered with the CB and are produced, handled or traded in a production site or location registered with the CB and are in full compliance with this standard.
- (ii) The producer shall only use the trademark and/or the QR code logo in connection with products complying to the requirements of the GLOBALG.A.P. System. In cases where certified producers who have not signed up for voluntary GLOBALG.A.P. membership use the GLOBALG.A.P. logo and/or the “G”-shape logo, they shall combine the logo with the corresponding GGN.
- (iii) The GLOBALG.A.P. trademark shall never appear on the product, consumer packaging of products intended for human consumption or at the point of sale where it is in direct connection with single products.
- (iv) The QR code logo may appear on the product, consumer packaging of the product or at the point of sale where it is in direct connection with certified products.
- (v) Producers may only use the GLOBALG.A.P. trademarks on pallets that contain only certified GLOBALG.A.P. products and that will NOT appear at the point of sale.
- (vi) GLOBALG.A.P. certified producers may use the GLOBALG.A.P. trademark and the QR code logo in business-to-business communication, and for traceability, segregation or identification purposes on site at the production site.
- (vii) Retailers, producers and other organizations that signed up for voluntary GLOBALG.A.P. membership may use the trademark in promotional print-outs, websites, flyers, business cards, hardware and electronic displays (shall not appear as a product label directly linked to certified products) and in business-to-business communication.
- (viii) GLOBALG.A.P. approved certification bodies can use the trademark in promotional material directly linked to their GLOBALG.A.P. certification activities in business-to-business communication and on GLOBALG.A.P. Certificates they issue. They can also use the QR code logo on GLOBALG.A.P. Certificates they issue.
- (ix) The GLOBALG.A.P. trademark shall never be used on promotional items, apparel items or accessories of any kind, bags of any kind or personal care items.
- (x) The GLOBALG.A.P. trademark may be used on the products that will serve as input for the production of the final products (processing), and which are not intended to be sold to final consumers, and will not appear at the point of sale to final consumers.
- (xi) The company shall indicate when using the trademark and the QR code logo that it is a GLOBALG.A.P. registered trademark.

2. Specifications

- (i) The producer shall only use the trademark and, if applicable, the GLOBALG.A.P. QR code logo in the manner provided by GLOBALG.A.P. and shall not alter, modify, or distort them in any way. However, the producers can design their own logos and embed the QR code in them.
- (ii) The GLOBALG.A.P. logo shall always be obtained from the GLOBALG.A.P. Secretariat. This will ensure that it contains the exact corporate color and format, as below:



GLOBALG.A.P.®

- (iii) The GLOBALG.A.P. QR code logos (for more designs see <http://www.globalgap.org>):
- (iv) The embedded QR code may contain the following information:
 - (i) The GGN CFP number of the producer or company that labels the product.
 - (ii) An URL of the GGN CFP number validation website that is linked to the GLOBALG.A.P. Database.
 - (iii) The URL of the GLOBALG.A.P. Database.
 - (iv) The batch number of the product.
 - (v) Combinations of the above.

3. GLOBALG.A.P. NUMBER FOR CFP

- (i) In the GLOBALG.A.P. System the GS1-Identification system of 13-digit numerical GLN numbers is used to identify and track any participating legal entity. It is displayed in combination with a letter prefix, *not* including the GLOBALG.A.P. trademark, and is unique to each and every producer and any other legal entity in the GLOBALG.A.P. System. For this number, GLOBALG.A.P. requires to use either Global Location Numbers (GLN) issued by the national GS1 organization (www.gs1.org) or issued by the United Nations UN Blue Number), or in the absence of the above, GLOBALG.A.P. assigns its own interim Sub-GLN. Please note the limited use of the Sub-GLN exclusively to demonstrate participation in the GLOBALG.A.P. System.
- (ii) The letter prefix to be used by Crops for Processing certified producers shall be “GGN CFP”.
- (iii) The GGN identifies a registered or certified producer and may only be used as indicated in the CPCCs. It cannot be used to label a product that is not certified. The GGN (e.g.: GGN CFP_1234567890123) may appear on the product, consumer packaging of the product or at the point of sale where in direct connection with individual certified products. The GGN shall only be used on transaction/sales documents including certified products. When the transaction/sales documents include certified and non-certified products, the certified items shall be clearly identified as required by the relevant All Farm Base Control Points and Compliance Criteria.
- (iv) The legal entity that labels GGN CFP shall be a holder of a valid CFP certificate. Any other entity that wants to label the final product with a GGN shall be a holder of a valid Chain of Custody certificate.
- (v) The GGN may be used in (converted into) digital codes, e.g. barcode, EAN number, generic QR code or GLOBALG.A.P. QR code logo format, etc. However, where it is required by a CPCC to include the GGN in the product label and/or in the transaction documents, the GGN needs to appear in human readable format.
- (vi) On termination of the Sub-License and Certification Agreement the right of the producer to use the GLOBALG.A.P. claim, including the trademark, GGN, or the QR code logo, terminates with immediate effect.
- (vii) The GGN shall only be used in connection with the GLOBALG.A.P. System.
- (viii) Whenever a need arises to identify the organization in other contexts or additional applications, an organization may apply for its own GLN and report this number to GLOBALG.A.P., which shall register the organization under its own number and withdraw the GGN accordingly. The GLN replaces the GGN in the GLOBALG.A.P. System.

ANNEX I.2 GLOBALG.A.P. REGISTRATION DATA REQUIREMENTS

1. Types of Master Data Required

The CB shall record the following data and the GLOBALG.A.P. Database needs to be updated accordingly (as required in the current database manual).

- 1.1 Company and location information
- 1.2 Production sites/Product Handling Units information
- 1.3 Product information

This information shall be updated whenever there is a change and at the latest with the re-acceptance of products for the next certificate cycle and/or the re-certification.

1.1 Company Information of Legal Entity

The following information regarding the company (producer group, producer as individual certificate holder or producer member in a producer group) is necessary to supply each producer in the system with a unique GLOBALG.A.P. Number (CfP GGN).

1.1.1 Company

- (i) Company name
- (ii) Contact details: street address or information available to describe producer location
- (iii) Contact details: postal address
- (iv) Postal code or zip code
- (v) City
- (vi) State or province
- (vii) Country
- (viii) Phone number (if available)
- (ix) Fax number (if available)
- (x) E-mail address (if available)
- (xi) GLN (if available)
- (xii) Legal registration by country if requested by National Interpretation Guidelines. This number is only used for internal verification to avoid double registration (e.g., tax number, VAT number, producer number etc.)
- (xiii) Previous GLOBALG.A.P. Number (GGN)
- (xiv) Northern/Southern latitude and Eastern/Western longitude or other form of geospatial coordinate information as defined and requested by GLOBALG.A.P. The minimum input accuracy level shall be +/-10 m. If the producer decides to display this information, the display accuracy level will be 10 m for market participants and 1,000 m for the public.

1.1.2 Contact Person (Responsible for Legal Entity)

This is the information required for the person in the company who is legally responsible for the legal entity.

- (i) Title
- (ii) First name
- (iii) Last name
- (iv) Phone number (if available)
- (v) Fax number (if available)
- (vi) E-mail address (if available)

1.2 Information Regarding Production Sites / Product Handling Units

The following information regarding production sites or Product Handling Units (PHU) of the company (legal entity) to be certified is necessary. This information is obligatory for multi-site certificates. The PHU is obligatory for product handling operations performed under the ownership of the registered producer.

1.2.1 Production Sites and/or PHU

- (i) Company name of product handling facility (if subcontracted) / name of production site.
- (ii) Contact details: Street address or information available to describe production site/product handling unit location
- (iii) Contact details: Postal address
- (iv) Postal code or zip code
- (v) City
- (vi) Country
- (vii) Phone number (if available)
- (viii) Fax number (if available)
- (ix) E-mail address (if available)
- (x) Northern/Southern latitude and Eastern/Western longitude or other form of geospatial coordinate information at field/facility level *is voluntary*.
The minimum input accuracy level shall be +/-10 m. If the producer decides to display this information to market participants and the public, the display accuracy level will be 10 m.
- (xi) Products produced in each production site or handled in each PHU, as soon as available in the GLOBALG.A.P. Database.
- (xii) Processor certification information (BRC or IFS certification and category)

1.3 Product Information

This information gives more detail on the product(s) to be certified and shall be used to invoice the producer. This information shall be updated if there are any changes detected during the external inspections.

- a) Product(s)
- b) Parallel ownership per product
- c) Subcontracted activities
- d) Quantity information (based on requirements as explained in fee table)
 - (i) Crops: Annual area under production (ha), voluntary: estimated yield (tons) per product. The producer registration fee is based on the production area registered in the GLOBALG.A.P. Database, separated into two categories: covered and non-covered crops. For perennial crops, the area covered by the registration fee is the area in production, i.e. juvenile, non-producing fruit trees are not subject to any fee. In order to maintain information about the whole area under cultivation, the area in production and to be harvested shall be registered as "First Harvest", and the non-producing area as "Further Harvest".
- e) Option (1 or 2 per product)
- f) Certification body/bodies to be used per product
- g) Country of destination (it is possible to declare a group of countries, e.g. European Union)
- h) Other requirements:
 - (i) Covered or non-covered crop
 - (ii) First harvest (first crop) on an area during a certification cycle or further harvest (subsequent crop) of the same or different crop on the same area during the certification cycle.
 - (iii) Exclusion of harvest.
 - (iv) Name and certification of the processor (when available)
 - (v) CoC number of customer (when available)

ANNEX I.3 GLOBALG.A.P. PAPER CERTIFICATE TEMPLATE

CB Logo¹

GGN CFP xxxxxxxxxxxxxxxxxxxxx²

Registration number of producer / producer group (from CB) / Benchmarked Scheme xxxxxxxxx³

GLOBALG.A.P.[®] 4

CERTIFICATE

According to GLOBALG.A.P.[®]
Crops for Processing General Regulations Version 1⁵

Option X⁶

Issued to

Producer group / Producer
Company name, address⁷

Country of production⁸

The annex contains details of the producers and production sites / product handling units included in the scope of this certificate.⁹

The Certification Body [Company Name] declares that the production of the products mentioned on this certificate has been found to be compliant in accordance with the standard:

Scheme Logo¹⁰

Crops for Processing V1¹¹

Farming of plants not intended for fresh consumption

The [Standard Name] normative documents have achieved status of equivalence to GLOBALG.A.P.[®] normative documents [Name and version] in accordance with the GLOBALG.A.P.[®] benchmarking procedure.¹²

| Product ¹³ | GLOBALG.A.P. Product Certificate Number ¹⁴ | Further columns scope, sub-scope or product specific (description see below) ¹⁵ | Number of producers/ production sites ¹⁶ | Parallel production ¹⁷ | Parallel ownership ¹⁷ |
|-----------------------|---|--|---|-----------------------------------|----------------------------------|
| | | | | | |

Date of issue (printing date of certificate): xx/xx/xxxx¹⁸

Valid from: xx/xx/xxxx¹⁹

Valid to: xx/xx/xxxx²⁰

Authorized by²¹

Date of certification decision:
xx/xx/xxxx²²

CB contact data²³

Company name, Address (incl. Email)

ANNEX for GGN CFP xxxxxxxxxxxxxxxx²⁵

Date of issue: xx/xx/xxxx¹⁸

Producer Group Members (Option 2 or 4)²⁶

| GGN/ GLN²⁷ | Producer name and address²⁸ | Product(s)²⁹ | Product handling <small>30</small> | Parallel production³¹ | Parallel ownership <small>31</small> |
|----------------------------------|---|--------------------------------|---|---|---|
| | | | | | |
| | | | | | |
| | | | | | |

Production Sites (Option 1 and 3)³²

| Site name and address³³ | Product(s)²⁹ | Parallel production³¹ |
|---|--------------------------------|---|
| | | |
| | | |
| | | |

Product Handling Units (PHUs)³⁴

| GGN/GLN³⁵ | PHU name and address³⁶ | Product(s)²⁹ | Parallel ownership³¹ |
|-----------------------------|--|--------------------------------|--|
| | | | |
| | | | |
| | | | |

Notes

The certificate *shall be in English*. A second language may be added in the certificate.

- 1 The Certification Body (CB/VB) logo shall always appear on all certificates.
- 2 The GLOBALG.A.P. Number (GGN CFP) shall appear on all certificates. In case a certificate holder owns a Global Location Number (GLN), this number shall replace the GGN. The “GLN” may be used instead of the “GGN”. In case the certificate holder owns a UN Blue Number, this number shall replace the GGN on request.
- 3 Optional: The registration number of a producer or producer group, which is assigned by the CB or from the benchmarked scheme *may* appear on all certificates. It consists of the term “CB-Short” and a number (with exactly one space character in between, CB-Short xxxxxxxxxxxx).
- 4 The logo of the scheme
The GLOBALG.A.P. logo shall be added.

Equivalent schemes: The GLOBALG.A.P. logo may be added in addition to a benchmarked scheme’s logo.

Note: Provisionally approved CBs are not allowed to add the GLOBALG.A.P. logo.

- 5 Certification scheme and version
Please enter, e.g. “GLOBALG.A.P. Crops for Processing General Regulations Version 1.x_date”.
Always indicate the exact Version (e.g.: 1.0_September2016)

For Equivalent Schemes (Option 3 and 4): Enter the exact certification scheme version, e.g.:
Certificationscheme X-GAP Effective from 1 April 2017.

- 6 Options shall always appear on the certificate as follows:
 - “Option 1 - individual producer”,
 - “Option 1 - individual multisite producer”,
 - “Option 1 - individual multisite producer with QMS”,
 - “Option 2 - producer group”,
 - “Option 3 - individual producer under equivalent scheme”,
 - “Option 4 - producer group under equivalent scheme”.
- 7 Name of the certificate holder (legal entity) and the address shall be printed on the paper certificate. The address includes that of the legal entity and of the production site. If these are different, and there is only one site, the site address can be included on the certificate or in the annex. In case of multisite producers, the addresses of the registered production sites shall be listed in the certificate annex.
- 8 The country of production shall appear on all certificates.
- 9 Applicable only if any of the following is true:
 - a) The certificate holder is a producer group (Option 2 or 4). All producer group members shall be listed in the annex.
 - b) Product handling* is included in the scope of the certificate. If the address is different, all product packing and handling unit(s) shall be listed in the annex.
 - c) The certificate refers to a multisite (Option 1 or 3) certificate. All sites of the multisite operation shall be listed in the annex (see ³⁵).

d) The certificate holder with multisites has registered for parallel production/ownership. All production sites and PHUs (packing and handling) with *certified* products shall be listed in the annex.

* Product Handling definition:

Product Handling: Any handling of products done post-harvest, where the product may have physical contact with other materials or substances. It includes storage, chemical treatment, trimming, washing, etc., but it excludes product processing.

¹⁰ In case of Equivalent Scheme certificates: The logo of the scheme *may* appear.

¹¹ Standard Control Points and Compliance Criteria (CPCC) Version, (e.g. “GLOBALG.A.P. Control Points and Compliance Criteria Crops for Processing Version 1.0_September 2016”

Indicate the version of the approved National Interpretation Guideline if published for the ‘Country of Production’. E.g.: “GLOBALG.A.P. Control Points and Compliance Criteria (CPCC) Version 1.0_Oct 2015 - Interpretation Guideline Chile (edition date) ”.

¹² Only applicable for Equivalent Schemes.

¹³ Certified product(s) shall always be listed according to the GLOBALG.A.P. product list. More detailed information *may* be included in brackets, e.g. “tomatoes for canning”, “oranges for juicing”, etc.

¹⁴ The GLOBALG.A.P. product certificate number shall be printed on the paper certificate. It is a reference code for the certificate in the GLOBALG.A.P. Database per product and certificate cycle. The GLOBALG.A.P. product certificate number is generated automatically in the system and consists of 5 digits, 5 letters and a suffix (#####-ABCDE-#####). All changes to the certificate in a given certificate cycle are reflected in the suffix.

¹⁵ The columns and corresponding attributes linked to the products in the table are product specific.

For crops:

| Product | GLOBALG.A.P. Product certificate number | Harvest included | Product handling included | Number of producers/production sites | Parallel production | Parallel ownership |
|---------|---|------------------|---------------------------|--------------------------------------|---------------------|--------------------|
| | | | | | | |

Notes:

Harvest included: If produce handling is included, this data field (column) can be omitted. Note: If harvest is excluded, product handling is not applicable for the given product.

Product handling: Enter “no” in case no product handling is included. If product handling is included, indicate whether it takes place in-field (“in-field”) or in a facility (“facility”) or both (“in-field + facility”).

Quantity (voluntary): Area (in ha) *may* be included per product. In case quantity (in ha) is displayed, “non-covered” and “covered” shall be segregated.

- 16 In the case of producer groups (Option 2 and 4), enter the number of approved producers, which are listed in the annex. In case of multisite producers (Options 1 and 3), enter the number of registered production sites, which are listed in the annex.
- 17 Applicable in case of parallel production / ownership of non-certified *and* certified products (enter Yes/No). All PHUs and sites handling or producing certified products shall be listed in the annex.
- 18 Date of issue is the printing date of the paper certificate. It shall be added to the first page of the certificate and to the annex to connect each other. This date may instead be included in the footer of each page of the certificate and annex.
- 19 The certificate “valid from” date defines the beginning of a certification cycle.

If a new product is added during the validity period of a certificate, the certification cycle (valid from – valid to) will be kept as it was. If the CB/VB wants to indicate that the newly added products are certified and were added later than the original “valid from”, there is a possibility to add the individual “valid from” of each product on the paper certificate. This is voluntary and additional information.
- 20 The certificate “valid to” date is the expiry date of the certificate.
- 21 The first and the last name of the person who has authorized the certificate, written in block letters. This person shall sign the certificate.
- 22 “Date of Certification Decision” shall appear on all certificates. It is the date when the Certification Committee makes the certification decision.

Additionally, the CB may add the QR code including a link to the GGN validation site.

The following may be converted into QR code:

Link to the mobile website: <http://database.globalgap.org/search/40xxxxxxx>

Link to the GLOBALG.A.P. website:

<https://database.globalgap.org/globalgap/login.jsp?loginMode=1&searchQuery=40xxxxxxx>

Please replace the 40xxxxxxx with the producer/producer group's GGN CFP at the end of the link.

- 23 CB contact data (company name, address, email) shall appear on all certificates.
- 24 Page numbering shall be included (Page x of y) to show total number of pages.
- 25 The annex (incl. the GGN CFP of the certificate holder) shall be added, if applicable.
- 26 In case of Option 2 or 4, all approved members of the producer group shall be listed in a table per product.
- 27 All approved members of the producer groups (Option 2 and 4) are different legal entities and receive a GGN, which shall appear in the table. They may have an own GLN instead of the GGN.
- 28 Name and address of the approved producer group members shall be printed on the certificate.
- 29 Products approved per producer member, production site or PHU.
- 30 Indicate the product for which the producer member carries out product handling ("Yes") and does not carry out product handling ("No").
- 31 In case of parallel ownership of non-certified *and* certified products, this shall be indicated per product in all three tables (i.e. per approved member for Options 2 and 4, sites for Options 1 and 3, and per product handling unit). Enter yes/no.
In case no parallel ownership has been registered for any product, these columns may be omitted.
- 32 In case of multisite Option 1 or 3, all registered sites shall be listed.
- 33 Name and address of the production sites shall be listed.
- 34 In case of product handling, all registered PHUs shall be listed.
- 35 In case the PHU has an own GGN/GLN, it shall be listed.
- 36 Name and address of the PHUs shall be listed, unless the address is the same as that of the production site.

ANNEX I.4 GLOBALG.A.P. DEFINITIONS

Click [here](#) to download the GLOBALG.A.P. Definitions in its latest version.

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