

The content of this document has previously been published in GLOBALG.A.P. Technical News issues 5/2020 and 1/2021. This document overwrites previous rules published in the above-mentioned Technical News.

## **1. Scope**

This document defines the rules for upload of audit information in the GLOBALG.A.P. Audit Online Hub (AOH) and is applicable to all GLOBALG.A.P. approved certification bodies (CBs). The AOH is a system launched by GLOBALG.A.P. to capture audit information. These rules apply for all standards and add-ons that are included in the AOH.

## **2. Available Standards and Add-Ons**

Currently the following standards are available in the AOH:

- GLOBALG.A.P. Integrated Farm Assurance v5.2, all scopes and sub-scopes
- GLOBALG.A.P. Integrated Farm Assurance v5.3, all scopes and sub-scopes
- GLOBALG.A.P. Integrated Farm Assurance v5.4, all scopes and sub-scopes
- Harmonized Produce Safety Assurance v1.2, all sub-scopes
- Produce Handling Assurance v1.2

Currently the following add-ons are available in the AOH:

- Nurture Module v11.2
- Food Safety Modernization Act Produce Safety Rule add-on v1.2

## **3. Terminology**

For the sake of simplicity in this document:

- Whenever the term “auditor” is used, it shall refer to inspector, auditor, or assessor depending on the relevant option for certification – standard or add-on.
- Whenever the term “audit” is used, it shall refer to inspection, audit, or assessment depending on the relevant option for certification – standard or add-on.
- Whenever the term “certificate” is used, it shall refer to certificate, proof of assessment, letter of conformance, or letter of attestation.
- Whenever the term “producer(s)” is used, it shall refer to persons (individuals) or businesses (company, individual producer, or producer group) that are legally responsible for the production processes and the products of the respective scope sold by those persons or businesses, as well as companies certified against GLOBALG.A.P. Chain of Custody or Compound Feed Manufacturing standard.
- Whenever the term “general regulations” is used, it shall refer to the GLOBALG.A.P. general regulations and/or the add-on general rules.
- Whenever the term “auditee” is used, it shall refer to the producer or producer’s personnel being inspected.
- Whenever specific rules are referred to, they are identified by including the name of the particular standard or add-on.

#### 4. Applicable Timelines

Latest update: 15 February 2021

No.	Date Obligatory from	Standard/Add-on/ Other	Requirement
1	15 May 2020	GLOBALG.A.P. Remote + IFA v5.2 (+ FSMA PSR)	100% of audit checklists conducted according to the GLOBALG.A.P. Remote procedure for IFA v5.2 and the FSMA PSR add-on shall be uploaded.
2	15 Nov. 2020	FSMA PSR	100% of checklists (including its IFA checklist part) shall be uploaded.
3	25 Jan. 2021	GLOBALG.A.P. Remote + Nurture Module v11.2	100% of audit checklists conducted according to the GLOBALG.A.P. Remote procedure for the Nurture Module shall be uploaded.
4	15 Feb. 2021	IFA v5.2, 5.3-GFS, 5.4-GFS, HPSS v1.2, PHA v1.2, all scopes and sub-scopes	25% of all checklists shall be uploaded per month for the next 3 months (until 15 May 2021).
5	1 Apr. 2021	Nurture Module v11.2-2	100% of checklists shall be uploaded. The Nurture Module checklists consist of the Nurture Module and IFA checklist (see "Nurture Module Scheme Rules" 5 d)).

#### 5. Specific Rules for the Introduction Period

- 5.1 As long as less than 100% of checklists within a standard and add-on are required to be uploaded in the AOH, this is considered an introduction period and the specific rules below apply.
- 5.2 Those IFA checklists uploaded for the FSMA PSR add-on, the Nurture Module, and through GLOBALG.A.P. Remote may be counted toward the 25% referenced in item 4 in the table in point 4.
- 5.3 At the end of the introduction period of 3 months (15 August 2021) for GLOBALG.A.P. IFA, there will be an evaluation meeting with the Certification Body Committee to determine further strategy based on the feedback collected.
- 5.4 During the introduction period (until 15 August 2021), AOH use is not considered in certification body (CB) key performance indicator scoring, and no sanctions for unintentional operational mistakes will be issued. However, the content of the checklists (e.g., insufficient or wrong comments, incorrect control points and compliance criteria interpretation) remains subject to the Certification Integrity Program. Additionally, from 15 May 2021, GLOBALG.A.P. shall begin to strictly enforce that the required percentage of audit checklists is uploaded to the AOH (see 5).
- 5.5 Sanctioning process for missing uploads

- 5.5.1 In case the number of audit checklists not uploaded per month to the AOH exceeds 10 audit checklists or 5% of total audit checklists required for the month (whichever is lower), 1st warning shall be issued to the CB. The CB has by the end of the following month to upload the missing audit checklists.
- 5.5.2 If in the consecutive month 10 audit checklists or 5% of total audit checklists required for the month (whichever is lower) are missing, or if the previous missing audit checklists are not uploaded within the deadline, the 1st warning shall be escalated to a 2nd warning. The CB has by the end of the following month to upload the missing audit checklists.
- 5.5.3 If for the third month in a row 10 audit checklists or 5% of total audit checklists required for the month (whichever is lower) are missing, or if the previous missing audit checklists are not uploaded within the deadline, the 2nd warning shall be escalated to a Yellow Card. The CB has by the end of the following month to upload the missing audit checklists.
- 5.5.4 If for the fourth month in a row 10 audit checklists or 5% of total audit checklists required for the month (whichever is lower) are missing, or if the previous missing audit checklists are not uploaded within the deadline, the Yellow Card shall be escalated to a Red Card. The CB has by the end of the following month to upload the missing audit checklists.
- 5.6 The percentage (%) shall be counted per certificate holder – i.e., the CB may choose any combination of standards, Option 1, or Option 2 audits.

**Example:** The CB has inspected/audited 100 IFA v5.2 Option 1 producers and 20 IFA v5.2 Option 2 producer groups as well as 100 IFA v5.3-GFS Option 1 producers and 20 IFA v5.3-GFS Option 2 producer groups. The total number of certificate holders inspected/audited is thus 240. The CB has to upload 25% of 240, or 60 audit checklists. The CB may select any 60 checklists – e.g., 60 IFA v5.2 Option 1 producer audit checklists – to comply with the upload rule.

- 5.7 The number of checklists to be uploaded shall always be rounded up to the next whole number.

**Example:** CB has inspected/audited 45 certificate holders. 25% of 45 = 11.25, so 12 checklists shall be uploaded.

This means the CB shall always upload at least 1 checklist in case the CB has conducted any audits for the month.

- 5.8 The obligatory upload dates for a standard/add-on from point 4 are linked to the date of audit and not to the date of certification decision.

## 6. General Rules for Upload of Audit Information

- 6.1 Whenever a new standard, add-on, or an attribute is added to the AOH, the upload of audit information for this standard or add-on shall become mandatory within three (3) months of official notification to the CBs. GLOBALG.A.P. may decide to extend this deadline, which shall be timely communicated to all CBs and audit management software provider partners.
- 6.2 Documents that shall be uploaded (depending on the standard and producer type) are:
  - QMS checklist for Option 1 multisite with QMS or Option 2 producer group
  - Option 1 producer checklist or Option 1 multisite without QMS checklist
  - Checklists of the sampled Option 2 producer group members or Option 1 multisite with QMS sites

This includes initial, surveillance, unannounced, and recertification audits.
- 6.3 Depending on the standard or the add-on, additional audit information may be required for upload. The additional obligatory audit information shall be specified with the communication that announces the release of a new standard or add-on. The additional requirements may be later added as annex to this document and/or the specific standard or add-on rules.

#### 6.4 Upload timing

6.4.1 The CB shall upload the required documents within 28 days after the closure of any outstanding non-conformances or on the day of positive or negative certification decision in the GLOBALG.A.P. database, whichever comes first. CBs may also upload the checklist right after the audit while the producer still has time to submit corrective evidence.

6.4.2 The final version of the checklist shall be uploaded.

- In case of positive certification decision, this shall include the closing of the outstanding non-conformance(s) (if any).
- In case of negative certification decision (suspension), the checklist shall include the remaining open non-conformance(s) after the period to present corrective actions has expired.
- In case of initial audit when the CB sets the producer status to “open non-conformance,” the checklist shall include the remaining open non-conformance(s) (following general regulations part I, 6.4.1 c) (i)).

6.4.3 The GLOBALG.A.P. Certification Integrity Program (CIPRO) assessors may access the uploaded audit documents. CIPRO assessors may use the uploaded audit documents to assess CB performance.

#### 6.5 Language of upload

The CB may upload the audit documents in the local working language.

GLOBALG.A.P. may request a translation of audit documents in English. This translation may be done internally by the CB.

#### 6.6 Data safety and privacy

6.6.1 Access to the audit information in the AOH is granted based on the applicable data access rights for each standard and add-on.

6.6.2 Producers/Producer groups/Companies agree that the full checklist is made available to GLOBALG.A.P. with the relevant data access rules.

6.6.3 The comments on the checklist shall not contain confidential business information or any information relating to an identified or identifiable natural person, such as names or data clearly linkable to responsible persons or any other employees. The CB shall retain this information in their records and be able to recall it upon request.