



GLOBALG.A.P.

GLOBALG.A.P. General Regulations

Part III – Certification Body and Accreditation Rules

ENGLISH VERSION 5.2

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1 LICENSE AND CERTIFICATION AGREEMENT

- a) The 'GLOBALG.A.P. License and Certification Agreement' establishes the rights and obligations of the GLOBALG.A.P. Secretariat as the GLOBALG.A.P. system co-coordinator and of the certification body (CB) as the neutral organization for auditing, inspection, certification and licensing activities within the framework of the GLOBALG.A.P. system.
- b) The 'GLOBALG.A.P. License and Certification Agreement', including its updates, shall be accepted and signed by the CB as part of the application procedure to become and to remain a GLOBALG.A.P. approved CB and to be listed as such on the GLOBALG.A.P. website.
- c) The 'GLOBALG.A.P. License and Certification Agreement', the 'GLOBALG.A.P. Sublicense and Certification Agreement', and the General Regulations complement each other and GLOBALG.A.P. approved CBs shall continuously comply with all.

2 CERTIFICATION BODY APPROVAL PROCESS

2.1 CB Approval by GLOBALG.A.P.

2.1.1 Provisional Approval

- a) The CB shall complete the steps listed below before carrying out any GLOBALG.A.P. inspections/audits, issuing any GLOBALG.A.P. (Option 1, Option 2, or benchmarked) certificates (accredited or non-accredited) and before provisional approval can be granted.
 - (i) The applicant CB shall register in the GLOBALG.A.P. CB Extranet (<http://cb.globalgap.org>), send a completed application form in English and pay an evaluation fee (according to the latest version of the 'GLOBALG.A.P. Fee Table') to the GLOBALG.A.P. Secretariat for initiating the approval process.
 - (ii) After the positive evaluation of the application and before provisional approval, the applicant CB shall complete the following steps:
 1. Sign the 'GLOBALG.A.P. License and Certification Agreement'
 2. Pay the annual CB license fee (according to the latest version of the 'GLOBALG.A.P. Fee Table')
 - (iii) After provisional approval, but before conducting any GLOBALG.A.P. inspection or audit, the applicant CB shall complete the following steps:
 1. Receive Database access from the GLOBALG.A.P. Secretariat
 2. Register all auditors and inspectors in the GLOBALG.A.P. Database
 3. Have all the auditors and inspectors complete the necessary GLOBALG.A.P. online exams for the General Regulations and for the Control Points and Compliance Criteria in the relevant sub-scope(s)
 4. Pay the relevant training fees per registered auditor/inspector according to the latest version of the 'GLOBALG.A.P. Fee Table'.
- b) As a condition for provisional approval, the applicant CB intending to certify Option 1 producers shall have at least one inspector (for producer inspections) *and* one auditor (for the Certification Committee) who have passed the necessary online exam for the applied sub-scope and scope respectively as well as the General Regulations.
Applicant CBs wanting to certify Option 2 producer groups or Option 1 multisite producers with QMS shall have at least one auditor (for QMS audits) *and* at least a second auditor (for the Certification Committee) who have passed the necessary online exam for the applied sub-scope and scope respectively and the QMS auditor (face-to-face) training.
- c) The CB shall nominate a GLOBALG.A.P. Scheme Manager (according to point 3.2 a)).
- d) The CB shall nominate an in-house trainer (according to point 3.2 c)) and complete or at least register for the in-house trainer training of the relevant scope(s).
- e) The CB intending to certify a benchmarked standard shall show proof of approval by the scheme or standard owner.
- f) CBs shall apply to an accreditation body (AB) for accreditation to ISO/IEC 17065 in the relevant GLOBALG.A.P. sub-scope(s) and approved modified checklists or in the relevant full benchmarked scheme (see 'GLOBALG.A.P. Benchmarking Regulations'). A copy of the confirmation of this application to the AB shall be forwarded to the GLOBALG.A.P. Secretariat.

- g) The GLOBALG.A.P. Secretariat will allow provisionally approved CBs *with a previous ISO/IEC 17065 accreditation* to issue a limited number of non-accredited certificates before final approval. The maximum number of *producers* that may receive non-accredited certificates (Option 1, Option 2, and benchmarked Options 3 and 4) *per scope* (Crops, Livestock, or Aquaculture) is 20.
- Example 1: If a CB has one producer group (Option 2) of 33 producers, it can only issue a non-accredited certificate for 20 of the 33 producers. The CB cannot issue further certificates for any Option 1 or Option 2 producers until it has received accreditation. Alternatively, the CB can issue 20 Option 1 certificates for 20 individual producers.
- Example 2: A CB can issue a non-accredited certificate for an Option 2 producer group covering 12 producers and 8 non-accredited Option 1 certificates for 8 individual producers (i.e. not connected to the Option 2 group for a total of 20 producers).
- Example 3: The CB applies for IFA FV, IFA FO and IFA Pigs. 20 producers (individual producers or Option 2 group members) may receive non-accredited certificates for IFA FV, IFA FO in total and 20 pig producers may receive non-accredited IFA certificates.
- h) There is a provision by the GLOBALG.A.P. Secretariat to allow provisionally approved CBs *with no previous ISO/IEC 17065 accreditation*, and that are not yet GLOBALG.A.P. accredited, to issue a limited number of non-accredited certificates during the application phase for accreditation. These CBs shall apply for accreditation to only issue certificates under Option 1 rules and for only one scope in the beginning. As soon as accreditation for Option 1 is obtained, other scopes can be applied for, and/or the CB can apply for accreditation for Option 2 certification. The maximum number of *producers* that may receive non-accredited Option 1 (benchmarking Option 3) certificates *for the first scope approval* is 5.
- i) The non-accredited certificates shall comply with the applicable certificate template requirements, but shall indicate neither the GLOBALG.A.P. nor the AB logos.

2.1.2 Final Approval

The CB shall complete the steps below before issuing any accredited GLOBALG.A.P. certificates or operating any accredited GLOBALG.A.P. Add-on and before final approval can be granted.

- a) CBs shall obtain ISO/IEC 17065 accreditation within 6 months after the date of provisional approval. This period can be extended for an additional time span of 6 months if the AB provides justified reasons explaining the delay. The CB shall submit the justified reasons to GLOBALG.A.P.
- b) Once accreditation has been obtained, the CB shall send a copy of the accreditation evidence to the GLOBALG.A.P. Secretariat.
- c) If accreditation has not been achieved within a maximum period of one year, the provisional approval may be withdrawn, and the CB shall not appear as provisionally approved on the GLOBALG.A.P. website and cannot issue any GLOBALG.A.P. certificates, unless the CB submits justification for the delay. The CB may re-apply for provisional approval again.
- d) As a condition for final approval, the provisionally approved CB shall have at least one in-house trainer (according to point 3.2 c)) who has completed the required training available for the applied sub-scope.
- e) CBs shall continually register all auditors and inspectors in the GLOBALG.A.P. Database.
- f) The registered auditors and inspectors shall complete the necessary GLOBALG.A.P. online exams for the General Regulations and for the Control Points and Compliance Criteria in the relevant sub-scope when it is available in their working language.
- g) CBs planning to certify Option 2 or Option 1 multisite with QMS shall have at least 2 auditors complying with the auditor qualification requirements as defined in Annex III.2 including the face-to-face QMS auditor training.
- h) CBs shall pay the relevant training fees per registered auditor/inspector according to the latest version of the 'GLOBALG.A.P. Fee Table'.
- i) Only after the CB has been accredited to ISO/IEC 17065 with the applicable GLOBALG.A.P. (or benchmarked) sub-scope can the CB place the GLOBALG.A.P. trademark/logo on the certificate according to the applicable GLOBALG.A.P. certificate template, which shall be followed at all times.

2.2 Extension of Scopes, Sub-scopes, Approved Modified Checklists, and Benchmarked Schemes

- a) GLOBALG.A.P. approved CBs that want to extend their *scope* of GLOBALG.A.P. certification shall follow all steps and requirements mentioned in 2.1 and shall apply for the accreditation of the new scope before signing the agreement of extension of scope with GLOBALG.A.P. Standards such as PSS, HPSS, CFM, AMCs, benchmarked schemes, etc., or localg.a.p. programs and GLOBALG.A.P. Add-ons will be considered as new scopes.
- b) GLOBALG.A.P. approved CBs that want to extend their *sub-scope* of certification within a scope, shall have a minimum of 1 inspector or auditor who complies with specific GLOBALG.A.P. inspector or auditor sub-scope requirements (Annexes III.1 and III.2 respectively). A formal application shall be sent to the GLOBALG.A.P. Secretariat. The CB shall apply for the accreditation of the new sub-scope.
- c) The precondition for scope or sub-scope extension (provisionally approved status) is the availability of an in-house trainer for the new sub-scope(s). In the absence of training opportunity, the CB at least has to register for the next upcoming training. The provisional approval shall be withdrawn where the CB does not attend or fail the applicable in-house training.
- d) GLOBALG.A.P. approved CBs willing to extend their approval to an AMC or benchmarked scheme -within the same scope and sub-scope- shall send an application request to the GLOBALG.A.P. Secretariat.

2.3 Accreditation Body Requirements

- a) The accreditation body to which the CB applies shall be a signatory of the IAF Multilateral Recognition Arrangement (MLA) for product certification (IAF Product MLA) with GLOBALG.A.P. sub-scope of the MLA (level 4 and 5). In addition, the AB shall have signed the 'Memorandum of Understanding' (MoU) with GLOBALG.A.P.
- b) The accreditation document issued by the AB to the CB shall clearly state:
 - (i) The extent of the accreditation sub-scope(s) and/or approved modified checklist it has been approved for
 - (ii) The GLOBALG.A.P. normative documents and its version
 - (iii) Limitations to Option 1 (if applicable)
 - (iv) Territorial limitations (if applicable)
- c) An initial AB assessment of a GLOBALG.A.P. scope (Crops, Livestock, or Aquaculture) shall require at least one witness assessment (of one sub-scope) within each applied scope.

Example: The CB applies for FO and for FV accreditation at the same time. The AB may witness only a FV inspection but grant accreditation for both sub-scopes. An FO inspection shall be sampled for witness later in the 4-year period.
- d) The AB shall only grant the accreditation for Option 2 (including Option 1 multisite operation with QMS) if the AB has completed at least one QMS audit witness assessment regardless of the scope or sub-scope.

Example: The CB applies for FV and for Aquaculture accreditation including QMS at the same time. The AB may witness only an FV QMS audit, but grant accreditation for both scopes for Option 2 (including Option 1 multisite operation with QMS).
- e) The extension of the accreditation to new sub-scope(s) within an already accredited scope shall include at least the assessment of the personnel competency and a new witness assessment is not necessary. benchmarked schemes and AMCs are considered as equivalent sub-scopes (for the respective sub-scope).

Example: The CB applies for FV and for New Zealand GAP for FV accreditation at the same time. The AB may decide to witness an inspection of one standard or of both standards, but shall grant accreditation to both of them. This applies to c), d), e), and f) as well.
- f) The AB shall, during its surveillance program, witness all sub-scopes in at least a 4-year period, but not every scope/sub-scope combination every year by default. Selection shall take into consideration and preference shall be given to the Option 2 and the Option 1 multisite with QMS certificates of the CB. The AB shall justify the increase of witness assessment frequency.

Example: If the CB has only one single sub-scope accredited (e.g. FV), the AB – after initial accreditation – may witness FV only once in a 4-year period. If the CB is accredited for FV and Pigs, the AB – after initial accreditation – may carry out only 2 witnesses (FV and Pigs) once in a 4-year period.

- g) GLOBALG.A.P. provides the AB access to all records (relevant to the AB) of the integrity program and complaint management system relevant to the AB through the AB Extranet. The AB shall at least annually review the content of the AB Extranet and take this into account in its next assessment. Accreditation bodies are invited to attend the integrity assessments performed by GLOBALG.A.P.
- h) On request, the AB shall send to GLOBALG.A.P. the latest results and report of the accreditation assessment. In this case, the CB shall be informed.
- i) The AB shall issue a confirmation of application including the applied standard scope and sub-scope to the applicant CB.

2.4 Termination of Approval

In case a CB requests the termination of the 'GLOBALG.A.P. License and Certification Agreement', the following actions shall be taken:

- a) The CB shall send a formal termination request to the GLOBALG.A.P. Secretariat.
- b) The CB shall inform all clients that the re-certification has to be carried out by another CB.
- c) There is no need for the CB to modify or update anything in the GLOBALG.A.P. Database. If the products are not re-accepted for the next cycle, once the current certificate expires, the new CB will be able to accept the GGN of the producers and re-certify.
- d) From a specific date onwards, the CB shall be blocked in the GLOBALG.A.P. Database and cannot register new clients or re-issue and extend their valid certificates.
- e) The CB shall contact the Customer Support Team for any changes such as modification of existing certificates, shortening of the certificate validity, changing of the access rights of existing producers, amendments in the master data, complaints, etc.
- f) The CB shall inform the accreditation body.
- g) The CB shall be listed on the GLOBALG.A.P. website until their last certificate expires. A comment shall be added that the CB cannot contract/certify producers and will terminate its GLOBALG.A.P. approval on a specific date.
- h) It shall be decided by GLOBALG.A.P. if the certification body license fee applies for the current and/or following year and whether any further training shall be attended.

3 OPERATIONAL REQUIREMENTS

3.1 General Requirements

- a) All the points described in the General Regulations shall be accepted and included in the relevant operational document of the CB for GLOBALG.A.P. certification of all scopes, sub-scopes and approved modified checklists, and be available for accreditation body evaluation. This requirement for approved modified checklists is fulfilled by the compliance with the relevant sub-scope requirements.
- b) The CB shall pay the annual certification license and certificate fee.
- c) The CB is responsible for communicating to its GLOBALG.A.P. registered clients all relevant updates, as well as the date of first application and grace period of any new GLOBALG.A.P. versions of normative documents.
- d) GLOBALG.A.P. shall be entitled to participate, upon prior notice and at its own cost, in inspections or audits carried out by CBs.
- e) The information collected by GLOBALG.A.P. regarding the CBs and their activities, including records of the Integrity Program and the complaint management system, is made available on the CB Extranet to ABs for facilitating accreditation evaluation.
- f) Certification bodies shall immediately inform GLOBALG.A.P. of changes in personnel relevant for the management of the GLOBALG.A.P. scheme (e.g. change of the Scheme Manager, in-house trainer, etc.) and of all changes that may affect their function as an independent CB, in particular withdrawal of accreditation or corporate changes.

- g) Certification bodies shall actively cooperate with GLOBALG.A.P. during management of complaints related to the CB or to the producers contracted by the CB.

3.2 Training and Qualification of Staff

- a) Every CB approved by the GLOBALG.A.P. Secretariat shall nominate one contact person, called the GLOBALG.A.P. Scheme Manager, who will be the representative of the CB before the GLOBALG.A.P. Secretariat. This person:
- (i) Shall be fluent in English
 - (ii) Shall at least qualify as a GLOBALG.A.P. inspector (see requirements for GLOBALG.A.P. inspectors in Annex III.1) for one of the approved sub-scopes
 - (iii) Shall be committed to assist in any harmonization activities performed by the GLOBALG.A.P. Secretariat
 - (iv) Shall be available in-house; i.e. not hired occasionally by the CB, and be part of the operational and/or management decision-making process of the CB
 - (v) Shall be responsible for returning to the GLOBALG.A.P. Secretariat the requested signed reception of any communication requiring written receipt
 - (vi) Shall be responsible for communication and administration of users within the GLOBALG.A.P. system
 - (vii) Shall respond to GLOBALG.A.P. operational enquiries as required in the communication. If the GLOBALG.A.P. Scheme Manager is not available, a substitute shall assume these responsibilities.
 - (viii) Shall distribute all communication received from the GLOBALG.A.P. Secretariat to all CB staff involved in GLOBALG.A.P. activities in all countries
 - (ix) Shall attend the annual Scheme Manager (update) meeting. This is a yearly task of the CB. If the Scheme Manager changes in the middle of the year, attendance of the SMU meeting is not required again for that same year. If the Scheme Manager is on medical leave (e.g. maternity), the CB may send another competent GLOBALG.A.P. representative.
 - (x) The Scheme Manager may be the same person as the in-house trainer.
- b) In order to carry out GLOBALG.A.P. inspections and audits, the CB shall employ/contract only inspectors and auditors that fulfill the GLOBALG.A.P. requirements (see Annex III.1 and III.2 respectively). Every inspector/auditor has to fulfill all sub-scope specific requirements (i.e. it is not permitted to send 2 people to an audit/inspection to complete among them the competence of one auditor or one inspector).
- c) All finally approved CBs shall have a sub-scope and version (i.e. IFA Version 5) specifically trained CB in-house trainer, who shall be responsible for ensuring that all their registered GLOBALG.A.P. auditors and inspectors comply with the requirements set in Annex III.1 and Annex III.2. This person:
- (i) Needs to have passed the CB in-house trainer training exam for the relevant sub-scope and version. Failing any part of the exam twice will require re-attending a GLOBALG.A.P. CB in-house training course and successfully passing the exam.
 - (ii) Shall be available in-house; i.e. not hired occasionally by the CB. The person may be the same person as the Scheme Manager and the CB may have more than one in-house trainer covering different standards or sub-scopes.
 - (iii) Shall comply with at least inspector qualification requirements for the respective sub-scope
 - (iv) Shall be responsible for training all the respective GLOBALG.A.P. auditors and inspectors (based on GLOBALG.A.P.)
 - (v) Shall complete the required training within 3 months in case of a change in personnel. If this is not feasible, the new person shall register within 3 months for an upcoming course.
- d) Only auditors complying with the auditor qualification requirements as defined in Annex III.2, including the face-to-face QMS auditor training may carry out QMS audits (Option 2 or Option 1 multisite with QMS).
- All IFA Version 4 approved auditors are automatically re-approved for carrying out QMS audits in Version 5, after passing a QMS online exam, when available in their working language. In case the Certification Integrity Program (CIPRO) results show a low auditing level, the respective auditor shall repeat the QMS training.

- e) Every inspector and auditor shall complete the GLOBALG.A.P. online tests (including exams of the updates) within 3 months after their release provided they are available in the inspector's/auditor's working language. The in-house trainer(s) shall monitor the genuineness and the completeness of the process. New inspectors shall complete the online trainings for the relevant sub-scopes before being signed-off. If inspectors/auditors are working for more than one CB, the online training and exam for the respective sub-scope needs to be completed only once, but the inspectors/auditor need to be registered with each CB they are working with. In-house trainers do not need to pass the online exam for the sub-scopes for which they have already passed the in-house training (IHT) exam.
- f) GLOBALG.A.P. reserves the right to randomly ask for the proof of qualification of the inspectors and auditors approved by the CB. In the case that the CB is not able to submit such proof, and/or the inspectors and auditors do not comply with the qualification requirements, GLOBALG.A.P. reserves the right to block those persons in the GLOBALG.A.P. Database and inform the relevant accreditation body.
- g) The CB shall carry out a GLOBALG.A.P. witness assessment and/or re-inspection for each of its GLOBALG.A.P. inspectors/auditors at least once every 4 years to verify competence.
- h) The CB shall verify, record, and monitor the requirements set for inspector/auditor qualification including requirements for initial training and for maintenance of competency.
- i) The CB shall have in place a system for the on-going calibration and training of its inspectors and auditors. The CB shall carry out annual internal refreshing/update training to inspectors/auditors. Records of those trainings shall be maintained.
- j) After successful examination, the in-house trainers of the GLOBALG.A.P. associate member CBs have the possibility to become GLOBALG.A.P. approved public trainers. This requires a separate application. These in-house trainers do not need to pass an extra training/examination for this purpose. A list of train the public trainers is listed on the GLOBALG.A.P. website.

3.3 CB Certification Data Communication with GLOBALG.A.P.

- a) The objective is to “know at any point in time, instantly and worldwide”:
 - (i) The present status and status history
 - (ii) The certified products, per
 - (iii) Area/volume, for
 - (iv) Each unique producer (legal entity), in
 - (v) All schemes and options (per product), with
 - (vi) Central validation of certificates by market participants (online validation tool), and
 - (vii) Audit/inspection and compliance details
- b) Therefore, the CB data communication with GLOBALG.A.P. shall:
 - (i) Ensure that as soon as the CB has made the certification decision, no certificate is issued before the product status is updated to “certified” in the GLOBALG.A.P. Database
 - (ii) Ensure that as soon as a sanction has been issued, the producer's status shall be changed in the GLOBALG.A.P. Database to the relevant status (time between issuing the sanction and updating the Database shall not exceed more than one working day)
 - (iii) Ensure that the status of all other producers shall be sufficiently updated so as to ensure that the status of a producer on the GLOBALG.A.P. Database is up-to-date
 - (iv) Ensure availability of immediately accessible information on all audit and inspection details (including those of the unannounced inspections and audits) as well as details for each certificate

3.4 Independence, Impartiality, Confidentiality, and Integrity of CB

- a) In accordance with ISO/IEC 17065, the GLOBALG.A.P. approved CB shall be structured to ensure separation of activities that may cause a conflict of interest. All CB personnel shall operate at high levels of professional integrity, be free from commercial, financial or other pressures that might affect their judgment, and are expressly forbidden from promoting any goods or services during evaluation activities.

- b) The CB shall have procedures in place to ensure that the same inspector does not inspect a producer (Option 1) for 4 consecutive years (regardless of whether it is an announced or unannounced inspection/audit). Under Option 2, the auditor in the audit team shall rotate (no more than 4 consecutive years to audit the same group QMS). However, the inspectors in the audit team may remain the same.
- c) *Confidentiality*: Information relating to the applicant producer, including details of products and processes, evaluation reports, and associated documentation, shall be treated as confidential (unless otherwise required by law). No information shall be released to third parties without the prior consent of the applicant producer unless stated otherwise in the General Regulations or the 'GLOBALG.A.P. Sublicense and Certification Agreement'.
- d) The CB shall establish measures and procedures to prevent bribery and corruption at all levels of its organization.

4 PRODUCER REGISTRATION AND ACCEPTANCE

The GLOBALG.A.P. certification granting procedure shall be clearly identified in the CB operational documentation and shall follow the GLOBALG.A.P. General Regulations.

4.1 General

- a) All production sites to be certified shall be registered in the GLOBALG.A.P. Database (when available).
- b) The product scope is linked to the location where that product is produced. Products produced in a non-registered location cannot be certified, and likewise products that are not registered but are grown on a registered location cannot be certified.
- c) Only producers or producer groups may apply to register their production process for GLOBALG.A.P. certification.
- d) A certificate and sublicense are issued to the registered producer, for production sites where the products are produced (and packed or handled if applicable) and for the products declared.
- e) Only the legal certificate holder (i.e. the legal entity that is indicated on the certificate) may market products with reference to a GLOBALG.A.P. certificate. Members of a producer group are not legal certificate holders. Thus, they shall not market any products under their name with reference to the group certificate. All products that are sold without reference to the certificate shall be recorded in the group mass balance system.

4.2 Producer Registration

- a) The CB and producer shall agree to 'Service of Notice' terms, which shall include a commitment by the CB to confirm the receipt of formal application for (first) registration within 28 calendar days after the CB has received the unique GLOBALG.A.P. Number (GGN) from the GLOBALG.A.P. Database.
- b) Each CB sets up and explains to its prospective clients its own detailed fee structure, which should specify the relevant GLOBALG.A.P. fees. Each CB invoice to producers/producer groups, or an accompanying document to each invoice, shall clearly identify the GLOBALG.A.P. registration fee.
- c) The CB shall explain to its prospective clients that the payment of the relevant GLOBALG.A.P. inspection and certification fee does not guarantee the issuing of the certificate.
- d) If a producer or producer group that has previously had a GGN applies for registration, the CB shall act according to the GLOBALG.A.P. procedure for transfer between certification bodies as set out in section 7 below.
- e) If a producer or producer group wishes to change to a new CB, the accepting CB shall as a first step for all applicants carry out a search in the GLOBALG.A.P. Database to verify the status before any further actions are taken.
- f) If a producer or producer group uses the services of more than one CB, each CB shall conduct the respective inspections (Option 1) and QMS audit (Option 1 multisite with QMS or Option 2) independently.

- (i) If one of the CBs issues a sanction, all CBs operating with that producer or producer group have the obligation to communicate with each other, regarding the scope and, if appropriate, details of actions to be taken across all CBs.
 - (ii) The communication of a sanction to all CBs operating with that legal entity is an obligation which the producer or producer group shall undertake, but can also be made by GLOBALG.A.P. directly to the CBs involved.
 - (iii) The communication between CBs shall include all relevant details, but the sanction issued shall be valid and all relevant CBs shall observe this.
- g) The CB shall establish and implement procedures for collecting data updates of the accepted producers, such as production site or product area changes and inclusion/de-listing of members within a producer group.

4.2.1 Registration Data Requirements

The CB shall:

- a) Record during registration all the information requested in the General Regulations Part I Annex I.2 'GLOBALG.A.P. Registration Data Requirements'.
- b) Ensure that all producer members approved by a producer group QMS and included in the producer group internal register shall be registered individually on the GLOBALG.A.P. Database according to the requirements of the 'General Regulations Part I', Annex I.2. This information shall be kept up-to-date at all times.
- c) Keep the GLOBALG.A.P. Database updated accordingly, as described in the GLOBALG.A.P. Database wiki (wiki.globalgap.org). This information shall be updated regularly whenever there is a change. It shall be updated at the latest with the re-acceptance of products for the next certificate cycle and/or the re-certification.

4.2.2 Data Access Rules

- a) The CB shall inform the producer or the producer group about and explain the 'Data Access Rules' document available on the website.
- b) The CB shall inform the producer or the producer group and explain any changes to the 'Data Access Rules' document when applicable.
- c) Data access rights shall be defined and signed by the producer/producer group during registration with the CB. The data owner is responsible for granting and determining the level of rights for data access. The data owner, however, can transfer the responsibility to other users (e.g. certification body).
- d) *Data Protection:* Within the framework of the GLOBALG.A.P. system, only parties to the system, as previously defined, shall be authorized to view the data (e.g. the producer, CB, GLOBALG.A.P., market participants, the public, etc.). In addition, the producer can offer personal data to trading partners who have been previously authorized by the producer, or the producer may instruct a third party to do so. This authorization can be revoked online at any time. Any further access to the producer's personal data is illegal and is prevented by the operator of the database in accordance with the German Federal Data Protection Act. See 'Data Access Rules' document published on the website (www.globalgap.org).
- e) GLOBALG.A.P. will keep the applicant's/producer's certification history in its Database for a minimum of 5 years.

5 ASSESSMENT PROCESS

5.1 Option 1 Producers

5.1.1 See Section 5.1 in General Regulations Part I.

5.2 Announced Inspections

- (i) The CB may divide the announced inspections into 2 modules: An off-site module and an on-site module. Both modules have to be performed by the same auditor/inspector.

- (ii) The off-site evaluation methodology shall be validated by the CB before putting it into practice and shall be part of the yearly management review.
- (iii) The inspection of the off-site module shall be conducted no more than 4 weeks before the on-site module. It consists of a desk review of documentation sent by the producer to the CB before the on-site inspection. The CB shall schedule a date as deadline for the producer to submit the documents to be evaluated off-site. That date will also trigger the period of 28 days to conduct the on-site assessment.
- (iv) Documentation that can be assessed off-site by the CB includes the following: Self-assessment, 'Food Safety Policy Declaration', risk assessments, procedures required in several CPCC, veterinary health plan, analysis programs (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, and plant protection product/fertilizer/medicine application records.
- (v) Evaluation of control points off-site shall be recorded in the inspection checklist through sufficient comments for the specific control points. Comments shall be supplied for all Major Musts and all non-compliant and not applicable Minor Must control points unless otherwise indicated in the 'Guideline for Inspection Methodology', if available.
- (vi) Date, time, and duration of the off-site and on-site modules of each inspection shall be recorded by the inspector and signed by the auditee.
- (vii) The on-site module is conducted after this technical review of the producer's documentation, to verify the information and the way the production process works on-site and to inspect the remaining content of the checklist that was not evaluated off-site.
- (viii) In case non-conformances are found during the whole assessment process (off-site and on-site modules together), the countdown to the deadline for closing them begins with the on-site closing meeting.
- (ix) This system does not reduce the overall inspection duration (see requirements regarding inspection duration in scope-specific rules), but it will allow more efficient use of time on-site. The duration of the on-site module shall never be shorter than 2 hours.

5.3 Unannounced Reward Program

- (i) The Unannounced Reward Program shall be offered to all producers.
- (ii) The following is true for unannounced inspections: 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 in which it is impossible for the producer to accept the proposed date (due to medical or other justifiable reasons), the producer shall 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 and the producers' status will be reset to year zero.

(See also 5.1.2.3 'Unannounced Reward Program' in General Regulations Part I).

5.4 Option 2 Producer Groups and Option 1 Multisites with QMS

5.4.1 External QMS Audits of Option 2 Producer Groups and Option 1 Multisites (with Implemented QMS)

- a) The evaluation process shall involve a sampling of the components to assess compliance with the standard and enable certification. All documentation, sites, personnel, and operations that are declared by the group or multisite organization to be relevant and pertinent to the setting up and administration of the QMS as described in General Regulations Part II shall be evaluated.
- b) The evaluation process is designed to establish that the QMS and administrative structure meet the criteria and that the internal audits and inspections of producers/production sites meet the requirements of the GLOBALG.A.P. scheme.
- c) The evaluation process is divided into 2 elements:
 - (i) Audit of the QMS

- (ii) Inspection of a sample of registered producers/production/handling sites (see General Regulations Part I 5.2)
- d) The CB shall send the audit plan to the management of the applicant prior to the audit.
- e) The QMS audit shall be undertaken at the central office/administrative center of the producer group or multisite company and at the central product handling facility/facilities.
- f) The evaluation process of the requirements included in General Regulations Part II shall take at least 6 to 8 hours, depending on the size of the producer group/multisite company and shall include:
 - (i) Opening meeting with management
 - (ii) Review of all relevant documentation
 - (iii) Evaluation of records
 - (iv) Review of internal audits and inspections conducted
 - (v) Review of mass balance exercise
 - (vi) Discussion/interviews with key staff
 - (vii) Closing meeting including review of non-conformances and non-compliances identified
- g) Evaluation of all internal inspector and auditor qualifications shall be carried out before first certification. In subsequent audits the CB shall re-evaluate annual requirements and qualification of new inspectors and auditors, and may also re-evaluate files checked in previous seasons.
- h) As part of the QMS audit, the results of the external and internal audits and inspections shall be compared to assess whether the applicant's internal controls are appropriate.
- i) The final report and result can only be concluded after both the QMS and the minimum sample of producer members/production sites are evaluated.

5.4.1.1 Off-Site Module

- (i) The CB may divide the announced audits into 2 modules: The off-site module and the on-site module. Both modules have to be performed by the same auditor.
- (ii) The off-site evaluation methodology shall be validated by the CB before putting it into practice and shall be part of the yearly management review.
- (iii) The inspection of the off-site module shall be conducted not more than 4 weeks before the on-site module. It consists of a desk review of documentation sent by the QMS to the CB before the audit. The CB shall schedule a date as deadline for the QMS to submit the documents to be evaluated off-site. That date shall trigger the period of 28 days to conduct the on-site assessment.
- (iv) Documentation that can be assessed off-site by the CB includes the following: 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.
- (v) Evaluation of QMS requirements off-site shall be recorded in the QMS checklist through sufficient comments regarding the evidences reviewed.
- (vi) Date, time, and inspection duration of the off-site and on-site modules of each audit shall be recorded by the auditor.
- (vii) Inspection of the on-site module is conducted after the technical review of the QMS documentation, to verify the information and the way the management system works on-site (e.g. internal inspections, traceability, segregation, and mass balance, central product handling units, etc.) and to audit the remaining content of the QMS checklist that was not evaluated off-site.
- (viii) In case non-conformances are found during the whole assessment process (off-site and on-site modules together) the countdown to the deadline for closing them begins with the on-site closing meeting.
- (ix) This system does not reduce the overall audit duration (see requirements regarding audit duration in 5.4.1 f)), but it does allow more efficient use of time on-site. The duration of the on-site module shall never be shorter than 3 hours.

5.4.2 External Inspection of Producer Group Members and/or Production Sites

5.4.2.1 Annual Inspection:

- a) The final selection and communication to the QMS of which producers/sites to inspect shall normally be carried out by the CB after the QMS audit (both off-site and on-site modules), using criteria based on the group/company structure and defined in a sampling procedure, which is risk-based. The notification shall normally not exceed 48 hours (2 working days) per producer.
- b) Certification bodies may, based on justifiable criteria, increase the verification rate of the total numbers of registered producers/production sites. The producer group/company has the right to appeal such a decision. Reasons for an increase could arise from any of the following:
 - (i) Failure to comply with significant QMS and/or product handling requirements affecting the producer members' compliance
 - (ii) Customer complaints; e.g. illegal pesticide residue detection
 - (iii) Significant inconsistencies between the internal audit/inspection reports and the CB inspection/audit findings
 - (iv) The possible need to determine if the NC is structural or not
 - (v) Number of products
- c) Producers shall be classified by production type, within the respective sub-scope. These may include, but are not limited to the following examples:
 - (i) Housed livestock
 - (ii) Open-field livestock or crops
 - (iii) Covered/protected crops
 - (iv) Perennial crops
 - (v) Fresh water activities (aquaculture)
 - (vi) Sea sites (aquaculture)

Example 1a: If a group of producers (64 in total) is being inspected for GLOBALG.A.P. for dairy and all production takes place in the open field, the square root of all producers (8) would be the sample size.

Example 1b: If, however, within that group of 64 producers, 16 produce dairy indoors, the square root of that small group of producers (4) would also be inspected, as they have a different production type. The square root of the 48 (64-16) and the square root of the 16 (4) means that a total of $7 + 4 = 11$ producers will be inspected.

Example 2: A group has a total of 96 producers registered for GLOBALG.A.P. Certification under the sub-scope Fruit and Vegetables. From the 96 producers:

- 43 produce apples
- 10 produce apples and tomatoes in greenhouses
- 5 produce apples and tomatoes in greenhouses and tomatoes in the open field
- The rest of the producers produce carrots in the open field (38 producers)

That is:

- 58 producers produce perennial crops (apples)
- 15 producers produce covered crops (tomatoes in greenhouses)
- 43 producers produce crops in the open field (tomatoes and carrots)

Sample is:

- $\sqrt{58} = 8$ producers producing apples
- $\sqrt{15} = 4$ producers producing tomatoes in greenhouse
- $\sqrt{43} = 7$ producers producing crops in open field

During inspections, if the CB selects a producer growing apples and tomatoes in greenhouses and carrots and/or tomatoes in the open field, the inspector is covering the 3 different production types at the same time.

- d) The minimum sample size is the square root of registered producers per sub-scope and production type. The square root shall be rounded upwards to the next whole number if there are any decimals. During the inspection of each of these selected producers/sites, all the products shall be inspected.

- e) The producer selection shall aim to cover all producer members/sites of the producer group/company throughout the years, taking into consideration risk factors, new producers and random selection. Unless there is a particular reason (higher risk, special status of the member, number of products, previous inspection results, multisite member, etc.) the subsequent assessment shall normally not include producers/sites already sampled during previous assessments. Producers that move from one group to another shall have a higher possibility of being included in the sample of producers chosen by the CB.

Example 1: An applicant has 4 registered production sites, and the CB, after the QMS audit, sets the square root as the sample. Therefore, 2 sites ($\sqrt{4}$) shall be inspected at this initial inspection.

Example 2: A group has a total of 64 producers of which 48 seek certification for the sub-scope cattle and sheep, 25 seek certification for the sub-scope poultry and 9 seek certification for the sub-scope fruit and vegetables. The minimum sample size including each sub-scope will be $\sqrt{48} + \sqrt{25} + \sqrt{9} = 7 + 5 + 3 = 15$ producers to be inspected externally by the CB.

- f) The scope of the inspection of the producers selected in the sample shall be complete. This shall cover:

- All products registered for certification that they grow
- All types of production (see d)
- All sub-scopes for which they are registered

Inspections carried out on members/sites in which more than one production type or sub-scope is evaluated count as one inspection for each sub-scope or production type.

Example 1: Multiple production type:

A producer group has 53 tomato producers. 28 grow in greenhouses only, 17 grow in the open air only, 8 grow both in greenhouses and the open air.

The minimum size of sample would be:

- Open air: $17+8=25 \Rightarrow \sqrt{25}=5$ (minimum number of producers)
- Covered: $28+8=36 \Rightarrow \sqrt{36}=6$ (minimum number of producers)

However, the minimum total number of producers: 8 ($\sqrt{53}$)

IMPORTANT: Criteria for the selection of growers for the inspection explained in f) shall always be considered.

- g) In case a producer member operates a multisite with a QMS, it shall be merged with the central QMS of the group, as there can be only one QMS for the group. In cases of multisites in a group situation, the producer member with the sites shall be taken into account for calculating the sample size and not the number of sites. The CB shall inspect the square root of the sites of that member during the external audit if that member is chosen as part of the sample. However, during internal inspections all the sites of a producer member must be inspected.

Example: In a group of 25 members, one member classifies as a member with multiple sites (4), The CB shall inspect 5 members (square root of 25). If the multisite member is chosen as one of the 5 members, 2 (square root of 4) of his sites will be inspected. In total 6 sites for the group will be inspected).

5.4.2.2 Surveillance Inspections for Producers in Option 2 and/or Production Sites in Option 1 Multisites:

- a) Annual inspections and surveillance inspections shall be carried out during 2 separate visits that shall be a minimum of 30 days apart from each other.
- b) The final selection and communication to the QMS of which producers/sites to inspect shall normally not exceed 48 hours (2 working days) per producer.

5.5 Unannounced Inspections (Option 1 only) and Audits (QMS only)

- a) The selection of the 10 % shall not only take into account total numbers, but shall also be calculated and carried out based on risk assessment and considering factors such as geography, legislation (where several jurisdictions are covered by the CB), crop type, compliance history, etc.
- b) The 10 % shall be calculated for a 12-month period. The number of unannounced inspections and audits per 12-month period shall reflect 10 % of the certificates issued without QMS included and with QMS included, respectively.

- c) The 10 % shall be distributed among the countries where the CB has certificate holders and it shall be representative of the countries.
- d) The calculation of the 10 % shall be carried out per scope.
- e) There shall be a minimum of one inspection or audit per year and scope; i.e. if the CB has ≤10 Option 1 certified producers, at least one producer shall be inspected, and/or if the CB has ≤10 Option 2 certificate holders, at least one shall be audited annually.
- f) CBs with only one Option 2 certified producer group shall perform an unannounced QMS audit at least every 2 years.
- g) Program assessments may count towards the number of unannounced inspections or audits per year. The CB shall carry out the follow-up of the non-conformances found during that Certification Integrity Program assessment.
- h) Annual regular inspections/audits and unannounced inspections/audits shall be carried out during 2 separate visits that shall be a minimum of 30 days apart from each other.

5.6 Inspection of Product Handling Units (Option 2 and Option 1 Multisites with QMS)

- a) The CB shall inspect central product handling units (i.e. less than one product handling unit per producer group member/production site), using the combined QMS and product handling checklist made available by GLOBALG.A.P. However, in aquaculture, sampling of product handling units is *not* possible.
- b) Where the product handling does not take place centrally, but on the production sites of each producer member, this factor shall be taken into account when determining the sample of producers to be inspected. In this case, the CB shall use the normal IFA checklist per inspected producer.
- c) For the internal inspections, every product handling unit shall be inspected.

5.7 External Inspections and Audits of Approved Modified Checklists (AMC)/Equivalent Schemes

- a) **Benchmarking:** The scheme applying for benchmarking is assessed for equivalence by comparing content and performance criteria with GLOBALG.A.P. Refer to the 'Benchmarking Regulations' for more information.
- b) **Scheme rules:** For AMC (approved modified checklists) the GLOBALG.A.P. General Regulations apply. For equivalent schemes, see the corresponding scheme General Regulations.
- c) **Benchmark validation:** The individual producer/producer group will be the certificate holder once certified. For validating certification, all legal entities shall be registered in the GLOBALG.A.P. Database.
- d) **GLOBALG.A.P. approved CBs:** All certification carried out within a full benchmarked standard shall be carried out by CBs approved by GLOBALG.A.P. or by the corresponding scheme owner.
- e) **Frequency:** The applicant scheme shall ensure verification of producers according to the rules for Option 1 and of producer groups/multisites with a QMS according to the rules for Option 2.

6 CERTIFICATION PROCESS

6.1 General

- a) The person who makes the certification decision or at least one member of the certification committee of the CB shall comply with auditor qualifications as set out in Annex III.2 for the scope the certificate is being issued for. In case the certification decision is related to Option 1 and does not include a QMS, the CB still needs to have one person of the certification decision committee complying with auditor qualification. This person, however, does not need to attend and pass the face-to-face QMS auditor training or to have 10 days experience in management systems audits.



- b) Each CB shall be responsible for the information filed: documentation related to GLOBALG.A.P. procedures or GLOBALG.A.P. clients shall be made available to the AB and to GLOBALG.A.P. on request.
- c) In case of an Option 1 multisite with no QMS, all production sites where a registered product is produced shall be inspected before the certificate can be issued (if not, it is parallel production). In case of an Option 1 multisite with QMS implemented, rules for adding new sites are explained in General Regulations Part II 11. 'Registration of Additional Producers or Production Sites to the Certificate'.
- d) On completion of the full evaluation process, a full written report will be produced which summarizes the evaluation activity undertaken (date of the inspection, sites and facilities inspected, and duration of inspection/audit), provides objective evidence and information on how the producer or the producer group complies with the requirements of the standard, and where applicable, lists any non-compliances and/or non-conformances identified.
- e) The producer/producer group representative shall sign or confirm the inspection and audit outcome (including at least the scope of the inspection/audit, the result in % of compliance for the different levels of control points, list of findings, and duration) during the closing meeting. A documented or electronic confirmation by the producer is equal to the 'signature' of the producer.
- f) Compliance is indicated with a "Yes" (for compliant), "No" (for not compliant), and "N/A" (for not applicable). Control points that are indicated as "No N/A" cannot be answered as "not applicable". In exceptions in which the control point is not applicable, the answer shall be given as "Yes" with a clear justification.
- g) Comments shall be recorded according to the 'Inspection Method and Justification Guideline' to enable the audit trail to be reviewed after the event and shall include details of evidences checked during the inspection. If there is no 'Inspection Method and Justification Guideline' published for a given sub-scope or standard, it is *obligatory to provide comments* for all the complied, non-compliant, and not applicable Major Musts and QMS control points as well as to all non-compliant and not applicable Minor Must control points inspected/audited in all external inspections/audits (by CB) and internal inspections/audits. For the self-assessments (Option 1), it is *obligatory to provide comments* for all the non-compliant and not applicable Major Must and Minor Must control points and compliance criteria. Comments and evidences, such as which document(s) were sampled, workers interviewed, etc., shall be site- and product-specific and included in the checklist to ensure that all the control points have been properly assessed for all applicable sites and products.
- h) For producer groups and multisite producers with QMS the evaluation report format shall be based on the QMS checklist (available on www.globalgap.org). The evaluation report shall form the basis by which a decision can be made on the award of a certificate to the group.
- i) The CB report shall contain the following:
 - (i) All points listed in the 'Inspection Notes' section of the official GLOBALG.A.P. checklist
 - (ii) Scope of the inspection/audit: company, site, PHU, and product information according to the Annex I.2. Products, production area/quantity, sites/members, country of destination, handling, and harvest included or excluded, product handling takes place in-field or in a facility or in both, broodstock or seedling purchased or not, product attributes (PP/PO, covered/non-covered, first or further harvest), etc. shall be included.
 - (iii) Calculation of the total applicable Major Must, Minor Must, and Recommendation control points, and % of the Minor Must non-conformances
 - (iv) List of non-compliances, non-conformances, and follow up actions. This includes the relevant control point, the observation of what has been non-complied/conformed, evidence of non-fulfillment of the requirement, deadline for corrective action, description of the corrective action by the producer, reference to objective evidence of implementation of the corrective action, evaluation result of the corrective action (open/closed), and the relevant dates of these actions.
 - (v) Conclusion of compliance or not
 - (vi) Certifier/reviewer(s) name
- j) Stage of the report, e.g. preliminary or final. The CB may further define different report stages. The fully completed inspection/audit checklist including all applicable control points, comments/justification per control point (where required) and the objective evidence of implementation of the corrective action shall be available. It is not necessarily part of the final report but must be available on request.

- k) Date of certification decision may be recorded in other places/system of the CB, not necessarily in the report.
- l) Copies of the report, the objective evidences of implementation of the corrective actions, or the fully completed inspection/audit checklist shall only be provided to other parties if the applicant provides access by written authorization except to the regulatory authorities when requested according to the applicable national legislation, and the AB and CB.
- m) The CB report (e.g. audit report, corrective action report, etc.) must be protected or otherwise controlled to prevent unauthorized modification or tampering prior to distribution.

6.2 Inspection Duration

- a) The inspection report shall include a recording of the inspection duration.
- b) A sufficient inspection duration shall allow the auditor/inspector to have an opening meeting with the farm management (re-confirm the scope, etc.), inspect all applicable control points, inspect all products of the inspection scope; visit all production, storage, processing, and other critical locations (e.g. water source), inspect the used machinery, interview personnel, evaluate the records, complete the checklist with sufficient comments and present the results to the producer right after the inspection has finished.
- c) Additional requirements and guidance on the minimum inspection duration are described in the respective scope-specific rules.

6.2.1 Unannounced Inspections (Option 1 without QMS):

- a) The duration of unannounced inspections (Option 1) shall not be shorter than 2 hours.
- b) When made available, the CB may use the checklist for unannounced inspections.

6.3 Producer Non-Conformance and Sanctions

See also General Regulations Part I, 6.4 'Sanctions'.

- a) All corrections and corrective actions shall be assessed; with clarification provided to show whether the action(s) taken and evidence provided are sufficient to close the non-conformance.
- b) Evidence of the resolution of non-conformances can be provided in the form of documentary evidence and/or photographic evidence as appropriate. Evidences shall be filed and shall be made available to GLOBALG.A.P. on request.
- c) There may be occasions where demonstration of the resolution of a non-conformance can only be confirmed by a further site visit. Where this is required, a charge may result.
- d) All non-conformances with the QMS shall be resolved *before* a certificate can be issued.
- e) Satisfactory corrective actions shall be completed to achieve the approval level on a producers and/or production site level *before* a certificate can be issued to the group or company.
- f) Lifting of a sanction: A sanction will not run out with the cycle but stays with the GGN until such time that the non-conformance is closed.

6.3.1 Open Non-Conformance

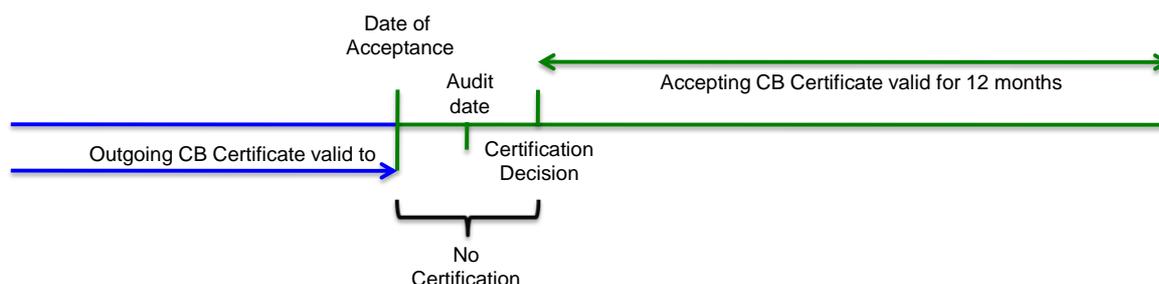
The status "open non-conformance" cannot be given to producer group members' products.

6.4 Paper Certificate Requirements

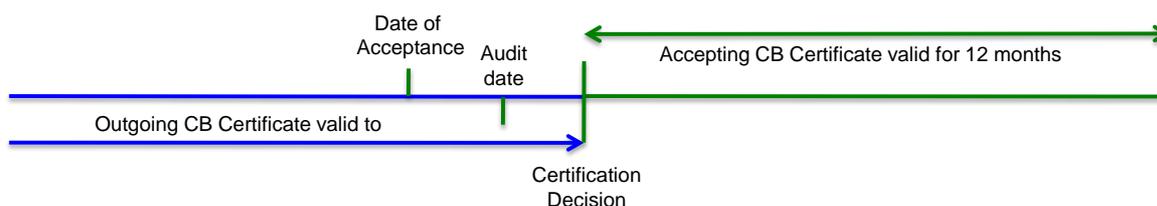
- a) After a positive certification decision, the CB shall issue a certificate according to the latest version of the GLOBALG.A.P. certificate template.
- b) The paper certificate may only be issued based on the information available at that time in the GLOBALG.A.P. Database for that unique GGN.
- c) A list of all the producers, production sites, and PHUs to which the certificate relates shall be issued in an appendix referred to in the certificate. The CB shall keep this list up-to-date.
- d) GLOBALG.A.P. CBs or their subcontracted parties may issue communications other than the certificate related to the producer status (registered, audited, etc.) as long as it is clear that it is not a certificate and it contains the sentence: The actual GLOBALG.A.P. status of this producer is always displayed at: www.globalgap.org/search.

7 TRANSFER BETWEEN CERTIFICATION BODIES

- a) This explains how to proceed when producers that are found in the GLOBALG.A.P. Database change from the original GLOBALG.A.P. approved CB [hereinafter referred to as the “outgoing CB”] to another GLOBALG.A.P. approved CB [hereinafter referred to as the “accepting CB”]. The objective is to assure the maintenance of the integrity of GLOBALG.A.P. certificates issued by one CB and to guarantee that a producer’s history within GLOBALG.A.P. is addressed in the review process when entering into contract with a GLOBALG.A.P. CB.
- b) These are the minimum requirements for the transfer of producers found in the GLOBALG.A.P. Database (and, where applicable, their corresponding certificates) between CBs working with GLOBALG.A.P. CBs may implement procedures or actions, which are more stringent than those contained herein, provided that a producer’s or producer group’s freedom to choose a CB is not unduly or unfairly constrained.
- c) Only producers and producer groups registered in the Database may change CBs. All producers shall first resolve any outstanding sanction(s) before being able to transfer to a new CB. In case a sanctioned producer wants to change CB and the certification cycle has already expired, as an exception, the outgoing CB can lift the non-conformance of an expired certificate without having received evidences of corrective actions. But, in this case, the outgoing CB shall ensure that the accepting CB is fully aware of the cause of the non-conformance.
- d) The accepting CB shall keep the existing GGN of the transferred producer or producer group. Double registration is not allowed (i.e. one producer or producer group can have only one GGN even if the same producer or producer group is affiliated with more than one CB).
- e) The accepting CB shall close the registration process, including entering into a sublicense and certification agreement with the producer/producer group before accepting the transfer. The transfer of producers between CBs can take place when a producer’s or producer group’s certificate has expired and also if there is no binding service contract between the producer and the outgoing CB.
- f) The producer or producer group shall apply for certification for the next cycle to another CB (“accepting CB”).
- g) The outgoing CB may shorten the validity of the issued certificate.
- h) If the “Date of Acceptance” (signing of the ‘GLOBALG.A.P. Sublicense and Certification Agreement’) and “Date of Audit” are *after* the outgoing CB’s certificate expiry date, there will be a period when the producer does not have a valid certificate.



- i) If, however, the “Date of Acceptance” (signing of the ‘GLOBALG.A.P. Sublicense and Certification Agreement’) and perhaps also the “Date of Audit” are *before* the outgoing CB’s certificate expiry date, the certification decision can only take effect as soon as the certificate expires. In this case, the certification cycle of the producer will remain the same as before.
- j) The outgoing CB remains responsible until its certificate expires. The producer may sign a ‘GLOBALG.A.P. Sublicense and Certification Agreement’ with the accepting CB while under contract with the outgoing CB. The ‘GLOBALG.A.P. Sublicense and Certification Agreement’ is binding for the accepting CB only once the outgoing CB has released the producer’s GGN in the GLOBALG.A.P. Database.
- k) If, during the validity of the certificate issued by the outgoing CB, the accepting CB detects non-conformities that are not closed after 28 days, the accepting CB shall inform the outgoing CB about the non-conformities detected so that it can take appropriate follow-up actions.



Note 1: If the certification decision is made *after* the outgoing CB certificate has expired, even if the “Dates of Acceptance” and audit were before the expiration date, there will be a period when the producer will not have a valid certificate.

Note 2: In case of transfer, the registration of products in the Database might not be finalized before the inspection and the certification decision might not be taken within 28 days.

8 **CERTIFICATION BODY SANCTIONS**

8.1 **General Rules**

- a) The GLOBALG.A.P. Board defines the types and levels of sanctions described here.
- b) Appeals against a sanction proposed by the GLOBALG.A.P. Secretariat or by the Integrity Surveillance Committee (ISC; see below) shall be received within 5 working days after the receipt of sanction notification. The ISC or the GLOBALG.A.P. Secretariat evaluates the appeals. The second appeal against a re-confirmed sanction by the ISC follows the arbitration procedure as described in the ‘GLOBALG.A.P. License and Certification Agreement’ and in the ‘Equivalent Certification System Owner Agreement’.
- c) GLOBALG.A.P. has established an Integrity Surveillance Committee (ISC), which decides on the sanctions as outlined in this document, based on a case-by-case approach.
- d) The ISC consists of:
 - (i) 3 permanent and 2 substitute members
 - (ii) A representative of the GLOBALG.A.P. Secretariat who may participate in the ISC meetings
 - (iii) A representative of the accreditation bodies who may participate as an independent observer
 - (iv) A public sector observer who may participate, but without voting rights
 - (v) A representative of the concerned equivalent scheme owner invited by the ISC
- e) The ISC may take any of the following actions:
 - (i) Issue sanctions as defined in section 9.3 of this document
 - (ii) Request additional/extra integrity assessments of CBs
 - (iii) Decide that the sanctioned CB has to pay the cost of the assessment or re-assessment visit(s). The rate of any assessment visit and the necessary travel time is EUR 1000 per day including travel costs. If an assessment visit is planned to exceed 3 days, the ISC shall approve.
 - (iv) Pronounce fines
 - (v) Require the CB to reimburse the costs directly linked to the investigation and sanctioning process of a particular case. The burden of proof of the amount of costs lies with the GLOBALG.A.P. Secretariat.
 - (vi) Advise the GLOBALG.A.P. Secretariat to cancel the contract with the CB concerned
 - (vii) Request that particular inspectors/auditors who have not performed according to the GLOBALG.A.P. General Regulations repeat the online exam in the presence of a GLOBALG.A.P. Secretariat representative. The CB shall cover the additional exam fee and other expenses.
 - (viii) Request that particular inspectors/auditors attend a GLOBALG.A.P. approved training course. The CB shall cover participation, exam fees, and other expenses.
 - (ix) The ISC may directly suspend a CB inspector/auditor based on the outcome of one or more integrity assessments and forbid the person to carry out any inspection/audit in the GLOBALG.A.P. system.
- f) By default, sanctions are applicable to the CB as a whole. The ISC may limit the sanctions to

- scope, sub-scope level or to a geographical area only.
- g) Sanctioning steps 1 to 5 (see section 9.3 below) are not necessarily consecutive (e.g. it is possible for a CB after receiving a first warning due to incomplete database entries, to receive a Red Card and jump to step 4 immediately due to the Certification Integrity Program result).
 - h) Sanctions will be communicated to the concerned accreditation body and where applicable to the equivalent certification system owner (ECSO) or to the owner of the approved modified checklist (AMC).
 - i) In case of a CB suspension by the AB or a CB having lost its accreditation due to other circumstances, the CB is not allowed to issue new certificates. The ISC's decision shall take into consideration the reason of the suspension to determine whether existing certificates issued by the CB are still valid and shall consider issuing a Red Card.
 - j) The ECSO can ask GLOBALG.A.P. to carry out additional integrity assessments beyond the ones already initiated by GLOBALG.A.P. GLOBALG.A.P. may charge a separate fee for those additional assessments.

8.2 Types of Non-Conformances

2 types of non-conformances can lead to sanctioning of CBs.

8.2.1 Contractual Non-Conformances

Contractual non-conformances are at hand in the case that CBs are not in compliance with contracts signed with GLOBALG.A.P. These may include, but are not limited to:

- a) Misleading or false communication on GLOBALG.A.P. certification and logo use
- b) Refusal to sign the 'GLOBALG.A.P. License and Certification Agreement' and any amendments after a period set by the GLOBALG.A.P. Secretariat
- c) Neglecting to pay any of the GLOBALG.A.P. fees (e.g. CB license fee, training fee, certification license fee, producer registration fee)
- d) Failure to provide proof of accreditation within the established periods during CB approval
- e) Confirmed fraud
- f) Loss of accreditation (based on AB decision)

8.2.2 Standard or General Regulations Non-Conformances

- a) General Regulation or Standard non-conformances are at hand in the case that the CBs do not comply with the rules set out in the General Regulations or do not interpret the Control Points and Compliance Criteria according to the GLOBALG.A.P. rules. Examples of such non-conformances include but are not limited to:
 - (i) Not participating in annual compulsory CB trainings
 - (ii) Not following the online training requirements
 - (iii) Incomplete or late upload of certification data
 - (iv) Unreliable registration and audit data
 - (v) No response to GLOBALG.A.P. official communication and/or complaints
 - (vi) Confirmed fraud
 - (vii) Not applying approved National Technical Working Group (NTWG) guidelines, unless justified and communicated to the GLOBALG.A.P. Secretariat
 - (viii) Conflict of interest (e.g. consultancy and certification)
 - (ix) Delay or non-application of producer sanctions
 - (x) Inadequate internal training
 - (xi) Not complying with the scope of the external inspections
 - (xii) Not obeying CB operational requirements and deadlines, such as not responding to corrective actions or delaying of issuance of certificates
- b) The GLOBALG.A.P. Secretariat, the relevant AB and the GLOBALG.A.P. ISC shall be responsible for addressing these types of non-conformances.

9 INTEGRITY PROGRAM (IPRO)

The Integrity Program consists of 2 pillars:

- a) Brand Integrity Program (BIPRO) (e.g. contractual issues, database, logo use, administrative requirements, complaint management, etc.)
- b) Certification Integrity Program (CIPRO) (e.g. inspection, audit or certification performance of the CB, etc.)

The sanctioning procedures are illustrated in a flow chart at the end of the document.

9.1 Brand Integrity Program

The following non-conformances fall under the Brand Integrity Program:

- a) Non-conformances as defined in 8.2. The ISC may be requested to judge the CB immediately, e.g. 8.2.2a (vi) 'confirmed fraud'
- b) Repeated incomplete or missing registration in the GLOBALG.A.P. Database as defined in section 9.3 'Sanctioning Steps for Certification Bodies'
- c) Any outstanding payment of invoices accepted by the CB that has not been settled within 3 months after the second written warning by the GLOBALG.A.P. Secretariat will result in a Red Card, and finally in step 5, a contract cancellation.
- d) Incomplete or wrong database entries and/or issued certificates
- e) The sanction level derived from database entries will be re-set (annulled) in case the CB does not exceed the threshold (5 GGNs or 1 % of the total number of GGNs registered under a CB, whichever is higher) within 12 months after the latest sanction or after the start of the monitoring process.

9.2 Certification Integrity Program

The Certification Integrity Program is risk based and consists of 2 kinds of assessments:

- a) Office assessments to check CB certification performance
- b) Producer assessments or witness CB assessments to check CB inspection and audit performance

9.2.1 Evaluation and Classification of Assessment Results

- a) Each assessment is documented in a Certification Integrity Program assessment report. A representative of each assessed site (producer, producer group, or CB office) shall sign the assessment report.
- b) Each Certification Integrity Program assessment report is sent to the CB, to the accreditation body and, where applicable, to the ECSO/AMCO. Accreditation bodies are encouraged to use it as an input for their next assessment. CBs and ECSO/AMCO shall use these reports as a management feedback for their continuous improvement processes.
- c) Evidence from one or more classified Certification Integrity Program assessment report and the failure of the CB to demonstrate improvement from previous assessments are the basis for GLOBALG.A.P. to propose an overall performance classification of the CB to the ISC. The CB will be informed about their proposed performance classification and shall be given the opportunity to respond in a written statement within 14 (fourteen) days after notification. The relevant AB and where applicable the ECSO/AMCO shall be notified by GLOBALG.A.P.
- d) ISC decision-making is based on *all* the following:
 - (i) The individual assessment reports presented by the GLOBALG.A.P. Secretariat taking into consideration all previous assessments
 - (ii) The proposed performance classification by GLOBALG.A.P.
 - (iii) The CB's written statement (feedback)
- e) The assessment reports submitted to the ISC are anonymous and shall not disclose the name of the CB(s) involved.
- f) The GLOBALG.A.P. Secretariat may request a summary of follow-up measures, but not necessarily require a corrective action plan on each case.

- g) In case the CB representative is present and accepts the assessment findings, the integrity assessor can decide that the CB can book this integrity assessment as an unannounced inspection/audit under the 10 % rule.
- h) The CB is expected to follow-up the findings of the integrity assessment and ensure that the producer complies with the certification requirements.

9.2.1.1 Classification

Classification #1

(i) Definition:

Unacceptable performance, which puts the overall competency of the CB in question: Serious infringements of the GLOBALG.A.P. or an equivalent standard's rules are observed. These include, but are not limited to, objective evidence for:

- Deliberate and/or repeated ignorance or negligence of the GLOBALG.A.P. or an equivalent standard's regulations
- Misuse of the GLOBALG.A.P. or an equivalent standard's license
- One or more serious technical failures in the inspection/audit process
- A large number of minor technical failures in the inspection/audit process
- Verified fraud

(ii) Procedure

- a) Further assessment(s) can be planned to investigate whether it was an isolated incident or a general way of working, but one single assessment can also result in classification #1.
- b) The CB is put forward to the ISC immediately and implements corrections/corrective actions on the farm and CB levels immediately.
- c) The CB reports its immediate remedial action to the GLOBALG.A.P. Secretariat and where applicable to the ECSO/AMCO.

Classification #2

(i) Definition

- a) Very poor performance, which implies serious and immediate improvement measures by the CB: A number of assessments raise serious doubts and concerns.
- b) Deliberate mismanagement is suspected, but objective evidence of fraud was not found. Actual (i.e. not only potential, but actually present) food safety danger has not been identified during the inspection/audit.

(ii) Procedure

- a) The CB shall immediately verify corrections/corrective actions on a farm level.
- b) New assessments (re-assessments) shall be scheduled to verify the effectiveness of the corrective measures within a maximum of 10 months.
- c) The CB is put forward to the ISC.
- d) The CB shall be put forward to the ISC immediately in any cases where a potential food safety risk has not been identified by the CB.

Classification #3

(i) Definition

Inadequate performance, which requires the CB to improve performance and implement improvement measures. The result of a number of assessments raises some concerns.

(ii) Procedure

- a) New assessments (re-assessments) shall be scheduled to verify the effectiveness of the corrective measures within a maximum of 15 months.
- b) If no improvement is observed, the CB shall be put forward to the ISC.

Classification #4

The CB's performance is acceptable. No systematic and serious non-conformances have been found. A few incidences detected that do not affect the integrity of the process. The CB displays a good performance. No specific re-assessments are scheduled, but the CB remains a part of the random surveillance program and may receive further integrity assessments.

Classification #5

Good performance, without incidences detected. The CB has shown a high level of implementation of the GLOBALG.A.P. requirements. Low priority is given to schedule subsequent assessments, but the CB remains a part of the random surveillance program and may receive further integrity assessments.

9.3 Sanction Steps for Certification Bodies

- a) The sanctions, as set out in table 9.3, are applicable to all CBs in violation of the rules and where a non-conformance (similar to those in 8.2.2) has been observed.
- b) The penalty shall depend on the severity of the non-conformance or the recurrence of non-conformance.
- c) GLOBALG.A.P., the respective accreditation body, and the equivalent standard owner shall work closely together with the ISC.

Table 9.3 Sanction Steps for Certification Body Non-conformances

	Sanctioning Steps	Decision Maker
Step1	1st Warning	GLOBALG.A.P. Secretariat and/or the Integrity Surveillance Committee (Information to AB)
Step2	2nd Warning	GLOBALG.A.P. Secretariat and/or the Integrity Surveillance Committee (Information to AB)
Step3	Yellow Card	Integrity Surveillance Committee (Information to AB and published on the GLOBALG.A.P. website)
Step4	Red Card	Integrity Surveillance Committee (Information to AB and published on the GLOBALG.A.P. website. CB is not allowed to (re-)issue new certificates until further notice)
Step5	Contract Cancellation	Proposed by the Integrity Surveillance Committee (Information to AB and published on the GLOBALG.A.P. website. Cancellation of the 'GLOBALG.A.P. License and Certification Agreement')

* Note: Sanctioning steps 1 to 5 are not necessarily consecutive.

9.3.1 Step 1 – 1st Warning

- a) Decided by the ISC or by the GLOBALG.A.P. Secretariat. A 1st Warning that is due to Brand Integrity Program non-conformances can be followed by a 2nd Warning without the approval of the ISC.
- b) The 1st Warning can be issued:
 - (i) Where non-conformances with the standard rules as defined in the General Regulations are detected
 - (ii) Where the CB does not react to or does not report on written requests by the GLOBALG.A.P. Secretariat

- (iii) Where the number of incomplete or wrong database entries and/or issued certificates reached 5 GLOBALG.A.P. Numbers (GGN) or 1 % of the total number of GGNs registered under a CB, whichever is higher
- c) The CB shall pay partially or fully for the number of re-assessment days proposed by the ISC.

9.3.2 Step 2 – 2nd Warning

- a) Decided by the ISC or by the GLOBALG.A.P. Secretariat.
- b) The 2nd Warning can be issued:
 - (i) Where the 1st Warning has not been closed after the indicated deadline
 - (ii) Where the CB does not react to or does not report on repeated written requests by the GLOBALG.A.P. Secretariat
 - (iii) Where the number of incomplete or wrong database entries and/or issued certificates again reached 5 GLOBALG.A.P. Numbers (GGN) or 1 % of the total number of GGNs registered under a CB, whichever is higher
- c) The CB shall pay partially or fully for the number of re-assessment days proposed by the ISC.

9.3.3 Step 3 – Yellow Card

- a) Judged and decided by the ISC and implemented by the GLOBALG.A.P. Secretariat. The Yellow Card is published on the GLOBALG.A.P. website and the GLOBALG.A.P. members are informed.
- b) A Yellow Card can be lifted by the ISC when the GLOBALG.A.P. Secretariat has verified the effectiveness of the improvement during one or more verification (re)assessments and found it to be satisfactory.
- c) The CB shall pay partially or fully for the number of re-assessment days proposed by the ISC.
- d) A Yellow Card can be issued:
 - (i) For the period when the CB implements improvement measures due to the Certification Integrity Program assessment results. The timeframe for improvement is stipulated by the ISC but shall not exceed 12 months. GLOBALG.A.P. schedules a follow-up assessment to evaluate improvement.
 - (ii) Where improvements observed in a re-assessment are not sufficient
 - (iii) Where no reaction follows written requests by the GLOBALG.A.P. Secretariat after step 2 – 2nd Warning
 - (iv) Where after step 2 – 2nd Warning the number of incomplete or wrong database entries and/or issued certificates again reaches 5 GGNs or 1 % of the total number of GGN registered under a CB, whichever is higher.

9.3.4 Step 4 – Red Card

- a) Judged and decided by the ISC and implemented by the GLOBALG.A.P. Secretariat. The Red Card is published on the GLOBALG.A.P. website and the GLOBALG.A.P. members are informed.
- b) Temporarily full or partial prohibition of the use of the GLOBALG.A.P. license is imposed, i.e. the CB is not allowed to issue new or re-issue certificates until further notice.
- c) The ISC may lift this sanction only if confidence in the reliability of the CB's operation can be reassured.
- d) The CB will pay for the verification (re)assessments.
- e) A Red Card can be issued (non-exhaustive list):
 - (i) Where CB performance does not show sufficient improvement during further repeated re-assessments
 - (ii) Where a Yellow Card has not been closed after the indicated deadline
 - (iii) Where the AB has suspended the accreditation
 - (iv) Where after step 3 – Yellow Card the number of incomplete or wrong database entries and/or issued certificates again reaches 5 GGNs or 1 % of the total number of GGN registered under a CB, whichever is higher.
- f) The CB being issued the Red Card shall inform (by means of a written letter) all its producers about the right to require the CB to annul the 'GLOBALG.A.P. Sublicense and Certification

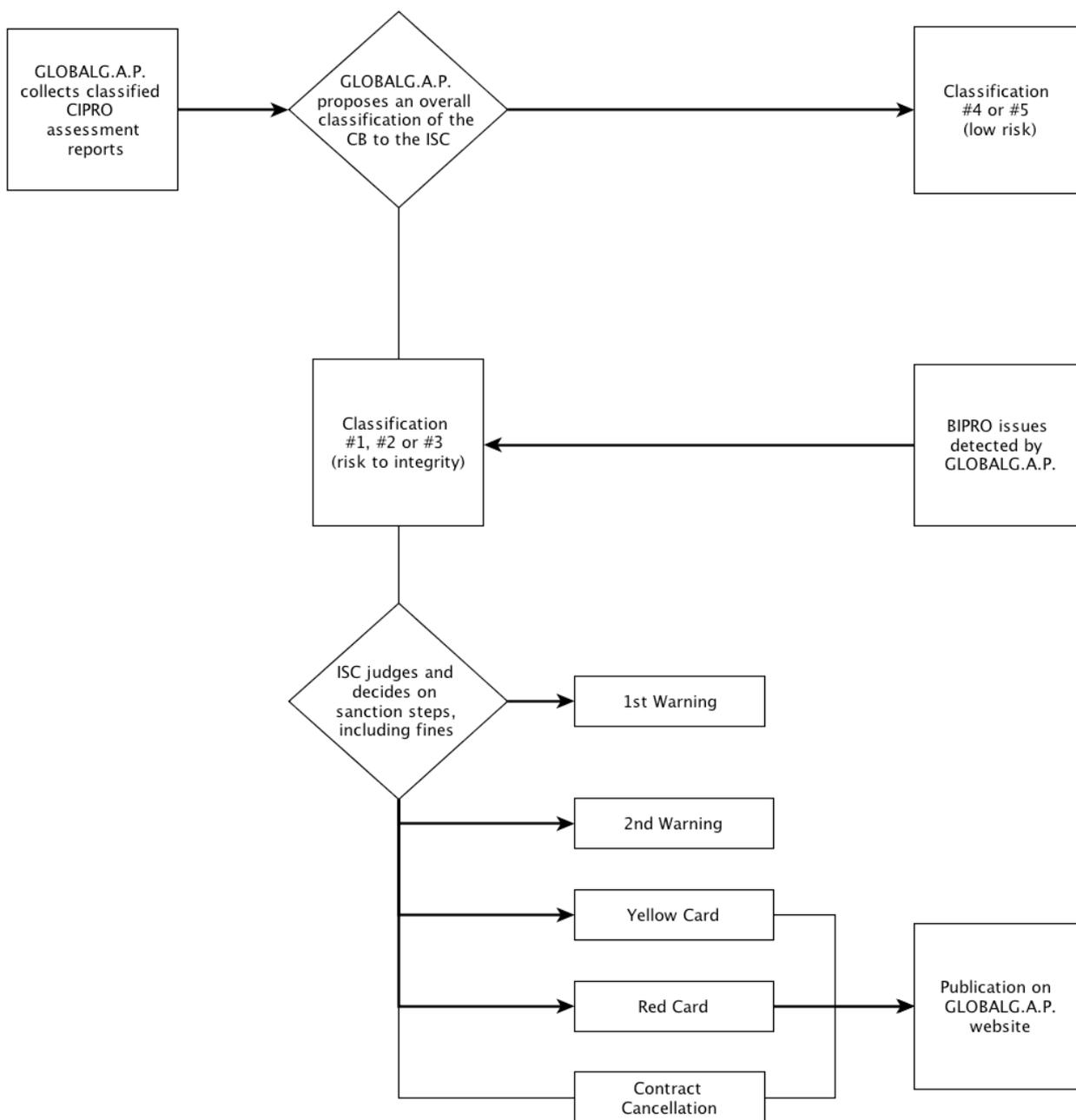
Agreement' within 5 business days of the loss of GLOBALG.A.P. approval. Following a producer request, the CB shall allow and facilitate the producer transfer to another CB. In case the CB fails to do so, GLOBALG.A.P. shall inform the producers using the contact details registered in the GLOBALG.A.P. Database and release the GGN in the GLOBALG.A.P. Database on the producer's request to allow a producer transfer to another CB.

9.3.5 Step 5 – Contract Cancellation

- a) Judged and proposed by the ISC, decided and implemented by the GLOBALG.A.P. Secretariat. Contract cancellation is published on the GLOBALG.A.P. website and the GLOBALG.A.P. members are informed.
- b) Cancellation of the 'GLOBALG.A.P. License and Certification Agreement' shall be imposed for at least 2 years.
- c) The ECSO is responsible for enforcing this sanction on the CBs operating a GLOBALG.A.P. equivalent scheme.
- d) The CB that has lost its GLOBALG.A.P. approval shall inform (by means of a written letter) all its producers about the right to require the CB to annul the 'GLOBALG.A.P. Sublicense and Certification Agreement' within 5 business days of the loss of GLOBALG.A.P. approval. Following a producer request, the CB shall allow and facilitate the producer transfer to another CB. In case the CB fails to do so, GLOBALG.A.P. shall inform the producers using the contact details registered in the GLOBALG.A.P. Database and release the GGN in the GLOBALG.A.P. Database on the producer's request to allow a producer transfer to another CB.
- e) Contract cancellation can follow in the following cases (non-exhaustive list):
 - (i) In cases of verified fraud
 - (ii) Where a Red Card sanction could not be lifted after the agreed deadline
 - (iii) Bankruptcy
 - (iv) Loss of accreditation

Flow chart illustrating the Certification Integrity Program Sanctioning Procedure

(BIPRO = Brand Integrity Program, CIPRO = Certification Integrity Program)



ANNEX III.1: GLOBALG.A.P. CB INSPECTOR QUALIFICATIONS (OPTIONS 1 AND 3)

1 GLOBALG.A.P. SUB-SCOPE INSPECTOR

- a) Inspectors will be able to inspect a sub-scope on the farm level once the CB has verified factual evidence (as described below) of their qualifications and experience for each sub-scope.

2 FORMAL QUALIFICATIONS AND WORK EXPERIENCE

- a) At least a post high school (post-secondary education) diploma or equivalent (minimum course duration of 2 years) in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture)
AND
A minimum of 2 years' experience gained after finishing post high school studies and overall 3 years' experience in the agricultural industry
OR
b) A post high school (post-secondary education) diploma with a minimum duration of 2 years in a food related discipline
AND
A minimum of 4 years industry experience either in a practical capacity on farm/site or in a technical production management role in the relevant scope of certification (Crops and/or Livestock and/or Aquaculture).

3 TECHNICAL SKILLS AND QUALIFICATIONS

3.1 Inspector Training

One-day practical inspection course setting out basic principles of inspection.

3.2 Food Safety, G.A.P. Training, and Work Experience

- a) Training in HACCP principles either as part of formal qualifications or through the successful completion of a formal course based on the principles of the Codex Alimentarius (the formal course may be an internal training by the CB). The minimum training duration shall be 8 hours. Duration and content shall be indicated on the evidence available for this requirement (course certificate, evidence of training included in formal qualifications, etc.). The course duration for inspectors only approved for Flower and Ornamentals and/or Plant Propagation material may be shorter.
- b) Food hygiene training either as part of formal qualifications or through the successful completion of a formal course (the formal course may be an internal training by the CB). The formal course duration shall be a minimum of 8 hours. Duration and content shall be indicated on the evidence available for this requirement (course certificate, evidence of training included in formal qualifications, etc.). The food hygiene training course shall cover: site management, water, fertilizer, equipment, facilities and personal hygiene, and it shall also include practical case studies. Already approved inspectors have a one-year transition period after the publication of GLOBALG.A.P. IFA Version 5 to complete this training. Both trainings in points a) and b) can be taken together in the same formal course (minimum duration 16 hours).
A food hygiene course is not required for Flowers and Ornamentals and/or Plant Propagation Material inspectors
- c) GLOBALG.A.P. online training, with the successful completion of all online tests and the respective updates within 3 months after release in the inspector's language
- d) Global Food Safety Initiative (GFSI) 'Knowledge Exam for Pre-farm Gate' (when made available), either via GLOBALG.A.P. or any other GFSI recognized exam provider.
- e) **For Crops scope:** Plant protection, fertilizer and IPM training, either as part of formal qualifications, or through the successful completion of a formal course. Hop-specific training for the Hop sub-scope.
- f) **For Livestock and Aquaculture scopes:** Basic veterinary medicine and stockmanship training including animal health and welfare issues.

- g) **For Aquaculture Standard:** Basic experience in food processing (to inspect AQ 12 and 13) and GRASP training (according to the 'GRASP General Rules').
- h) The experience required shall involve work in the respective scope and may have been gained simultaneously for more than one scope and/or sub-scope/group according to the table below:

If an inspector has 3 or more years' working experience in:	It is possible to inspect the following sub-scopes/groups:
FV	FV, CC, FO, PPM, Tea (HO after training)
FO	FO, PPM, Tea
CC	CC, PPM, FO, Tea, HO
PPM	PPM, FO (HO after training)
Tea	Tea, PPM, FO (HO after training)
HO	HO, CC
Ruminants (CS, DY, CYB)	CS, DY, CYB
PG	PG
PY	PY, TY
TY	PY, TY
Finfish	Finfish, Crustaceans, Molluscs
Crustaceans	Finfish, Crustaceans, Molluscs
Molluscs	Molluscs
CFM	CFM

To audit/inspect an additional specific sub-scope/group within a scope, proof of a formal course of production practices and sub-scope/group specific working experience (i.e. one year working experience or 10 days witness assessments) are required.

The formal courses (mentioned in points a), b), e), f), and g) above) can be part of the formal qualifications (degree/diploma) or can be separate courses that were taken by the inspector. The inspector shall present proof of qualification. If it was part of the degree/diploma, it shall be in the syllabus of the course. If it was acquired separately, there shall be a separate certificate, which shows that a course that covered these issues was completed (including an exam).

3.3 Communication Skills

- a) "Working language" skills in the corresponding native/working language. This shall include the locally used specialist terminology in the respective working language.
- b) Exceptions to this rule shall be discussed with and confirmed in writing beforehand by the GLOBALG.A.P. Secretariat.

3.4 Initial Training Before Sign-Off by the CB

- a) The CB shall put a training program in place customized to the candidate/trainee.
- b) The applicant inspector shall take part as an observer in a minimum of one Option 1 producer or one Option 2 producer group member inspection of the relevant sub-scope. In case the CB takes over (hires) an approved (for the currently valid version) inspector, the rule "to observe a minimum of one Option 1 producer or one Option 2 producer group member inspection of the relevant sub-scope" does not apply.
- c) The CB shall witness a minimum of one inspection of an Option 1 producer or an Option 2 producer group member by an already qualified inspector or auditor respectively per sub-scope.
- d) The CB shall use the GLOBALG.A.P. witness assessment tool (when made available).
- e) For the CB's first inspector the CB's internal procedures apply.
- f) As a minimum requirement, the CB shall verify competence in the following topics:
 - Technical knowledge in a given sub-scope
 - Ability to identify food safety risks/food hazards
 - Ability to evaluate the HACCP system and identify/challenge critical control points

- Up-to-date knowledge of plant protection products, fertilizer applications and IPM principles (for Crops)
- Up-to-date knowledge of basic veterinary medicine and stockmanship, including health and welfare requirements (for Livestock/Aquaculture)
- Ability to carry out traceability checks and mass balance analyses
- Wherever the control point refers to local legislation, knowledge of the relevant requirements
- Having the sufficient communication and behavioral skills as to be able to conduct an inspection/audit
- “Working language” skills in the corresponding native/working language

3.5 Maintenance of Competency

- a) The CB shall have in place a procedure to ensure that annually every inspector/auditor conducts at least 5 inspections/audits or 10 inspection/audit days, at a number of different producers, against each GLOBALG.A.P. standard (e.g. IFA (including all sub-scopes and PSS), CoC, CFM, etc.), AMC, or fully benchmarked scheme of the same sub-scope, to maintain scheme knowledge and to stay registered in the GLOBALG.A.P. Database.
- b) Witness inspections/audits shall also be acceptable to maintain competency.
- c) Exceptions to this rule, e.g., if the CB does not have a total of 5 clients, shall be discussed with and confirmed in writing beforehand by the GLOBALG.A.P. Secretariat.
- d) The CB shall carry out a GLOBALG.A.P. witness inspection and/or re-inspection for each of its GLOBALG.A.P. inspectors at least once every 4 years to verify competence.
- e) These requirements do not apply for those Scheme Managers who do not carry out inspections.
- f) If it is not possible to maintain competency from one year to the other, 3.4 shall apply.

3.6 Rotation of the inspector

- a) The CB shall have procedures in place to ensure that the same inspector does not inspect a producer (Option 1) for 4 consecutive years (regardless of whether it is an announced or an unannounced inspection).
- b) Under Option 2 and Option 1 multisite with QMS, the auditor in the audit team shall rotate (no more than 4 consecutive years to audit the same QMS). However, the inspector(s) in the audit team may remain the same.
For example, inspector #1 inspects a producer in years 1, 2, 3 and 4; in year 5 another inspector (inspector #2) has to do the annual inspection. In years 6, 7, 8 and 9 the inspector #1 may do 4 consecutive inspections again. This also applies for the group member inspections.
- c) When the CB has only one inspector in a given country/region, exceptions may be given case-by-case. The exemption period shall last for 12 months.

4 KEY TASKS

4.1 GLOBALG.A.P. Farm Inspections

- a) Inspection of farms (either a producer, a production site of a multisite company or a producer member of a producer group) to assess compliance with the GLOBALG.A.P. Standard. This may include shadow inspection of the internal inspectors of producer groups or Option 1 multisites with QMS.
- b) To produce timely and accurate reports on such inspections in accordance with ISO 17065 and GLOBALG.A.P. timelines and system requirements.

4.2 General

- a) To maintain up-to-date files of all quality policies, procedures, work instructions, and documentation issued by the CB.
- b) To keep abreast of developments, issues and legislative changes pertaining to the scope in which inspections are carried out.

- c) To carry out any other tasks the CB may assign, outside the scope of GLOBALG.A.P. as long as these activities do not contradict ISO 17065 principles or any stipulation set down by GLOBALG.A.P. General Regulations.

4.3 Independence and Confidentiality

- a) Inspectors are not permitted to carry out any activities that may affect their independence or impartiality, and specifically are not permitted to accept bribes and to have carried out consultancy activities in the last 2 years for the producers they are performing inspections on. Training is not considered to be consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain, i.e. the trainer cannot provide company-specific solutions.
- b) Inspectors shall strictly observe the producer's and the CB's procedures to maintain the confidentiality of information and records.

ANNEX III.2: GLOBALG.A.P. CB AUDITOR QUALIFICATIONS (OPTION 1 MULTISITE WITH QMS, OPTIONS 2 AND 4)

1 GLOBALG.A.P. SUB-SCOPE AUDITOR

- a) Auditors will be able to audit quality management systems of all sub-scopes once the CB has verified factual evidence (as described below) of their qualifications and experience for at least one sub-scope. Producer and production site inspections however need sub-scope-specific qualifications.

2 FORMAL QUALIFICATIONS AND WORK EXPERIENCE

- a) At least a post high school (post-secondary education) diploma or equivalent (minimum course duration of 2 years) in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture and/or Feed Manufacturing/Animal nutrition)
AND
A minimum of 2 years' experience gained after finishing the respective post high school studies and overall 3 years' experience in the agricultural industry
OR
- b) A post high school (post-secondary education) diploma with a minimum duration of 2 years in a food-related discipline AND
A minimum of 4 years' industry experience either in a practical capacity on farm/site or in a technical production management role in the relevant scope of certification (Crops and/or Livestock and/or Aquaculture).

3 TECHNICAL SKILLS AND QUALIFICATIONS

3.1 Lead Assessor Training

- a) Practical auditing experience of minimum 10 days in management systems (e.g.: ISO 9000, ISO 14000, ISO 22000, OSHAS 18000), BRC Food, IFS Food, previous GLOBALG.A.P. Option 2 or Option 4, producer group audits of organic growers or others). This does not include witnessing or observing of audits, but includes being witnessed or observed as auditor-in-training.
- b) Successful completion of a lead assessor training course based on ISO 19011 principles that shall have a minimum duration of 37 hours, and shall be externally recognized by the industry. The certificate shall specify the course content and duration. Successful completion shall be indicated on the certificate.
- c) The lead assessor training course shall cover applicable standards on quality auditing, auditing techniques, focus of the audits (psychological aspects and communication), and reporting, and it shall also include a practical case study.

3.2 Food Safety, G.A.P. Training, and Work Experience

- a) Training in HACCP principles, either as part of formal qualifications or through the successful completion of a formal course based on the principles of the Codex Alimentarius (the formal course may be an internal training by the CB). The training duration shall be a minimum of 8 hours. Duration and content shall be indicated on the evidence provided for this requirement (course certificate, evidence of training included in formal qualifications, etc.). The course duration for auditors only approved for Flower and Ornamentals and/or Plant Propagation material may be shorter.
- b) Food hygiene training, either as part of formal qualifications or through the successful completion of a formal course (the formal course may be an internal training by the CB). Successful completion of a food hygiene training course with a minimum duration of 8 hours. Duration and content shall be indicated on the evidence provided for this requirement (course certificate, evidence of training included in formal qualifications, etc.). The food hygiene training course shall cover site management, water, fertilizer, equipment, facilities, and personal hygiene, and it shall also include practical case studies. Already approved auditors have one-year transition period after the publication of GLOBALG.A.P. IFA Version 5 to complete this training.
Both trainings in points a) and b) can have been completed together in the same formal course (minimum duration 16 hours).

A food hygiene course is not required for Flowers and Ornamentals and/or Plant Propagation Material auditors.

- c) Food/feed hygiene training, either as part of formal qualifications or through the successful completion of a formal course for the Compound Feed Manufacturing Standard.
- d) GLOBALG.A.P. online training, with the successful completion of all online tests and the respective updates within 3 months after release of the training in the inspector's language.
- e) Global Food Safety Initiative (GFSI) 'Knowledge Exam for Pre-farm Gate' (when made available), either via GLOBALG.A.P. or any other GFSI recognized exam provider.
- f) **For Crop Standards:** Plant protection, fertilizer, and IPM training, either as part of formal qualifications or through the successful completion of a formal course. Hop-specific training for Hop sub-scope.
- g) **For Livestock and Aquaculture Standards:** Basic veterinary medicine and stockmanship training including animal health and welfare issues.
- h) **For Aquaculture Standards:** Basic experience in food processing (to inspect AQ 12 and 13) and GRASP training (according to the 'GRASP General Rules').
- i) **For CFM Standard:** Knowledge of the relevant regional/national feed legislation applicable to the scope of activity.
- j) The experience required shall involve work in the respective scope and may have been gained simultaneously for more than one scope and/or sub-scope/group according to the table below:

If an auditor has 3 or more years working experience in:	It is possible to audit/inspect the following sub-scopes/group:
FV	FV, CC, FO, PPM, Tea, HO (after training)
FO	FO, PPM, Tea
CC	CC, PPM, FO, Tea, HO
PPM	PPM, FO, HO (after training)
Tea	Tea, PPM, FO, HO (after training)
HO	HO, CC
Ruminants (CS, DY, CYB)	CS, DY, CYB
PG	PG
PY	PY, TY
TY	PY, TY
Finfish	Finfish, Crustaceans, Molluscs
Crustaceans	Finfish, Crustaceans, Molluscs
Molluscs	Molluscs
CFM	CFM

To audit/inspect an additional specific sub-scope/group within a scope, proof of a formal course of production practices and sub-scope/group-specific working experience (one year working experience or 10 days witness assessments) are required.

For CFM, 3 years' (overall) working experience is required in the feed, nutrition, or food industry.

The formal courses (mentioned in points a), b), c), f), g), and h) above) can be part of the formal qualifications (degree/diploma) or can be separate courses that were taken by the auditor. The auditor shall present proof of qualification. If it was part of the degree/diploma, it shall be in the syllabus of the course. Or, if it was acquired separately, then there shall be a separate certificate, which shows that a course that covered these issues was completed (including an exam).

3.3 Communication Skills

- a) "Working language" skills in the corresponding native/working language. This shall include the locally used specialist terminology in this working language.
- b) Exceptions to this rule shall be discussed beforehand with the GLOBALG.A.P. Secretariat.

3.4 Initial Training Before Sign-Off by the CB

- a) The CB shall put a training program in place that is customized to the candidate/trainee.
- b) The applicant auditor shall take part as an observer in a minimum of one Option 1 producer or one Option 2 producer group member inspection of the relevant sub-scope and one audit by an already qualified inspector or auditor respectively. In case of CFM auditors, the observation of a QMS audit is not applicable.
In case the CB takes over (hires) an approved (for the currently valid version) auditor, the rule "to observe a minimum of one Option 1 producer or one Option 2 producer group member inspection of the relevant sub-scope" does not apply.
- c) The CB shall witness a minimum of one inspection of an Option 1 producer or an Option 2 producer group member per sub-scope and one QMS audit by the applicant auditor. An inspector or auditor can witness the inspection, but only an auditor can witness the audit. In case of CFM auditors, being witnessed during a QMS audit is not applicable.
- d) The CB shall use the GLOBALG.A.P. witness assessment tool (when made available).
- e) For the CB's first auditor the CB's internal procedure shall apply.
- f) The QMS auditor shall attend a GLOBALG.A.P. QMS auditor training and pass the exam for each new standard version. In case of CFM auditors, this requirement is not applicable.
- g) As a minimum requirement, the CB shall verify competence in the following topics:
 - Technical knowledge in a given sub-scope
 - Ability to identify food safety risks/food hazards
 - Ability to evaluate the HACCP system and identify/challenge critical control points
 - Up-to-date knowledge of plant protection products, fertilizer applications, and IPM principles (for Crops)
 - Up-to-date knowledge of basic veterinary medicine and stockmanship, including health and welfare requirements (for Livestock/Aquaculture)
 - Ability to carry out traceability checks and mass balance analyses
 - Wherever the control point refers to local legislation, knowledge of the relevant requirements
 - Having the sufficient communication and behavioral skills as to be able to conduct an inspection/audit
 - "Working language" skills in the corresponding native/working language

3.5 Maintenance of Competency

- a) The CB shall have in place a procedure to ensure that annually every inspector/auditor conducts at least 5 inspections/audits or 10 inspection/audit days, at a number of different producers, against each GLOBALG.A.P. standard (e.g. IFA (including all sub-scopes and PSS), CoC, CFM, etc.), AMC, or fully benchmarked scheme, to maintain scheme knowledge and to stay registered in the GLOBALG.A.P. Database.
- b) Witness inspections/audits shall also be acceptable to maintain competency.
- c) Exceptions to this rule, e.g., if the CB does not have a total of 5 clients, shall be discussed with and confirmed in writing beforehand by the GLOBALG.A.P. Secretariat.
- d) These requirements are not valid for those auditors whose main task it is to be part of the certification body decision-making committee.
- e) The CB shall carry out a GLOBALG.A.P. witness audit and/or re-audit for each of its GLOBALG.A.P. auditors at least once every 4 years to verify competence.
- f) If it is not possible to maintain competency from one year to the other, 3.4 shall apply.

3.6 Rotation of the auditor

- a) The CB shall have procedures in place to ensure that the same auditor does not inspect a producer (Option 1) for 4 consecutive years (regardless of whether it is an announced or an unannounced audit).
- b) Under Option 2 and Option 1 multisite with QMS, the auditor in the audit team shall rotate (no more than 4 consecutive years to audit the same QMS). However, the inspector(s) in the audit team may remain the same. For example, auditor #1 audits a group QMS in years 1, 2, 3, and 4; in year 5 another auditor (auditor #2) has to do the annual audit. In years 6, 7, 8, and 9 the auditor #1 *may* do 4 consecutive audits again. This also applies for group member inspections.
- c) When the CB has only one auditor in a given country/region, exceptions may be given case-by-case. The exemption period shall last for 12 months.

4 KEY TASKS

4.1 GLOBALG.A.P. QMS Audits

- a) Auditing and assessment of the quality management system of producer groups and Option 1 multisites where a QMS is implemented for compliance with the GLOBALG.A.P. Standard according to the QMS checklist, available on the GLOBALG.A.P. website.
- b) To produce timely and accurate reports on such audits in accordance with ISO 17065 requirements and GLOBALG.A.P. timelines and system requirements.

NOTE: An auditor qualified in the scope of Fruit and Vegetables can audit the QMS of a group seeking certification for Pigs, however this auditor cannot conduct any farm inspections of the pig producers.

4.2 GLOBALG.A.P. Farm Inspections

- a) Inspection of farms (either producer or production sites (Option 1) or producers in producer groups (Option 2)) to assess compliance with the GLOBALG.A.P. Standard. This may include shadow inspection of the internal inspectors of producer groups or Option 1 multisites with QMS.
- b) To produce timely and accurate reports on such inspections in accordance with ISO and GLOBALG.A.P. timelines and system requirements.

4.3 General

- a) To maintain up-to-date files of all quality policies, procedures, work instructions and documentation issued by the CB.
- b) To keep abreast of developments, issues, and legislative changes pertaining to the scope in which audits are carried out.
- c) To carry out any other tasks the CB may assign outside the scope of GLOBALG.A.P. so long as these activities do not contradict EN 45011 or ISO/IEC Guide 17065 principles or any stipulation set down by the GLOBALG.A.P. General Regulations.

4.4 Independence and Confidentiality

- a) Auditors are not permitted to take ultimate certification decisions regarding own audits or inspections they have carried out themselves.
- b) Auditors are not permitted to carry out any activities that may affect their independence or impartiality, and specifically are not permitted to accept bribes and to have carried out consultancy activities in the last 2 years for the producers they are performing inspections on. Training is not considered to be consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain, i.e. the trainer cannot provide company-specific solutions.
- c) Auditors shall strictly observe the producer's and the CB's procedures to maintain the confidentiality of information and records.

VERSION/EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of Modifications
160630_GG_Part-III_V5_0-2_en	150630_GG_GR_Part-III_V5-0_en	1 July 2016	2.1.2 f) - one sentence added; 2.2 e) – one word added; 3.2 d) e) i) – small amendments; 5.4.1.1(vi) – text deleted; 5.4.2.1 f) – text added and deleted; 5.5. b) d) – small changes in wording; Annex III.1, 2. a), b) – small amendments; Annex III.2 2. a), b) – small amendments, 3.2 b) one word deleted; 3.2 i) – sub-scope coffee deleted in table; 3.5 a) – one word changed; Annex III.2, 2 a), b) – small changes in wording; 3.2 b) one word deleted 3.2 i) – sub-scope coffee deleted in table.
170730_GG_Part-III_V5_1_en	160630_GG_Part-III_V5_0-2_en	1 July 2017	2.1.1 a) – small amendments in (iii); 2.1.1 d) – small amendment; 2.1.2 c) – change of wording; 2.2 b) – text deleted; 2.2 – point e) deleted; 2.3 – small amendments in a) and e) 2.4 – small amendments in e) and g) 3.4 – new points b) and d) added; 4.2.2 – new point b) added; 5.3 (i) – change of wording; 5.4.1 c) – one word added; 5.5 d) – “sub-scope” changed to “scope” 6.1 e) – change of wording; 6.1 – new points i) and j) added, changes made to l) 6.2.1 – new point b) added; 9.1 e) – change of wording Table 9.3 – change of wording in Step 4 Annex III.1, 1. – point b) deleted; Annex III.1, 3.2 c) – Hops added to d); Annex III.1, 3.2 g) – sub-scope Hops and CFM added to table; Annex III.1, 3.4 – new point b) added; Annex III.1 - new point 3.6 added; Annex III.1, 4.3 a) – text added Annex III.2, 1. – point b) deleted; Annex III.2, 3.2 e) – Hops added; Annex III.2, 3.2 i) – sub-scope Hops and CFM added to table; Annex III.2, 3.4 – new point d) added; Annex III.2 – new point 3.6 added; Annex III.2, 4.4 b) – text added.
190201_GG_Part-III_V5_2_en	170730_GG_Part-III_V5_1_en	1 February 2019	5.2 (iii) - change from 2 to 4 weeks 5.4.2.1 c) example 2 – correction 5.4.2.1 g) – clarification 6.1.g) – clarification 6.1 – new point m) added 9.2.1.1 Classification 4 and 5 – clarification Annex III.1, 3.2 d) – new requirement Annex III.1, 3.4 b) – clarification Annex III.1, 3.4 c) – correction Annex III.1, 3.5 a) – clarification Annex III.2, 3.2 e) – new requirement Annex III.2, 3.4 b) – clarification Annex III.2, 3.4 c) – correction Annex III.2, 3.5 a) – clarification

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If you want to receive more information on the modifications in this document, please see details in the [document with traceable changes](#) or contact the GLOBALG.A.P. Secretariat at translation_support@globalgap.org.

When the changes do not introduce new requirements to the standard, the version will remain “5.0” and an edition update shall be indicated with “5.0-x”. When the changes do affect compliance with the standard, the version name will change to “5.x”. A new version, e.g. V6.0, V7., etc., will always affect the accreditation of the standard.

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